Progress Report Follow up
Prepared for
Middle States Commission on Higher Education

Presented by: Herkimer County Community College, Herkimer, NY
April 1, 2017

President: Dr. Cathleen McColgin

Decennial Report and Team Visit – February 2009
Monitoring Report and Team Visit – August 2010
Periodic Review Report – June 2015

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Introduction

Herkimer County Community College is celebrating its 50th Anniversary, and remains committed to demonstrating the quality it values in support of its mission. The College is poised for the future with:

- a new President and Shared Governance model
- a Campus Facilities Master Plan
- the Strategic Plan: A Commitment to Excellence
- a Service Excellence and Communication Plan for improving consistency and quality in operations
- Integrated Strategic Planning processes
- a sustainable Resource Allocation Process
- Institutional Effectiveness standards and operations based on the *SUNY Council on Assessment (SCoA) Standards for Institutional Effectiveness* (Appendix - A) that guide institutional effectiveness activities, commitment to quality assessment, and use of data based on College Core Values.

Herkimer County Community College's last accreditation action occurred with the submission of a PRR, June 1, 2015. That Periodic Review Report was accepted by the Middle States Commission on Higher Education for full accreditation, with a Progress Report from the College due on April 1, 2017.
The Commission responded as follows:

> "…To accept the Periodic Review Report and to reaffirm accreditation. To request a progress report, due April 1, 2017, document further evidence of a systematic and sustained process for institutional assessment including evidence that results are used in planning, resource allocation and renewal and to gain improvements in the total range of programs and services (Standards 2, 3 and 7). The next evaluation visit is scheduled for 2019-2020."

This Progress Report specifically addresses Standards 2, 3 and 7, and as noted within the Standards' competencies themselves, indicates overlap of the achievements for each. Further, the PRR Reviewers made the following recommendations, the progress on which is also noted within the standards sections of the report:

1. The reviewers recommend the re-constituted Institutional Effectiveness Committee review all of the non-academic units' assessment plans to ensure they follow best practices in assessment for the structure of the plans and goal linkages.

2. The reviewers recommend the college ensure a systematic data collection process be implemented so departmental administrators will have the information they need for the successful management of their services. These data should inform the non-academic units' assessment process.

3. The reviewers recommend that Herkimer continue to improve its process for linking planning and budgeting by implementing the pilot project, proposed by the Resource Allocation Quality Team and approved by the Executive Council, and document its effectiveness to show the college has a viable and institutionalized process in place to demonstrate the linkage between planning and budgeting.

This Progress Report has been assembled by a team of two primary writers, a research assistant, the Institutional Effectiveness Steering Team, and many staff members at all levels of the institutional hierarchy who input information on each of the standards, and/or read through the Progress Report drafts. All campus constituents were given the opportunity to review and recommend revisions. The College Board of Trustees formally approved the report at the March 22, 2017 meeting.

Appendices within the document are in many cases, excerpts or representative examples, due to length of the documents. All documents are available in their entirety in the offices of Institutional Effectiveness and Institutional Research, as well as shared files on campus.
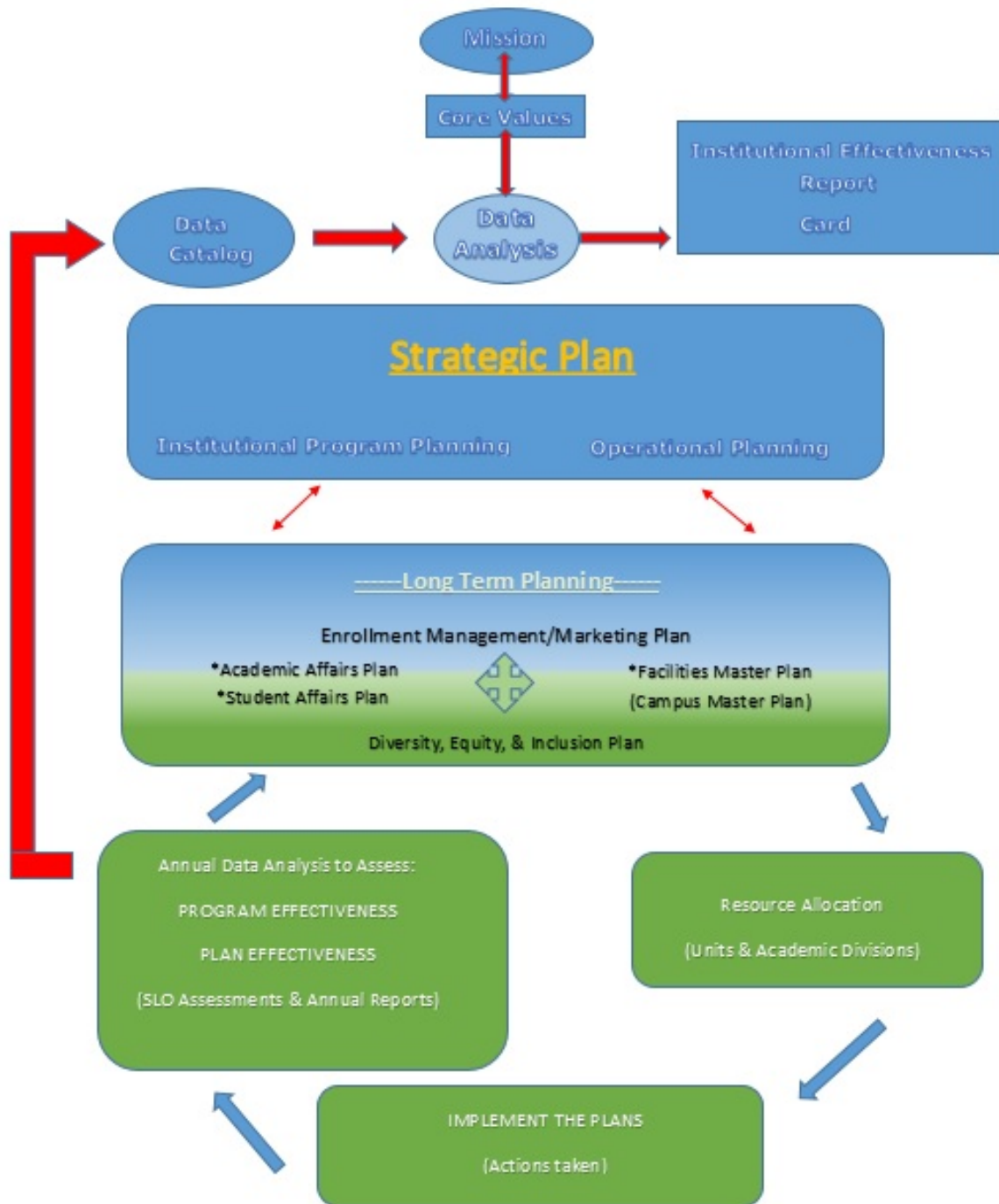
Background

At the time of the PRR in 2014, the College was establishing its integrated strategic master planning as a means of creating sustainable processes that address and consistently consider common goals, outcomes and initiatives to meet those goals and outcomes. The unified approach to strategizing toward critical outcomes was being resurrected at the institution, as it had been compromised over a period of several years defined by high turnover in administration, faculty, and personnel in key functional operational units. The renewal of the institution's focus on strategic planning across the College came together in what the College called its Quality Team initiative. As the College found itself to be deficient in five key planning and procedural areas, the interim president who was also the CFO, was leading all college functioning throughout the search for a new president. The PRR was due, but without some of the key leaders in place. Therefore, an Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness (ADAA) was appointed, and along with the then new Director of Institutional Research and the Assistant to the President, spearheaded the development of the Strategic Planning Quality Team initiative. That college-wide Quality Team collaboration resulted in comprehensive planning that helped meet the Standards of Excellence toward reaccreditation, followed by a progress report. More importantly, the effort re-established Herkimer as a campus primed to move forward with sustained institutional processes for planning, assessment and renewal in all areas of the College. The Quality Team initiative supported the vision of "transforming lives through quality education" introduced during the re-branding of 2014. Five planning reports as outcomes from the Quality Team efforts, resulted in:
- A Facilities Planning report with recommendations, the most complex of which was to complete a Facilities Master Plan
- a 3-year Academic Plan where one had not existed at all

- a Resource Allocation Plan with scoring rubric to be used with the process
- an updated Strategic Plan with recommendations for sustainability of the process
- an Enrollment Management and Marketing Plan with recommendations for furthering the enrollment management effort, that included hiring an Enrollment Management leader to facilitate the plan and further planning and implementation
- a model for sustainable integrated planning whereby strategic thinking would collaboratively be connected to achieving common goals based on shared data.

The following model is the integrated planning model currently used by the College, which is an updated version of the original planning model developed during the Quality Team effort. The updates have been made to change the hierarchical placement of the Strategic Plan, add current and in-process long-term plans, and to highlight the flow of operational planning and assessment processes and results that inform decision making within the greater strategic planning.

Herkimer College Integrated Planning Model

Mission

Core Values

Data Catalog

Data Analysis

Institutional Effectiveness Report Card

Strategic Plan

Institutional Program Planning   Operational Planning

------Long Term Planning------

Enrollment Management/Marketing Plan

*Academic Affairs Plan   *Facilities Master Plan
*Student Affairs Plan   (Campus Master Plan)

Diversity, Equity, & Inclusion Plan

Annual Data Analysis to Assess:

PROGRAM EFFECTIVENESS

PLAN EFFECTIVENESS

(SLO Assessments & Annual Reports)

Resource Allocation

(Units & Academic Divisions)

IMPLEMENT THE PLANS

(Actions taken)

*AASA Committee developing an Integrated Academic Affairs & Student Affairs Plan to support student success. Facilities Master Plan to be named "Campus Master Plan".
Office of Institutional Effectiveness, February 2017

In an effort to establish a standard of quality upon which to target excellence and improvement in the College's total range of programs and services, the Quality Rubric, based on the College's Core Values (2009-10), was established in 2014. Still, the rubric is incorporated into the measurement standard as presented in the Assessment Plans within the annual Unit Operational Plans and reported out in the Unit Annual Reports. The institution measures its effectiveness in achieving quality in operations through the Core Values, on a rotating basis annually. The four core values: Excellence, Opportunity, Community and Integrity are measured via Unit initiatives, as noted in the operational plan, and the 4-point scale is averaged per Executive Operational Division's collective annual reports. The annual rotation is:

2017-18 – Excellence
2016-17 – Integrity – tbd June 2017
2015-16 – Community – total overall score 2.95/4 average for 20 Units reporting
2014-15 – Opportunity – total overall score 2.86/4 average for all Executive Operational Areas

The annual Unit Operational Plans identify at least one initiative that addresses the core value being assessed for quality in that given year. The quality scale is based on performance level, from no action taken to full action with results providing growth. See the following exhibit.

Quality Rubric Based on Herkimer's Core Values

The mission of Herkimer College is to serve our learners by providing high quality, accessible educational opportunities and services in response to the needs of the local and regional communities. We emphasize the following core values as we strive to achieve this mission:

Core Values	Poor- 0 *No action*	Fair – 1 *Convenient*	Good – 2 *Compliant*	Very Good-3 *Growth*	Excellent-4 *Promotes future growth*
EXCELLENCE: To encourage all constituencies of the college community to pursue the highest standards of performance in their academic and professional work.	Performance is insufficient, yielding few or no outcomes.	Performance outcomes are convenient; completed, but without significant contribution to goals.	Performance outcomes are compliant with regulatory mandates, supported by assessments.	Performance outcomes are compliant with mandates, resulting in growth for the department and/or initiative; based on direct outcomes assessment.	Performance outcomes are compliant & measured, with documented contribution to goals; established growth and plans promote future excellence.
OPPORTUNITY: To provide access to quality, affordable lifelong learning opportunities and to maintain an environment that fosters individual growth and development for all.	Incomplete provisions; missed opportunities.	Provides some opportunity for some constituents; no pattern for continual growth in creating/using opportunities is established.	Indications of providing opportunities for growth for most constituents; generally communicated to most constituents.	Provides and uses opportunities for growth and development, based on assessments; communicated to all constituents.	Provides and promotes accessible growth opportunities creatively and continuously to all constituents, with appropriate plans for future development and opportunity.

COMMUNITY: To foster a collaborative campus environment that promotes civility, creativity, diversity, open communication, social responsibility, and mutual respect among students, faculty, staff, and the public.	Not collaborative, nor promoting attributes of community.	Collaborative with some constituents, not all; communication among and between constituents is ineffective or non-existent.	Collaborative with all constituents (students, faculty, staff and public), communicating within a closed circle.	Collaboration with all constituents, based on assessments, practicing open communication using a variety of communication methods.	Collaborative with all constituents, promoting open communication and creativity in future collaborative opportunities.
INTEGRITY: To embrace the values of honesty, respect, consistency, diversity and responsibility, in order to provide fair and equal treatment for all.	Fails to embrace attributes of integrity.	Embraces some attributes/values of integrity; questionable fairness and equality	Embraces all attributes of integrity, supported by assessment data.	Embraces all attributes of integrity and fosters sustainability of integrity in practices with all constituents.	Promotes all attributes of integrity and sets high standards with constituents, fostering sustainable integrity in philosophy and actions.
Comments: Evaluate and Recommend actions and communications.					

Office of Institutional Effectiveness 2015

The Institutional Effectiveness Steering Team approached each Standard of Excellence by its bulleted tenets as presented in the MSCHE Characteristics of Excellence publication, addressing the expectations with clear examples of how Herkimer is meeting or exceeding the standard.

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. (MSCHE, p.4, 2006)

Herkimer's most comprehensive effort toward institutional renewal has been the all-encompassing Service Excellence and Communication Plan, which clearly addresses Standard 2, above, and Standard 7: Institutional Assessment, as well. It is an example of a multi-faceted program that was based on data triggers of anecdotal information, followed by targeted qualitative and quantitative research from various stakeholders, and external literature on service excellence and professional communication. The plan extends the original rebranding concept, "transforming lives through quality education", to include quality and consistency in service excellence with a renewed sense of internal community adopting the guiding slogan, "Herkimer College – *your* community college—where every student counts and every employee makes a difference."

The following is one of the planning pages from the Service Excellence and Communication Plan proposal that aligns the initiative with the Strategic Plan and College Critical Success Factors. It was also used in the information packets presented to all College personnel who attended the workshops. The College achieved a 95% attendance rate for all full-time employees, giving the effort a strong foundation on which to build the next stage of implementation. A March 2017 follow-up survey to all attendees is designed to assess the lasting value of the workshop and to gauge the needs for further training in service excellence.

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Herkimer College
Service Excellence and Communication Plan Proposal
August 9, 2016
**Improve student and employee satisfaction through
consistency and quality in communication and service.**

2015-2018 Strategic Plan alignment:
Effectiveness to be measured per unit operational assessments & surveys.

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1. Strengthen Support for Student Success – Promote student success through relevant programs and support services within an enriched teaching and learning environment.

    Targeted Outcome **1.1**: Manage and promote academic programs and services to ensure continuing relevance, and to meet academic demand toward student persistence and progression in support of completion and graduation rates.

    Targeted Outcome **1.3**: Provide teaching and learning environments that foster excellence and encourage innovation/creativity.

2. Campus Life – Provide a rich two-year college experience for all students.

    Targeted Outcome **2.1**: Create a campus climate that embraces diversity, promoted intercultural exchange, and fosters collaboration and civility among faculty, staff and students.

    Targeted Outcome **2.2**: Cultivate programs and services that will serve the co-curricular and extracurricular need of students and community.

    Targeted Outcome **2.3**: Provide services to increase engagement from non-residential and non-traditional students.

3. Institutional Culture – Create a more engaged and vibrant campus community.

    Targeted Outcome **3.5**: Ensure Transparency through the creation and/or maintenance of clear lines of communication from administration to campus constituents.

4. Operational Sustainability – Ensure the operational sustainability of the institution.

    Targeted Outcome **4.2**: Control expenses by improving efficiency and effectiveness of all departments and ancillaries, and by exercising fiscal discipline of academic and administrative budget managers.

5. Outreach & Community Relations – Enhance community connections.

    Targeted Outcome **5.1**: Reinforce the positive image of the college and promote its strengths.

    Targeted Outcome **5.2**: Continue to build and strengthen partnerships with business, education, governmental and non-profit organizations to supports regional economic development.

College Priorities: 1.) Enrollment, 2.) Student Success, 3.) Revenues, 4.) Gifts, 5.) Student Satisfaction

Supporting data sources:
1. Communication on Campus – 2 focus groups and surveys from both faculty and Admin./staff
2. Student Success and 2-year premier experience on-campus surveys
3. Ruffalo-Noel Levitz literature for student recruitment & retention strategies
4. CCSSE

Office of Institutional Effectiveness 2016

Herkimer uses collaborative planning processes to develop and ensure implementation of goals and strategies campus-wide. The College is operating under the auspices of its *Strategic Plan: A Commitment to Excellence*, (Appendix - B) which was updated by the Strategic Planning and Institutional Effectiveness Committee for 2015-2018. (Appendix - C) The five goal statements and targeted outcomes for each in the Strategic Plan were updated by the Strategic Planning and Institutional Effectiveness Committee, and the plan was named "A Commitment to Excellence" by vote of the College community at an all-campus meeting in August 2015. Those goals are linked to the College mission and core values, and are measured using a variety of assessments developed by and used consistently by the instructional and non-instructional Units, as noted in the Unit and Executive Level operational plans and annual reports. Four Executive Operational Plans are supported by the 27 service Unit Operational Plans. College Units are defined and the Unit leaders are identified in support of both Standards 2 and 7. (Appendix- D)   The College Executive Council (Appendix - C) is comprised of high level administrators who gather and review Unit plans in accordance with their own Executive Level Operational Plans, which align with and support the College's Strategic Plan and resource allocation.

Planning and improvement processes are guided by the Office of Assessment and Institutional Effectiveness, but are developed by individual functional area Units and Executive leaders. An institutional effectiveness activities cycle document was developed and posted in the MyHerkimer shared files for planning and monitoring of activities.

Institutional Improvements and Renewal

The decision-making processes at Herkimer are propelling institutional improvements and renewal as the Executive Council (EC) continues to adopt the evolving processes for planning, assessment, and use of data to impact progress and quality. The Integrated Planning Model provides the EC with foundational evidence to be used for decision making in all areas of the campus. Non-instructional units provide their EC leaders with evidences of their operational successes and needs within their Operational Plans and subsequent annual reports. Additionally, a Resource Allocation process guides aligned decision making. The Resource Allocation Committee (RAC) gathers requests, holds consultations with requestors and compiles evidence that is forwarded to the Budget Committee. The Integrated Planning Model and Resource Allocation process further supports institutional renewal in that decision making is not addressed in isolation, but rather, collaboratively and in support of the Strategic Plan.

Upon arrival in 2015, the College President put into place a new Shared Governance structure (Appendix – E) whereby the Executive Council was being informed by five pillar committees, a newly formed College Advisory Council, the Faculty Senate, and several smaller committees as recommending bodies and work groups for task completion. Additionally, all college functional areas, defined at Herkimer as operational Units, provide plans and improvement processes supported by outcomes aligned with the mission and Strategic Plan. Collaboration is fostered most specifically through the College Advisory Council, which had not previously existed at

Herkimer. The advisory group is comprised of membership providing cross-campus representation. (Appendix – C)

The new governance structure was widely disseminated to the campus. Committee leaders were assigned directly by the President. The President annually communicates charges for the committees, and in receipt of the recommendations in the end of the year reports, addresses each committee's progress and recommendations by responding to the chair in a detailed email, which is to be shared with the entire committee. The president additionally meets with committee leaders, as needed, to help implement appropriate actions, based on the evidence that is provided through the work of the committee. For instance, the Enrollment Management and Marketing (EMM) Committee had merged with the Retention Committee mid-year, which created an exceptionally large and counterproductive work flow. The President worked closely with the three committee co-chairs to reorganize the size, structure and charge of the committee, scaling back the number of members, and strategically reviewed membership for the proper representation from important operational areas on campus.

Committee minutes enhance communication flow and improve the entire process for decision making, adding consistency to the documentation while providing organized, accessible, transparent information for leaders and all campus personnel, as the minutes are posted clearly in the MyHerkimer portal. The new template for submitting committee meeting minutes, in use beginning fall 2015, includes agenda items, action items and convenient follow-up information to be forwarded to the College Advisory Council for consideration, as needed, fostering greater accountability in follow though. Alterations were also made to the Governance chart for year 16-17, to include the IE Steering Team as an improvement in communication between pillar committees, the CAC and the Executive Council. Resource allocation is an element of the collaboration process within the governance structure, as in the case of considering costs for computer security training. Since its inception, the CAC membership was also reviewed and revised, to ensure balanced representation without creating unintended redundancy in some areas of employee representation, and gaps in others.

Further, the Operational Planning process has been re-designed with a more congruent timeline with the budgeting process, which allows the Executive Council members to review their Units' plans with enough time to make appropriate adjustments and ensure that actions are aligned with the Strategic Plan and goals. The Annual Reports from the prior year have been analyzed and mapped to the executive responsible for those units' outcomes. Each Executive is given a summary by topic, of the annual reports under his/her supervision. The Annual Reporting process itself was re-designed to include more narrative descriptions, to align more clearly with Core Values for Quality, and bring into use for the first time, the assessment of quality based on the Quality Rubric.

The individual Units are self-assessing and providing individual recommendations based on the outcomes. Those are shared with the Executives, while collaborative follow up actions and planning are established in department meetings. This annual cycle provides the Unit

opportunity to reflect on its efficiencies and effectiveness. Audit forms are also being used in the Assessment and IE Office to monitor follow through, and results shared with Executive Council members to help gain full participation in the planning and renewal process.

Records and Results

The College keeps a record of institutional and Unit improvements through its Unit Annual Reports, which includes the Academic Divisions (Units) and their faculty annual reports. Also, a new documenting procedure through the Office of the President is in place to track the progress and completion of Operational Plans at the Executive Level. (Appendix – F) Executive Council meeting minutes reflect discussions regarding the improvements made. (Appendix – G) Additionally, the IE Report Card (Appendix - H), available on the College website, documents examples of achievement (evidences) that supports the Strategic Plan. Strategic Plan Key Performance Indicators (KPIs) were identified by the Strategic Planning and Institutional Effectiveness (SPIE) Committee and published on the MyHerkimer portal for college wide access, while the Strategic Plan goals and targeted outcomes are publicly communicated on the web site. The KPI document (Appendix – B) is used as an internal guide to support each targeted outcome in the Strategic Plan. The IE Report Card for 2015-16 is in progress as the SPIE committee is working on reviewing Unit annual reports and matching data micro-indicators to outcomes this semester. The PRR reviewers recommended that the reconstituted IE Committee read and comment on Unit Reviews, and though Herkimer's Unit Review process is being developed, the SPIE Committee is transitioning into its function by using the current Unit reports in assessing the progress made on the Strategic Plan targeted outcomes.

Greater transparency of information is disseminated in the newly published Campus Briefs e-correspondence (Appendix - I). The Campus Briefs publication itself is a direct outcome of the Service Excellence initiative, in response to focus group and survey research, and a documentation of college-wide improvements. The College community has responded positively to the communication, both in verbal feedback during Service Excellence workshops and in emails sent directly to the Director of Public Relations, through whose office the publication is released. A more casual, but equally effective publication, the Assessment Bytes Newsletter (Appendix – J) distributed through the Office of Assessment and Institutional Effectiveness, documents and publicizes achievements and assessment information. The newsletter itself has improved in its content by including data points, accreditation updates, and assessment best practices. The data distributed in these documents are also used as guiding tools for committee work that fulfills goals and mission.

A program prioritization effort has been on-going since fall 2016, using the book, Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance, by Robert C. Dickeson, as a guide. A sub-committee assembled by the College President, began the process of assessing each academic program by designing a rubric to evaluate key elements of individual evaluation of program effectiveness. That rubric was passed on to the Academic Affairs and Student Affairs (pillar) Committee, which was charged with furthering the

implementation of academic program prioritization. The Executive Council revised the rubric to include pertinent data and budgetary consideration including evaluation of program history, external need, internal demand, quality of program inputs and processes, quality of program outcomes, productivity of the program, and revenue and costs. (Appendix – K)

All programs were analyzed in discussions with the Provost and Academic Associate Deans using the rubric scores and determined cut offs. The Provost provided program faculty with more comprehensive targeted analysis questions if their program's score placed them in the "Review" quadrant of the measurement scale. (Appendix – L) The program prioritization process is designed to create a process for ongoing, routine review of all academic programs to ensure that each program continues to contribute to the healthy program mix at the College. Once the analysis has been completed, decisions are made that will impact the institution's resources in various directions. Expansion of existing programs, addition of new programs, reduction of programs, restructuring of programs, or the elimination of programs would be typical outcomes of the process.

Annual Budget Process

The long-established budgeting process, as outlined by the Controller to all budget managers in the Call to Budget preparation letter (Appendix – M), has been renewed by the inclusion of the collaborative Resource Allocation process that is overseen by the pillar Resource Allocation Committee. This new Resource Allocation process was introduced in the PRR as a result of the Quality Team effort, at which time a first Resource Allocation Form had been developed. The following exhibit is the revised version of the Resource Allocation Form that shows the alignment of requests with strategic goals, student learning outcomes at the program and institutional levels, and regulatory safety and compliance needs. The varied needs of each Unit are considered here in the form and allows for Units to best align with the outcomes most associated with the Unit's charge.

Herkimer
THE STATE UNIVERSITY OF NEW YORK

Herkimer College

Resource Allocation Form

Requesting Department/Budget Manager _____   **Funding Year:** _____

Description of request: _____   **One time:** _____

Total Amount Requested: _____   **Recurring:** _____

Justification – based on evidence of need (for example: advisory committee recommendation, employers, alumni, assessment outcome or enrollment   usage data) or attach justification. List number of students effected.

Budget requests must be accompanied by a description of how and when data will be collected to assess whether the requested budget item has helped to achieve strategic goal(s), learning outcome(s), program review recommendations, facilities' plan(s), or health, safety, or regulatory requirement(s).

Requestor will be contacted for presentation to Resource Allocation Committee if needed.

Scoring Area	TO BE FILLED OUT BY PERSON REQUESTING FUNDS Description/Alignment	FOR COMMITTEE USE Scoring Rubric	Score

	Please check all that apply		
Alignment with Strategic Goals	☐ Academic Program & Support ☐ Campus Life ☐ Institutional Culture ☐ Operational Sustainability ☐ Outreach @ Community Relations (10 point total)	**Max * points:** **Sum points for** **demonstrated**	
Alignment with Department/Unit Operational Plan Objectives	Department/Unit Goals ☐ _____ ☐ _____ ☐ _____ (10 point total)		
Program Learning Outcomes	List of PLO's: ☐ _____ ☐ _____ ☐ _____ (10 point total)		
Academic Program Review or Audit	☐ Identified areas of need based on program review or audit (10 point total) _____		
Alignment with ILO	ILO's your request supports: ☐ Communication ☐ Knowledge Management ☐ Problem Solving ☐ Ethics & Social Responsibility ☐ Aesthetic Responsiveness (10 point total)		
		Points (Max 50)	
Health, Safety, or Regulatory	☐ Specific health, safety, or regulatory issue for course, program, department or institution (10 point total)		
		Points (Max 10):	
		Total Points	

Committee Comments:

_____

_____

_____

The Resource Allocation Committee (RAC) continues to discuss the appropriateness of the point weights for each alignment. It is the committee's experience that some of the requests, though scoring high, may not have the impact that other lower scoring requests might have. Therefore, in the coming year, the committee is re-visiting the point values for scoring. In the meantime, the College has accomplished a major stride in making budgeting and resource allocation a collaborative and more goal/outcome aligned process than ever in its history. Even the language of the resource allocation process has become commonplace, further establishing a stronger collaborative planning and decision-making culture on campus. A resource allocation summary form is distributed from the Budget Committee as a response to requestors. (Appendix - N)

In a memo from the Controller to the budget managers when preparing them for submitting budgets, the following memo from the RAC Chair is sent to facilitate the entire budget submission process, and to particularly sustain and engage the use of the young resource allocation process that was introduced in the PRR.

Resource Allocation Process

Purpose: To insure that all new budget requests are aligned with one or more of the following: Strategic Goals; Department/Unit Operational Plan Objectives; Program Learning Outcomes; Academic Program Review or Audit; Institutional Learning Outcomes, Health, Safety or Regulatory. New budget requests are those funds (i.e. Equipment, Supplies, Personnel) not currently included in a department's budget. The Resource committee and all requestors will be notified by the Budget Committee whether their initiative has been included in the budget that will be presented to the Board of Trustees. This will allow departments to plan differently if their proposal wasn't included in the budget that is going through the approval process. Once the budget is approved by the BOT and county legislature, the committee and the requestors will be notified on whether their proposal(s) have been approved or not.

Procedure: This document and the Resource Allocation Rubric form will be sent to all College budget managers in their annual budget material packets. For all (Lewis, 2017)new budget requests, department managers must fill out the form and return to the Resource Allocation Committee Co-Chair (Julie Lewis) by February 19th to give the committee time to review and set up any needed presentations. The requests will be rated by the committee and forwarded to the Budget Committee for consideration by March 31. The Budget Committee will make the decisions as to which initiatives will be funded.
If a department develops an initiative during the fiscal year and the money can be funded from their current approved budget, the department manager can transfer the funds accordingly. If the initiative cannot be funded from their current budget, and they want to request increased funds, the Resource Allocation Request form must be filled out and sent to the Resource Allocation Committee. The committee will rate the initiative and forward to the Budget Committee for consideration.

(Lewis, 2017)

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. (MSCHE, p.9, 2006)

Administrative Process

The College has established rational, consistent policies and procedures to determine the efficiency and effectiveness of allocation of assets. The Controller uses historic data to evaluate effectiveness of resources and provides each budget manager with a 2-year report on amount spent vs. amount budgeted per item line. Long-term planning is based on current commitments, review of annual commitments from each Unit, such as contracts for services, among other standard commitments. The College Controller is aware of and therefore, a source of information regarding what is available for net new resources to be considered for Resource Allocation. The Controller also provides information to the Unit leaders to pursue the budget development process, as noted in the call for budget development information packet sent

annually to all budget managers. (Appendix – P) The budgeted amount actually spent is compared to the budgeted amount allotted, and distributed for budget managers to submit the next year's requests.

The VP of Administration and Finance upholds the rationale that when considering college assets, the College, as per the Strategic Plan Goal #4, will "Ensure the operational sustainability of the institution". From a pure accounting perspective, the Executive Council is responsible for assuring that college expenditures are commensurate with revenues. Additionally, the College has dedicated itself to stay within budget, balancing reserves to see the College through its fiscal challenges that are brought about by a continually declining enrollment trend and low-level support from state and county government. Through prudent decision-making regarding personnel and other college expenditures, along with focused and aggressive recruitment and retention efforts, the College reduced its use of the fund balance in excess of a million dollars, in order to meet budget for 2016-17.

The College Budget Committee, comprised of the VP of Administration and Finance, the College President, the Provost, Controller, Director of HR, and Dean of Students, works toward continual movement of available funds, even after initial budgeting, continuing to prioritize expenditures that may be covered with remaining funds not used within the current fiscal year. The Resource Allocation Committee reviews only those new requests from Units, excluding personnel. The Budget Committee makes decisions about personnel budgetary concerns, prioritizing hires and re-hires.

In fall 2016, the Executive Council decided to hire a Dean of Enrollment Management to oversee the Admissions department, Financial Aid department, and to centralize recruitment, retention, and marketing efforts toward increased enrollment. The College facilitated the hire as the Director of Admissions resigned and other personnel vacancies had not been filled.

The SUNY Excels Performance Improvement Plan (Appendix – O) includes targets with enrollment projections that are proving to be challenging to the College, and not likely to occur, though recruitment and retention efforts at the college are strong and innovative. In a conversation between the Executive Council and Provost Alexander Cartwright from SUNY, in January 2017, the problem of decreasing enrollment was addressed and some brainstorming for solutions took place, though not definitive.

Herkimer's Executive Council employs an institutional process focusing on key functional priorities of the institution when deliberating over potential shifts in resource allocation. The College President shared with the campus community at the January 2016 All-Campus meeting, the process and the questions used when examining the College's organizational structure. As a result of the following "framing/probing" questions, several staff members were reassigned to different departments/units of the institution. For instance, the Director of the Advisement Center was reassigned to the Assistant Registrar position, as that position had been vacant, causing a disruption in the application to graduate process. The Advisement Center was staffed

such that it would be able to continue to support and serve students, under the supervision of the Provost.

The framing/probing questions are:
1. Will it advance the mission of the institution?
2. Will the new structure facilitate change?
3. Is the reporting structure logical?
4. Have we been responsive to outside changes?
5. Personalities vs. Function
6. Right size -- Enrollment

The Executive Council (EC) reviews the organizational chart systematically by using the above questions, as well as annually during the EC Retreat. Additionally, whenever a staff member resigns or retires, the Executive Council employs the process before making a decision to hire.

In order to ensure adequate faculty, staff, and administration to support the institution's mission and outcomes expectation, Personnel Action Requests (PARs) are initiated with every open position, including retirements, voluntary, and disciplinary departures. A total analysis of the contributions of the position in relation to the available budget is facilitated in conversations between the department head, the Controller, the VP of Finance, the President and the Director of HR.

Planning and Resources

Operational Plans include cost considerations for new initiative proposals, while annual reports give opportunity for analyzing and closing-the-loop on those costs using results from   initiatives. An example of operational plans for 2017 and the 2016 annual reports from which they came, is attached. (Appendix -Q)   The IE Office and Executive leaders have noticed some inconsistencies in follow-up and closing-the-loop on assessments for new budget acquisitions within the new process, but since the process has been completed only twice, leaders are still discussing possibilities for better identification of the planning, assessing and follow-through on the whole process. Identification of challenges in following through on Unit goals, outcomes and assessments is in itself a stride for several of the College Units. In the past, the Units identified an assessment that supported one of its goals, and may have even followed through to continue-the-loop on it. However, integrated operational planning was not wide-spread, as Units were repeating the same goal and same assessment for daily routine outcomes. This was not informing growth and improvement. The Units are currently engaged in more integrated planning, goal setting, and direct assessments which are aligned with strategic planning, as evidenced in the Assessment Day agendas (Appendix - R) and conversations. Presentations have specifically targeted clarifying the difference between direct and indirect assessments.   Discussions and data sharing between Unit leaders and Executive leaders include informal planning conversations, and formal budget outcomes discussions, particularly in review of the

prior year's Annual Reports that lead to Operational Planning for the next year. The Operational Planning documents include specific resources sections for facilities, costs, personnel and technology. The following Unit Operation Planning Cycle illustrates the Executive Operational Plan that is supported by the Unit Operational Plan preparation, completed Operational Plan assessment results, and Unit Annual Report that informs the success of the Executive priorities. (Appendix – Q)

Unit Operational Planning Cycle:

The culture of quality planning, action, assessment, data sharing and follow through in discussion and documentation is more vibrant than ever before at Herkimer College, as evidenced by the linked processes in planning, assessment, use of data and resource allocation toward institutional renewal.

The Campus Facilities Master Plan was recommended by MSCHE reviewers during the last two accreditation events, and internally by the Facilities Quality Team in its report for the 2015 PRR. Therefore, the College prioritized pursuit of funding to hire a Master Planning architectural firm, Envision, Inc., out of Albany, NY. The College acquired and used matching funds from the HCC Foundation and SUNY to invest in a Campus Facilities Master Plan that has addressed a broad and in-depth scope of college need derived from intricate investigation, and offering potential solutions in a full report presented to the entire campus community in March 2017.

The Campus Facilities Master Planning process had resulted in a full document of research and planning options for the college to address its Facilities and Strategic needs. The Envision architectural firm met with college constituents for both research and presentation throughout the 2016 year, presenting the in-house planning committee with a final document of options in February 2017. The College Executive planners will use the recommendations to prioritize actions to be included in planning over the next 10 years, and to recognize opportunity for shifting priorities as available. The Campus Facilities Master Plan is inclusive of integrated goals to support the fulfillment of Critical Success Factors: Enrollment, Student Success, Revenues, Gifts, Student Satisfaction.

The Campus Facilities Master Plan recognizes three major objectives toward implementing the College's future Academic Plan:

- To ensure the College's existing facilities can accommodate predicted enrollment and instructional requirements
- To provide new facilities enhancing enrollment, improve student retention and increase the College's academic resources
- To provide new facilities that maintain, reinforce and increase the College's value to the students, County and local community

(Envision, Inc., Feb 2017)

These Critical Success Factors are also reflected in the SUNY Excels Performance Improvement Plan (Appendix – O) toward SUNY's 150,000 graduates by 2020. The architects recommended that as the integrated planning for Academics and Student Services is developed, further adjustments should be considered for developing the facilities initiatives that will best support the goals expressed in that major college planning effort.

The new pillar Facilities Committee did not engage in the actual steering of the project, but is charged with monitoring the progress and implementation of those options that will be selected by the College for follow through on the plan.

Resource Life Cycles

Regular maintenance cycles for comprehensive replacement of resources are in place for appropriate areas of the College that supply common assets for widespread use, such as: the IT department's computer/labs life cycle for replacement and disposal rotation. Each year during budget preparation, a current inventory of computers/monitors is sorted by warranty date; Software/Hardware request forms are considered, and staff meet with the Executive Director of IT to discuss needs for the coming year. The goal is to bring off-warranty numbers down to a reasonable level where all computers are about 1 – 2 years out of warranty, as those computers still have valuable life in them. That desired number, along with budget numbers for computers/monitors, is sent to the Budget Committee for approval. When computers need to be disposed of, but are not listed as an asset, they are removed from inventory, hard drives are destroyed, and moved to E-waste for proper disposal. If they are assets, a disposal form is filled out and the IT staff match it to the correct equipment, remove it from inventory, move it to E-Waste, and the Executive Director of IT signs and forwards the form to the Controller for asset removal from Banner.

The Library similarly applies structured resource acquisition, disposal, and recycling processes. Other Units have adopted such processes, such as the Physical Education department's equipment life cycle, and the maintenance, leasing and updating of the College vehicle fleet – all of which are monitored and maintained through Unit operations, documented in the operational plan and annual report.

In discussions with a group of college financial leaders and budget managers regarding Standard 3, the group affirmed its definition of College resources as follows:

- Revenue – state aid, charge backs, grants, tuition, county sponsor contribution, gifts
- Personnel – time, skills, qualifications, knowledge, experience, PT/FT status, classification
- Facilities – buildings, types, number of, physical infrastructure, function
- Technology – infrastructure, physical assets
- Library – physical and on-line inventory
- Housing/Bookstore/Foundation (Auxiliary assets)
- Land/Athletic fields, outdoor areas

All of the above are considered for life cycle and maintenance within the normal budget process within the appropriate Unit. Servicing and replacement budget lines are included in Unit budgets and decisions are made with safety and regulatory considerations as top priorities.

Resources and Auxiliary Units

The College auxiliary units have been supplementing the College budget, thus relieving financial strain with the following actions:
- Herkimer County Community College Housing provided the capital funding to hire a grant writing company to investigate additional funding resources that may be available to the College.
- Herkimer Community College Foundation provided the funding to hire a company to develop a master plan for the College.
- To assist the College with expenses, the auxiliaries have taken over three positions that were formerly funded either partially or fully by the College. This will save the College over $200,000 annually in personnel expenses.
- To help control costs to meet revenue, the College has closely evaluated positions that have been vacated to determine if the position needed to be filled, or if functions could be accomplished or eliminated with restructuring. Since 2008, the College has saved over $27,000,000 in expenses using this evaluation method, thereby, using fewer fund balance resources.

Auditing Statements

Herkimer College engages in an annual independent audit, followed by a letter of response from the auditing team, with recommendations and actions as needed. The auditing firm, accompanied by the College Controller, reported to the Board of Trustees in January 2017, that the College achieved a clean audit, as it has done for decades. Additionally, the Herkimer College auxiliary Units, the HCC Foundation and the HCCC Housing Unit, and Faculty Student Association, support the fiscal health of the College. These auxiliaries are also routinely audited, upholding the integrity of the fiscal responsibility and likelihood of continued support for the College. (Appendix - T) The HCC Foundation maintains available resources by continuing to

reach out to corporate donors, holding annual fund-raising events, and pursuing continued internal support from the College community.

Periodic Assessment of the effective and efficient use of institutional resources takes place within each individual Unit, and between the Unit and the Executive Division to which it belongs. This is supported by varied assessments, depending upon the initiatives per Unit. (Appendix – Q) Those assessments are recorded on the Operational Plan document for each Unit and synopsized for the Executive level supervisor for the Unit. Examples of these assessments are:

- the 2015-16 campus-wide A/V assessment through the IT Unit to help prioritize and provide full services on campus, enhance internet services, and use as a continual reference for the next year's planning
- the annual Alcohol & Other Drug Use Survey administered through the Counseling office; outcomes used to create wellness and awareness programs for students
- the Academic Support Center academic coaching assessments to adjust methods for effectiveness and inform planning for numbers of students served

The Campus Facilities Master Plan includes extensive assessments on facilities, such as room usage, naturally occurring walking paths on the grounds, structural maintenance and condition, qualitative research such as interviews with on-campus and off-campus constituents, and quantitative data from various administrative data sources, among others.

The Resource Allocation Committee was established to assess and rate all new initiatives of the College that need funding but are not within current Unit budgets.

Grants Acquisition

Since the need to increase revenues, particularly grant acquisition, is identified as a Critical Success Factor for the College, grant-seeking initiatives have been expanded and assigned greater importance, absorbing the time and personnel resources of many departments in the process, in order to achieve the goals of these expanded initiatives. Since the writing of the PRR, the Assistant to the President position has been filled again by the previous holder of that title, following a period of reassignment to another department. The Assistant to the President has been given the task of coordinating grant acquisition efforts on campus: keeping records of grants opportunities being considered and/or pursued; helping facilitate the development of writing teams; managing communications and scheduling of meetings; contributing to the assignment of writing duties, the creation of timelines for grant completion and submission, and other organizational aspects of writing teams' work. The Assistant to the President also contributes to the writing of some grants and has been assigned the role of authorized campus contact person responsible for completing the submission process for certain federal and state grants. The College also secured funding to commission the services of an external grant writing and government relations firm for a twelve-month period for the purpose of identifying and pursuing federal grant funding opportunities that aligned well with the College's strategic goals and targeted outcomes. Since having commissioned this firm, the College has significantly

increased the number of federal grants for which it has applied, and results of those applications are currently pending. Other collaborative efforts with local/regional partners and stakeholders have resulted in the College applying for three non-federal grants, of which two were successful and one is currently pending.
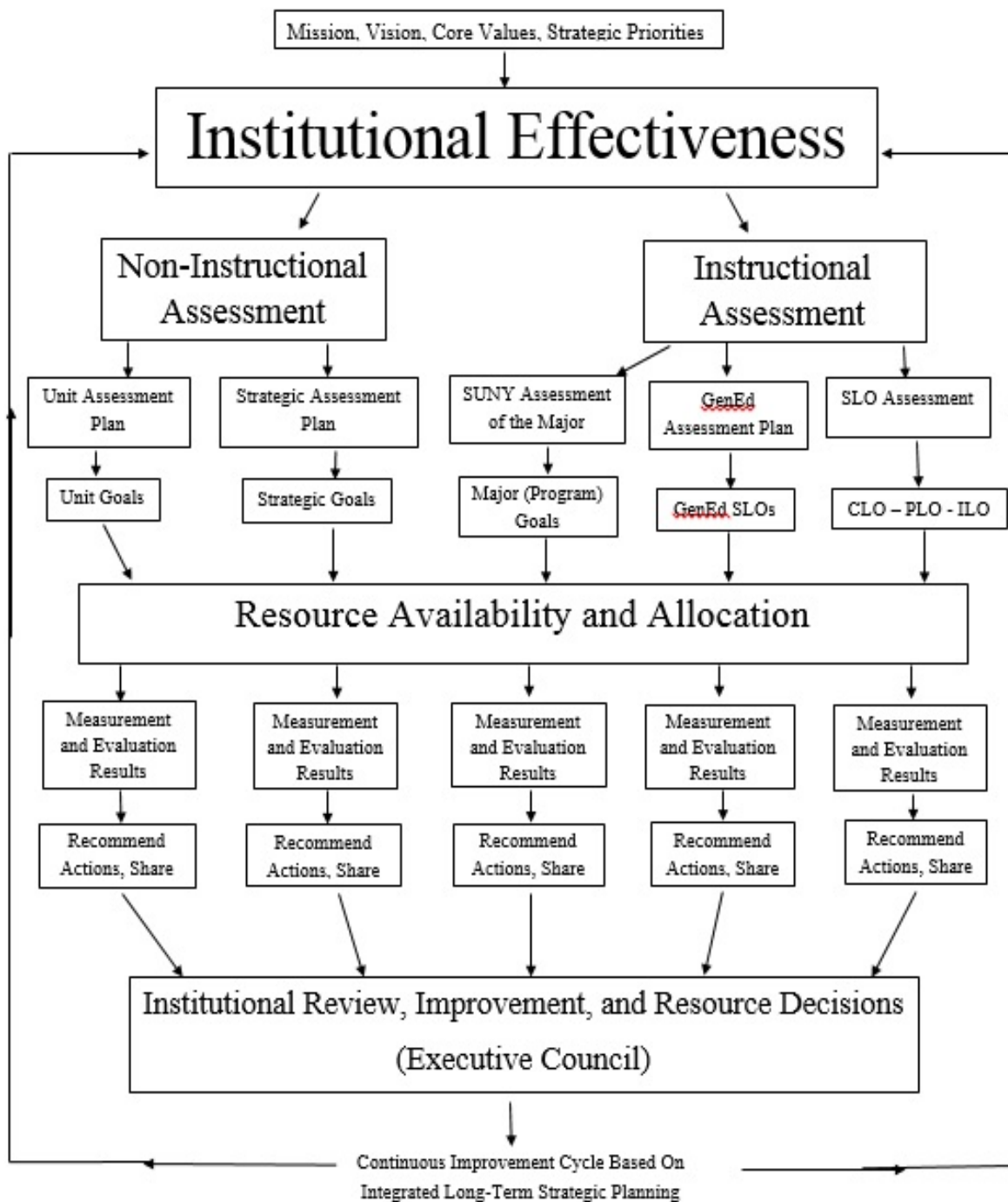
The College is also currently steeped in the Open Educational Resources *Achieving the Dream (ATD)* grant-funded initiative that is providing Herkimer's students with increased opportunity to take courses with low or no-cost expenses for textbooks. Herkimer College, in collaboration with five SUNY community colleges was awarded the grant, and through the Internet Academy, is developing its OER course and program development in anticipation of offering students significant textbook cost savings, and possibly increasing enrollment of students with limited resources. In spring 2016, 15 instructors converted their courses to OER, saving students $64,820 in textbook costs. More OER programs and courses are in development.

Standard 7: Institutional Assessment

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. (MSCHE, p. 25, 2006)

Matters of Institutional Assessment are primarily compiled, reviewed and acted upon through the Office of Institutional Effectiveness, in collaboration with all other instructional and non-instructional Units on campus. Particularly, the Office of Institutional Research continuously works closely with the IE Office to achieve assessment, planning and IE successful initiatives.

The periodic assessment of planning processes at Herkimer is consistent, and includes efforts in all Units across the College – both academic divisions and non-instructional units. The IE Assessment Model illustrates the College's continuous improvement cycle based on integrated planning and resource allocation. Sustainability of Institutional Effectiveness within the divisions and units is indicated within the following updated IE Model:

```
                    Mission, Vision, Core Values, Strategic Priorities
                                        │
                                        ▼

              Institutional Effectiveness

              │                                    │
              ▼                                    ▼

     Non-Instructional                     Instructional
        Assessment                           Assessment

    │                │            │               │               │
    ▼                ▼            ▼               ▼               ▼

 Unit Assessment   Strategic Assessment   SUNY Assessment    GenEd           SLO Assessment
      Plan              Plan              of the Major    Assessment Plan

    │                │            │               │               │
    ▼                ▼            ▼               ▼               ▼

 Unit Goals        Strategic Goals      Major (Program)    GenEd SLOs      CLO – PLO - ILO
                                            Goals

              Resource Availability and Allocation

    │                │            │               │               │
    ▼                ▼            ▼               ▼               ▼

 Measurement      Measurement    Measurement     Measurement     Measurement
 and Evaluation   and Evaluation and Evaluation  and Evaluation  and Evaluation
   Results          Results        Results         Results         Results

    │                │            │               │               │
    ▼                ▼            ▼               ▼               ▼

 Recommend        Recommend      Recommend       Recommend       Recommend
 Actions, Share   Actions, Share Actions, Share  Actions, Share  Actions, Share


     Institutional Review, Improvement, and Resource Decisions

                        (Executive Council)

                                │
                                ▼

                    Continuous Improvement Cycle Based On
                    Integrated Long-Term Strategic Planning
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Office of Institutional Effectiveness, March 2017

Systematic Data Usage for Institutional Effectiveness

The Office of IE works closely with the Office of Institutional Research to gather, analyze and report on institutional data that inform the College on the health of the institution, as defined by its Critical Success Factors and the key performance indicators in the Strategic Plan. The daily operations of the two separate offices, with one shared Research Assistant, include purposeful and targeted collaboration for consistent data gathering, distribution and usage in all major processes for planning and assessment at every level. The data that are mined, analyzed and used are increasingly focused in consistent collaboration, processes and shared goals for all initiatives. So, the quality of the collaboration itself is constantly improving, being shaped by continuous formative assessment within the shared office structure.

The IR and IE offices are also collaborating on identifying and communicating systematic processes per each Unit. Survey results are published on MyHerkimer for more accessible information, and the Planning web page is updated with information through the IE/IR Assistant. Process Flow grids for major IE Initiatives have been compiled, and will serve as a model to be used for all standards to aid in the MSCHE self- study process for the Steering Team that will be formed by the end of the spring semester. The conversations that elicited the process flow grids are models for the conversations that will need to take place when reviewing standards' expectations and evidence.

Herkimer College has steadily and continuously built its culture of quality, as noted in the 2015 PRR. Quality is measured on the basis of the College's core values defined within Herkimer's Quality Rubric. Improvement in all departments on campus, is documented in completed Operational Plans, which include Unit Assessment Plans for the year; subsequently, results are noted in the Unit Annual Report. The improved planning and reporting structure includes assigned Executive leadership to greater responsibility for monitoring and documenting follow-through on the achievement of stated goals and desired outcomes. Additionally, quality measurements are being aligned within the data mapping to each Unit.

The systematic use of data has been interwoven throughout the decision-making processes in all campus Units. The data have triggered further research, sparked ideas for innovative actions, and helped to organize the targeting of strategically defined goals for many campus initiatives that will benefit the College community from students, to departments, to Executive level Operations.   The Process Flow Chart document transpired organically as the Director of Institutional Research and the Assistant Dean of Academic Affairs, Assessment and IE discussed the various shared initiatives toward institutional effectiveness, and how each initiative used data to move the process forward for problem solving and innovation. The two collaborated to document data process flow, adding context to and assessing the activities paths with their resulting outcomes for many initiatives. The following detailed example chart is particular to the development of several IE initiatives that illustrate the consistent systematic use of data, as recommended by the PRR reviewers.

Data Process Flow Chart

Subject
Consistent Data Gathering, Distribution and Usage

President/Executive Council Response
The President is a strong proponent of developing consistent data gathering, distribution and usage and has aided in the process of identifying critical data pieces to be used in strategic planning and informed decision making. The Executive Council has infused more data and has increased data discussions with richer content resulting in more impactful decision making.

Outcomes
The campus is more informed during the planning processes and data are more readily accessible to the campus constituencies on a routine basis. The constituents are more informed and have an increased ability to apply data in their planning processes.

Process Flow

Data Trigger (Existing)
- Director of Institutional Research identified that multiple pieces of data were collected and not used. Survey questionnaires needed to be reviewed and updated for usage and content.   - SUNY System required all campuses to engage in a coordinated SUNY effort around Student success and completion. The SUNY System provided critical success factors referred to as SUNY Excels. Each College was required to report out on specific data points around the following themes: Access, Completion, Success, Inquiry and Engagement.   - Collaboration between the Director of Institutional Research and the new Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness (ADAA) (Fall of 2014) – reviewed many processes that were in place and developed new processes that filled gaps in data reporting.   - A new President started in June 2015; her leadership became a catalyst shifting the College toward prioritization of data usage.   - The President judiciously selected new data sources and points that should consistently inform the college community on the health and future direction of the college.

Evidence/Data Research (Further research)
- The Director of IR in collaboration with the Survey team, reviewed and revised all surveys that are distributed by Herkimer College.   - The College reviewed KPI's for strategic goals and for all strategic planning on campus.   - Processes were developed that required the infusion of data for effective decision making, including but not limited to: Process Flows, Program Review, Program Prioritization, Annual Reports and Operational plans, Integrated Strategic Planning.   - The President and Executive Council began questioning the use of data, and critically examining the data sets to be used for decision making.

Process Development (per initiative)

- **Student Surveys:** Gaps were uncovered during the survey review, at which time, the Enrollment funnel used by the Enrollment Management and Marketing Committee was considered as a key guide to purposeful survey administration that would help recruitment and retention. The funnel showed that there was a gap between the first and last semester information being collected. This resulted in the development of the "Continuing Student Survey", designed to measure student perception changes from first semester to mid-point and from mid-point to graduation. Results to be used for improving retention efforts.
- **Student Surveys:** Survey Team analysis revealed that there was low usage of survey data across campus. To increase usage, the survey team mapped each survey question to the CCSSE High Impact Practice Questions, the College's Strategic Plan, the Service Excellence Goal to create a 2-Year Premier Experience and to College Priorities.   The survey questions were then mapped to the units and committees most likely to benefit from the use of the data. The surveys and mapped questions were then emailed to each unit or committee leader indicating relevant data for their use in achieving goals.
- **Director of IR to EC:** As of January 2016, the Director of Institutional Research began reporting directly to the president of the college and became a member of the Executive Council. With this shift, the Executive Council has increased their level of access to data that aids in their decision making processes. The Director of Institutional Research also has greater exposure to priorities that are discussed on Executive Council and is able to guide the council using data. (ie: Hope Scholarship discussion to allocate funds)
- **SUNY Excels:** SUNY System Administration requested that the College complete a Performance Improvement Plan in 2015, the SUNY Excels Data packet establishes and tracks key performance indicators that denote the health of the College and the College's contribution toward the SUNY goal of 150,000 graduates by 2020.
- **VFA:** The Director of Institutional Research attended many web presentations to train for managing the Voluntary Framework of Accountability (VFA) process. The Director of IR collaborated with Information Services to develop a home grown file creation process that will be used for data collection.   The data was uploaded to the VFA. Since the VFA data was made available, it has been shared for various informational and planning activities/gatherings. These events include: Executive Council retreat, all campus meetings, Enrollment Management & Marketing Retreat, as supportive evidence in grant proposal discussions/planning, and at the BOT Annual Retreat.
- **Program Review:** The Office of IE reviewed the current process and identified a critical lag in the completion of required academic program reviews. Possible reasons for the lag were identified as perhaps lack of clarity regarding responsibilities for the process, limited knowledge of what data were available, what data to use and how to use the data.   It was also identified that once the reviews were completed, the information collected was not shared on a routine basis. A formalized process was developed to increase the communication between the

program leaders, their respective Associate Dean, the Office of IE and the Office of IR to facilitate the collaborative approach to completing the reviews. Built into the process was a flow for sharing the results to all pertinent stakeholders.

- **Program Prioritization:** The Academic and Student Affairs pillar committee was charged with developing a process for the college to review each program through a program prioritization framework. A sub-group was assigned to do the research and develop a proposed outline for the prioritization process. The Office of IR was charged with reviewing the outline and developing test data packets. These test data packets were reviewed by the Executive Council and were refined. The office of IR supplied the Provost and Associate Deans with the data packets. Each program was reviewed and prioritized within a quadrant rubric to determine the health of the program.

- **Operational Planning/Annual Report:** Prior to filling the vacant ADAA position, there was no formalized operational planning taking place across campus. The planning that was loosely linked to strategic goals lacked documentation. Goals were set but were departmental, and not integrated consistently with strategic goals. The ADAA reviewed the former assessment plans per unit. The assessment plans were not telling the whole story. The documents did exist but annual reporting was a summary of outputs. To revise the process, the ADAA reviewed best practices and looked for the links that would improve the stories being told by each unit. The Operational Plan was implemented to begin the story on how the unit was going to set goals that would serve the college's strategic goals. The Annual report was designed as the "closing the loop" report that would show the progress the unit made toward the goals on which it had been working. The reports were integrated into their Executive supervisor's goals and were a part of collaborative discussions. Using best practices and a list of priorities that are needed by the college, a template was designed to provide a consistent mechanism for reporting out.   The ADAA, in discussion with the Executive Council, developed a timeline and a template that provided opportunity for unit leaders to collaborate with their supervisors on setting goals and priorities.

- **Data Usage Mapping by Unit:** Using the Annual Reports information submitted by each unit, the offices of IR and IE reviewed the information and identified thematic usage of data on a systematic basis. The themes are vehicles in which the data are collected, reviewed, analyzed or disseminated and from which the data can inform the units for the strategic planning and/or decision making. The themes identified at this time are: Collaboration, Banner Reports, Survey Data, External Research, Internal Research, Financial Information, Internal Ad-Hoc, and External Reporting(Federal, State, Other). The process has mapped the Executive leaders to their respective units. This process is still in development, each unit will need to affirm the thematic approach to their data usage and will be given an opportunity to provide feedback. Future development will include mapping the systematic data usage to the five pillar committees. Each committee submits an annual report which includes recommendations for the coming year, which should be enriched by the data mapping.

Final Process (Results or current state)

- **Student Surveys:** Student Surveys are implemented at purposeful intervals. Upon completion of the data collection, survey packets are compiled and mapping information is applied. The surveys are distributed to the appropriate leaders. Presentation/Discussions provide context regarding the data set.
- **Director of IR to EC:** The Director of Institutional Research attends the Executive Council meetings on a routine basis and supplies data to the council as needed/requested. The EC meeting includes standard data review weekly (e.g. enrollment stats), and more in-depth analysis periodically at extended meetings.
- **SUNY Excels:** The President has affirmed the use of the data in the SUNY Excels summary as a way to consistently report on the health of the college. The information updated for internal purposes has provided updates for the Board of Trustees. The data are also being used by some of the pillar committees such as the Strategic Planning and Institutional Effectiveness Committee, which acknowledges SUNY Excels data to be the "macro-indicators" for the College's Critical Success Factors. The SUNY Provost has also met with the College's executive council to review and speak about some of the current year's SUNY Excels data. This meeting allowed for open conversations about the health of the College, current initiatives and future opportunities.
- **VFA:** The Director of Institutional Research will upload a file to the VFA website and extract data sets when ready, as trained. The data sets will continue to be analyzed and shared with the campus. The VFA data will also continue to be used as supportive evidence in the grant acquisition process and in strategic planning decision making on campus.
- **Program Review:** The ADAA confirms with the Associate Deans which programs will be up for the review in the current year. The information is shared with Institutional Research and program leaders. The Institutional Research office prepares data packets and distributes them to the program leaders. Program leaders are instructed that additional data and explanation is available upon request. The program leaders are also provided a timeline of milestones to occur in the process. These milestones included one on one meetings that provide guidance and clarification on the SUNY program review outline. Once the SUNY program review outline is completed, the program leaders work with their respective Associate Dean to coordinate the external review. Once the external review is complete, the sharing of the results of the program review is scheduled with the pertinent constituents. This process was implemented in fall 2015, and approximately 50% of the programs were completed within that year but the information sharing portion of the process was not completed as expected. The College continues to support the process, making some adjustments to the timeline. Additionally, remaining programs have been given a strict deadline of August 1, 2017 and the progress is being closely monitored by the President.
- **Program Prioritization:** The Office of IR will collect data for each program as specified by the Program Prioritization Process. Once completed the Provost and the Associate Deans will review the program based on the collected data and place the program within the appropriate category in the quadrant rubric of Support, Subsidize, Monitor or Review. The results are then shared with the Executive Council where discussion about the program ensues and final determination is made. Programs that fall under the "review" quadrant will then have one semester

to complete a comprehensive review of additional questions. The 16-17 Academic year is the first year for the programs to be reviewed, and the identified programs have until the last day of the spring semester to finish the comprehensive review. EC will either: a. receive the results with enhancement recommendations, b. receive the report with modifications to their recommendations, or c. receive the report, but do not go forward with the program. The next phase of the process is under development.

- **Operations planning/ Annual Report:** Following the pre-designed timeline, all units develop an initial operational plan with goals and expected outcomes aligned to strategic goals and core values of the college. Each unit collaborates with their supervisor regarding these goals and outcomes, who in turns, aligns them with the overall college priorities and strategic goals. Following the timeline, the annual report is the documentation that summarizes the effectiveness of the unit's operations and activities through assessments, as documented in the report, indicating success towards reaching their goals. At mid-point, the Executive Council reviews and discusses progress made per executive area as achieved by individual units. At this time, revisions may be recommended to executive operational plans.
- **Data Usage Mapping by Unit:** This process is still under development but is currently being used as a mapping tool to connect unit leaders to their executive leader and to map data sources that are currently in use.

The Office of Institutional Effectiveness

The Mission of the Herkimer College Assessment and Institutional Effectiveness office is to provide leadership in facilitating and cultivating a standard of quality across the institution through outcomes assessment, in accordance with strategic planning.

The vision statement developed for the Institutional Effectiveness Unit, adopted as the first example of visionary planning for the other units to target quality through growth, and to help develop targeted paths toward Unit Review, is as follows:

"Herkimer College's Office of Assessment and Institutional Effectiveness will be known as a leader in facilitating the establishment of quality standards and measures of success through its innovative planning, outcomes assessment, and improvement practices. It will further be exemplary for having established a flourishing office of Planning and Improvement that will not only meet current standards, but raise expectations and achievement for all departments across campus, elevating morale and building confidence and pride in the quality of Herkimer graduates. Peer institutions will look to Herkimer for best practices in planning, assessment and institutional effectiveness." (IE Operational Plan, 2015)

The vision for IE at Herkimer has begun to transpire, as the ADAA was invited to participate in two separate SUNY Council on Assessment (SCoA) day forums on ILO Assessment, which highlighted Herkimer's consistency in administering, integrating, and further developing its process for Institutional Learning Outcomes assessment. The Herkimer IE Office has also been consulted by colleagues at other colleges on many occasions.

The potential for continued growth and follow through in institutional assessment practices is substantiated with professional development within the IE/IR Offices. The ADAA and the Director of IR presented two conference sessions at the Assessment Network of New York Annual Conference in 2016. The IE Research Assistant has gained SUNY CPD Assessment Certification to further add expertise to the department. This professional development also fortifies the on-going training and advancement of college personnel, as noted in Standard 2.

Assessment of the Institution

The College has identified its strategic goals and targeted outcomes, which have since 2009 been assessed and summarized with highlights presented in the annual Institutional Effectiveness Report Card (Appendix - H). The Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness (ADAA) creates the report card with the Director of IR. The ADAA is responsible for facilitating all matters of operational and strategic planning, assessment in academic units and functional areas/non-instructional units, and as the Accreditation Liaison Officer to MSCHE, the point person for matters of accreditation. Strategic Planning is facilitated through the IE Office, as the ADAA chairs the Strategic Planning and Institutional Effectiveness Committee which provides recommendations for the College's Strategic Plan. The SPIE Committee's charge for the 2017 year is to prepare the process for updating the College mission statement and Strategic Plan for 2018, and to create an "Accreditation Academy" for all college Units and departments to become educated in new MSCHE Standards and expectations. The alignment of all strategic planning on campus, including Enrollment Management & Marketing, Resource Allocation, Academic Affairs and Student Affairs, and Facilities Master planning, is under the guidance of the IE Office. The goals and outcomes are integrated, and the Strategic Plan targeted outcomes are therefore measured using the results from the Unit operational and strategic plans from these committees. The IE Steering Team is the primary collaborative for Integrated Strategic Planning.

Herkimer College participates in institutional assessment activities, all of which inform the preparation of the IE Report Card, including:
- academic program review
- student learning outcomes assessment: course level, program level, institutional level, General Education, learning activities assessment, Internet Academy OSCQR course refresh assessment
- Unit Operational Plans and Annual Reports
- Strategic Plan
- institutional decision making aligned with resource allocation and outcomes assessment
- institutional improvement reports founded in assessment results
- internal and external surveys

Assessment of the Institution occurs continually in formative assessments within academic programs, per Learning Activities Assessment documented in the Assessment Handbook, and in Units per initiative assessments documented in Operational Planning and Annual Reports.

However, on an institutional basis, Program Learning Outcomes Assessment, Program Review, General Education Assessment and Institutional Learning Outcomes Assessment are summative assessments that indicate the health of the learning environment. Campus-wide Unit Operational Planning, Annual Reporting and Strategic Master Planning and assessments per those plans, indicate the health of the entire institution's operational achievements. Further, the SUNY Excels Data document the status and trends for the key institutional priorities: Access, Completion, Success, Inquiry, and Engagement. The College aligned its Strategic Plan with these Excels Performance Improvement Plan priorities, as noted on page 12 of the plan. (Appendix - O) The Executive Council reviews enrollment data on a weekly basis at regularly scheduled EC Meetings, while the new Dean of Enrollment Management monitors and develops initiatives to lead recruitment and retention efforts across campus, continually using various data to address immediate challenges of declining enrollment. The following examples are progress points related to Enrollment Management efforts:

- Refinement of the recruitment message: Counselors have been working with the Dean to develop an elevator speech that resonates around 4-5 talking points, making Herkimer College distinctive; use of the new "We Are" campaign
- Meeting with other SUNY and 4-year institutions regarding strengthening articulations (new and existing), dual enrollment possibilities, as well as degree completion options, on the Herkimer College campus through an affiliated partner
- Improving yield within Herkimer's 3-county service market via additional Instant Admit days and Express Enrollment; enhanced collaboration with local school counselors regarding program offerings and development
- Collaboration with SUNY for Financial Aid Workshops; considering new FAFSA filing starting October 1st, moving our financial literacy workshops to earlier times
- Increased weekend and evening START days offered, to accommodate a more diverse and geographically larger applicant pool.
- Digital Marketing campaign in key recruitment territories in Albany, Rochester and Syracuse for both traditional and online students
- A Communication Arts: New Media student is blogging by posting every Friday regarding the student experience.
- Herkimer College Preview Nights in NYC and Albany took place in January to build affinity with inquiries and applicants, incorporating current students, alumni and college administrators.

Unit Assessment

The instructional and non-instructional service Units of the College are defined in (Appendix-D), noting the Unit leader who manages the planning, assessment and decision making toward goals and outcomes. The Unit leaders are responsible for collaborating with Executives, as noted in Standard 2, also guided with the assistance of the IE Office. The Unit Operational Planning cycle is in its third annual process, to be completed in the Annual Report, spring 2017.

The MSCHE Standards of Excellence, Standard 7 and Standard 2, converge as the planning processes described in this report have indeed resulted in the melding of data outcomes from instructional and non-instructional units, committee/governance bodies, and strategic institutional critical success factors. Institutional renewal is being addressed (per standards 2 and 7, pg. 6) through a variety of programs and Institutional Effectiveness activities, as noted in the IE Activities Cycle document, the college-wide Service Excellence and Communication Plan (Appendix - U), enhanced strategic planning as presented in the sustainability model of Integrated Planning, a new Shared Governance system (Appendix - E), the revised Resource Allocation process, and a Campus Facilities Master Plan.

Unit Assessment annual reporting and operational planning is being prepared for Unit Leaders to use Centrieva software, beginning in May 2017. The IE Office is currently setting the templates and preparing to train Unit leaders. Templates and contents for the reports will require leaders to plan and enter the same types of data consistent with previous years, but be accessed using the new software.

The IE Office also developed a new faculty annual reporting form (Appendix -V) that better aligns with the Division Unit Annual Report, at the request of the Associate Deans.

Academic Assessment

The ADAA plans and implements Assessment Day activities in collaboration with the Academic Assessment Committee. Those activities include, but are not limited to: curriculum mapping, data sharing and reflection, closing the loop on assessment outcomes, PLO planning and conversations between faculty discipline groups, program development, unit informational sessions on assessment outcomes, planning and improving assessment.

Assessment of Student Learning Outcomes continues to inform the development of programs that provide students with current, effective and clear pathways for students to transfer and/or achieve desired careers. The faculty assess all courses each semester, with on-going collegial conversations that guide decision making on course content and program learning outcomes. The recursive assessment process for SLOs occurs at the course level, program level and institutional level. (Appendix -W)

The College's Academic Assessment Committee is currently updating its ILO reporting rubrics to include more detailed examples that clarify the competencies for faculty who are designing, using and sharing their own assessments for the outcomes. (Appendix - X) Additionally, the committee and the Unit leaders are addressing best practices and options for Herkimer to adopt for Unit Review. The ideas identified by Unit leaders on Assessment Day, are being vetted and will be brought back to the Unit leaders at a targeted meeting date. Further, agenda priorities throughout the '16 –'17 academic year, for both Unit leaders and Faculty, include examining the current use and potential use of ILO data on campus.

The ADAA is also responsible for collaborating with the Academic Assessment Committee (Appendix - C), as a third co-chair to help develop agendas in accordance with the needs of accreditation and student learning outcomes improvement. (Appendix -Y) Academic programs and courses are assessed through a recursive assessment cycle whereby course learning outcomes inform program learning outcomes, which inform institutional learning outcomes. (Appendix-W) The results of those assessments have affected changes in programs and courses toward greater quality and student success. (Appendix - Z) This process, which began in 2009, has been sustained since the 2015 PRR, and is being adapted to adjust to the migration to a new Learning Management System. To date, the documentation of SLO data has been recorded using a Microsoft Access Database, while being housed in the ANGEL learning management system supervised by our Internet Academy Office. The use of the LMS made assessment documents easier for all faculty, as every course is set up in the LMS and all faculty, whether or not teaching online, are given access. This has made the process cost effective, convenient and efficient. The Internet Academy staff and the IE staff are working together to determine the future of Herkimer's electronic Assessment Handbook, currently housed in the ANGEL LMS.

The College has purchased the Centrieva Academic Effect software for assessment, planning and accreditation. Since the GeneralsOnline (HerkimerGo) LMS migration is taking place, the first use of Centrieva is being piloted on a small scale for the Communication Arts: Digital Filmmaking Program Review and the Music Industry Program Review, to be completed by August 1, 2017. During the process of using the system, Digital Filmmaking and Music faculty are staying in consultation with the ADAA to work out any bugs in the system and to help create a smoother process for the next round of program reviews. The course assessment process will remain the same as long as possible, until the full LMS migration is complete and its use in our assessment processes is established.

A status audit of Program Reviews revealed that some of the academic programs were behind in completion of their scheduled reviews in 2015. Therefore, new written procedures were developed and distributed to all faculty (Appendix - AA). The updated program review process had its challenges, but six programs completed the research and writing, while four had not completed the writing, though they are in progress. The process is also being adjusted to eliminate some distribution and communication steps, as the new Centrieva assessment software will be used for efficiency. As previously noted, two programs are currently piloting the use of the software to input the Program Review document, the production of which is still guided by the outline provided by SUNY's Assessment of the Major document. The Office of Assessment and IE built templates and uploaded the data packet that had been provided from the Office of Institutional Research to the faculty engaging in program review process. The ADAA prepared the faculty to begin the pilot. The deadline for completion of those outstanding program reviews is August 1, 2017. This method is expected to create a more accessible document for the shared distribution of the reviews, and a more convenient method that will save faculty processing time; also, to allow more time for analysis of information and creation of richer content that will be easily shared with teaching colleagues and administrators.

Herkimer's General Education Outcomes and Institutional Learning Outcomes Assessment continue on firmly established cycles, yielding results that are annually distributed and discussed

prior to faculty responding with qualitative feedback on their expectations or recommendations for changes based on those results. The College has been gathering survey data on improvements a year later regarding Gen Ed inspired changes. The Academic Assessment Committee, however, is addressing how the College might reduce the number of different assessments being done, by identifying redundancy and creating greater efficiency with fewer pieces of data, particularly where Gen Eds and ILOs overlap. The IE Office is also investigating options for identifying and implementing richer assessment practices that will be more meaningful to faculty for guiding student learning, without wasted efforts.

Assessment Days are scheduled twice a year and are the primary forum for discussion of assessment matters and celebration of assessment outcomes with the entire faculty and with all of the Unit leaders. Data results are shared and discussed, faculty and staff respond to the data in the closing-the-loop form or the Gen Ed response form indicating prospective changes made to teaching as a result of the data. The same day, the KMA (Kiss My Assessment) Awards are given to faculty and staff for excellence in assessment and improvement.   The Academic Assessment Committee provides support in content and participation in developing the Assessment Day agendas, though much of the planning is done through the Office of Assessment and IE. The Assessment Bytes newsletter (Appendix – J) is issued each semester, and informs the entire campus community on matters of assessment, data, institutional effectiveness and accreditation.

Unit leaders meet on issues of assessment, together and in individual meetings with the ADAA. Faculty and staff are invited to Professional Development Days offered by the Professional Development Committee. Many of the programs target excellence in assessments and outcomes for improved teaching and learning. An assessment of new employee orientation identified satisfaction of the content offered to new employees, but a gap in the presentation timeline. This information is providing the basis for discussion on solutions of better communication with supervisors, regarding on-boarding procedures, which have become part of the Service Excellence and Communication Plan. Also, the Unit leaders were convened by the President to an all-day Campus Leaders Forum in January 2017, as a continuation of the Service Excellence and Communication Plan. Campus Leaders have identified "non-negotiables" and "essential behaviors" expected from all employees to help "demonstrate the quality we value", as presented in the Core Values within the Service Excellence and Communication Plan. The Executive Council analyzed data from the Campus Leaders' Survey, which will be combined with similar data from other personnel groups while the next stages of the Service Excellence Plan progress.

Institutional Renewal

The most extensive initiative toward quality improvement or institutional renewal is the development and implementation of the Service Excellence and Communication Plan.
The Office of Institutional Effectiveness continues to lead the effort to improve Service Excellence and Communication on campus, in accordance with internal survey and focus group results. This is in an effort to make continuous improvements, as expected, to meet the College

mission toward excellence and student success. The ADAA, with the Director of Public Relations, created and administered the Service Excellence and Communication Plan program, assessment processes, and procedures, which had been approved by the Executive Council and shared with the Board of Trustees. The goal of campus-wide workshops on Service Excellence, offered from October 2016 – January 2017, was to create top of the mind awareness for increasing the quality and consistency in work practices and relationships among co-workers and with students. The program was introduced at an All-Campus meeting, further explored at two-hour workshops sessions for all, and is currently being assessed through a Survey Monkey questionnaire to evaluate quality and clarify the next steps in the long-term program.

The original shared governance structure appears in the model (Appendix - E) as distributed to the campus community in fall 2015. At the same time, the Institutional Effectiveness Model used to illustrate the assessment and decision-making work flow, was being updated to include more specifically, the layers of assessment and review used to inform Executive decision making for resource allocation and institutional improvement.

In the organizational Governance flow chart, the five pillar Committees, which were outgrowths of the Quality Team initiative, are identified as:

A. The Strategic Planning and Institutional Effectiveness Committee (SPIE) – Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness - Chair
B. The Enrollment Management and Marketing Committee (EMM) – Director of Academic Support Center, Dean of Enrollment Management, and Director of Public Relations - Co-Chairs
C. The Facilities Committee (FAC) – Director of Facilities - Chair
D. The Resource Allocation Committee (RAC) – Director of Finance for Foundation/Housing/FSA and CJ Faculty – Co-Chairs
E. The Academic Affairs and Student Affairs Committee (AASA) – Registrar - Chair

Committee members were appointed by the President, in consultation with the Executive Council. Recommendations were considered when forming the committees and were enhanced with additional communications and people who had not originally been on those committees. Several of the outdated committees had been dissolved at the time of the review and revision of the Governance Structure (fall 2015). Further revision occurred for fall 2016, during a specifically designated meeting of the President and the then newly formed IE Steering Team, which was comprised of leaders from the overarching five pillar committees, the IR Director and the College Advisory Council (CAC) facilitator.

After the first semester of the new Governance system, College officials discussed the successes and gaps in the work flow, targeting institutional improvement. At that time, it was decided that another level of communication was necessary for planning and implementation that would provide greater institutional effectiveness; thus the IE Steering Team was formed. The Steering Team would take on the responsibility of tying together the pillar committees toward greater effectiveness in facilitating the Model of Integrated Strategic Planning (originally named Integrated Model of Sustainable Strategic Planning), as introduced in the PRR. The entire governance system is designed for committees to recommend on-going changes and

improvements as needed, per the charge of the committee. The IE Steering Team, which facilitates the integrated planning, continually discusses the effectiveness and makes recommendations for the committees' success.

The IE Steering Team is currently adapting within the Integrated Strategic Planning Model to include the AASA planning that is taking place. The AASA Committee is charged with developing a plan that encompasses Academic Affairs and Student Affairs practices to ensure an excellent student experience aligned with Strategic Goals and Critical Success Factors. The concepts of student success and a "premier 2-year college experience" have been researched in-house and defined for the committee's reference. (Appendix - BB) Additionally, the committee expects to use the new MSCHE Standards of Excellence, particularly in regard to creating the total educational experience, as a guide during the development process.

The progress in each of the pillar committees is indicative of the continual progress accomplished by the College. The year-end reports per committees and subsequent written responses from the College President assess the process and continue the loop of progress. The major Institutional Effectiveness advances are noted in the Office of Assessment and Institutional Effectiveness Operational Plans and Annual Reports. Many of the initiatives are identified and tracked in the IE planning documents. (Appendix - Q)

The College's evidence for how it documents, organizes, and sustains assessment processes to evaluate and improve the total range of programs and services toward achievement of institutional mission and goals is found in the annual IE Report Card. (Appendix - H), The Report Card is published in the following academic year. 2015-2016 will be completed in spring 2017. Since the College has invested in the Voluntary Framework of Accountability (VFA), the College President is using that data in lieu of more heavily used IPEDs data in previous years. As the VFA data are increasingly informing the monitoring of student success, and decision making, the ADAA and Director of IR are re-considering a proposal for changing the IE Report Card to reflect that data. Concurrently, data dashboards that measure the critical success factors, as outlined by SUNY Excels are in the process of being developed to supplement the IE Report Card. These reflect macro-indicators in the areas of Access, Completion, Inquiry, Philanthropy, and Success, per Excels. The micro-indicators, which are KPIs determined by the SPIE Committee (as per Standard 2), are being tracked through the Unit assessment outcomes.

The Integrated Sustainability Planning Model was established in 2014-15 during the Quality Team effort, as noted in the introduction. The Model has since been improved by changing placement of the Strategic Plan and including the proposed Student Experience Plan/ Academic Affairs and Student Affairs (AASA) Master Plan – in process. The IE Steering Team is considering how to integrate a student experience plan/or what might be a success plan for both Academic Affairs and Student Services. The Integrated Strategic Planning Model highlights the sustainability of integration through the use of data in planning, and as a result of implementing action plans. The IE Assessment Model also indicates integration of assessment and resource allocation planning.

The following Institutional Effectiveness Activities Cycle document was developed to reflect current practices with the timetable of actions noted per month and per year(s) cycle. Resources that support these Institutional Effectiveness Activities, through the operational budget for the Office of IE include: on and off campus training, supplies, Centrieva software, professional memberships for ANNY and AALHE, AIRPO and AIR for IR offices, as well. Also, the Research Assistant in the IE/IR Office is a shared resource position reporting half time to IE and half time to IR. The offices are in a common location, facilitating shared services with efficiency.

Herkimer College Institutional Effectiveness Activities Cycle

8-Year Cycle MSCHE Self-Study													
5-Year Cycle Academic Program Review (Review of the Major) Strategic Plan (review of Mission, Core Values, Vision, Goals) *Facilities (Campus) Master Plan (Mid-cycle review TBD)** *Unit Review** *Assessment & Institutional Effectiveness Unit review**													
4-Year Cycle MSCHE External Mid-Review													
3-Year (Integrated Master Plans) Cycle *Educational Experience Plan for Student Success(Academic Affairs and Student Affairs)** *Enrollment Management & Marketing** Resource Allocation Institutional Effectiveness General Education Cycle Academic Program Mid-Cycle Reports													
Annual Cycle MSCHE Annual Update (AIU) IE Report Card Committee Year End Reports Executive Division Summaries													

Effectiveness Activity	July	August	September	October	November	December	January	February	March	April	May	June	
Divisional Plans													
Institutional Planning Processes													
Data Collection for Units and Programs (local/national- IR dept.)	X	X	X	X	X	X	X	X	X	X	X	x	
Data Days					X				X				
IE Steering Team	X	X	X	X	X	X	X	X	X	X	X	x	
Operational Plan mid-cycle conversations						X	X	X					
Strategic Plan review and update (SPIE Committee)			X	X	X	X		X	X	X	X		
All-campus meetings		X	X	X	X		X	X	X	X	X		
Student Learning Outcomes (SLO) Assessment Processes													
ILO Annual Assessment							X	X	X	X	X	x	
PLO Annual Assessment			X	X	X	X	X	X	X	X	X		
CLO Assessment			X	X	X	X	X	X	X	X	X	x	
General Education Assessment							X	X	X	X	X	x	
Learning Activity Assessment (optional)			X	X	X	X	X	X	X	X	X	x	
Assessment Day workshop		X					X						
Academic Assessment Committee			X	X	X	X		X	X	X			
Faculty Professional Development (PD Committee)					X		X						
Unit Assessment Processes													
Unit Operational Planning	X	X									X	x	

	1	2	3	4	5	6	7	8	9	10	11	12
Unit Annual Reports										X	X	
Performance Review and Personal Development Plans*							x	x	x	x		
Assessment Day workshops		X			X							
Resource Allocation Processes												
Faculty reappointment, promotion and tenure										X	X	X
Annual Budget Planning and Allocation				x	x	X	X					
Staff reappointment, service awards, merit (HR)										X	X	X
Accreditation												
Annual Institutional Update - (MSCHE AIU)										X	X	
Accreditation Academy (TBD)*												
SPIE Committee – Accreditation Team & Compliance Team			X	X	X	X	X	X	X	X		
IE Communications												
Assessment Bytes Newsletter			X	x				X	x			
KMA Awards		X			X							
Service Excellence Program	X	X	X	X	X	X	X	X	X	X	X	x
Campus Briefs (PR Dept)			X	X	X	X	X	X	X	X	X	

Office of Institutional Effectiveness January 2017

Maximizing the use of existing data and information, clearly and purposefully related to goals and priorities, is noted in the Operational Plans per Unit. Assessments are also noted and results documented at the end of the annual cycle, as a resource for continuing the loop in the Annual Report. The year's outcomes are also used as data triggers for the next year's operational plans.

The Institutional Effectiveness processes that are in place campus-wide are providing the College with foundations that are simple and practical, but detailed enough to be meaningful; also establishing accountability for sustainability, with training to facilitate follow-through. Continual communication and growth opportunities are achieved through planning workshops, individual meetings, emails, electronic Assessment Handbook, Assessment Day activities, and an open-door policy in the IE and IR offices to assist all areas with their respective planning and assessment processes. Assessment Day, first developed in 2009, kicks off each semester with a whole day of assessment activities for both faculty and Unit leaders. The content of each semester's Assessment Day usually includes data sharing, CLO, PLO and ILO closing-the-loop, and/or improvement discussions and activities. For Unit leaders, it includes any combination of data sharing, highlighted topics on assessment and planning, and discussions on best practices.

At the time of the PRR, the College had created a new Resource Allocation process with a Quality Team committee and recommendation that a permanent committee be formed to facilitate the sustainability of the process, and to recommend and implement changes, as needed. The new governance structure, as created by the then new College President, Dr. Cathleen McColgin, includes five pillar committees and a College Advisory Council that had not previously existed. The new structure of shared governance accomplished at least 4 important foundational goals for the College.
1. To further the collaborative work of the campus community accomplished during the Quality Team strategic planning effort that took place in preparation for the PRR.
2. To give the new College President an advisory panel comprised of representatives from every personnel category on campus, providing eclectic input into matters of college-wide impact.
3. Reducing the number of total, often smaller, committees in favor of five large pillar committees that could form small work groups, as needed, reducing the number of meetings necessary for individual staff members and addressing the issue of a shrinking employee base.
4. To meet the critical issues of the College with groups of people who could identify analyze and recommend change toward accomplishing Strategic Goals and Operational planning, as measured by critical success factors of the College.

At the time of the PRR, the Enrollment Management and Marketing (EMM) Committee had recommended that the committee remain intact, that the plan be enhanced and implemented, which happened in accordance with the development of the new Governance Structure. Additionally, the college Retention Committee that had been formed to handle immediate

retention needs and initiatives, was folded into the EMM Committee, and the planning process became much more in depth. SWOT analyses for recruitment, retention, and marketing informed specific goals in each area of Enrollment Management. Throughout the process, a student data profile was developed and distributed to EMM committee members to better inform the planning. Ruffalo-Noel Levitz data were used to inform initiatives and the enrollment funnel approach to Enrollment Management planning. The EMM Chair who is also the Director of the Academic Support Center, the ADAA, and the Director of Institutional Research attended the Annual Ruffalo-Noel Levitz Conference on Enrollment Management in 2016, in an effort to fortify recruitment and retention planning efforts.

When the planning stalled in summer of 2016 due to leadership changes in key areas of the College, including Admissions and the Business-Health-Science-Technology Division, the Executive Council pursued the recommendation that the College needed new leadership for Enrollment Management, which became the impetus for hiring a new Dean of Enrollment Management who would become one of the co-chairs for the re-vamped EMM pillar Committee. The three co-chairs and a down-sized committee began a new process for establishing and refining goals and action plans. The group's approach included a working retreat and a professional development session on retention, *Promoting Student Success,* with Dr. Joseph Cuseo in January 2017. The full plan is nearing completion, expected by May 2017.

While the overarching EMM plan has been in development, the Admissions department, Advisement Center, Financial Aid Office, Bursar, Student Activities, Academic Support Center, Academic Divisions, Institutional Research, and Public Relations Office have worked together on initiatives toward improving recruitment and retention. Some of those initiatives are:
- Revision of the Orientation program for incoming freshmen.
- Advisement on the Run initiative to register continuing students that resulted in greater retention
- Express Enrollment initiative that combined the Instant Admit and START Day activities
- The International Student recruiter became a member of the Admissions office and the new Dean of Enrollment Management developed new procedures for the Admission Office

The College continues to seek and acquire additional revenue sources, including grant funding. Also, Herkimer College is continuing to lobby county and state officials for support funding. Recruitment and retention efforts across campus seek to fortify enrollment to increase FTEs.

Assessment results inform the College's written institutional strategic planning including: The Strategic Plan: A Commitment to Excellence (Appendix - B); the proposed Campus Facilities Master Plan; the Resource Allocation Process as in Standards 2 & 3; the Enrollment Management and Marketing Plan (in progress); the Diversity, Equity and Inclusion Plan (submitted, but awaiting approval from EC); and the Institutional Effectiveness comprehensive

Service Excellence and Communication Plan for institutional renewal in quality and service. The plans are based on assessment results to varying degrees:

- The Strategic Plan – Key performance indicators and assessment measures, as noted in the SUNY Excels data, are measured, discussed at EC and SPIE Committee, and BOT; documented and distributed in the IE Report Card on the college website and MyHerkimer portal
- The Facilities (Campus) Master Plan is based on extensive research and the Envision Architecture firm provided the college with an in-depth 200+ page analysis of its findings of both qualitative and quantitative data. Those findings informed the recommendations for Remediation Work, Capital Projects and Green Initiatives.
- The Diversity, Equity and Inclusion Plan was developed in committee with attention to CCSSE data, student profile and demographic data, an example from a peer institution, and data points acquired through the Dean of Students' office. The plan, while approved by the committee, is awaiting approval from the Executive Council.
- Enrollment Management and Marketing Plan – (see above)
- Academic Affairs and Student Services (Educational Experience) Plan – in-progress, deferred for program prioritization outcomes to inform the development of the plan; currently researching peer institutions' plans and discussing integrating EMM and Facilities Master Plan elements
- Service Excellence and Communication Plan - Various qualitative and quantitative data that informed the Service Excellence and Communication Plan were acquired from in-house focus groups, internal surveys, literature on retention and professional communication, from such as Noel-Levitz and Yanovitch & Associates, and Dennis Snow consulting firms.

Two initiatives that have been progressing slower than expected are the employee Performance Reviews to design personal development plans in accordance with departmental goals, and a full Unit Review process. Both are still in development stages, but have met with challenges that have at points stalled the progress.

- Performance Review – to date, a committee-approved review instrument has been created with a quality rating scale that aligns with the Core Values Quality Rubric. Additionally, the procedures document is approved and ready for publication. (Appendix - CC) Neither document has been distributed, nor the review cycle begun, since the implementation timeline broke down when legal counsel was sought to discuss negotiations necessary with the two unions that are represented on campus. The plan from the Performance Review Committee is to move forward with the cycle of non-bargaining unit performance review, but to also consider including the review process in negotiations, as appropriate, for the union employees.

- Unit Review – Development of the Unit Review process began in 2015, and was expected to become practice in 2016, as noted in the PRR. However, significant shifts in personnel, and focus on recruitment and retention initiatives across campus, proved to divert attention to the urgency of enrollment. The Units, however, have continued to develop a more detailed and comprehensive process of Operational Planning and assessment that more directly aligns with Strategic Goals and Core Values than in the past. Additionally, improvements have been made to the reporting forms to include annual report documentation that is of deeper value for what will become the comprehensive Unit Review.

Conclusion

Herkimer College is at a strong and growing place in its Assessment and Institutional Effectiveness activities for planning, resource allocation, development of programs, assessment, and data usage.

Institutional improvement and renewal is exemplified in the implementation of: the Service Excellence and Communication plan; the Integrated Planning Model for sustainable strategic and operational planning; an inclusive Resource Allocation process; a new Shared Governance Model with a streamlined committee structure; a Facilities Master Plan that is considerate of complex data along with full campus operations and academic planning; and documentation of Systematic Use of Data for Unit initiatives.

The College's reviewers recommend the re-constituted Institutional Effectiveness Committee review all of the non-academic units' assessment plans to ensure they follow best practices in assessment for the structure of the plans and goal linkages. Since the PRR, the governance changes have created a new Strategic Planning and Institutional Effectiveness committee that is charged with a much broader scope of IE duties. The non-academic units' assessment plans are primarily read by the Executive Council and the ADAA for Institutional Effectiveness. However, the Unit assessment reports are being used in the SPIE Committee to extrapolate micro KPI's for the Strategic Plan outcomes that have been achieved within the Units. The Units have been redefined as of February 2017, so reporting will be adjusted accordingly.

The reviewers recommend the College ensure a systematic data collection process be implemented so departmental administrators will have the information they need for the successful management of their services. These data should inform the non-academic units' assessment processes. This is clearly evidenced in the Data Process Flow grids created for identifying the Systematic Use of Data for various Unit initiatives. The Unit data mapping has been developed and is growing in its applications per Unit.

In accordance with reviewers' recommendations, the College's Resource Allocation process is in use, has been evaluated, revised, and the current cycle of use with revisions is in place. The RAC committee will continue the process and assess its outcomes at the end of the budget cycle.

The College has embarked upon many collaborative initiatives that have resulted from more in depth, systematic use of data. Since enrollment is of primary concern, as it is one of the five critical success factors for the sustainability of the College, departments have collaborated to function in unified goals to accomplish immediate and long-term change addressing recruitment and retention. Applications of data are noted in: Unit Operational Plans and Annual Reports, particularly the IE Unit reports; the Annual IE Report Card; the College Annual Report from the PR Office; the new governance committee minutes; Campus Briefs; survey data reports, data Unit mapping, process flow charts, and other data compilations, as needed. Presentations at strategic thinking meetings often target enrollment related to budgetary planning. Critical Success Factors supported in the Strategic Plan are monitored by the SPIE Committee. The College is also tracking and submitting assessments for the SUNY Excels PIP and strategic enrollment planning.

Herkimer County Community College remains committed to its mission, as strongly supported by the evidence that planning, resource allocation and institutional renewal are of primary consideration for the quality and growth of the College. The institution has made great strides in renewal efforts by improving processes toward richer outcomes in the total range of programs and services. The organic results of improvements in planning and assessment practices have created a common awareness of achieved outcomes and movement toward increased quality. Strategic planning processes are commonplace, with a new standard of quality toward sustainable patterns of growth. Institutional resources are more distinctly considered in operational planning, assessment and follow-through at the Unit level, which is aligned to inform Operational planning for effective and efficient use of resources at the Executive Operational level. Assessment of processes and outcomes has become infused in all Units and academic programs in a culture shift that naturally positions Herkimer to pursue the application of new MSCHE Standards of Excellence across the institution.

SCOA INSTITUTIONAL EFFECTIVENESS RUBRIC

Aspect	Element	Goal	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 2: Excelling
Design	Plan	The institution has a formal assessment plan that documents an organized, sustained assessment process covering all major administrative units, student support services, and academic programs.	There is no overall institutional plan for assessment. Assessment may be conducted at the institution, but when it occurs, it is completed on an ad hoc basis, perhaps in response to specific challenges.	Some, but not all functional areas/units conduct assessment systematically and these have policies and plans that pertain to assessment within the area/unit; there is no coordination of or standards for assessment set by the institution.	All functional areas/units conduct assessment systematically and may have written policies to guide the process. There is no overall institutional plan that serves to coordinate use of assessment data to improve institutional effectiveness.	There is a written plan that specifies responsibility for conducting assessment at both unit and institution levels and that identifies reporting timelines and procedures. The plan also indicates how assessment data is channeled into the strategic planning and budgeting process.
	Outcomes	Measurable outcomes have been articulated for the institution as a whole and within functional areas/units, including for courses and programs and nonacademic units.	Outcomes either have not been written, or where they do exist, they are not stated in ways that directly suggest how to measure them.	Some but not all units have their own outcomes statements. For example, academic affairs may have identified student learning outcomes, but no other units have identified outcomes.	All units have outcomes statements, but not all of these are stated in terms that link to measurement operations.	All units within the institution and the institution as a whole have clearly stated and measurable outcomes.
	Alignment	More specific subordinate outcomes (e.g., course) are aligned with broader, higher-level outcomes (e.g., program) within units and these are aligned with the institutional mission, goals, and values.	Course/program or other functional area outcomes, when present, are not mapped to or aligned with higher level outcomes nor are they shown to be related to institutional mission, goals, and values.	Alignment of outcomes has been achieved in some but not all areas/units.	Alignment of lower level outcomes to higher level outcomes within areas/units is mostly complete. Alignment of higher levels unit outcomes to institutional mission, goals, and values is not complete.	All units indicate how their outcomes are aligned with institution mission, goals, and values. Alignment within units is specific and appropriate to the unit and its role in the institution. Alignment of outcomes indicates a strong sense of shared purpose within the institution.
Implementation	Resources	Financial, human, technical, and/or physical resources are adequate to support assessment.	No resources are available to support assessment.	Resources to support assessment are handled on an ad hoc basis.	There is budgetary support of assessment activities within units that conduct assessment, but there is no overall institutional plan for providing the full range of resources to support assessment.	The institution and each area/unit has made a commitment to assessment and provides all necessary resources for assessment.
	Culture	All members of the faculty and staff are involved in assessment activities.	Assessment, if occurring, is done by lone individuals charged with assessment responsibilities.	Some units involve faculty/staff in assessment planning and collection and review of data.	All units involve all faculty/staff in some aspect of assessment, planning data collection, and/or review of data.	All members of the university community are involved in assessment activities in their respective units. Institution leaders frequently articulate assessment as an important value/activity of the institution.
	Data Focus	Data from multiple sources and measures are considered in assessment.	Assessment data are not collected.	Assessment data are collected in one or more units but consists primarily of survey results and/or anecdotal evidence.	All units collect some combination of direct and indirect evidence to assess performance.	Assessment is based on, where appropriate, multiple measures of performance, including direct and indirect measures and quantitative and qualitative data.

SCOA INSTITUTIONAL EFFECTIVENESS RUBRIC

Aspect	Element	Goal	Level 0: Not Evident	Level 1: Emerging	Level 2: Proficient	Level 2: Excelling
Implementation	Sustainability	Assessment is conducted regularly, consistently, and in a manner that is sustainable over the long term.	The institution cannot document that there is sustainable assessment activity occurring within any functional responsibility areas (academic, student services/support and administrative offices).	The institution can document that sustainable assessment activity is regularly occurring within several units of the institution, but assessment practices are either not universal or not sustainable for the long term.	Assessment is routinely conducted in most, if not all, units. The sustainability of the assessment activity varies in terms of how regularly it occurs or in how systematically outcomes/goals are assessed. Assessment activity is becoming a regular part of each unit's functioning.	Assessment is routinely conducted in all appropriate units. The sustainability of the assessment activity is evident in that assessment occurs regularly and systematically and has been ongoing for many years. Assessment activity is a regular part of each unit's functioning.
	Monitoring	Mechanisms are in place to systematically monitor the implementation of the assessment plan.	There is little or no evidence that the institution has in place or is developing effective systematic monitoring of the quality and implementation of assessment activities within and across units.	Assessment plans are in place. Systematic monitoring of the quality and implementation of assessment activities is occurring within some units, but not others. There is little evidence of institutional level monitoring of assessment activities.	Systematic monitoring of the quality and implementation of assessment activities is occurring within most, if not all, units. The institution has begun establishing a means for ensuring that all units regularly conduct and report assessment activities.	There is evidence of systematic monitoring of the quality and implementation of assessment activities within all units. The institution has an established mechanism for monitoring unit compliance with institutional assessment policies.
Impact	Communication	Assessment results are readily available to all parties with an interest in them.	Assessment results, if they exist, "live" in the individual unit and are not broadly communicated.	Assessment results are owned by the functional area and are shared with others on an as-needed basis.	Units within the institution share assessment results routinely with each other or make them accessible to others within the institution. Public disclosure of appropriate assessment data is limited.	Assessment results are disseminated to appropriate audiences at appropriate times; data appropriate to external audiences are available in easily accessible public domains; data needed for internal decision making are readily accessible to decision makers.
	Strategic Planning and Budgeting	Assessment data are routinely considered in strategic planning and budgeting.	Assessment data stay within the area in which they were collected. They do not factor into institutional strategic planning and budgeting.	One or more units use assessment results in budgetary requests and/or to inform strategic planning.	Assessment data are used in strategic planning and budgeting, but there is no clear mechanism in place to ensure this is accomplished routinely.	Institution is able to demonstrate that strategic planning and budgeting processes have routinely used assessment data in decision making.
	Closing the Loop	Assessment data have been used for institutional improvement.	There is little or no evidence that assessment results are used for institutional improvement.	There is evidence that assessment results are occasionally used for institutional improvement.	There is evidence that all units regularly use assessment results to inform improvements.	There is an institutional commitment to using assessment results to inform improvements; all units regularly use assessment data to close the loop; the institution presents evidence that assessment results, including student learning assessment, are routinely used for institutional improvement, effectiveness and planning.

HERKIMER COLLEGE STRATEGIC PLAN: A COMMITMENT TO EXCELLENCE
2015-2018
Micro Key Performance Indicators (KPI's) for each targeted outcome under Strategic Goals

1: Strengthen Support for Student Success

Goal Statement: *Promote student success through relevant programs and support services within an enriched teaching and learning environment.*

Targeted Outcome 1.1: Manage and promote academic programs and services to ensure continuing relevance, and to meet academic demand toward student persistence and progression in support of completion and graduation rates.
1. Program Review & Mid-Cycle Program Review
2. Advisory Board
3. Graduate Student Survey
4. Career days - # held, attendees, tracking data
5. PR office/Career Counseling office – successful promotional campaigns
6. Program progression and completion rates

Targeted Outcome 1.2: Improve student preparedness/college readiness by expanding programming both on campus and in partnership with regional school districts, and provide academic financial and social support for current students.
1. Track changes in programming and compare success rate
2. Data should come directly from Academic Support Center, Financial Aid Services, Counseling Center

Targeted Outcome 1.3: Provide teaching and learning environments that foster excellence and encourage innovation/creativity.
1. Student Learning Outcomes Assessment data (CLO, PLO, ILO, Learning Activities, Gen Ed)
2. Professional Development activities
3. Current Course refresh tracking to show improvement in on-line courses

2: Campus Life

Goal Statement: *Provide a rich two-year college experience for all students*

Targeted Outcome 2.1: Create a campus climate that embraces diversity, promotes intercultural exchange, and fosters collaboration and civility among faculty, staff, and students.
Promoting Intercultural Exchange
1. Track events or activities for student engagement with different cultures (Thanksgiving dinner, Global Center, Chinese New Year…..) - quantitative and qualitative
   a. CCSSE #12K
Civility
1. Measure civility on campus (Dr. Hawes' civility initiative , Freshman Seminars)

2. Campus Safety trends
3. CCSSE #11 Quality of relationships; #12L – Values and Ethics

Diversity

1. Assess services for those with disabilities (Facilities Committee, Academic Support Ctr, $$$ in Perkins Grant for disabilities)
2. CCSSE #13 i & k

Targeted Outcome 2.2: Cultivate programs and services that will serve the co-curricular and extracurricular needs of students and community.

Community Education (Programs)

Professional Development and Personal Interest programs/courses for community and students (check Continuing Education Brochure for more information) # of courses, attendance, student learning outcomes assessments

Community Education (Services)

 Facilities available for conferences or trainings for community businesses/groups, meetings/trainings --Usage reports : Community Ed., Facilities and Technology

Foundation

Foundation programs provided for the community - Assessment Report for: Fall fest, Craft Fair, Woods' Concert Series, Scholarships

Clubs/Organizations (FSA)

1. Provide adequate clubs to meet students' interests – quantitative and qualitative data needed: # of activities, student satisfaction with activities, # of students attending, what else students would like, etc. Student Activities Annual Report and CCSSE - # 9e
2. Communication of events – Assessment of how much communication, how often, types and responses for effectiveness. Student Activities Annual Report and CCSSE – questions concerning thriving socially

Student Activities

1. Provide adequate and age appropriate activities for our students outside of the one-hour activity period - (bus trips to malls, sporting events, outdoor activities such as ski trips, movies, etc.) –
   a.   Student Activities Department Annual Report
2. Communication/publicity in advance of events - assessment of types, timing, responses, and success of events

Targeted Outcome 2.3: Provide services to increase engagement from non-residential and non-traditional students.

1. Define non-residential and non-traditional students; communicate that to the college
2. Report on current engagement and set benchmark for increasing
3. Include residential students
4. Inform student how to identify with which group
5. Track actions that will increase engagement CCSSE

Targeted Outcome 2.4: Ensure the safety of the campus.

1. Monitor consistency and availability of communication for safety (NY Alert, Emergency blue lights, siren, e-mails, phone broadcast system) – Campus Safety Report
2. Training for safety (staff and students – workplace violence, active shooter trainings, fire drills) – Campus Safety Report
3. Remain compliant with outside agency requirements
   a.   Campus Safety Annual Report
   b.   Graduating Student Survey

        c.   CCSSE Survey

3: Institutional Culture

Goal Statement: *Create a more engaged and vibrant campus community.*

Targeted Outcome 3.1: Invest in innovative talent and increase faculty involvement in professional development opportunities.

Key Performance Indicator(s) to measure Herkimer's investment in talent, training, and innovation.
1. Amount of unrestricted general funds approved annually for professional training and development.
2. Number of new programming initiatives involving emerging technologies, advanced practices, or state-of-the-art methodologies reported annually by operating units.
3. Number of Faculty Staff Development Grants awarded by the College Foundation annually for innovative, unique, or original work.

Targeted Outcome 3.2: Ensure the safety of the campus and the security of all its people.

Key Performance Indicator(s) to measure campus safety and security.
1. Amount budgeted for campus safety annually.
2. Average number of trained campus safety officers on duty at all times.
3. Number of campus safety interventions reported annually in total and per capita.
4. Average response time.
5. Number of safety training sessions for faculty and staff per year.

Targeted Outcome 3.3: Pursue enrollment management plans to include recruitment, retention and marketing efforts which promote and support a diverse campus community.

Key Performance Indicator(s) to measure Herkimer's effort to recruit and enroll a diverse student population.
1. Number of recruitment trips made annually by Admissions to urban, rural, suburban, and international locations.
2. Demographic make-up of accepted students by year both on-campus and online.
3. Demographic make-up of enrolled students by year both on-campus and online.
4. Demographic make-up of graduating students by year both on-campus and online

Targeted Outcome 3.4: Provide the resources necessary for students from around the world to succeed academically and achieve their educational goals.

Key Performance Indicator(s) to measure international student success.
1. Appropriate amount budgeted annually for global learning programs, services, and facilities outcomes.
2. International student GPA, graduation, and transfer rates.
3. International student focus group, survey, and follow-up data.

Targeted Outcome 3.5: Ensure transparency through the creation and/or maintenance of clear lines of communication from administration to campus constituents.

Key Performance Indicator(s) to measure transparency and clear lines of communication.
1. Org. Chart
2. Communication plan & Service Excellence Plan development and distribution based on focus groups and internal surveys; include email protocol and consistent expectations, measured through achievement goals in unit annual planning and reports – quantitative and qualitative results
3. Web access for all and updated, accessible information

4: Operational Sustainability

Goal Statement: *Ensure the operational sustainability of the institution.*

Targeted Outcome 4.1: Maintain a sufficient revenue stream to meet expenses and support a responsible fund balance.
1. To remain within 5-15% of operating budget per SUNY recommendation
2. Each Unit that is supposed to be self-sustaining reaches that level
3. Maintain return on net asset ratio at least "0", (positive, preferred)

Targeted Outcome 4.2: Control expenses by improving efficiency and effectiveness of all departments and ancillaries, and by exercising fiscal discipline of academic and administrative budget managers.
1. Track number of proposals through resource allocation committee
2. Maintaining process for protecting safeguards
3. ROIs on each unit/Unit Annual Report for efficiency and improvement
4. Keeping current on use of time for efficiency, as departmental changes occur

Targeted Outcome 4.3: Identify new sources of revenue and increase philanthropic support.
1. Grants – current and potential; track apps and acquired across campus
2. Identify new alumni resources and continue to increase alumni contacts and support
3. Pursue increase in sponsor contribution to support the college
4. Maintain support with the College Foundation
5. Usage from other groups as a potential revenue generator

Targeted Outcome 4.4: Ensure optimum use of existing facilities and properties and update the existing facilities master plan to reflect priorities of the current strategic plan.
1. Master Plan In process – half funding by Foundation/half SUNY
2. Track room usage reports
3. All Unit Annual Reports – Facilities profile and recommendations

5: Outreach & Community Relations

Goal Statement: *Enhance community connections.*

Targeted Outcome 5.1: Reinforce the positive image of the college and promote its strengths.
1. The level (# of examples) of student, faculty, and staff volunteerism in communities within the College's service area (*could also relate to T.O. 5.3*)
   a. The use of different social media platforms for promoting/marketing the College, *and* track the number of followers, comments, "likes," etc.
      - Faculty Annual Reports
      - Athletics reports
      - Student Activities reports
      - Volunteerism communicated within Unit Annual Reports as a measured tactic for achieving this goal.

Targeted Outcome 5.2: Continue to build and strengthen partnerships with business, educational, governmental and non-profit organizations to support regional economic development.
1. Workforce development programming participation: # of individual participating; # of businesses partnering with the College on these programs; # of employers receiving outreach from the College
2. College Now student enrollment and partnerships: # of students enrolled, # of students completing/receiving credit; # of school districts College Now has agreements with
3. Level of collaborative programming between the Working Solutions Career Ctr. and the College: # of clients served by Program Specialist (K. Evans); # of Career Center clients enrolled in programs/courses at the College; # of collaborative programs developed or expanded between the College and the Career Center (e.g. this year's new free computer basics course)
4. Number of incidents of the College/college departments providing support for regional non-profit groups' events (e.g. *purchasing an advertisement for the event program*; *purchasing or sponsoring a table at a group's fundraising luncheon or dinner event*)

Targeted Outcome 5.3: Provide opportunities for community engagement and enrichment.
1. The level of student club and student organization involvement in service in the community (Clubs submit annual reports that would include this info? If yes, where are they kept?): # of activities/service projects; # of community members served
2. The number of college-sponsored (i.e. college-*organized*) activities and events that focus on the community, both those held on campus and those held out in the communities.
3. Non-credit course enrollment
4. The number of faculty and staff service on regional boards of directors, advisory boards, etc.
5. Service Learning and Authentic Learning (HP301, 302,302, ED 215, etc.) – # of courses with opportunities and engagement level
6. Measure volunteerism as in T.O. 5.1

Herkimer College Committee Membership

Executive Council Members

Cathleen McColgin, College President
Daniel Sargent, Assistant to the President
Nick Laino, Senior Vice President for Administration & Finance
Michael Oriolo, Provost
Matthew Hawes Ed.D., Dean of Students
Karen Ayouch, Director of Institutional Research (IR)
Erin Craig, Dean of Enrollment Management
Rebecca Ruffing, Director of Public Relations

Strategic Planning & Institutional Effectiveness Committee Members

Mary Ann Carroll- Chair, Assistant Dean of Academic Affairs, Assessment & Institutional Effectiveness (ADAA)
Karen Ayouch, Director of Institutional Research (IR)
Alan Cronauer, Associate Dean of Academic Affairs, BHST Division
Richard Dawkins, Assistant Director of Athletics
Amy Getman, Assistant Professor
Lisa Holynksi, Office Assistant I
Mary Jo Kelley, Professor
Jessica Kelly, Assistant Professor
Suzanne Paddock, Counselor Career Center Services
William Pelz, Professor/Coordinator of Internet Academy
Daniel Sargent, Assistant to the President
Stacie Shepardson, Senior Accountant
Rebeccah Socolof, Research Assistant
Julie Todd, Assistant Director of Human Resources
Jackie Woudenberg, Controller

Academic Assessment Committee Members

Lindsey Taube, Assistant Professor of Mathematics (Co-Chair)
Maryann Wrinn, Professor of Fine Arts (Co-Chair)
Mary Ann Carroll, Assistant Dean of Academic Affairs for Assessment & Institutional Effectiveness (Co-Chair)
Jason Brown, Assistant Professor of English
Jason Davis, Assistant Professor of Music
Guy Devitt, Associate Professor of Business
Robert Gassmann, Associate Professor of Communication Arts
Tom Giamarria, Reference Librarian
April Harris, Assistant Professor of Criminal Justice/Cybersecurity
Jennifer Herzog, Assistant Professor of Biology
Sharon Howell, Professor of Physical Education
Jessica Kelly, Assistant Professor of Engineering
Marjorie Moore, Director of Academic Support Center
George Smith, Professor of Chemistry
Kalman Socolof, Professor of Radio/TV
Rebeccah Socolof, Research Assistant
Daniel Thompsune, Assistant Professor of English/Philosophy
Annette Yauney, Associate Professor of Information Systems

Office of Institutional Effectiveness- March 2017

Unit Leaders

Cathleen McColgin Ed.D., College President, *Executive*

      Units: **Karen Ayouch**, Director of Institutional Research (IR)

              Rebecca Ruffing, Director of Public Relations

              Daniel Sargent, Assistant to the President

Erin Craig, Dean of Enrollment Management, *Executive*

      Units: **Susan Tripp**, Director of Financial Aid

Matthew Hawes Ed.D., Dean of Students, *Executive*

      Units: **Vicki Brown**, Director of Student Activities

              Donald Dutcher, Director of Athletics

              Wendy Marchese, Counselor

              Pamela Mazzorana, Director of Child Care Center

              Suzanne Paddock, Counselor- Career Services

              Jason Rathbun, Director of Residence Life

              Timothy Rogers, Director of Campus Safety

Nicholas Laino, Senior Vice President for Administration & Finance, *Executive*

      Units: **Anne Marie Ambrose**, Executive Director of Information Services

              Robert Fowler, Executive Director of the Foundation

              Julie Lewis, Director of Business & Finance for FSA, HCC Foundation & HCCC Housing Corp

              Bob Neary, Purchasing Agent

              James Salamy, Director of Human Resources

              Debra Sutliff, Bursar

              Julie Todd, Assistant Director of Human Resources

              Jackie Woudenberg, Controller

              Robert Woudenberg, Director of Facilities Operations

Michael Oriolo, Provost, *Executive*

      Units: **Mary Ann Carroll**, Assistant Dean of Academic Affairs for Assessment & Institutional Effectiveness (ADAA)

              Alfred Berowski, Director of Library Services

              Alan Cronauer, Associate Dean of Academic Affairs- Business, Health, Science, Technology

              Linda Lamb, Associate Dean of Academic Affairs- Internet Academy and Continuing Education

              John Lasher, Registrar

              Marjorie Moore, Director of Academic Support Center
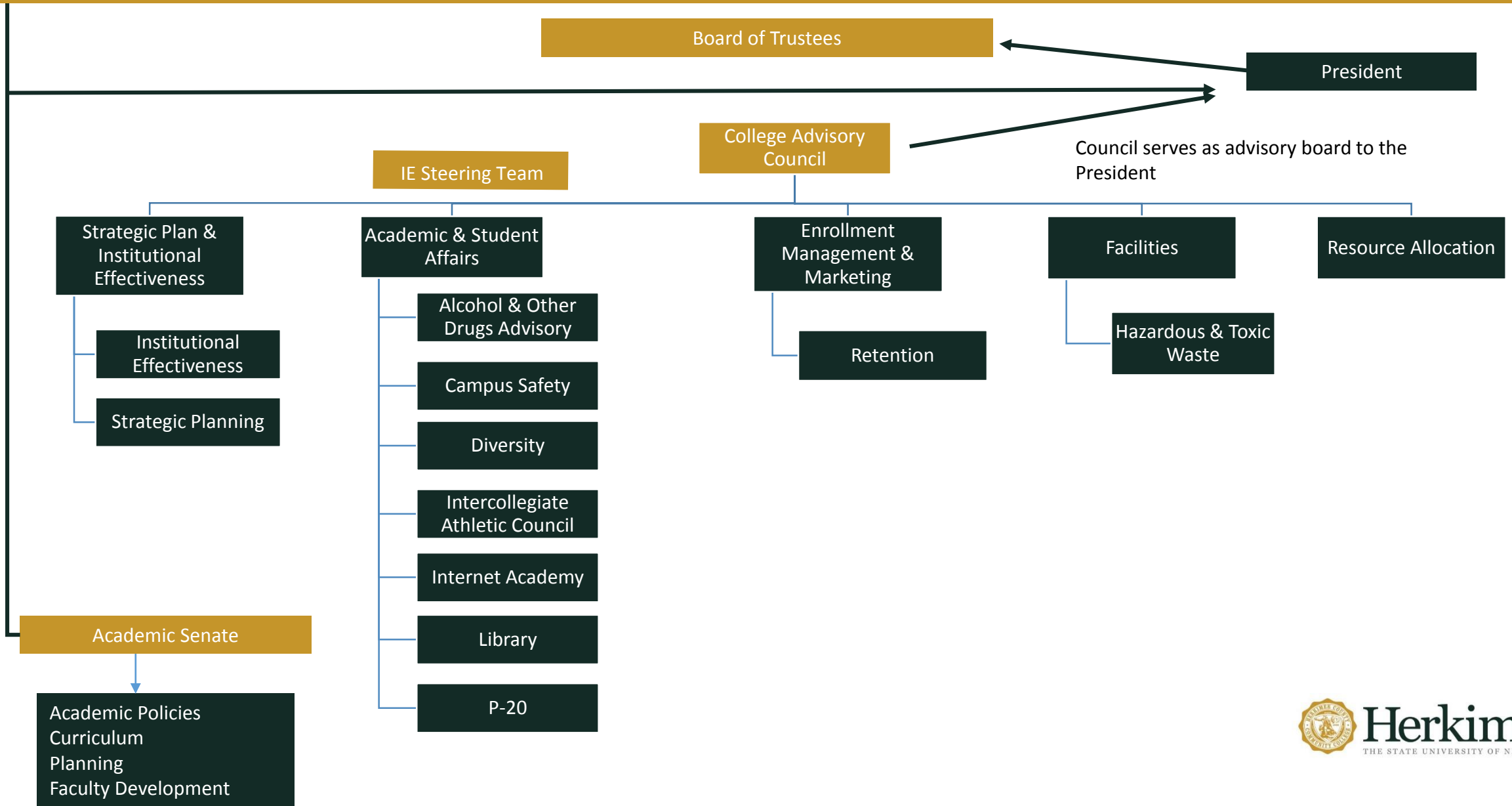
              Eric Vernold Ed.D., Assistant Dean of Academic Affairs

              Robin Voetterl-Riecker Ed.D., Associate Dean of Academic Affairs- Humanities/Social Science
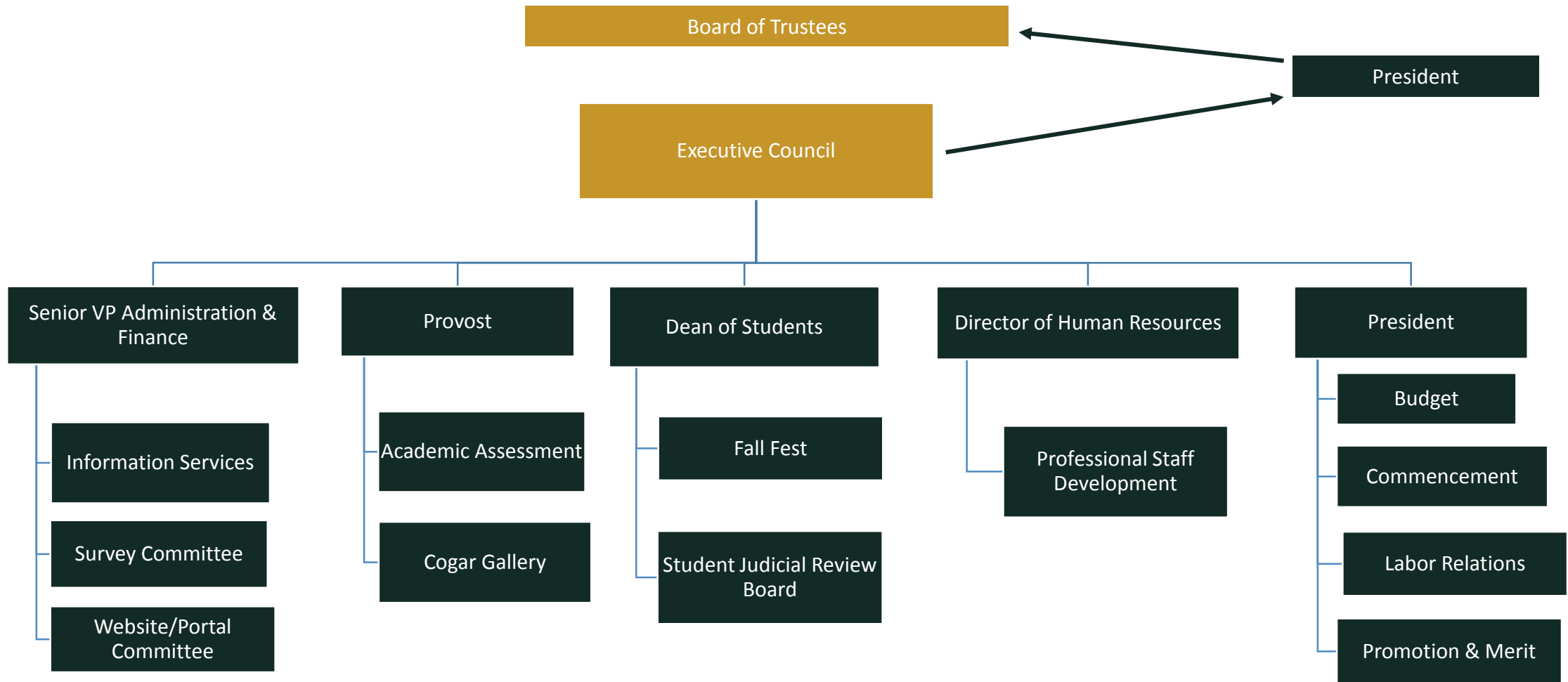
A Model of Shared Governance

Board of Trustees

President

College Advisory Council

Council serves as advisory board to the President

IE Steering Team

Strategic Plan & Institutional Effectiveness
- Institutional Effectiveness
- Strategic Planning

Academic & Student Affairs
- Alcohol & Other Drugs Advisory
- Campus Safety
- Diversity
- Intercollegiate Athletic Council
- Internet Academy
- Library
- P-20

Enrollment Management & Marketing
- Retention

Facilities
- Hazardous & Toxic Waste

Resource Allocation

Academic Senate

Academic Policies
Curriculum
Planning
Faculty Development

Herkimer
THE STATE UNIVERSITY OF NEW YORK

A Model of Shared Governance

Board of Trustees

President

Executive Council

Senior VP Administration & Finance
- Information Services
- Survey Committee
- Website/Portal Committee

Provost
- Academic Assessment
- Cogar Gallery

Dean of Students
- Fall Fest
- Student Judicial Review Board

Director of Human Resources
- Professional Staff Development

President
- Budget
- Commencement
- Labor Relations
- Promotion & Merit

Herkimer
THE STATE UNIVERSITY OF NEW YORK

9/23/2015

Herkimer College
Academic Affairs
2016-2017 Operational Plan

Strategic Plan Goal 1: Promote student success through relevant programs and support services within an enriched teaching and learning environment.
Strategic Plan Goal 2: Provide a rich two-year college experience for all students.
Strategic Plan Goal 3: Create a more engaged vibrant campus community.
Strategic Plan Goal 4: Ensure the operational sustainability of the institution.
Strategic Plan Goal 5: Enhance Community Connections.

Outcome 1.1 Manage academic programs to ensure continuing relevance and meet academic demand, and advertise/promote the significance of program completion for career success.

Activities/Initiatives in Support of Outcome	Resources Needed / Associated Costs	Timeline	Criteria / Measure for Satisfactory Outcome	Progress Report
Program Prioritization Review of all Programs	None	May 2017	All programs will be reviewed	Phase I completed. Phase II in progress, comprehensive analysis.
Scheduling of courses to meet the needs of students to complete programs	Possible Software Costs	FY2017	Reduction in time/labor/# of sections	Continue the process of reducing sections. Looking at programs with respect to duplication of on-campus vs on-line.
Data driven decisions for program development	Chmura Economics JobsEQ	FY2017	Inventory of programs developed and deactivated	Being used in program prioritization and all new program development, i.e., Quality Assurance – Property and Asset Management Certificate.
Re-establish shared oversight of the Academic Assessment Committee to further educate committee members on improvement needs, accurate assessment data, usable data	None	May 2017	Meeting minutes showing initiatives and outcomes	Assistant Dean of Academic Affairs is currently co-chairing with two faculty members. See Committee meeting minutes.

and creative opportunities through applied learning.				

Outcome 1.2 Improve student preparedness/college readiness by expanding programming both on campus and in partnership with regional school districts, and provide academic, financial, and social support for current students.

Activities/Initiatives in Support of Outcome	Resources Needed / Associated Costs	Timeline	Criteria / Measure for Satisfactory Outcome	Progress Report
Review the placement process and developmental offerings and expand student prep options	Professional development for faculty	FY2017	Revision of the process and offerings and expansion of student prep options	Proposed in the Upward Bound grant and Title III proposal. ASC offers a one hour Math Brush up session before taking the placement exam.
Continue to evaluate options for First-Year Seminar courses with Advisement, Divisions and Academic Support Center	None	FY 2017	Data analysis of the different modes of delivery	Marj Moore and Robin Riecker attend the FYE conference in Atlanta and are working to revise pilot sections for the fall semester. Budgeting for 6 faculty/staff to attend the conference next year and expand the pilot.
Increase the P-20 advisory group participation with faculty and staff regarding student success	None	FY2017	Additional meetings scheduled/activities planned	In the process of expanding and replacing membership.

Outcome 1.3 Provide teaching and learning environments that foster excellence and encourage innovation/creativity.

Activities/Initiatives in Support of Outcome	Resources Needed / Associated Costs	Timeline	Criteria / Measure for Satisfactory Outcome	Progress Report
Detailed classroom utilization/technology analysis	Facility and equipment upgrades	FY 2017	Detailed report on all facilities with recommendations	Inventory of all rooms in progress. Room utilizations have been reviewed and adjustments are being made by fulling utilizing lab space. Equipment will be redeployed as rooms are repurposed.
LMS migration and online course improvement	Budget for faculty mentors	FY 2017	Successful migration and inventory of revised courses	General's online training has been completed. The second of three training has begun for full implementation for Summer 2017.

Individual course analysis for improved and integrated academic support and assessment	Professional development, possible release time for faculty, and additional part-time staff	FY 2017	Inventory of improvements and enhancements accomplished	Tutoring has been expanded to include courses with low retention. Net tutor (24/7 online tutoring) has been made available to all instructors through their online Angel shell.

Strategic Plan Goal 2: Provide a rich two-year college experience for all students.
Targeted Outcome 2.1: Create a campus climate that embraces diversity, promotes intercultural exchange, and fosters collaboration and civility among faculty, staff, and students.

Implement the Service Excellence and Communication Plan	As indicated on plan	May 2017	All units established in plan operations; added to initiatives in operational plans; outcomes documented per unit	Service excellence sessions were conducted with 94% participation of all faculty/staff. A follow-up leaders' forum and survey on service was conducted with directors' positions and above. The plan is to offer this type of forum to the remainder of the campus with a follow-up survey in order to report out on the survey results to the campus.

Strategic Plan Goal 3: Create a more engaged vibrant campus community.
Targeted Outcome 3.1: Invest in innovative talent and increase faculty involvement in professional development opportunities.
Targeted Outcome 3.5: Ensure transparency through the creation and/or maintenance of clear lines of communication from administration to campus constituents.
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Implement Service Excellence and Communication Plan	As indicated on plan	May 2017	All units established in plan; recognitions have been given for excellence	20 workshop sessions were conducted by the ADAA; several planned communications and events have occurred and is currently in assessment survey process.
Develop and implement Unit Review Program that establishes more effective Unit assessment and improvement toward ensuring student success through	None	Jan 2017	In place and documented by Progress Report April 2017	In progress; Units re-established, templates being considered and discussions continuing at Unit leader meetings.

the contribution of student services and non-instructional Units.				

Outcome 3.1 Invest in innovative talent and increase faculty involvement in professional development opportunities including sabbatical leave.

Activities/Initiatives in Support of Outcome	Resources Needed / Associated Costs	Timeline	Criteria / Measure for Satisfactory Outcome	Progress Report
Shared Services Professional Development	No additional	FY 2017	Number of joint programs with partners	Not completed.
Increase internal/external staff-to-staff, faculty-to-faculty development opportunities	Travel funds	FY 2017	Number of meetings	Not completed.

Outcome 3.4 Provide the resources necessary, including a robust global learning center, for international student success.

Activities/Initiatives in Support of Outcome	Resources Needed / Associated Costs	Timeline	Criteria / Measure for Satisfactory Outcome	Progress Report
Research resources needed to increase persistence and retention of international students	None	FY 2017	Report on findings	Piloting a non-credit structured study learning section for International students who are 24 credit hour or probation students.

Strategic Plan Goal 4: Ensure the operational sustainability of the institution.
Targeted Outcome 4.2: Control expenses by improving efficiency and effectiveness of all departments and ancillaries, and by exercising fiscal discipline of academic and administrative budget managers.
Targeted Outcome 4.3: Identify new sources of revenue and increase philanthropic support.
Targeted Outcome 4.4: Ensure optimum use of existing facilities and properties and update the existing facilities master plan to reflect priorities of the current strategic plan.

Oversee accreditation efforts, including completion of the MSCHE Progress Report and establishment of Accreditation and Compliance Teams.	None	Sept 2016- May 2017		SPIE Committee has established accreditation and compliance teams; will have current Accreditation Academy timeline and process drafts finalized and in place to begin Summer 2017.
Create comprehensive Institutional Effectiveness Guide to include Integrated Strategic Planning updated processes	None	May 2017		Documents prepared – IE Activities, Assessment cycles, procedures, etc.; assembly in process. Master planning development will occur in concert with Facilities Master Plan – final presentation March 2017.

Strategic Plan Goal 5 – Outreach & Community Relations: Enhance community connections.

Outcome 5.2 Continue to build and strengthen partnerships with business, educational, governmental and non-profit organizations to support regional economic development.

Activities/Initiatives in Support of Outcome	Resources Needed / Associated Costs	Timeline	Criteria / Measure for Satisfactory Outcome	Progress Report
Investigate program alignment with regional nano-technology needs	None	FY 2017	Programming identified, revised, or developed	Not completed.
Investigate regional needs as it relates to current and future credit/non-credit programming	None	FY 2017	Programming identified, revised, or developed	Phase one police academy, property and asset management, electrical tech, and health related disciplines are being investigated or in the pipeline for approval.

Outcome 5.3 Provide opportunities for community engagement and enrichment.

Activities/Initiatives in Support of Outcome	Resources Needed / Associated Costs	Timeline	Criteria / Measure for Satisfactory Outcome	Progress Report

Review structure of Community Education to address current community and regional demand	Re-alignment of staff or addition of part-time staff	FY2017	Final report	In progress. Met with the President to discuss possible scenarios.
Create the process and establish procedures for implementing campus wide, collaborative usage of Centrieva Academic Effect software	Software costs	May 2017	Usage report for filing Annual Reports; Progress Report trial	Piloting two academic program reviews, Music Industry and Digital Filmmaking, in Centrieva.

![Herkimer - The State University of New York]

Committee Minutes

Committee: Executive Council

Chair: Cathleen C. McColgin, President

Date: 09/20/2016　　　Location: CA 243　　　Time: 9:00 a.m.

Attending: Cathleen McColgin, Daniel Sargent, Nick Laino, Michael Oriolo, Erin Craig, Becky Ruffing, Dr. Hawes, Karen Ayouch

Guest(s): Mary Ann Carroll

Old Business:

1. **Enrollment/Housing Updates:**
   - Karen distributed a fall 2016 report sheet and provided an explanation of the numbers and notations.
   - The group discussed what impact the numbers from quick classes and the College Now program will have on overall enrollment, once they are available.
   - Dr. Hawes reported a student housing occupancy number of 633, comprised of 356 male students (56%) and 277 female students (44%).

2. **Service Excellence & Communication Plan:**　　　(*w/ guest Mary Ann Carroll*)
   - Mary Ann Carroll distributed an updated plan document and led the group in reviewing it.
   - The group discussed presentation of the plan at the Sept. 22nd All-Campus Meeting and agreed that it should include a review of the history of this initiative and the research that went into it. The group also discussed the organization of training for faculty and staff in the plan.

3. **SUNY Updates:**
   - Cathleen discussed the "ban the box" decision, regarding removing the check box from college application forms that refers to prior felony convictions of the applicant.
   - Cathleen also update the group on discussions from the SUNY presidents' meeting, which were organized into regional break-out groups. Enrollment management on a system level was the object of a lot of discussion.
   - Cathleen also discussed potential new transfer partnerships with four-year institutions, both SUNY and private.

4. **Grants Updates:**
   - Cathleen updated the group on upcoming meetings with representatives of regional economic development and the county government in regard to a federal Economic Development Agency (EDA) grant the College is working on.

New Business:

1. **Comprehensive Calendar:**
   - The group discussed the different ways event information is made accessible to the campus community and ways of sharing that information more efficiently, including possibly phasing out the Comprehensive Calendar.

2. **Genesis Group Celebration of Education Nomination:**
   - Becky Ruffing asked the group to consider nominating a person or program at the College for this year's recognition and to bring their ideas to the next EC meeting for discussion. The deadline for submitting nominations is October 20th.

3. **Board of Trustees Agenda:**
   - Cathleen reviewed the sections of the agenda for the next BOT meeting with the group.

4. **College Advisory Council (CAC):**
   - The group discussed the membership of the CAC and ideas for adjustments to the make-up of the CAC.

Open Discussion/Announcements: N/A

Items to be considered by College Advisory Council:
- The idea of phasing out the Comprehensive Calendar
- Adjustments to the make-up of the CAC membership

Adjournment: 11:00 a.m.

Next Meeting: September 27, 2016 at 9 a.m. in CA 243

das

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Herkimer

THE STATE UNIVERSITY OF NEW YORK

Herkimer County Community College

Institutional Effectiveness

Report Card

For the 2014-2015 Academic Year

EXCERPTS FROM THE COMPLETED DOCUMENT

This document was prepared by the Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness, the Director of Institutional Research, and Research Assistant at Herkimer County Community College. Herkimer County Community College is part of the State University of New York and is accredited by the Middle States Commission on Higher Education.

Introduction

Herkimer College believes in a continuous improvement process and the need for a comprehensive system for assessing desired outcomes. This provides Herkimer College not only with the necessary tools for refining our curricula and services, but it also provides the community with assurances that the Board of Trustees, administration, faculty, and staff are concerned with the quality, effectiveness and efficiency of the College.

Herkimer College utilizes multiple means of measuring Institutional Effectiveness. In this Report Card, the primary measurements have been collected from various sources. These internal and external assessment tools are utilized to identify direct and indirect measures as they relate to Herkimer College's Strategic Goals.

The following assessment tools are used to identify key performance indicators within the Herkimer College Report Card:

<div align="center">

Campus Security Data Analysis
Community College Survey of Student Engagement (CCSSE)
Data from the Director of Athletics
Integrated Postsecondary Education Data System (IPEDS)
National Community College Benchmark Project (NCCBP)
General Education Course Assessment
Institutional Research Data
Data from the Center of Student Leadership & Involvement
US Department of Education, Office of Postsecondary Education
Audited Financial Statements
Enrollment Reports
Office of Community Education
Entering Student Survey
Graduating Senior Survey

</div>

External Assessment Measures

Herkimer College uses the following external assessment measures to obtain reliable information to be used for evaluating and enhancing Institutional Effectiveness:

Campus Security Data Analysis - This information is collected by the U.S. Department of Education's Office of Postsecondary Education (OPE). The data is acquired from the OPE Campus Security Statistics Website database. Annually, institutional crime statistics are submitted by all postsecondary institutions receiving Title IV Federal funding.

Community College Survey of Student Engagement (CCSSE) - This is a nationally administered survey of student's perceptions about various aspects of a particular campus. This data allows comparisons between Herkimer College and a SUNY consortium of institutions. As the CCSSE survey is conducted triennially, data from this resource may not be included in every year's edition of this report card.

Integrated Postsecondary Education Data System (IPEDS) - This is the nation's core postsecondary education data collection program. This comprehensive system is designed to compare Herkimer College to similar institutions.

National Community College Benchmark Project (NCCBP) - This set of data provides institutional comparisons of community colleges across the country. Currently, it reports-out on 25 performance indicators.

Internal Assessment Measures

Audited Financial Statements-The Office of the Controller has the fiduciary responsibility for Herkimer College's annual financial audits and provides fiscal information.

Director of Athletics – The Director of Athletics collects information from his staff including the Assistant Director of Athletics, Coaches and Website Manager.

Enrollment Reports- These are created monthly by the office of Admissions.

Entering Student Survey- Information attained from this measurement provides data about students working in the community and how effective Herkimer College's marketing strategies are.

Institutional Research Data-The IR department provides accurate data for various measurable points.

Center for Student Leadership and Involvement Data- Extracurricular activity data that involves on-campus clubs, organizations, and events are collected from the Office of Student Activities.

Office of Community Education- Provides data centered upon facility usage by off-campus groups, non-credit course enrollment, and workforce and training development.

Graduating Senior Survey- This assessment provides data about the student's interpretation of and experience with Herkimer College and the various campus units. The May 2015 Graduating Senior Survey was distributed to 620 students with 320 students responding to some or all of the questions. That was 52% response rate. All questions were optional.

Mission Statement

The Mission of Herkimer College is to serve our learners by providing high quality accessible educational opportunities and services in response to the needs of the local and regional communities.

Vision Statement

Herkimer College will continue to be a highly respected teaching and learning institution whose academic excellence will be complemented by a rich offering of co-curricular programming, quality student services, and distinction in athletics.

The College will continue to serve the post-secondary education needs of the community and be a key driver in regional economics, capitalizing on the potential of its partnerships and programs in current and emerging fields.

Herkimer College students will exceed expectations in programmatic outcomes, educational core competencies, and critical thinking skills in order to become productive citizens engaged in a global society.

Strategic Goals

1. **Academic Programs and Support:** Promote student success through relevant programs and support services within an enriched teaching and learning environment.

2. **Campus Life:** Cultivate a campus environment that complements the academic mission, enhances student development, and provides broad social and educational experiences.

3. **Institutional Culture:** Encourage and sustain a campus culture where the core values of the College are embraced, implemented and rewarded.

4. **Operational Sustainability:** Ensure the operational sustainability of the institution.

5. **Outreach and Community Relations:** Cultivate mutually beneficial relationships within the community and enhance the image of Herkimer College.

Institutional Learning Outcomes

Students who graduate from Herkimer College have demonstrated competency in the following areas:

Communication

Herkimer College graduates will be able to communicate effectively in formal and informal exchanges with others. Students will be able to read, write and speak to facilitate discipline specific applications and to further their success in other educational endeavors, and/or career situations.

Knowledge Management

Herkimer College graduates will demonstrate a level of information literacy that enables them to manage knowledge by locating, organizing and analyzing research gathered via traditional and contemporary methods. Students will develop computer technology competency in research, communication and discipline specific software applications.

Problem Solving

Herkimer College graduates will be able to use critical thinking and integrative decision-making skills to systematically and efficiently solve a variety of qualitative and quantitative challenges. Students will be able to develop well-reasoned arguments and conclusions, quantifying results through logical cognitive processing through means that may include the scientific method and mathematical reasoning.

Ethics and Social Responsibility

Herkimer College graduates will have developed a value set adopting and applying ethical awareness of program specific codes and/or socially responsible standards that will serve community needs on local, regional, national and global levels. Students will be prepared to be socially responsive citizens, committed to developing ethical, social and professional characteristics of civility and integrity for interactions with a diverse population comprised of various cultures, backgrounds and lifestyles.

Aesthetic Responsiveness

Herkimer College graduates will be able to recognize and appreciate literary and artistic expression in the written, visual and/or performing arts. Students will apply a strong liberal arts foundation to facilitate an understanding of and appreciation for Arts and Humanities.

Academic Programs and Support

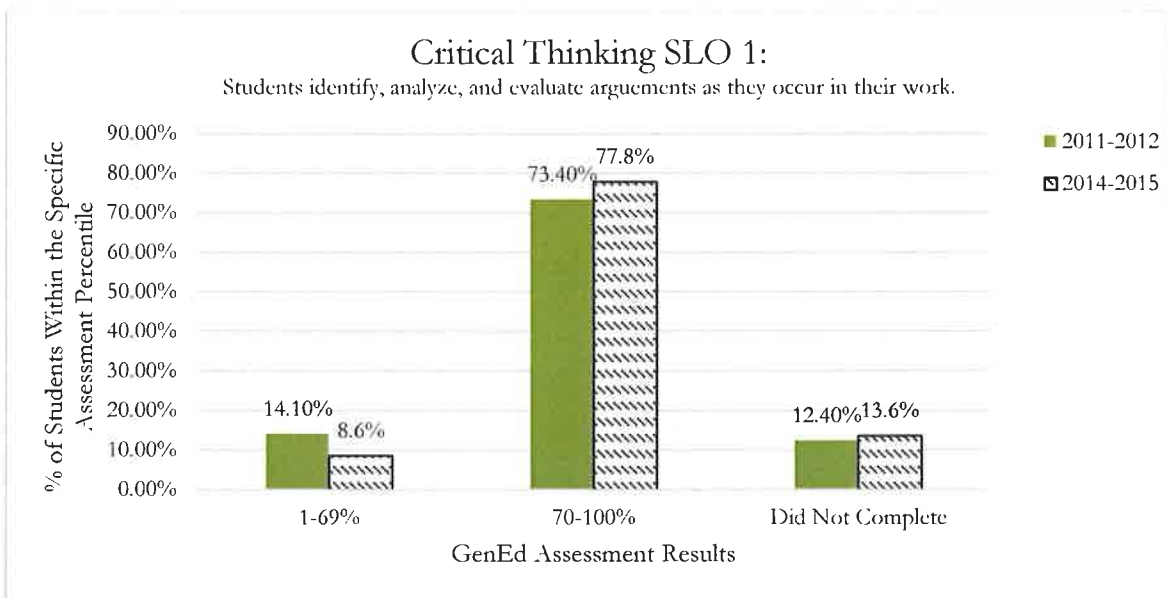### Percent of Students by Degree Type
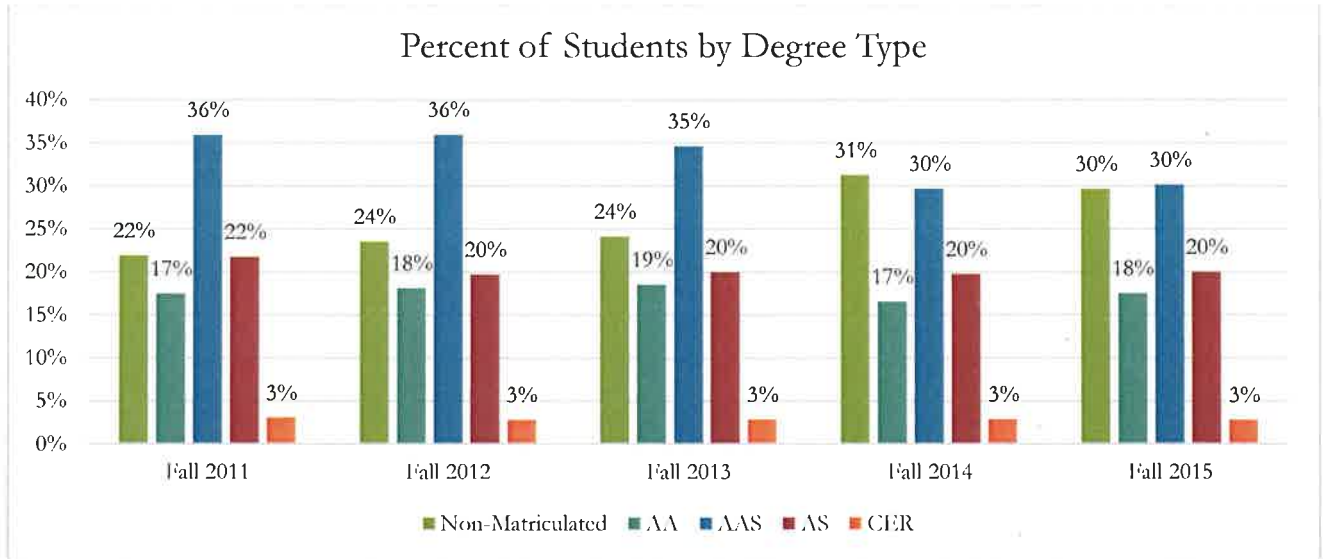
The chart represents the percentage of students by degree type for the Fall semesters in all programs. The data indicates that the most significant change has been for the non-matriculated enrollment which is in line with the time frame that the College Now students were offered courses at no cost to the student.

### Percent of CTE Enrollment by Degree Type
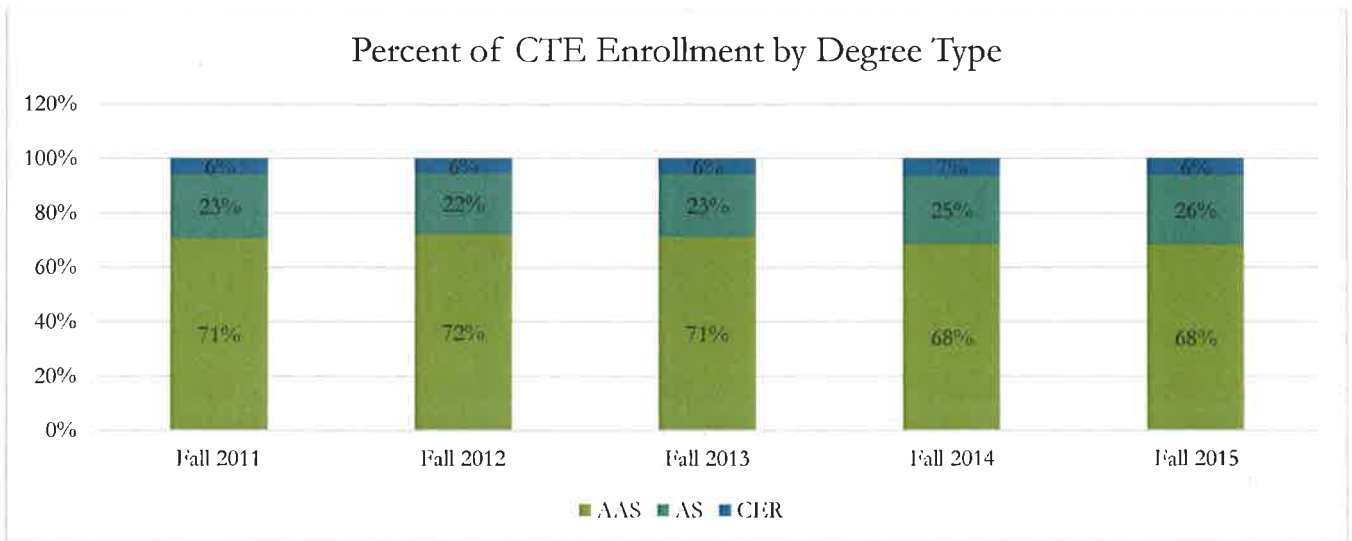
The chart indicates the % breakout of students enrolled in CTE programs by degree type. The chart indicates a small growth in CTE programs that are designed for Transfer and a small decrease in enrollment for CTE programs designed for workforce preparation.

Institutional Effectiveness Report Card for the 2014-2015 Academic Year

Critical Thinking SLO 1:
Students identify, analyze, and evaluate arguements as they occur in their work.

On SLO 1, from the 2011-2012 academic year to the 2014-2015 academic year, the number of students who fell into the 1-69% category fell by 5.5%, the number of students who fell into the 70-100% category rose by 4.4%, and the number of students who did not complete the assessment rose by 1.2%.

Critical Thinking SLO 2:
### Students develop well-reasonsed arguments.
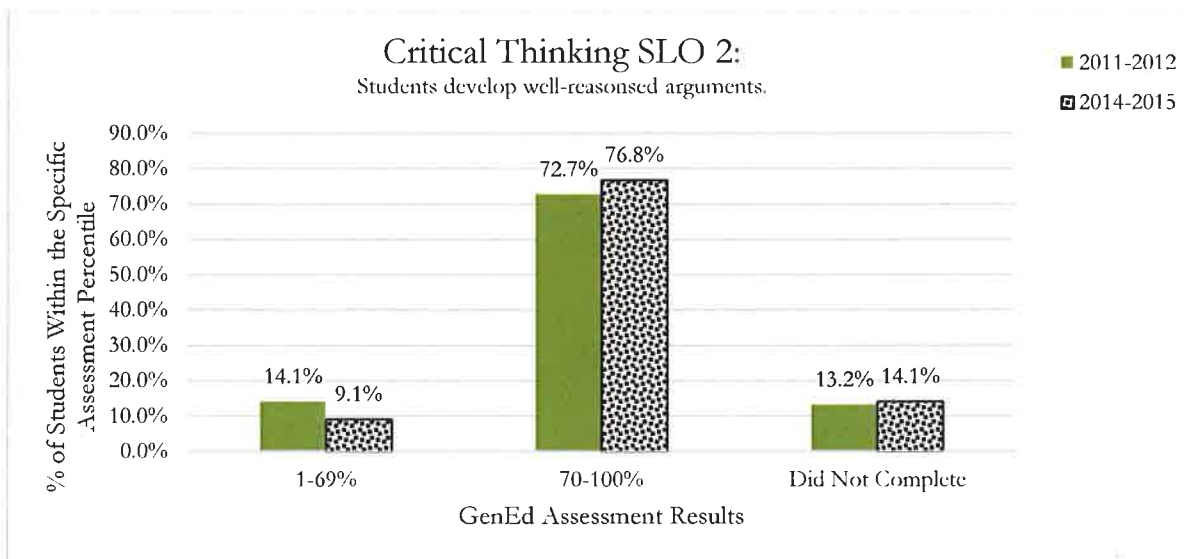
On SLO 2, from the 2011-2012 academic year to the 2014-2015 academic year, the number of students who fell into the 1-69% category fell by 5%, the number of students in the 70-100% category rose by 4.1%, and the number of students who did not complete the assessment rose by .9%.

Academic Programs and Support

Percentage of Students that felt they received prompt feedback from instructors on their performance (often or very often).

(Source: CCSSE) ◊

CCSSE Survey Comparison:
Received prompt feedback (written or oral) from instructors on your performance
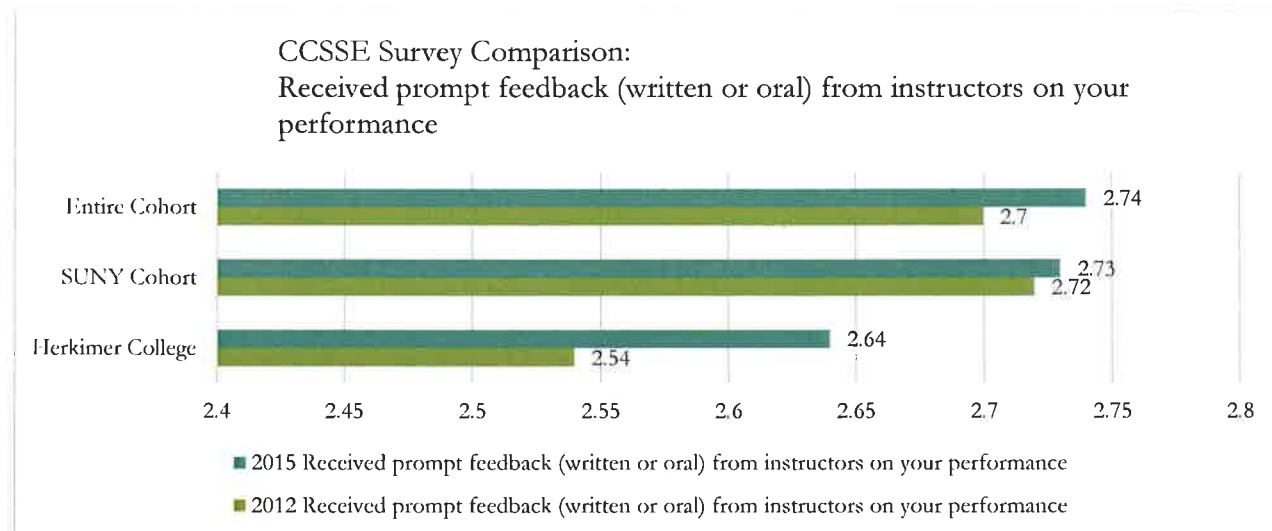
This data illustrates an increase in all cohorts from the 2012 CCSSE survey results. The SUNY Cohort showed a small increase of .01. While the Herkimer Cohort showed a .09 difference which was a .10 increase from the 2012 survey.

NOTE: CCSSE uses the following Likert scale in this question:
1 = Never, 2 = Sometimes, 3 = Often, 4 = Very Often
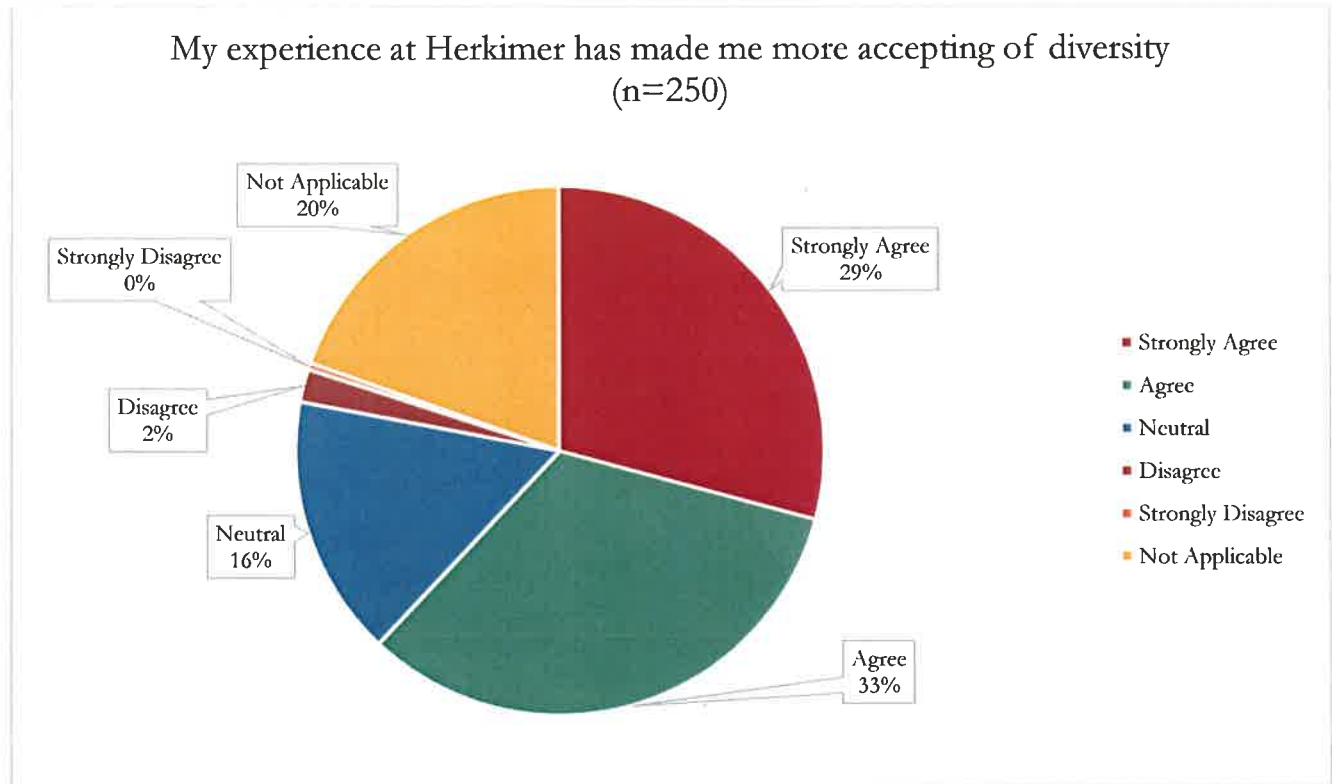
Campus Life

While at Herkimer I felt supported socially as a person and a student (n=248)
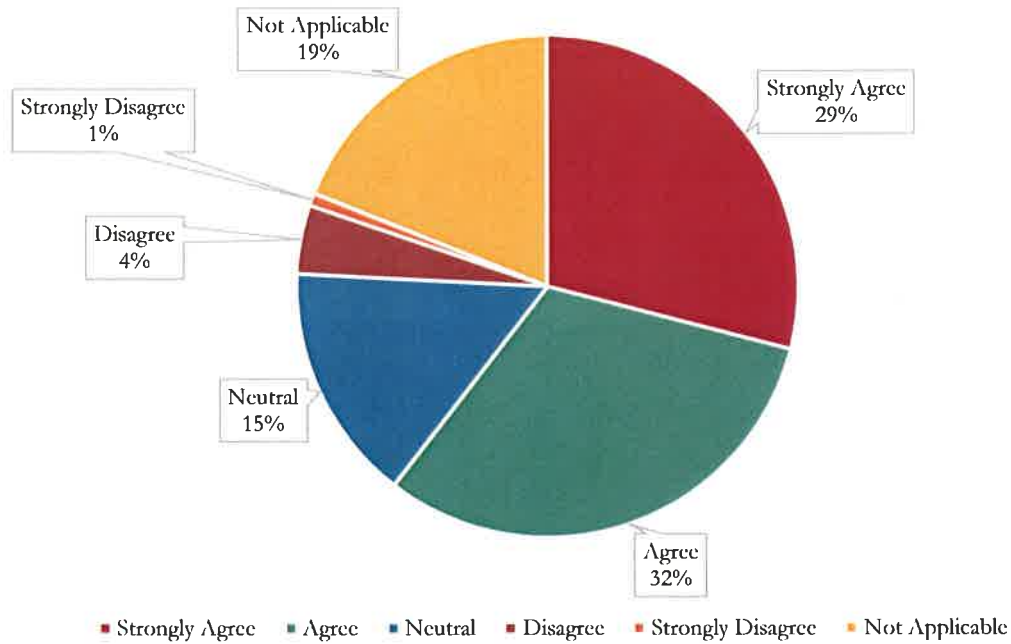
61% of students surveyed felt they were supported socially as a person and a student. This survey provided a Not Applicable option for students that attend online only.

Source: May 2015 Graduating Senior Survey

Institutional Culture

My experience at Herkimer has made me more accepting of diversity
(n=250)

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- Not Applicable

62% of students surveyed believed that their experience at Herkimer College has made them more accepting of diversity. This survey provided a Not Applicable option for students that attend online only.

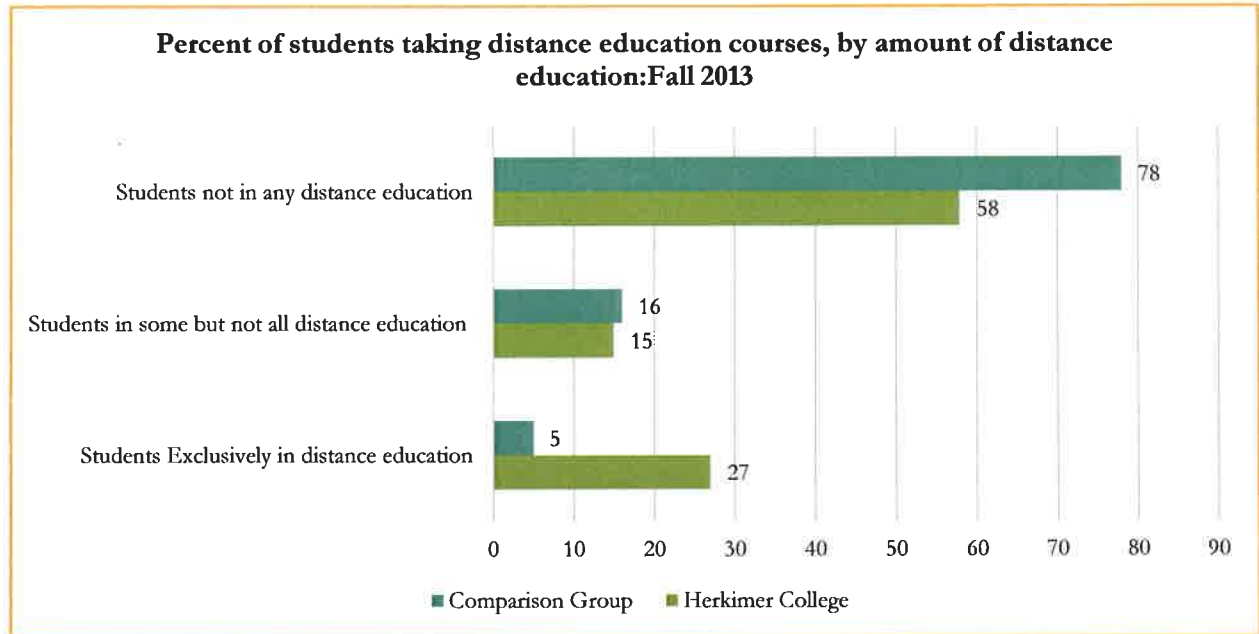Source: May 2015 Graduating Senior Survey

Operational Sustainability

Year End Unrestricted Unreserved Fund Balance as a percent of the succeeding year budget
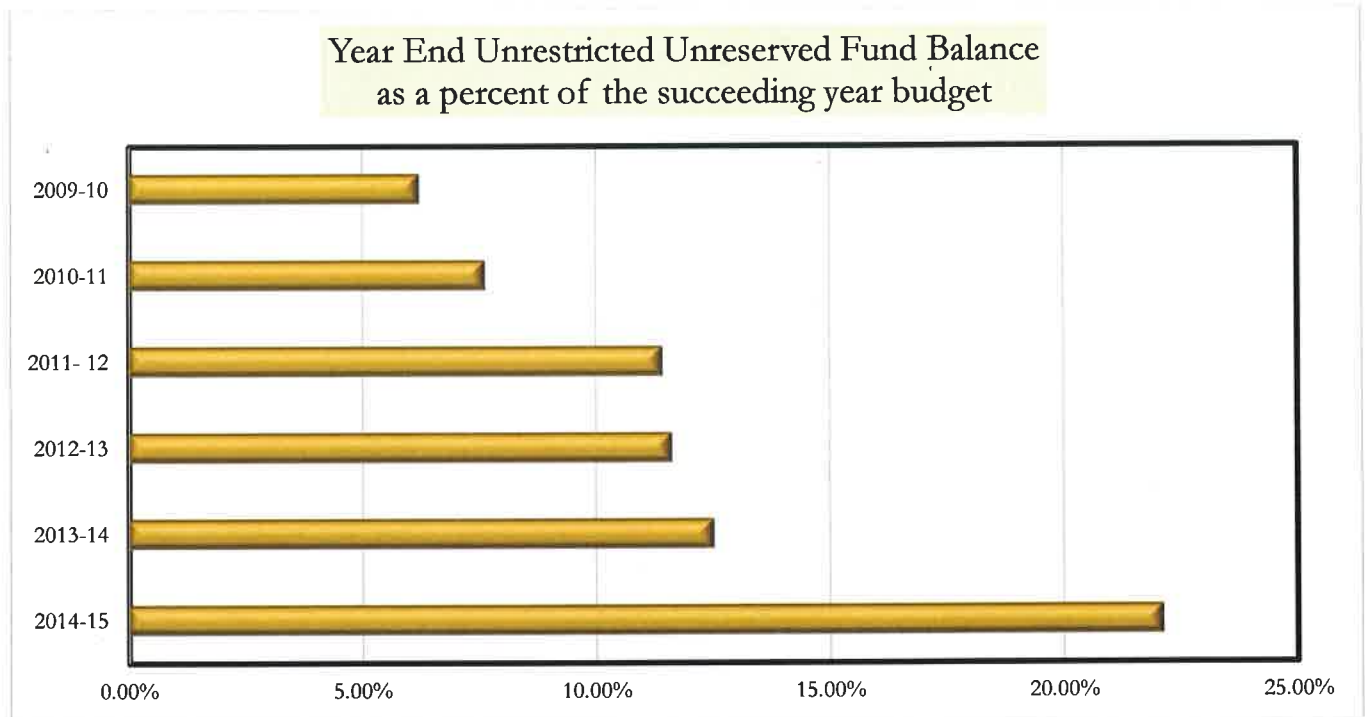
The 2014-15 growth was so large because several reserved portions of the fund balance were brought into the unreserved "ranks" in order to be made available for use in the FY 16 budget and years after. Operating fund balance provides: 1) cash flow for when revenues are not received in time to pay expenses during the year and 2) flexibility for when revenue derived from enrollment doesn't keep up with expenses.

Source: Office of Controller

Operational Sustainability

Percent of students taking distance education courses, by amount of distance education:Fall 2013

- Students not in any distance education: Comparison Group 78, Herkimer College 58
- Students in some but not all distance education: Comparison Group 16, Herkimer College 15
- Students Exclusively in distance education: Comparison Group 5, Herkimer College 27

Legend: ■ Comparison Group ■ Herkimer College

Herkimer College has remained above the comparison group for students taking distance education courses exclusively.

Source: 2014 IPEDS Data Feedback Report

Outreach & Community Relations

Rooms booked through Community Education by Off-Campus Groups, annually.
(Source: Office of Community Education)

Rooms Booked by Off-Campus Groups
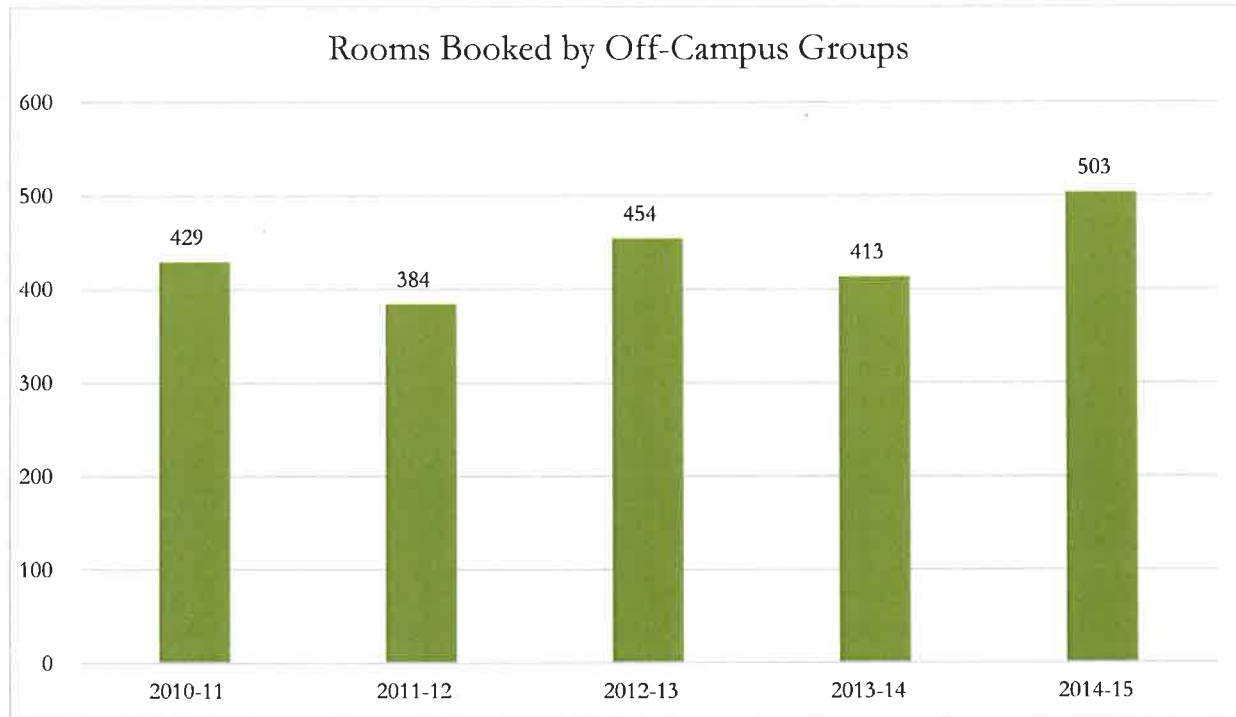
This chart depicts the number of rooms booked by Off-Campus groups over a five-year time span. This is in keeping with our Strategic Plan Goal 5 "Outreach & Community- Cultivate mutually beneficial relationships within the community and enhance the image of Herkimer College." The increased use of our campus may help support the objective outlined in the Strategic Plan.

Source: The Office of Community Education

HERKIMER COUNTY COMMUNITY COLLEGE

CAMPUS BRIEFS

PERSONNEL UPDATES

New Employees:

Joshua Rivera, Building Maintenance Helper (part-time)

Keith Heinrich, Academic Support Center Specialist/CTE (part-time)

Edris Noori, Network Administrator

Retirements:

Della Smith, Account Clerk Typist, Financial Aid

EXECUTIVE COUNCIL UPDATES:

Academics:

The Fall 2016 academic honors list included 429 students:

President's List (GPA 3.80 or higher) – 164 students
Dean's List (GPA 3.25 – 3.79) – 265 students

Several new retention efforts for international students have been designed and implemented for the 2016-2017 academic year including intake surveys, exit surveys, requiring all 24 Credit hour option students to enroll in ES 132 – Intro to US Culture, as well as in a zero credit structured study course that meets once a week for an hour. Additionally, the International Student Peer Mentor Program connects committed successful second-year student mentors with incoming international students to improve their academic achievement, social competence, and to facilitate smooth adjustment into the Herkimer College community.

Achieving the Dream Grant Update: In addition to being a grant participant working on converting two programs to completely OER (online educational resources), Herkimer College has also been selected as a Research Partner. Our students and instructors will be data sources for a quasi-experimental historical analysis of student success and completion, comparing students who complete four or more OER courses with students who do not.

As of this date, Herkimer has submitted five courses for AtD approval. Four of these courses have been approved, and one approval is pending. Eight additional courses are under development with anticipated AtD approval prior to the fall 2017 semester. It is anticipated that a minimum of 30 online courses will be converted in order to satisfy the grant requirement that students in these two programs have a 100% OER course pathway to degree completion.

Migration to *Generals Online* Learning Management System (LMS) has entered Phase 2. During the fall term, eight additional faculty were trained to be "Uber Pilots." The Uber Pilots will pilot courses in the new system during the spring term, assist in training sessions, and provide troubleshooting support to their colleagues as they transition to the new platform. In Phase 2, 25 courses will be piloted in *Generals Online* for the spring term.

To prepare the campus for the new LMS, the Internet Academy anticipates holding over 40 training sessions. Full cutover to *Generals Online* will take place for the summer 2017 term (all summer courses will be taught in the new LMS). The ANGEL product officially sunsets in June 2017.

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Advisement Center initiatives aimed toward continuing student registration included the wildly popular "Advisement on the Run" every day from 11/29 - 12/20; training of three members (M. Marrotta, S. Powell and J. Louis) of the ASC to conduct basic registrations and schedule adjustments for students in good academic standing; phone calls, emails and text messages to students in good standing to encourage them to register. During the fall students in K. Scanlon's and one of D. Dutcher's sections of FS100 were assigned to Scanlon as student advisees. This gave weekly access to student advisees and fostered an advising/mentoring relationship early on. This resulted in a near perfect pass rate and nearly all students registered on their designated registration date.

Several service excellence sessions were conducted throughout the semester, with the majority of employees attending, including all senior level administrators and their direct reports. In early January, our campus leaders participated in a full day summit to further discuss service excellence and to begin identifying our non-negotiables. Non-negotiables are those behaviors that we identify as imperative to support a culture of service excellence. The service excellence plan will be ongoing, and is a long-term commitment to ensuring a premier experience for our students.
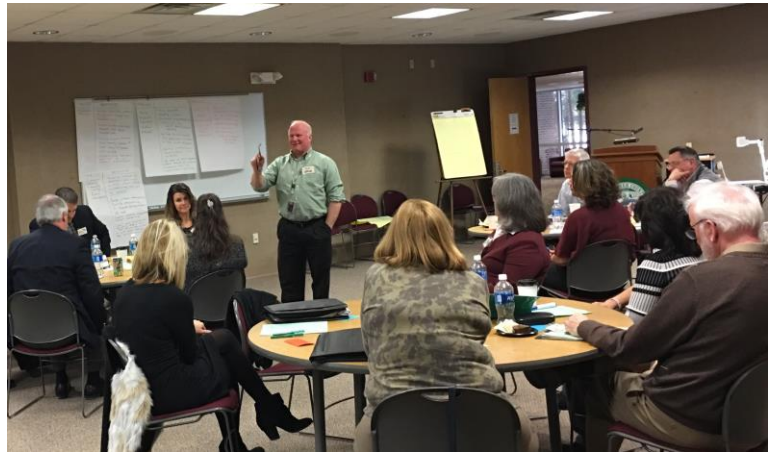
Assessment software Centrieva is being implemented. We are creating a program review trial to begin using the first module of the software; the next will be the Planning module for all unit operational planning and annual reporting. Faculty and academic divisions, all campus units, Executive Council and Board of Trustees will need to create targets (benchmarks). ILO and Gen Ed Outcomes need to be reconciled (SUNY and MSCHE requirements) and perhaps consolidated for more efficient assessment. The Academic Assessment Committee has begun to explore options and has made this a primary agenda item for the semester.

MSCHE Progress Report – MaryAnn Carroll, Karen Ayouch and the Strategic Planning and Institutional Effectiveness Committee are working within a tight timeline on the Middle States Progress Report, which is due April 1st. You may recall that Middle States reaffirmed the institution's accreditation in 2015. At that time, they also requested a progress report on Standards 2, 3 and 7 "documenting further evidence of a systematic and sustained process for institutional assessment including evidence that results are used in planning, resource allocation and renewal..." We will have a more detailed presentation on the progress report at our February meeting.

Several classroom and academic labs were moved and reorganized last semester—with Criminal Justice, Forensic Investigations, Crime and Intelligence Analysis, Music, Childhood Education, and Physical Therapist Assistant all impacted. The new Criminal Justice suite contains a cybersecurity lab with modular type active learning spaces and updated software. Forensic Investigations has an updated teaching lab connected to a lecture type classroom space. The Crime and Intelligence Analysis program has a computer lab/lecture classroom configuration, and the Early Childhood Lab features state-of-the-art adaptive education equipment. The PTA suite expanded into the former Forensic Investigations lab.

"The new PTA space is amazing! Our labs are often very active and require space to move in. Now we can easily switch from lecture, to lab to practice techniques, and then back to lecture without having to move furniture back and forth. Faculty and students love it!!!!" Dr. Cathy Delorme

Enrollment Management

Admissions Office Outreach (as of January 13, 2017)
- Number of additional Instant Admit Days (since November 15, 2016): 29
- Number of new applications from Instant Admit outreach for Fall 2017: 311
- Number of additional Group Visits to the College (since November 15, 2016): 4

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- Number of additional College Fairs (since November 15, 2016): 5
- Hosted Herkimer County High School Counselors Meeting December 7, 2016
- Senior Admissions Assistant Amber Stone attended a Career Fair in collaboration with the Literacy Zone, New York State Department of Labor and Herkimer Working Solutions on December 9, 2016 on behalf of the College
- Attended Utica School of Commerce Transfer Day, December 20, 2016 (Utica campus) and December 21, 2016 (Canastota campus)
- Senior Admissions Assistant Clare Burth participated on a College Panel at Sharon Springs High School, January 13, 2017
- Instant Admit Week January 9–14
- "Herkimer College Preview Nights" in NYC and Albany, NY
- Saturday Information Sessions (since November 15, 2016):
  Number of students who attended December 10, 2016: 57
  Number of students anticipated for January 14, 2017: 4 families registered (a/o January 13, 2017)
- Spring START Days January 14 and January 18, 2017: 49 students registered
- Express Enrollment Day January 20, 2017: 20 students registered
- General Web Inquiries: 113
- Admissions page Web Inquiries: 103
- Request to Returns since November 15, 2016: 87 (please note, not all inquiries are eligible for return based on a variety of factors such as academic standing and outstanding holds)
- Preliminary meetings held with SUNY Polytechnic Institute, Cazenovia College, and Wells College to discuss current partnerships and expand new articulations or dual enrollment opportunities
- Multiple text/voice messaging and social media campaigns to promote Spring 2017 registrations (new and continuing students). Campus-wide collaboration to communicate with students through multifaceted media plan to boost FTE.

Financial Aid Outreach
- Attendance at SUYFAP Financial Aid Directors Meeting at SUNY Administration
- Executed our dismissal appeal evaluations and notification process
- Completed student notification process of TAP ineligibility related to academic standing or SAP (Satisfactory Academic Progress) in accordance of NYS guidelines
- Met with the Physical Therapist Assistant (PTA) review team to assist in the evaluation of accreditation in relation to aid
- Participated in 4 professional development webinars

Administration and Finance

- Hired (1) 19-hour Housekeeping Staff.
- Various meetings with Envisions Architects and baseline evaluation tours have taken place (campus master plan).
- All maintenance staff received safety training and Service Excellence training.
- The NYPA Grant project is moving forward and will soon be in the design stages.
- Beginning phases of Wireless upgrade process for the main campus.
- Firewall for housing.
- Phone system being updated.

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Public Relations

- We completed 2.5 days of on-camera interviews and B-roll shooting for several new TV commercials/videos. The first of the spots will be completed and in use by early February.
- Recent advertising/promotional campaigns completed: Herkimer County Science Fair, Preview Nights in Albany and NYC, Winter Mini, Spring Registration and Instant Admit Week. Campaigns for spring open house and the spring Great Artists Series concert are in development.
- Current/upcoming sponsorships: YWCA Salute to Outstanding Women (silver sponsor), Herkimer County Chamber of Commerce Small Business Week (title sponsor). Program ads include Coliseum Soccer Club dinner and CVA Drama Club Seussical the Musical.
- Special anniversary edition of Connections, with 2015-16 annual report included, is in progress with delivery expected in late January.
- Herkimer College Night with the Utica Comets is scheduled for Friday, February 24. We will sell tickets for a block of seats beginning February 1st. Herkimer College will be recognized for its 50th anniversary during the game, and Herkimer College anniversary t-shirts will be given out as a promotional item.
- The new texting service has been used for several communications in addition to use by Admissions. We had 350 scholarship applications prior to a group text reminder on December 29. The number of applications increased by 80 between December 29th and December 31st (application deadline). Additionally, we sent spring registration texts weekly during the month of January to non-registered students. The texting service is also being utilized to notify Fitness Center members of closures/delays.

Student Affairs

There are 563 students in campus housing for the spring semester.

The Office of Student Leadership & Engagement will be sponsoring the below listed programs:
- February 3rd – Acapella performance by group "Kazual"
- February 15th – Chamber music theater work by "Of Ebony Embers" (Vignettes of the Harlem Renaissance)
- March 2nd – Women's History Month production of "Petticoats of Steel"
- March 9th – African-American Storyteller Dylan Pritchett

The Counseling Center will be sponsoring several programs:
- February 9th – "They Call Me Q" – journey of an Indian immigrant growing up in Boogie Down Bronx
- February 14th – Have a Heart for Human Rights (in collaboration with Amnesty International)
- February 16th – Kicking My Blue Genes in the Butt – Broadway Theater & mental health event by Joshua Riverdale

The Counseling Center has developed these sexual assault prevention videos:
- "Put Yourself In A Pair of High Heals" https://youtu.be/cXns4PipW58
- "No More" https://youtu.be/W7yiJ-k6ZDw

A search for a third Residence Life Area Coordinator is in process.

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UPCOMING EVENTS

Kazual: Friday, February 3, 8pm, Sarkus-Busch Theater

Herkimer County Science Fair: Saturday, February 11, 8 am, Gaynor Science Center

Admissions Information Session: Monday, February 20, 9 am,

Herkimer College Night with the Utica Comets: Friday, February 24, 7 pm, Utica Memorial Auditorium

Executive Breakfast with John Zogby: Thursday, March 9

Herkimer County Career Day: Tuesday, March 14, 8-11 am, Gymnasium

Career Fair: Thursday, March 23, 11:30 am, RMCC Upper Lobby

Open House: Saturday, March 25, 8:30 am, RMCC

Robert H. Wood Great Artist Series Presents Turtle Island Quartet: Friday, March 31, 7 pm, Sarkus-Busch Theater

Spring Transfer Fair: Tuesday, April 4, 1 pm, RMCC Upper Lobby

Phi Theta Kappa Induction Ceremony: Tuesday, April 25, 5:30 pm, RMCC 288

50th Anniversary Gala: Saturday, April 29, 7:00 pm, Robert McLaughlin College Center

ASSESSMENT BYTES

Institutional Effectiveness Newsletter   September 2016

New Academic Year. New Format.

The new Assessment Bytes Newsletter has changed its face and content in an effort to accommodate the multiple facets of Institutional Effectiveness, including: assessment of student learning outcomes, academic and co-curricular programs, functional area units, institutional assessment, strategic and operational planning and matters of accreditation. Future editions will include data, assessment tips, quality improvement stories and service excellence highlights. The IE Office welcomes input from faculty and staff. If you would like to submit information or your assessment and improvement story for the AB Newsletter, send it to ie@herkimer.edu.

FAQs

If you have any questions regarding institutional effectiveness: planning, assessment or data, send them to: ie@herkimer.edu

Q. Why must we do assessment?

A: See Professor Socolof's haiku in the right column.

Q. When will Herkimer's assessment procedures be updated?

A: The College has acquired Centrieva's Academic Effect software, which is in the process of being prepared for full adoption this year. Therefore, all departments will be participating in new procedures, as needed, for assessment of SLOs, operational and strategic planning and accreditation. Workshop training will be scheduled beginning this semester with Strategic Planning and accreditation, and next semester for SLO Assessment updates.

Assessment; quo est?

Just Quality Assurance

By another name.

-Kalman Socolof
Professor,
Communiat6ion Arts:
Radio-Television Broadcasting

One of many beautiful views from campus!

In This Issue

- Academic Assessment Committee leadership

- An Assessment Story

- Strategic Planning

- Accreditation Station

- Data Bits

Happy 50th Anniversary, Herkimer College!

Strategic Planning

SP + Assessment + IR = IE

Strategic Planning includes Critical Success Factors that guide the integration of master plans, such as Resource Allocation, Enrollment Management and Marketing, Academic Affairs, Student Affairs and Facilities **+**

Assessment of Student Learning Outcomes at course, program and institutional levels, and instructional and non-instructional unit assessments **+**

Institutional Research that provides data and analysis from internal and external assessment sources informs decision making and improvement **=**

Institutional Effectiveness!

Advisement Center assessment champions, Katie Scanlon and Jackie Harrington!

Units

Unit Assessment includes measurement of the quality of departmental initiatives or actions and operational goals, as well as summative assessment and analysis over a longer period of time, as in a 5-year functional area review, also known as Unit Review.   The premise for Unit Review is similar to that of academic Program Review. The Unit Review process takes a big picture look at a Unit/Department by analyzing data trends, goals and opportunities for growth. Several Unit leaders have been meeting to develop the procedures for Herkimer's Unit Review.

An Improvement Story

Every College department or unit has a story to tell. We are all responsible for the operations of an institution that changes lives, provides a living for many and makes a lasting impact on the greater economy of local and regional communities. Our accreditors know that, and expect that we know and tell the story of how that happens successfully. The faculty, staff and administrators at Herkimer identify the evidence to tell the story through the planning and assessment cycle. Unit leader Jackie Harrington, former Director of the Advisement Center, provided this story about how her data informed decisionmaking to improve the practices in the unit.

'Advisement on the Run' is an initiative from the Advisement Center that was started in 2013 to help continuing students get registered for their next-semester's courses without having to go to the Advisement Center, and to capture those students who had not seen their faculty advisors. The Center's staff tried reaching students in a number of locations — the Student Lounge, tables near the Bookstore, outside of the Rec Gym — and assessing each effort, they fount the best response rate tabling outside of the Cafeteria, which they have chosen as their permanent location. Originally offering services at lunchtime from noon to 2:00pm, in Fall 2015 the Advisement Center decided to try adding dinner hours as well (5-7pm) and found a significant increase in student participation from previous years, achieving a 113 student increase over Fall 2013 numbers, and a 90 student increase over Fall 2014.

Academic Assessment Committee

The Academic Assessment Committee was co-chaired by Jennifer Herzog and Maryann Wrinn last year, but after two years, Jen Herzog is stepping down. Thank you, Jen!

Lindsey Taube will be joining Maryann in leading the AAC, which will be adding to its membership this year.

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HERKIMER ASSESSMENT HIGHLIGHTED at ANNY

Herkimer College assessment and IE practices were highlighted as Mary Ann Carroll and Karen Ayouch presented two conference sessions at the ANNY (Assessment Network of New York) Annual Conference at Buffalo University in April. One session presented Herkimer's focus group research successes, while the other told the Quality Team planning success story of how Herkimer's staff pulled together to establish IE practices for campus wide improvements that lead to renewed accreditation.

Quality Team Celebration, Poster Day, March 2015. More assessment champions— Professor Cynthia Gabriel and Director of Financial Aid, Susan Tripp.

Accreditation Station

Accreditation Team — The Accreditation Team is a work group branch of the Strategic Planning and Institutional Effectiveness Committee. The group has begun its journey through the new MSCHE Standards of Excellence in creating a document roadmap that will prepare the College for the next full self-study process that will begin in 2017, with the report due during the 2019-20 year.

Progress Report.— The ad hoc Progress Report team is also a work group branch of the SPIE Committee. The group is working on the Progress Report due to MSCHE on April 1, 2017, regarding Standards: 2—Planning, Resource Allocation and Institutional Renewal, 3—Institutional Resources, and 7 — Institutional Assessment. The Commission is expecting documentation of *"further evidence of a systematic and sustained process of institutional assessment including evidence that results are used in planning, resource allocation and renewal and to gain improvements in the total range of programs and services."*

Compliance Team — The Compliance Team is also working to build a document roadmap. The group will report out to the SPIE Committee on its progress. This is a proactive effort to establish good accreditation practices prior to an accreditation report addressing compliance.

An "Accreditation Academy" will be established at Herkimer to address interpretation of new MSCHE Standards, and to ensure proper fulfillment of requirements under the new process change that includes: an eight year cycle, an annual institutional update (AIU), a mid-point peer review of AIUs (no PRR), and a full self-study to punctuate the cycle. More information will follow.

Herkimer's accreditation status is critical to more than 70% of our students who receive financial aid. As we fulfill our mission and remain student-centered per MSCHE standards, we are providing our students with the best opportunities to be successful.

Data Bits

The IR Department and the Survey Committee have worked together to improve college surveys, adding and deleting questions for relevance, and instituting new surveys to better answer the questions that will most impact decisions regarding student success. Surveys added: Continuing Student Survey between the student's first and 2nd year, offering the Entering Student Survey in both spring and fall, and changed the population for graduating senior survey by adding a survey at the end of every semester, which has cause d a significant change in the response rate.

Tidbits: According to the National Community College Benchmarking Project (NCCBP), Herkimer was rated in the top percentile for: percentage of first-time full -time student completion rates and transfer rates for both the 3 year and 6 year time periods, next-term persistence rate, and the ratio of minority students taking credit class to the minority population of the service area.

All data will tell a story, though data itself is neutral. The purpose of the Institutional Research Office and Office of IE is to give you data and story pieces that will help you improve your planning, outcomes and service excellence.

Look for research results during the upcoming Service Excellence and Communication Plan roll out: *Student Success* definition results, premier 2-year college experience, and communication focus groups/questionnaire results.

Data Bits provided by Institutional Research Office—Karen Ayouch, Director, ext. 8267

Contact Us

Call or visit the IE office for information about:

- Assessment—Academic SLOs, Unit, Program, and Institutional

- Strategic and Operational Planning and Improvement

Mary Ann Carroll, Assistant Dean of Academic Affairs, Assessment & Institutional Effectiveness
CA 234a, ext. 8732

Rebeccah Socolof, Research Assistant
CA 234 , ext. 8924

Health Service Management Tech. AAS

PROGRAM PRIORITIZATION
OFFICE OF INSTITUTIONAL RESEARCH

Criterion One: External Need and Viability of the Program

Factors	Data Source	Scoring

Workforce Demand – Current and 7-year forecast	▪ Chmura Data Source	▪ Regional Job Analysis
		  1 = positive demand
		  0 = negative demand
		
		▪ State Job Analysis
		  1 = positive demand
		  0 = negative demand
		
		▪ Transfer Opportunities
		  2 = 5+ transfer agreements
		  1 = 1-5 transfer agreements
		  0 = no transfer agreements

Level of competition with colleges within a 100-mile radius	▪ SUNY Business Analytics	▪ Level of Competition
		  2 = 1 or fewer programs
		  1 = 2-4 programs
		  0 = 5 or more programs

Factor	Data Source	Score
Regional Job Analysis	Chmura Data Source	0
State Job Analysis	Chmura Data Source	1
Transfer Opportunities	www.herkimer.edu 1617 Herkimer College Catalog	1
Level of Competition	SUNY Business Analytics – Academic Programs	2
	Subtotal	4/6

Regional Job Analysis: See Occupation Reports
State Job Analysis: See Occupation Reports
Transfer Opportunities: Transfer Agreement (website): Berkley College
Level of Competition: none

Criterion Two: Quality of Program Inputs and Processes

Factors	Data Source	Scoring

Status of program in relationship to external mandates	▪ Internal Verification of Academic Program Review	▪ Five Year Program Review
		   2 = completed
		   1 = completed w/in "grace" period
		   0 = not completed
		
		▪ Mid-cycle report
		   1 = completed
		   0 = not completed

Factor	Data Source	Score
Five Year Program Review	Mary Ann Carroll	1
Mid-cycle report	Mary Ann Carroll	n/a
	Subtotal	1/2

Five Year Program Review
Last Program Review Date: 2010-11
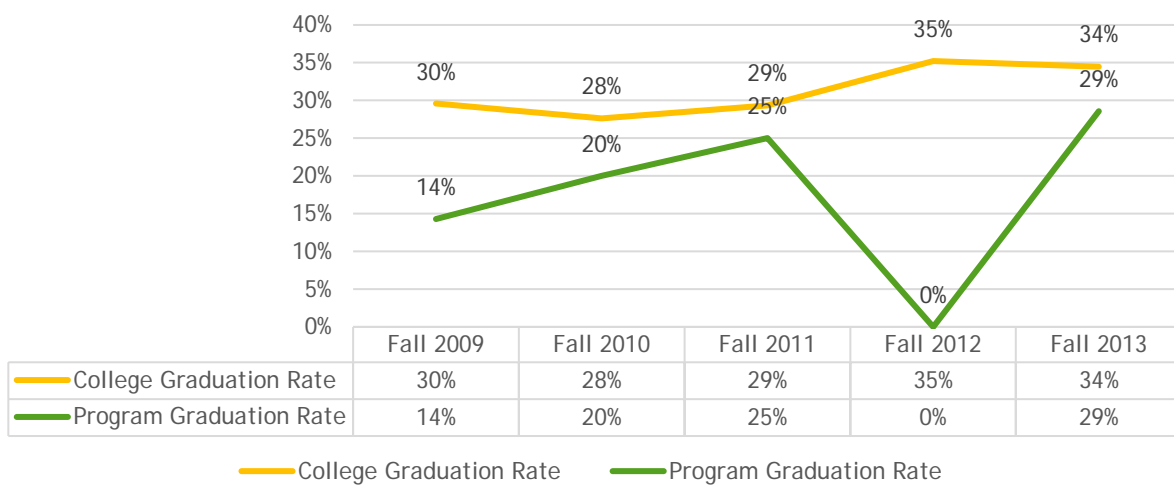Current Status: In Grace
Confirmed on: 10/12/16

Mid-Cycle Review
Last Program Review Date:
Current Status:
Confirmed on:

** Mid-Cycle reviews were in development and one was not requested from this program.
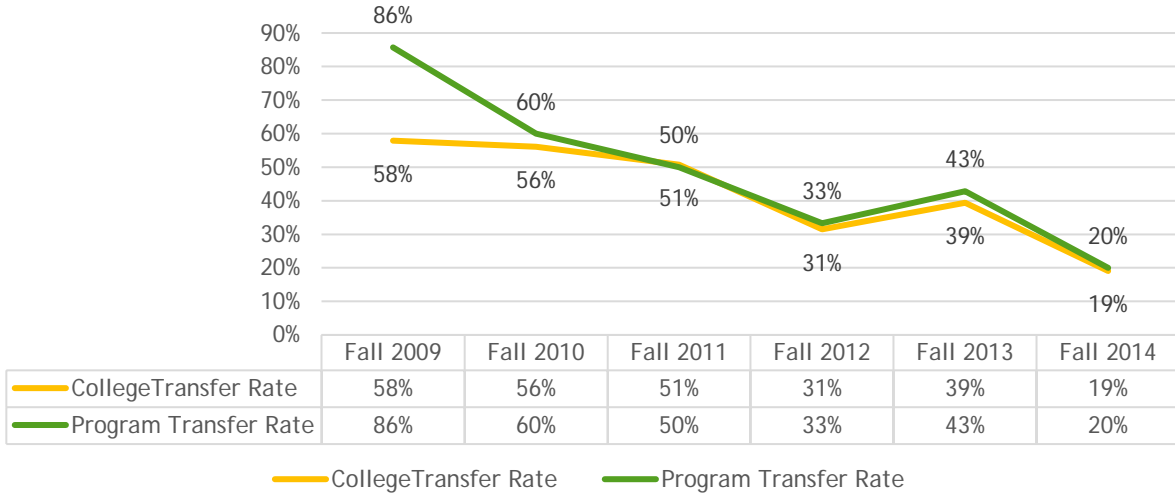
Criterion Three: Quality of Program Outcomes

Factors	Data Source	Scoring
Five-year program's graduation rates as compared to institution's rate (5-year trend analysis)	▪ Office of Institutional Research	▪ 5-year graduation rates 2 = consistently surpasses college rate 1 = sometimes surpasses college rate 0 = consistently below college rate
Transfer out rate as compared to overall college transfer out rate (5-year trend analysis)	▪ Office of Institutional Research	▪ Transfer out rates 2 = consistently surpasses college rate 1 = sometimes surpasses college rate 0 = consistently below college rate
Program retention rate as compared to overall college retention rate (5-year trend analysis)	▪ Office of Institutional Research	▪ Fall to Fall 2 = consistently surpasses college rate 1 = sometimes surpasses college rate 0 = consistently below college rate
Factor	**Data Source**	**Score**
5 Year Graduation Rate Comparison to College	▪ Official Data Tables	0
5 Year Transfer Rate Comparison to College	▪ Official Data Tables/ NSLDS Data	1
5 Year Retention Rate Comparison to College	▪ Official Data Tables	1
	Subtotal	2/6

5-Year Graduation Rate Comparison
BUS: Health Service Management with Overall College

	Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013
College Graduation Rate	30%	28%	29%	35%	34%
Program Graduation Rate	14%	20%	25%	0%	29%

- ▪ Initial Cohort: First-Time Full-Time Freshman
- ▪ Graduation Rate Comparison: Within 150% of normal time

5-Year Transfer Rate Comparison
BUS: Health Service Management with Overall College

	Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014
CollegeTransfer Rate	58%	56%	51%	31%	39%	19%
Program Transfer Rate	86%	60%	50%	33%	43%	20%

— CollegeTransfer Rate — Program Transfer Rate

- Initial Cohort: First-Time Full-Time Freshman
- Transfer Rate Comparison: Using historic NSLDS data collected primarily based on graduate population.

5-Year Retention Rate Comparison
BUS: Health Service Management with Overall College

	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014
College Retention Rate	50%	54%	58%	55%	59%
Program Retention Rate	40%	25%	0%	57%	40%

— College Retention Rate — Program Retention Rate
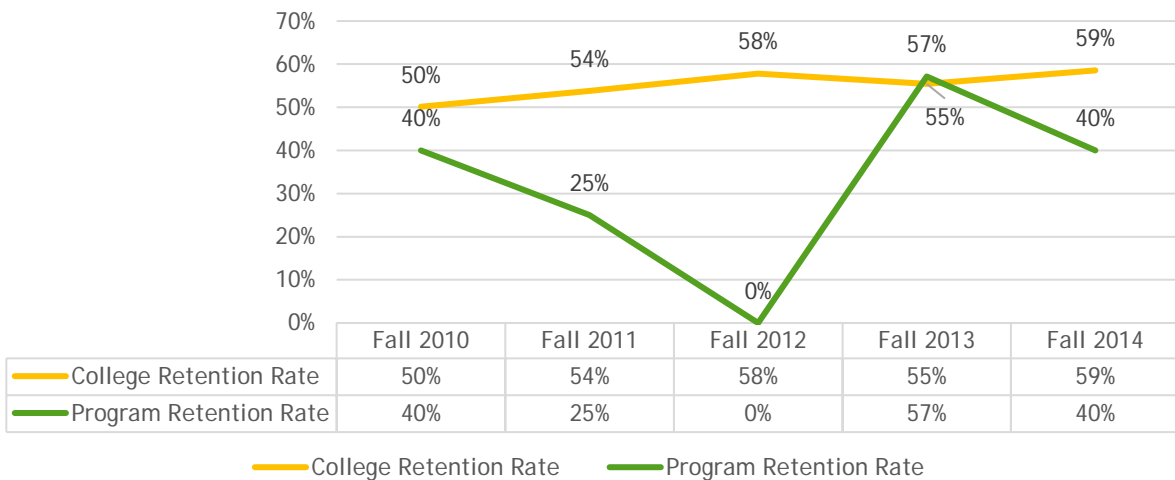
- Initial Cohort: First-Time Full-Time Freshman
- Retention Rate Comparison: Retained following Fall Semester

Criterion Four: Size and Scope

Factors	Data Source	Scoring
Program enrollment as compared to institutional enrollment (5-year trend analysis)	▪ Official Data Tables	▪ Enrollment 2 = consistently surpasses institutional rate 1 = sometimes surpasses institutional rate 0 = consistently below institutional rate

Factor	Data Source	Score
5-Year Enrollment Increase/Decrease Trends	▪ Official Data Tables	1
	Subtotal	1/2

5-Year Enrollment Trend Comparison
BUS: Health Service Management with Overall College

	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015
College Enrollment % Increase/Decrease	-10%	-10%	-16%	2%	-4%
Program Enrollment % Increase/Decrease	43%	-20%	25%	10%	-45%

— College Enrollment % Increase/Decrease   — Program Enrollment % Increase/Decrease
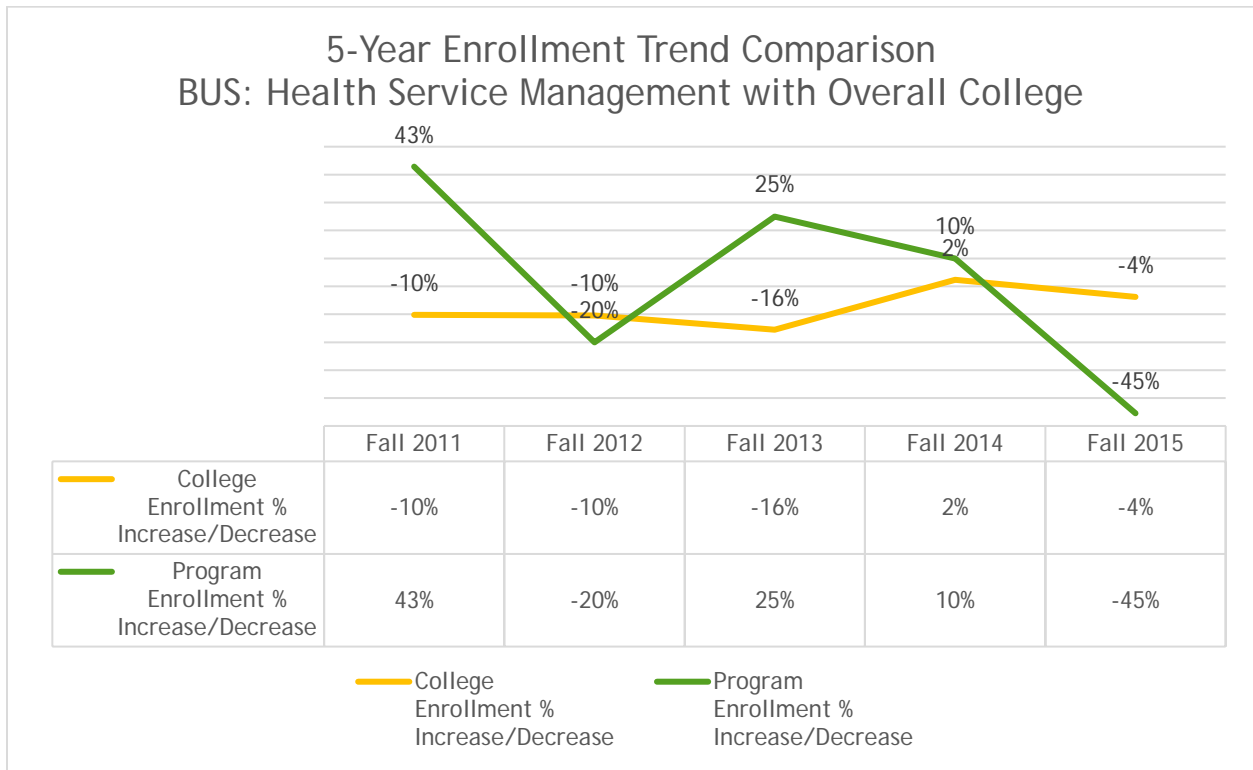
- ▪ Initial Cohort: Student Enrollment (excluding College Now and Continuing Education)
- ▪ Enrollment Increase/Decrease Comparison: Based on previous year enrollment data.

Criterion Five: Revenue and Expenditures of the Program

Factors	Data Source	Scoring
Net revenue generated as percentage of direct costs	▪ Office of Controller – "Cost of Curriculum Study"	▪ Cost 2 = revenue exceeds cost 1 = revenue neutral 0 = costs exceed revenue

Factor	Source	Score
Revenue Generated	Cost of Curriculum Study	2
	Subtotal	2/2

Health Services Management Technology (A.A.S.)				
2014-2015				
			Rate per	
		Credit	**Credit**	**Total**
	Department	**Hours**	**Hour**	**Cost**
1st Year				
	Business	9	308.24	2,774
	English / Literature	6	291.03	1,746
	Freshman Seminar	1	39.80	40
	Health Services Mgmt.	6	257.17	1,543
	Physical Education	1	410.20	410
	Science	3	368.50	1,105
	Mathematics	3	275.19	826
	Information Science	3	387.48	1,162

		32		9,606
2nd Year				
	Human Resource Mgmt	3	252.92	759
	English / Literature	3	291.03	873
	Health Services Mgmt.	6	257.17	1,543
	Business	9	308.24	2,774
	Information Science	1	387.48	387
	Physical Education	1	410.20	410
	Medical Transcription	3	364.70	1,094
	Social Science	6	275.45	1,653
		32		9,493
Grand Total Expense		**64**		**19,099**
Credit Hours for the Program			64.00	
Multiplied by per Credit Hour revenue			299.36	
Revenue for the Program				$ 19,159

Executive Summary – Analysis of Program

Criterion Number	Score	Max Score
Criterion One	4	6
Criterion Two	1	2
Criterion Three	1	6
Criterion Four	1	2
Total	7	16

Criterion Number	Score	Max Score
Criterion Five	2	2
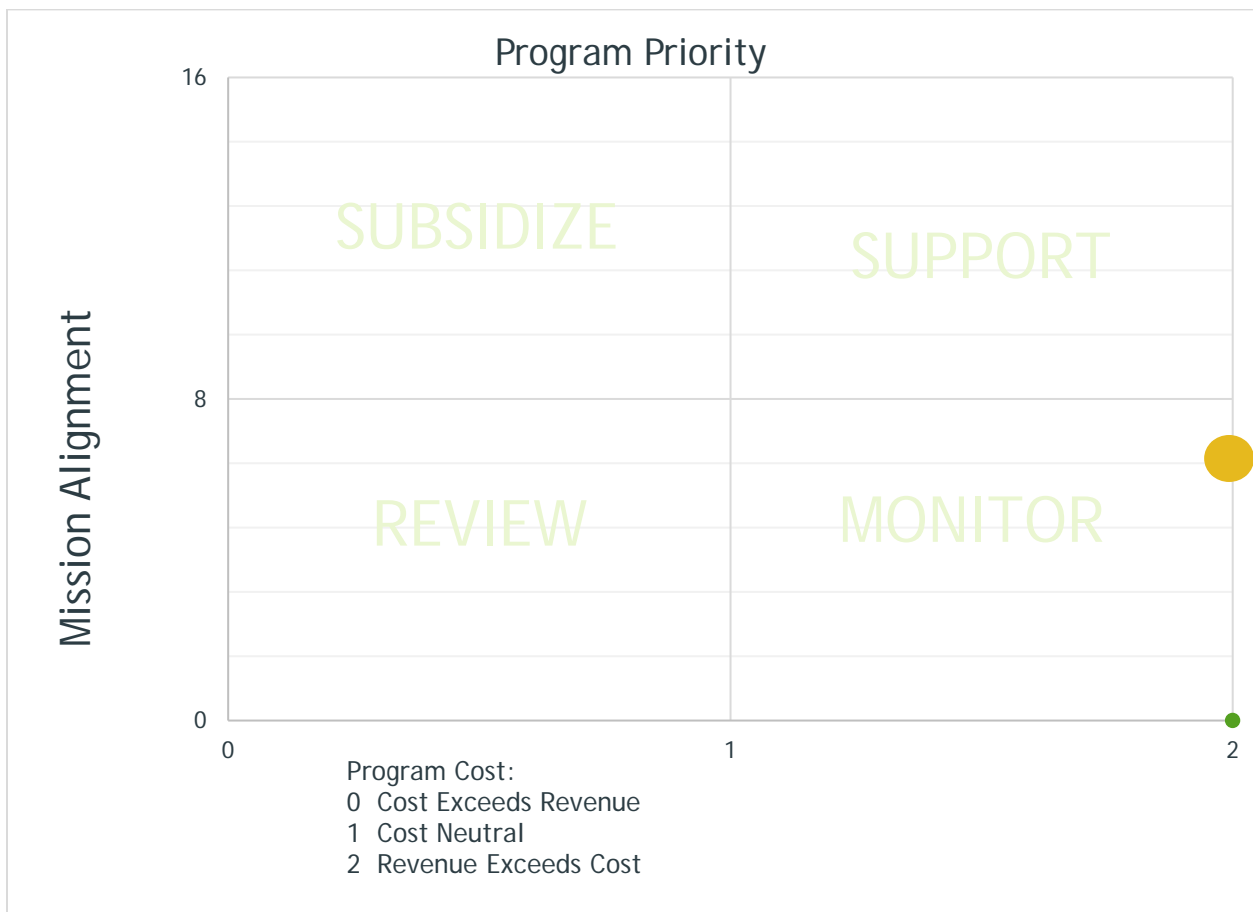
Program Priority

Mission Alignment (y-axis, 0 to 16)

SUBSIDIZE   SUPPORT

REVIEW   MONITOR

Program Cost:
0 Cost Exceeds Revenue
1 Cost Neutral
2 Revenue Exceeds Cost

History, External Needs and Viability of the Program
- What are the primary goals of the program (transfer or immediate employment)?
- What is the local demand for graduates of the program?
- What is the statewide demand for graduates of the program?
- What is the balance between the number of annual graduates and the workforce demand?
- Local level   -- Statewide level
- How many transfer agreements are currently established?

Internal Demand for Program
- What is the internal demand for courses (credit hours) that are offered in the program to other majors?
- To what degree does this program rely on courses offered by another major/discipline?
- Describe any special or unique demands for this program/department's services by other areas of the institution.

Enrollment
- Has the program been growing, declining, or remaining stable over the past five years?
- What factors may have contributed to increasing or decreasing enrollment?
- What is the capacity of the program to increase enrollment without additional resources?
- What additional resources are needed to increase enrollment to the program?
- Is there an opportunity for consolidation or restructuring the program

Quality of Program
- What is the full-time vs. part-time faculty ratio of courses/selection taught in the discipline?
- What is the status of the program in relationship to external accreditation?
- If externally accredited, does the program meet or exceed national standards
- Provide rationale for not seeking external accreditation
- How recently has the curriculum been reviewed and/or updated?
- Is the program one of the SUNY transfer pathways?
- If yes, is it in compliance with the required coursework?
- What is the last date that the program completed the 5-year Program Review?
- What is the status of recommendations from previous 5-year Program Review?
- How often does the program's Advisory Committee meet?
- What is the status of recommendations from Advisory Committee?
- What additional resources are required to enhance the quality of the program?

Student Completion
- Has the program's retention rate been increasing, decreasing, or remain stable over the past five years?
- Are there any program specific courses that have a low ($\leq 50\%$) success rate?
- If yes, which courses?
- Are there support services in place for courses within the program (ie. tutoring)?
- Do the discipline specific courses have the appropriate pre-requisites/co-requisites (including high school courses)?
- Are pre-requisites recorded in the Banner database and are they observed?
- How recently has the sequencing of the discipline specific courses been reviewed?
- What changes have been made based on this review?

Revenue and Expenditures of the Program
- In addition to tuition, what other sources of revenue are generated by the program?
  --Restricted donations   -- Grants   -- Scholarships   -- Donations of equipment/materials
- What is the potential for additional revenue?

Opportunities
- How could this program be revised in order to enhance or strengthen it?
- What additional information could be helpful to the review process?

References

Dickeson, R. C. (2010). *Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance.* San Francisco: Jossey-Bass.

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2018 Budget Preparation

Things to Remember:

- Any item(s) that cause your budget request to exceed your approved total budget for FY 2017 and **ALL** equipment requests, must be requested through the Resource Allocation Committee by **February 19, 2017**

- An item qualifies as equipment if one unit costs $5000 or more.

- Resource Allocation Committee requests are due **February 19, 2017**

- Complete the required form (found on MyHerkimer) for any computer equipment or software request.

- Provide detail for all expense lines except Office Supplies

- **Draft budgets are due** to your Dean or VP and Controller by **March 10, 2017**

- **Final budgets are due** to your Dean or VP and Controller by **March 24, 2017**

General Information

This notice acts as the official opening of the FY 2018 budget development process. This process ensures that the proposed budget will meet contractual demands, acknowledge fluctuations in enrollment and major revenue sources and ensure that resource allocation is driven by our Strategic Plan, based on our missions and goals and utilizes the results of assessment activities.

Department budgets, as a whole, must contain no more total dollars than approved for FY 2017. The only exception is for those items that are mandatory and price increases are not of your control. When developing your requests, you should be checking them against historical actual expenditures to ensure reasonableness. The actual expenditures for FY 2015 and FY 2016 have been included on the Budget Summary page of your department(s) for your reference.

Any item(s) you are requesting which causes your total budget to exceed the approved total for FY 2017 must be submitted to the Resource Allocation Committee. Please see instructions on page 2 of this document.

As in previous cycles, for all computer technology requests you will need to complete a Request for Hardware/Software Acquisition form found on MyHerkimer. Completed forms will be reviewed by the Information Services department to ensure that your requests can be supported by the college's computer services infrastructure and personnel.

If you have a recommendation for new student or other fees, or a change to any existing fee, please submit a full proposal. Include in this proposal the purpose of the fee, the amount and total projected revenue.

Please keep in mind that there will be no opportunity for additional requests after the final submission date so be mindful of the **final deadline of March 24, 2017.** Final budgets not received by that date will be rolled over from the FY 2017 budget including only routine items.

If you are new to this process, or have any questions, please contact Jackie Woudenberg for assistance.

Timeline

2/10/2017 Distribution of Budget materials.

2/24/2017 Resource Allocation Committee Requests Due

3/10/2017 **Preliminary** Submissions due to Deans/VP AND Controller

3/24/2017 **FINAL** requests due to the Controller

3/24/2017 **E**nrollment budget due

3/31/2017 Resource Allocation Committee ratings due to Budget Committee

April 2017 Budget Committee Hearings

4/26/2017 Tuition and Fees Established by Board of Trustees

June 2017 Presentation to County Committees

Resource Allocation Committee Requests

Items that are being requested, that cause your budget to exceed the approved budget for FY 2017, as well as ALL equipment requests, must be submitted to the Resource Allocation Committee. The ONLY exception to this is for mandatory contracts that are increasing outside your control (for example, the elevator service contract). If there are price increases to non-mandatory items that you wish to continue, you will need to accommodate those price increases through reductions in other areas of your budget. If that is not possible, you will need to make the request through the Resource Allocation Committee.

Please see the forms and timeline of the Resource Allocation Committee attached to the budget call email and also found on MyHerkimer. Committee requests are to be submitted directly to Julie Lewis.

General Instructions

- Make a backup copy of your worksheets saved to your M: drive
- All math will be calculated by the worksheets
- It is not necessary to send printed copies of the budget to the Controller. Send only the Excel files and any other electronic documentation you need to provide
- Forward all Resource Allocation Committee requests to Julie Lewis.

General Worksheet Instructions

In each department workbook, you will see tabs across the bottom of the screen as long as you have the workbook maximized on your screen.

The arrow buttons found above the word "Ready" at the bottom of the screen will allow you to scroll the tabs.

You will be able to input data only in those cells that are unprotected. If you try to enter data in a protected cell, you will see an error pop-up window.

Please make sure you use the appropriate sheet within the workbook for the expense you are requesting.

Budget Summary

This is the "cover page", which shows your actual expenditures for FY 2015 & 2016, approved budget for FY 2017 and your request for FY 2018.

No changes by you are necessary on this page. The program will automatically update it for you.

When completing your budget, please review prior years' expenses and what has been expended so far this year to determine the reasonableness of your request.

Equipment and Other Expenses

Equipment is defined as an item having a unit cost of $5,000 or more. Any item with a unit cost of less than $5,000 is to be included in the appropriate supply line. **All equipment requests are to be made through the Resource Allocation Committee**.

Be sure to include any supplies that accompany an equipment request in the Resource Allocation Committee request.

Computer equipment and software requests must also include a completed Request for Hardware/Software Acquisition Form (found on MyHerkimer).

For supply lines, detail must be provided for all requests except for Office Supplies.

*Are your **budget requests for FY 2018** reasonable based on historical expenses?*

Personal Services

These are the forms to be used for the justification for part-time personal services. Full time returning personnel are budgeted for by the Controller's Office. The total expense request will be automatically placed on the Summary form for you.

DO NOT include any required fringe benefits in your request. These will be budgeted for by the Controller's Office.

Make sure the correct hourly rate is used. If you need assistance, you may contact the Payroll Office and/or Human Resources.

For assistance with your budget preparation, please feel free to contact:

Jackie Woudenberg
Controller
woudenbjj@herkimer.edu Ext 8313

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Resource Allocation Summary Form

Funding Year: _____

Total Amount Requested: _____

Department	Request	$ Amount	Rubric Points	Committee Ranking	Date Met with Budget Committee	Outcome of Request	Notification Date

Committee Comments:

_____

_____

_____

SUNY Performance Improvement Plan
For Herkimer College

Section 1:
Introduction
Herkimer County Community College, most commonly referred to as Herkimer College, has achieved strong graduation and transfer rates, ranking #1 among SUNY community colleges for graduation rates, and earning a ranking among the top 100 community colleges in the nation for student success by CNN Money in 2012. The Herkimer "Generals" athletic program has also earned national level distinction, being the top-ranked athletic program in the nation among two-year non-scholarship athletic programs for the second year. Herkimer placed first to win the 2013-14 and 2014-15 NATYCAA Cup award based on national championship competitions in both men's and women's sports. The College's chapter of Phi Theta Kappa has been sending two or three members a year to the honor society's annual International Convention for the past ten years, and it ranked fourth in the New York Region 2015 Hallmark Awards. Herkimer College places a priority on maintaining its status as an accessible institution of higher learning. Current tuition is an affordable $3,940 per year for in-state residents and $7,000 per year for out-of-state and international students. 80% of Herkimer students receive some form of financial aid. The College also offers high-quality, accredited, on-campus childcare services through its Herkimer College Children's Center for students, faculty, staff, and community members.

Mission / Standing
Herkimer College's mission: To serve our learners by providing high quality, accessible educational opportunities and services in response to the needs of the local and regional communities.

To fulfill this mission, the College emphasizes the following core values:

Community: To foster a collaborative campus environment that promotes civility, creativity, diversity, open communication, social responsibility, and mutual respect among students, faculty, staff, and the public.

Excellence: To encourage all constituencies of the college community to pursue the highest standards of performance in their academic and professional work.

Integrity: To embrace the values of honesty, respect, consistency, diversity and responsibility, in order to provide fair and equal treatment for all.

Opportunity: To provide access to quality, affordable lifelong learning opportunities and to maintain an environment that fosters individual growth and development for all.

As Herkimer College approaches its 50th anniversary year, it is taking stock of its history, assessing its present strengths and challenges, and plotting a course for a strong future, one characterized by even greater student success. The process of preparing our recent *Periodic Review Report* for MSCHE, afforded Herkimer an excellent opportunity to conduct such a self-evaluation. College leaders have identified challenges the College faces, and areas in which it can build on its strengths and successes.

Program Mix / Centers / Distinct Programs or Activities
Herkimer College offers 43 degree programs, 20 of which may be completed entirely online. The College also offers 4 certificate programs on campus and 3 certificate programs completely online. The College's credit-bearing programs are provided through two academic divisions: the Humanities and Social Science Division (HU/SS); and the Business, Health, Science and Technology Division (BHST). Herkimer's distinctive on-campus programs offer students award-winning and innovative opportunities in both traditional classrooms and modern laboratory facilities for science, forensics, photography, audio, video, computers, music, quality assurance for business and science, physical therapy, education, and other certificate, AAS and AS liberal arts and business programs. A full range of support services is available for students on campus and for online students through our renowned Internet Academy.

The College's concurrent enrollment program, College Now, provides regional high school students the opportunity to earn college credit while in high school, credit that may be applied toward a Herkimer degree and transfer to a four-year college or university. College Now credits give high school students an affordable head start on their post-secondary education. Herkimer also offers a diverse assortment of non-credit courses through its Community Education Office.

Herkimer College is proposing a number of innovative features in our SUNY Expanded Investment and Performance Fund grant application for a program that will make Herkimer's EOP unique, including:

- The integration of an early alert retention software solution – a tool that allows a "Student Success" team of faculty advisors, Completion Coaches and others the opportunity to easily monitor and interface with others on the team, in support of the progress of each individual EOP program participant;

- Positioning our program as an economic engine aligned with regional growth plans (2020)/STEM oriented business employee requirements by including shadow opportunities with local businesses as part of this program;

- "Urban Meets Rural" connections designed to support students from different backgrounds to find commonalities while exploring the Mohawk Valley's unique opportunities;

- The integration of service and applied learning opportunities and engagement with local community members;

- The availability of "Wrap Around" Completion Coaches to mentor students from application through graduation and beyond.

Post-Graduation Success
Success of Herkimer College graduates is measured in three areas:

Transfer: We track students when they transfer using the National Student Clearinghouse tracking system and through our Post-Graduate Survey which is distributed one-year after graduation.

Employment Status: We track post-graduate employment success through our Post-Graduate Survey and through our program leaders for the programs that have specific accreditation requirements.

Technical Skills Attainment: We track post-graduate success through our Post-Graduate Survey and through our program leaders for the programs that have specific accreditation requirements.

Alumni/Philanthropy
Alumni relations at Herkimer College are handled through the Herkimer Foundation office. Currently, an Alumni Committee helps to sponsor alumni events, under the guidance of the Foundation Director. The Foundation oversees all philanthropic activity for the college. (See 2.4.11 for more details.)

Strategic Plan / Excels Goals
Goal 1: Strengthen Support for Student Success
Goal Statement: Promote student success through relevant programs and support services within an enriched teaching and learning environment.
Targeted Outcome 1.1: Manage academic programs to ensure continuing relevance and meet academic demand, and advertise/promote the significance of program completion for career success.
Targeted Outcome 1.2: Improve student preparedness/college readiness by expanding programming both on campus and in partnership with regional school districts, and provide academic financial and social support for current students.
Targeted Outcome 1.3: Provide teaching and learning environments that foster excellence and encourage innovation/creativity.

Goal 2: Campus Life
Goal Statement: Provide a rich two-year college experience for all students

Targeted Outcome 2.1: Create a campus climate that embraces diversity, promotes intercultural exchange, and fosters collaboration and civility among faculty, staff, and students.
Targeted Outcome 2.2: Cultivate programs and services that will serve the co-curricular and extracurricular needs of students and community.
Targeted Outcome 2.3: Provide services to increase engagement from non-residential and non-traditional students.
Targeted Outcome 2.4: Ensure the safety of the campus.

Goal 3: Institutional Culture
Goal Statement: Create a more engaged and vibrant campus community.
Targeted Outcome 3.1: Invest in innovative talent and increase faculty involvement in professional development opportunities, including sabbatical leave.
Targeted Outcome 3.2: Ensure the safety of the campus and the security of all its people.
Targeted Outcome 3.3: Pursue enrollment, recruitment, and financial aid plans which promote and support a diverse campus community.
Targeted Outcome 3.4: Provide the resources necessary, including a robust global learning center, for international student success.
Targeted Outcome 3.5: Ensure transparency through the creation and/or maintenance of clear lines of communication from administration to campus constituents.
Targeted Outcomes 3.6: Hold regular meetings at which administrators present the state of the college and take questions from the college community.

Goal 4: Operational Sustainability
Goal Statement: Ensure the operational sustainability of the institution.
Targeted Outcome 4.1: Maintain a sufficient revenue stream to meet expenses and support a responsible fund balance.
Targeted Outcome 4.2: Control expenses by improving efficiency and effectiveness of all departments and ancillaries, and by exercising fiscal discipline of academic and administrative budget managers.
Targeted Outcome 4.3: Identify new sources of revenue and increase philanthropic support.
Targeted Outcome 4.4: Ensure optimum use of existing facilities and properties and update the existing facilities master plan to reflect priorities of the current strategic plan.

Goal 5: Outreach & Community Relations
Goal Statement: Enhance community connections
Targeted Outcome 5.1: Reinforce the positive image of the college and promote its strengths.
Targeted Outcome 5.2: Continue to build and strengthen partnerships with business, educational, governmental and non-profit organizations to support regional economic development.
Targeted Outcome 5.3: Provide opportunities for community engagement and enrichment.

Environmental Factors

Herkimer College is committed to achieving its goals by embracing the knowledge and strengths of its faculty, staff and administrators and harnessing that toward a Quality Improvement initiative across campus. Herkimer created Quality Teams in targeted planning areas. Based on the College's core values, a standard of quality has been created as of August 2014, and is being infused into all unit operations on campus. The Quality improvement initiative supports all planning processes and is used as a foundation for measuring success at the unit level, as well as the institutional level. The Institutional Effectiveness standards are expressed in KPI's, measured and reported annually to align with SUNY goals and expectations. (See Section 3 - Herkimer's Operational Plan in *Summary of Goals and Projected Outcomes*)

Investment Fund

Herkimer College has received approval of its white paper for the SUNY Expanded Investment and Performance Fund and has submitted an EOP proposal.

Section 2: Specific SUNY Excels Priority Areas and Metrics

2.1 Access

1. Full Enrollment Picture

Herkimer College is one of the largest residential community colleges in the State University of New York (SUNY) system, with an average annual enrollment of approximately 3,200 students, with more than 600 living on campus. Herkimer students come from all over New York State, as well as from thirty other states and twenty other countries. International enrollment is robust for a public two-year institution located in a highly rural region of "upstate" New York. In Fall 2014, international students comprised roughly 3% of the College's overall enrollment. Another unique aspect of Herkimer's student body is that, in contrast to the typical pattern at community colleges, Herkimer tends to have a higher percentage of students enrolled full-time than part-time. In addition, our student population tends to be younger with an average age of 23.3 years.   The most recent figures for the College have full-time students at 57.3% of overall enrollment, compared to 42.7% of overall enrollment of part-time students.

Herkimer's commitment to providing access to all is stated in our mission to provide "…accessible educational opportunities and services…". Such access is delivered through: a. On-campus traditional classrooms, b. Online Internet Academy, c. College Now concurrent enrollment program.

Herkimer is continuing its pursuit of enrollment growth to serve students in a variety of delivery modes. However, particular growth in Herkimer's Internet Academy enrollment and the College Now program have been the largest growth areas within the last five years, while on-campus enrollment has decreased. As we think about our Planned Goals for 2018-19 and 2019-20, we support SUNY's system goal of graduates increased to 150,000 per year by 2020, by maintaining our high graduation rate through retention efforts in challenged traditional enrollment areas, while increasing recruitment efforts in untapped markets.

We are expanding our international recruitment into underrepresented countries as well as our domestic recruitment both on campus and online. Support for recruitment efforts includes developing new programs in response to the interests and needs of these new populations. The College will pursue new recruitment initiatives and partnerships with education agencies and organizations in foreign countries.

Herkimer College plans to increase its enrollment using three distinct recruitment strategies:
1.) Employ part time recruiters in several countries to work with regional centers in student recruitment.
2.) Bring the Admissions process to local high schools through the use of Instant Admit Days.
3.) Recruit in surrounding contiguous states.

2. NYS Residents Served by SUNY

Herkimer strives to increase the number of New York State Residents served by our institution, by using new and defined recruitment strategies in expanded areas throughout the state. To recruit NYS students we will use several strategies. The Admissions staff will visit as many high schools as possible, and continue to participate at college fairs. We will recruit most heavily, making more on-site visits and incorporating e-recruitment techniques, in population centers such as Rochester, Albany, Syracuse, Utica, Westchester, and Binghamton. Further expansion of our recruitment in New York City may include hiring recruiters who live in the city to reduce travel time and expense. In particular, we will continue to develop our relationships with Charter schools and Regional Centers. We have identified one of our staff to spend 80% of her time recruiting New York City students.

3. Diversity

Herkimer College continues to strengthen the diversity and cultural competency of students at our institution by offering programs for various student demographic groups on campus and pursuing a diverse faculty and staff. The Human Resources office is offering continuing professional development opportunities for faculty and staff in open training sessions dedicated to cultural competency.

- International Recruitment is expanding into Southwestern China, Ecuador and Panama. We will also continue recruiting students from Japan, South Korea, and Vietnam. It is our goal to expand our international student enrollment to 200 students by fall of 2017.

- More underrepresented minorities (URM) are being recruited from New York City, in partnership with New Visions (non-profit agency that works charter schools).
- We are also expanding our outreach to students with *OnPoint* for College, who now assist URM from the Utica area.
- The Center for Global Learning combines the International Programs Office and English as a Second Language (ESL). This center is not only used by our growing international population, but also by many of our American students.
- Herkimer is viewed at the most diverse community in Herkimer County due to the diverse population on campus (32% URM), within a county that is 97% Caucasian. This exposure to diversity not only facilitates cultural competency among our students, but provides an environment that celebrates and respects difference.
- Continuation of the campus civility initiative, "Herkimer College Chooses Civility," encourages students to respect their fellow students, faculty, & staff by using proper language and behavior that promotes civil critical discourse. This initiative has been in place for five years.
- Cultural competency on campus is promoted through The Center for Student Leadership and Involvement which sponsors student clubs including: Gay Straight Alliance, International Student Association, Amnesty International Club, Campus Christian Fellowship, Women's Club, Black Latino Student Union.

A variety of cultural and educational programs are offered throughout the academic year. Examples include:
- Fashion Show with international theme
- Various Art exhibits in the Cogar Gallery
- "The New Black: LGBT Rights and African American Communities"
- Game Show: "Pop Culture Clash"
- Black History Month: "Then & Now" with Patrick Johnson
- "They Built America" A presentation about the Erie Canal
- Storyteller: Eliud Nieves
- Celebration of Latin American History & Prosperity
- Bullied: Jamie Nabozny
- A Self-Made Man: Tony Ferraiolo

Expanding our international and student support programing upholds the College's strategic goal to provide a rich two-year college experience for all students.

4. Capacity
Herkimer College will continue to recruit discipline-diverse, highly qualified adjuncts to address the need for capacity in growing programs, with the goal of adding full-time faculty when critical mass necessitates. Evaluating the market demand for alternative delivery of programs will be a priority.

The Internet Academy focuses on the continuous improvement of teaching and learning in online and web-enhanced courses based on best practices. Assessments of the new and ongoing initiatives will allow us to expand programs and courses in areas that show student achievement and demand. Herkimer has been a leader in online delivery for many years. As a result of Herkimer's participation in the Open SUNY PLUS high-needs program initiative, two degree programs, the Paralegal AAS and Quality Assurance AS (Business and Science tracks), have been modified to include additional student support, benefits and curricular modifications designed to enhance student success and completion rates.

Herkimer is engaged in developing our institutional readiness plan through Open SUNY. As part of our plan, the Internet Academy has embarked on a process to "refresh" all online courses to meet or exceed quality benchmarks over the next two years.

Further, the College reports annually on the "Cost of Curriculum", based on direct and indirect costs, including faculty, supplies and materials, equipment, division administration, academic support, student services, general administration, general institution, and physical plant. Separate formulas are used for direct and indirect costs, then divided by the student credit hours generated by course. Academic Divisions are, therefore, course type based, rather than department based. The program cost analysis is a foundational resource for decision-making regarding courses, programs and capacity.

2.2 Completion

5. Completions

Through Degree Works audit and SUNY reverse transfer, we intend to identify students who have failed to complete a degree at Herkimer and are within a reasonable amount of credits to earn their degree. We will work with these students to either transfer credits back or finish their degree on campus or online. We will continue to propose new certificates and programs to meet the needs of emerging fields within our region as they relate to nanotechnology and related industries. The College will also review and adjust local credit requirements, such as First Year Seminar and PE, and the 30 hour residency requirements to aid student completion.

6. Student Achievement / Success (SAM)
Herkimer participates in SAM reporting and data acquisition that informs decision-making toward furthering success for our students.

In order to improve on retention, persistence, graduation, and transfer, the College will continue its efforts to improve the transition from high school to college, as all functional units in academic and student services have adopted a *Quality* initiative. Activities related to placement testing, bridge programs, and enhanced START (Student Testing Advising Registration and Transition) and orientation programs are a few examples.

Herkimer enhances student achievement in the component parts of retention, persistence, graduation, and transfer.

- With fall to fall retention at 56.9% (fall 2013 to fall 2014), this number is fairly consistent to the national two year average. However, we need to determine what percentage of those students who did not return actually transferred to another school and did not stop out.
- We transfer close to 65% of our students to four year Colleges, either after graduation or prior to graduation. We would like all our transfer students to complete their Associate's degree before transferring, but many are only here for one year or one semester to increase GPA, or fulfill General Education requirements.
- Several campus programs help to improve the success rates of students who are deemed academically at-risk (between 68-74 high school GPA). The JumpStart program invites students to campus for a one day intensive training session on study skills, goal setting, and test taking skills. A specially designed JumpStart Seminar Class is taught by an Academic Coach during the fall semester.
- Additional interventions include an Academic Success Center located in student housing, to assist residential students with academic tutoring and group study. This center is open from 7pm – 1am, Monday – Sunday.
- The Office of Residence Life works with the Office of Student Leadership and Involvement to sponsor Residence Life weekend Late Night Programming in the College Center. This programming is planned and implemented by the Resident Assistant (RA) staff as a supplement to programming that is already being sponsored by the Office of Student Leadership and Involvement.
- Herkimer provides a comprehensive Athletics, Intramural, and Student Activities program, as experience demonstrates that students who make a connection and get involved with

campus activities are more likely to persist and be successful. A Student Athletic Specialist tracks athletes' attendance, grades, and classroom behavior. Presently, athletes have a higher GPA than non-athletes, and also have a higher graduation rate.
- Herkimer added an Academic Coach for all at-risk students to assist students toward persistence and program completion, as modeled by the Athletic Specialist.
- Other programs include; new student orientation programs in both fall and spring, transfer college fairs, career fairs, leadership development programs, professional development programs for work study students.

7. Graduation Rates
Herkimer's goals and plans to increase graduation rates are served by many successful initiatives:
- As of 2015, our 3-year graduation rate (for the 2011 cohort) stands at 29.1%, compared to 19.5% nationally, among 2-year colleges. We continue to have one of the highest graduation percentages among community colleges in the SUNY system, but we are continually striving to improve.
- Students who are placed on Academic Probation are required to meet with an Academic Advisor throughout the entire time they remain on probation. Additionally, the semester following their placement on Academic Probation, their credit load is limited to 12-13 credits, and they are encouraged to re-take any courses that they had previously failed, with expectations for a higher GPA.
- Academic Advising, both by faculty and the Academic Advisement Center, supports students looking toward seamless transfer to SUNY schools.
- Increased student engagement is an indicator of student success toward graduation. All curricula at Herkimer have been reviewed for credit count, are currently or will soon be sixty-four credits or less, and align with SUNY transfer paths where applicable, which encourages students to complete in two years. We orient students and parents on Degree Works degree auditing to keep up with degree progress towards completion. Since many of our degrees can be completed entirely online, most of our students have experienced one or more online courses during their time at Herkimer. This improves graduation and time to degree. URM are being addressed by increased academic programing through our Center for Global Learning and cohorts in our Learning Communities.

8. Time to Degree
Herkimer College students complete programs within the normal time at a 10% higher rate than its comparison group, as per IPEDS data, at a 9% higher rate for 150% of normal time completion, and 5% higher for 200% of normal time completion.

Herkimer has an Academic Team that works with the proper on-campus constituents to assist students in completing their degrees in the least amount of time possible. Students take advantage of the Academic Advisement Center in addition to their faculty Advisors, who guide the students toward completion of programs within 2 years as often as possible. The use of Degree Works to monitor progress is one advantage for the students and the advisors, which assists with retention and planning for shorter completion time. Scheduling of classes is monitored and adjusted to help ensure that students will get courses when they need them to graduate on time. Under consideration are: block scheduling, various semester scheduling options in Quick classes, traditional semesters, winter mini and summer sessions. Early warning systems for counseling in both personal and academic matters also helps students to complete their degrees on time. The Academic Support Center helps students to shorten their completion time by providing tutoring and other learning support to encourage completion within 2 years.

We will be investigating our 30 credit hour residency requirement for reverse transfer completion, in order to provide students with the opportunity to complete their degrees in less time, with fewer credits at Herkimer. The Academic and Student Affairs Campus Committee, the Academic Team, and the Faculty Senate will have conversations about a finish-in-2 guarantee program with recommendations on moving forward with both of the above initiatives.

2.3 Success

9. SUNY Advantage

An applied learning task force has been created and is investigating curricula that would be best to pilot this program. Through the Center for Global Learning we have created on-campus multi-cultural experiences for all students. New programs are being developed with study abroad opportunities available in Ecotourism with Ecuador and Partners of the Americas with Colombia. The addition of academic coaches, expansion of professional subject matter tutoring, and 24/7 tutoring access for on-campus and online students is being implemented and promoted to students as critical success factors toward program completion. Through the assessment process at both course and program level, faculty will be encouraged to explore the possibility of enhancing existing programs with new experiential and/or improved applied learning activities.

Herkimer offers our students uniquely personal attention toward their success:
- Herkimer offers a level of "customer service" that we feel is unmatched at any other Community College. Students continually tell us in our assessments that they feel "valued" and "affirmed" when receiving assistance for their needs.
- Residence Life seeks to provide a social and study atmosphere that is conducive to academic and personal success. Moreover, Residence Life provides a unique academic support services program, that includes tutors and study sessions in residence halls. Residence Life services helps students transition to individual and group living by facilitating positive living skills by way of negotiation and mediation.
- Herkimer's comprehensive Academic Support Center is located in the library building, where students spend most of their outside-of-class time, according to a student satisfaction survey. The Academic Support Center provides individual and group tutoring, study groups, and specific services/accommodations for students with disabilities.
- The College's Center for Global Learning is used by our growing international population, and by many of our American students as an important meeting and gathering space. Our international students are assisted with their acclimatization at the Center, through necessary social and academic support for student success.
- The College's athletic program has been the number one ranked athletic program in the NJCAA, Division III for the past two years. A highly successful and competitive intercollegiate program adds to the pride and stature of our campus among students, faculty, staff, and community.
- Communication Arts students participate in co-curricular performances on and off campus, in music, drama, broadcast and technical production. Students broadcast their original program productions on both WVHC, 91.5 FM and on HCTV, the College's Time Warner Cable Channel. The Communication Arts: Radio/TV Broadcasting holds multiple awards at regional and national levels, most recently Associate Press NYS Broadcasters Awards. Also, the revival of the college literary magazine, The Phaethon, was recognized for the quality of its student submissions.
- Criminal Justice students gain hands-on research experience at an on-site barn set up to mimic various environments in which criminal investigation might occur. Students use current technology and investigative principles and techniques in the practical setting outside of their classroom.
- The College celebrates the opening of each academic year with a Convocation for all newly enrolled students. The program is held in the gymnasium, and students are welcomed by the College President, the Provost, the Dean of Students, as well as the President of the SGA. Individual advisement sessions follow, where students meet their academic advisors for the first time.

Herkimer encourages participation in clubs and leadership activities for all students, both URM and non-URM. For the past five years, Herkimer has continued its Civility Initiative, "Herkimer College Chooses Civility". This initiative encourages students to respect their fellow students, faculty, and staff by using proper language and behavior that promotes civil and critical discourse. (See section 2.1.3 Diversity).

In addition to campus-specific efforts, Herkimer students have participated in SUNY promotional videos, proudly representing Herkimer as a thriving SUNY campus. Herkimer placed first among its IPEDS cohort colleges in graduation rates with 67% of total entering students, and overall transfer out rate at 27%. Herkimer graduates students at an 11% higher rate than its IPEDS comparison group, and notes an 8% higher transfer out rate over its comparison group.

Herkimer College's Provost is also participating in the SUNY-wide cooperative Inventory of Community College Initiatives in Access, Completion, and Success, providing best practices models that could be adopted toward offering students the SUNY advantage. Herkimer's support of SUNY initiatives also includes: Open SUNY PLUS, COTE, SUNY Smart Tracks, Degree Works, SUNY NelNet Pilot, SUNY Award Letters to students, and SIRIS.

10. Financial Literacy

Herkimer is responding to a rising student loan default rate by making on-going efforts to improve financial literacy for students though the following initiatives:

- SUNY Smart Track Student Engagement
  Early outreach email communications are sent to students on behalf of SUNY to inform students of our campus best practices, tools, and resources that are available to them.
- InCeptia Cohort Repayment Analysis
  Analysis of our institution three year school cohort default rate history reports for cohort year 2011. Determination will be made of our unique default factors.
- InCeptia Grace Counseling Outreach
  Emails will be sent to borrowers advising them of their repayment obligations and options available for them to repay their loans. (started in spring 2015 and will continue for the 2015-2016 academic year)
- SUNY Nelnet Default Prevention Pilot 1 year Project (January 2014)
  Nelnet contacts only Nelnet servicer withdrawn borrowers that have been identified by our campus through targeted communications, phone, email and/or letter during student's grace period. Staff will assist borrower in establishing a successful repayment schedule with Nelnet borrowers.
- InCeptia Smart Tract Financial Aid Literacy
  Online learning environment that offers financial aid literacy courses, mini-modules, calculators, articles and more on our college financial aid website for students and professors to use in their classroom.
- Herkimer encourages students to attend on-campus group and personal exit counseling.
- Herkimer default prevention initiatives include: reaching out to students with advice and help in getting their loans out of delinquent status, and facilitating third party calls on behalf of students with their loan servicer to initiate immediate contact and remediation.
- A financial aid literacy module is included in all Freshman Seminar classes.

2.4 Inquiry

11. Total Sponsored Activity

Herkimer College continues to seek opportunities to increase total sponsored activity. The college will be looking to increase federal funding by engaging in a bipartisan higher education consulting firm based in Washington, DC. The firm will provide higher education consulting in areas such as Federal grants, foundations, and institution-wide strategic projects. The firm's team is made up of former senior Federal government professionals and former senior higher education administrators.
This process will include:

1. Complete System Organizational Analysis
2. Mapping priorities to funding sources
3. Engagement with Federal agencies
4. Program Development
5. Grant writing

Herkimer College Foundation:
The position of Executive Director of the Foundation at Herkimer College was filled in late March of 2014, ending an 18 month vacancy. Priorities at that time focused on the challenges of reaching alumni and developing their interest in giving back to the institution.   Since March of 2014, the Foundation has engaged in a process of locating and connecting with its alumni, as well as hosting various alumni events, with an emphasis on educating the alumni base regarding current and future plans of the college. Since September of 2014, the Foundation has hosted three successful alumni based events with two others planned before the end of the calendar year.

Corporate giving is another area the Foundation has identified as a potential for growth. Positive strides have been made to contact and begin establishing relationships with business organizations both locally and regionally. An increase in corporate giving to the annual fund should benefit the Foundation in terms of those companies establishing a pattern of giving to the Foundation, thereby increasing our donor pool for capital campaign projects in the future.

Herkimer is consistently taking advantage of funding made available through SUNY Workforce Development Training Grants, in order to provide regional businesses with needed professional and technical skills training. Preparation of this programming involves regular communication with area businesses to identify priority areas for improvement of their employees' job skills, and to design customized courses to address those needs areas. These trainings have consequently resulted in a number of employees' jobs being retained, new positions being created, and improvements in the partnering businesses' operational productivity and effectiveness. We also are able to respond quickly to immediate local needs through our close working relationships with regional grant-making organizations, such as the "Education Enhancement Mini-Grant" offered through our regional community foundation. We recently applied for that mini-grant in order to provide free monthly basic computer skills courses at the local Working Solutions Career Center for job seekers who want to improve their job skills and who previously had to travel to a neighboring county for this training.

12. Student hands-on research, entrepreneurship, etc.   -- N/A
13. Scholarship, Discovery and Innovation -- N/A

2.5 Engagement

14. START-UP New York and beyond (businesses started / jobs created)
Herkimer has been engaged in Start-Up New York activities since its inception, adding to what has been our prominent position within Herkimer County and the Central New York region. We are expanding the properties designated as tax-free areas in our campus plan for the StartUp NY Program, in order to stimulate local and regional economic growth through the establishment of new businesses and the creation of new jobs. The development of new businesses through the StartUp NY Program will also offer opportunities for enhancing student and faculty experiences through shared resources, curriculum development, internships, and other form of collaboration. The College's campus plan and the tax-free properties designated therein will be marketed through a variety of means, including potentially coordinating with a real estate brokerage firm identified for the StartUp NY Program by the SUNY Research Foundation. We have also partnered with a local business to renovate a classroom into a business entrepreneurship center where collaborations between students and business leaders can occur.

15. Alumni / Philanthropic Support

Current fundraising events are being enhanced and new events and opportunities for fundraising are being developed. The Foundation acknowledges that alumni giving, in particular, needs to grow and is focusing itself on the cultivation of alumni as donors. It is further acknowledged that the absence of a Foundation official to make the "ask" for a donation is a significant contributor to the lack of growth as it relates to alumni giving. (See 2.4.11)

As the College Foundation projects toward 2018-19, the goal is to increase our percentage of campus alumni giving to a full 1%, and to increase to 1.2% by 2021. The Foundation is confident that continuing the efforts mentioned earlier will bring about an increase in awareness of the college by its alumni, and greater participation from alumni in terms of annual giving.

16. Civic Engagement
Civic engagement at Herkimer directly supports its mission to provide "…services in response to the needs of the local and regional communities". We define civic engagement according to our core values and measure those values in our annual reports per functional area, through tracking student clubs and activities, and through academic program activities that include community interaction, such as volunteerism and service learning.

Student clubs and organizations report back to the Student Activities Office of their civic engagement within the community. Some examples include:
- o PTA Club: Food & Toiletry Drive to benefit Central NY Veteran's Outreach Program
- o Children's Center: Donations to Humane Society & Trike-a-thon for St. Jude's Hospital
- o CJ Club: cleaned the village of Herkimer Mini-Park during the Fall semester

- Each athletic team is required to sponsor two community service activities each year. This past year, the athletic department was recognized by the Gram Lorraine Project for its contributions to the community. The athletic department also sends specific athletic team members to area elementary schools each year to talk about anti-bullying and sportsmanship. Herkimer's Athletic Department was recognized by the NJCAA, Region III in fall 2015, as the best program that conducts community service in Region III.
- Academic programs such as, Human Services, Early Childhood Education, Physical Therapy Assistant, Criminal Justice, Communication Arts: Radio-TV, and others, require students to fulfill internships within the community as part of their academic program.

17. Economic Impact
In the spring of 2010, Herkimer College partnered with Economic Modeling Specialists Inc. (EMSI), to conduct a study of the economic contributions of the College. The College is considering conducting another economic impact study in 2016-2017.

In the 2010 study, two analyses were presented: 1) investment analysis, and 2) economic growth analysis. The investment analysis captured private and public benefits that accrue to students and taxpayers in return for their educational support. Private benefits include higher income of students, while public benefits include growth in income plus an assortment of positive externalities such as improved health and lifestyle habits, reduced crime, and fewer claims for social assistance. All of these annual benefits continue and accrue into the future for as long as students are in the workforce. To determine the feasibility of the investment, the model projected benefits into the future, discounted them back to the present, and compared them to present costs. Results were displayed in the four following ways: 1) net present value, 2) rate of return, 3) benefit/cost ratio, and 4) payback period. The economic growth analysis focuses on the role the College plays in promoting economic development by increasing consumer spending and raising the skill level of the labor force. This in turn leads to more jobs, increased business efficiency, greater availability of public investment funds, and eased tax burdens. In general, college linked income falls under the following three categories: 1) income generated by annual College operating expenditures, 2) income generated by the spending of Herkimer College students; and, 3) income generated by Herkimer College skills embodied in the workforce.

Estimating the benefits and costs of Herkimer College required the following three types of information: (1) the profile of the college and its student body, (2) the economic profile of the region and the state, and (3) statistics relating education to improved social behavior. For the purposes of this study, information on the college and its students was obtained from Herkimer College; data on the regional and state economy were drawn from public databases; and statistics on social behavior were provided by national studies and surveys.

According to the 2010 study, Herkimer College's total impact amounts to an estimated $75 million in added income in Herkimer County annually. The accumulated credits achieved by former Herkimer College students over the previous 30 years translates to $48.9 million in added regional income each year due to the higher earnings of students and increased output of businesses. The Herkimer County economy receives approximately $26.1 million in net added income each year due to Herkimer College operations and the spending of non-local students. Taxpayers see a rate of return of 6.5% on their investment in Herkimer College. New York State benefits from improved health and reduced welfare, unemployment, and crime, saving the public around $952,900 per year.

The economic impact model used by EMSI had been field-tested to generate more than 900 studies for community, technical, and further education colleges in the US, Canada, the UK, and Australia. The Executive Summary is available here: http://www.herkimer.edu/assets/Documents/Explore/socioeconomic-impact/executive-summary.pdf

Section 3: Conclusion and Expected Impact on your Campus

The College's improvement plan includes an overall focus on improved quality in Strategic Planning that aligns with SUNY's Excels vision. Herkimer's Strategic Plan targets: 1. Strengthen Support for Student Success, 2. Campus Life, 3. Institutional Culture, 4. Operational Sustainability, and 5. Outreach and Community Relations, with goals that support each target.

Fulfillment and monitoring of progress on the Strategic Plan will be facilitated through an updated College Governance Structure that includes overarching college committees leading efforts in Enrollment Management and Marketing, Facilities Planning, Resource Allocation, Strategic Planning and Institutional Effectiveness, and Academic and Student Affairs. The basic tenets of the Strategic Plan are foundational to our SUNY Excels Performance Improvement Plan.

SUNY Excels and SUNY Herkimer Strategic Plan Intersect for Performance Improvement Plan

	Access	Completion	Success	Inquiry	Engagement
Herkimer Strategic Plan Goal #1 Strengthen Support for Student Success – Promote student success through relevant programs and support services within an enriched teaching and learning environment	X	X	X		X
Goal #2 Campus Life – provide a rich 2-year college experience for all students	X	X	X		X
Goal #3 Institutional Culture – Create a more engaged and vibrant campus community	X	X			X
Goal #4 Operational Sustainability – Ensure the operational sustainability of the institution		X	X		
Goal #5 Outreach & Community Relations – Enhance community connections	X		X		X

Herkimer College expects to continue to impact SUNY with a performance improvement plan that will uphold the already strong position the college has with its students, in relation to its SUNY status. In individualized CCSSE survey responses, 63% of our students indicated that they saw Herkimer's affiliation with SUNY as an important factor to them. Also, 25% of the respondents said they would tell their friends that they were able to complete their degree and transfer the credits to a four-year college, with 48.9% saying they thought Herkimer was a "great place to go to college" or "love the programs" we offer.

Integration of Strategic long-term planning across campus will facilitate the Strategic Goals that align with and support SUNY's goals to achieve 150,000 graduates by 2020.

Summary of Goals and Projected Outcomes

Herkimer's Critical Success Factors Operational Plan below summarizes the goals and outcomes as projected by the Executive Council. Strategies will be identified and input for each outcome when we being implementing the plan this semester.

Herkimer College Critical Success Factors
SUNY Excels
2015-2018 Operational Plan

Goal 1. Access				
Outcomes	Strategies	Measure/ Source	Baseline Data	Evidence of change/progress
1.1 Total Fall Census enrollment (headcount and AAFTE) will be 3,605 and 2,714 respectively	▪	Enrollment Data	**2014 Baseline**: 3,259 headcount and 2,501 AAFTE **Max:** 4,010 & 3,086 – Fall 2009	
1.2 Enrollment Yield will be 40.6%	▪	Enrollment Data	**2013 Baseline**: 42.0% **Max:** 42.3% - Fall 2012	
1.3 Percent NYS enrollments will be 85.9%	▪	Enrollment Data	**2014 Baseline**: 94.2% **Max:** 95.9% - Fall 2009	
1.4 Percent International enrollments will be 11.1%	▪	Enrollment Data	**2014 Baseline**: 3.4% **Max:** 3.4% - Fall 2014	
1.5 Percent Pell Recipients will be 65.9%	▪	Financial Aid	**2014 Baseline**: 65.9% **Max:** 67.9% - Fall 2012	
Goal 2. Completion				
Outcomes	Strategies	Measure/ Source	Baseline Data	Evidence of change/progress

SUNY Excels: Data Executive Summary

Line	Access	Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Change	% Change	Fall 2018	Fall 2020
1	Total Student Headcount	4,010	3,774	3,679	3,463	3,215	3,259	(751)	-18.7%		
2	Student AAFTE	3,086	3,124	3,002	2,788	2,563	2,501	(585)	-19.0%		
3	Acceptance Rate	76.1%	67.0%	55.8%	54.8%	72.4%	-	-3.7%	-4.8%		
4	Enrollment Yield	37.7%	35.6%	37.5%	42.3%	42.0%	-	4.3%	11.3%		
5	Percent of Total Headcount Full-Time	62.9%	68.4%	67.1%	64.7%	64.7%	56.5%	-6.4%	-10.2%		
6	Percent New York State	95.9%	95.2%	95.0%	95.1%	94.2%	94.2%	-1.7%	-1.8%		
7	Percent International	2.1%	2.3%	2.4%	2.4%	3.0%	3.4%	1.3%	60.2%		
8a	Percent Student Minority	7.8%	20.3%	21.1%	20.1%	18.4%	13.8%	6.1%	77.9%		
8b	Percent Student Underrepresented Minority	7.4%	19.6%	20.2%	19.0%	17.5%	12.9%	5.5%	75.2%		
9	Percent Total Headcount Male	41.5%	40.5%	39.8%	38.9%	37.9%	40.7%	-0.8%	-1.8%		
10	Percent Pell Receipents	n/a	n/a	67.4%	67.9%	67.0%	65.9%	-1.5%	-2.2%		
11	EOP Enrollment	-	-	-	-	-	-	-	-		

Line	Completion	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15	Change	% Change	2018-19	2020-21
12	Percent 1st Year Retention (First-time, Full-time)	58.6%	53.4%	50.7%	54.3%	58.8%	56.9%	-1.7%	-2.9%		
13	Time to Degree (years) - Associates	2.92	3.02	2.97	3.06	3.30	-	0.39	13.2%		
14	Time to Degree (years) - Baccalaurete	-	-	-	-	-	-	-	-		
15	3-year Associate Graduation Rate	27.9%	30.3%	31.7%	30.0%	27.0%	-	-0.9%	-3.2%		
16	6-year Baccalaureate Graduation Rate	-	-	-	-	-	-	-	-		
17	Total Degrees Awarded	580	608	640	609	606	-	26	4.5%		
18	Undergraduate Certificates Awarded	36	38	56	46	38	-	2	5.6%		
19	Associate Degrees Awarded	544	570	584	563	568	-	24	4.4%		
20	Baccalaureate Degrees Awarded	-	-	-	-	-	-	-	-		
21	Graduate Degrees Awarded	-	-	-	-	-	-	-	-		
22	Graduate Certificates Awarded	-	-	-	-	-	-	-	-		

Line	Success										
23	Total Faculty Headcounts	157	131	169	164	154	-	(3)	-1.9%		
24	Percent Faculty Headcount Minority	2.6%	-	2.7%	-	3.0%	-	0.4%	15.2%		
25	Percent of Faculty that are Full-Time	48.4%	57.3%	43.2%	42.1%	42.9%	-	-5.6%	-11.5%		
26	Student to Faculty Ratio (FTE)	29.3	32.7	28.2	26.9	26.3	-	(2.9)	-10.0%		
27	Total Staff Headcounts	210	207	201	188	166	-	(44)	-21.0%		
28	Percent Staff Headcount Minority	0.6%	-	2.0%	-	0.0%	-	-0.6%	-100.0%		
29	Student Default Rates - Campus[1]	14.2%	19.0%	18.5%	-	-	-	4.3%	30.3%		
30	Student Default Rates - State Operated[1]	7.4%	7.9%	7.0%	-	-	-	-0.4%	-5.5%		
31	Student Default Rates - Community Colleges[1]	17.9%	19.7%	17.4%	-	-	-	-0.5%	-3.0%		

Line	Inquiry										
32	Sponsored Activity - Total ($millions)	n/a	n/a	n/a	n/a	n/a	-	-	-		n/a
33	Sponsored Activity - Nonfederal	-	-	-	-	-	-	-	-		
34	National Science Foundation R&D Total	n/a	n/a	n/a	n/a	n/a	-	-	-		

Line	Engagement										
35	Funds Raised ($millions)	$0.2	$0.2	$0.7	$0.2	$0.1	-	$(0.1)	-32.5%		
36	Alumni Giving Rate	0.6%	0.5%	0.7%	0.5%	0.5%	-	-0.1%	-13.2%		

Notes:

[1] The federal cohort default rate reported as the 3 year rate.

Herkimer County Community College
Budget vs. Actual Comparison for Unrestricted Operating Fund
for fiscal years ending 8/31/2015 and 8/31/2016
source: State University of New York Annual Fiscal Report

	Fiscal Year Ending 8/31/2015				Fiscal Year Ending 8/31/2016			
	Budget	Actual	Difference		Budget	Actual	Difference	
Revenues								
Tuition and Fees	10,872,986	10,167,580	(705,406)	-6.5%	11,070,510	9,723,170	(1,347,340)	-12.2%
State Appropriation	6,780,825	6,847,498	66,673	1.0%	6,664,334	6,641,982	(22,352)	-0.3%
Local Appropriation	4,473,736	4,237,450	(236,286)	-5.3%	4,884,613	4,454,251	(430,362)	-8.8%
Federal Grants & Contracts	81,431	71,100	(10,331)	-12.7%	75,088	-	(75,088)	-100.0%
Private Gifts, Grants & Contracts	6,800	2,000	(4,800)	-70.6%	-	-	-	
Other Sources	413,075	518,529	105,454	25.5%	415,359	504,363	89,004	21.4%
Applied Fund Balance	1,625,542	1,237,247	(388,295)	-23.9%	1,318,085	318,046	(1,000,039)	-75.9%
Total Revenues	**24,254,395**	**23,081,404**	**(1,172,991)**	**-4.8%**	**24,427,989**	**21,641,812**	**(2,786,177)**	**-11.4%**
Expenses by Function								
Instruction	7,782,864	7,809,027	26,163	0.3%	7,970,129	7,551,786	(418,343)	-5.2%
Academic Support	3,201,749	2,997,997	(203,752)	-6.4%	3,474,002	2,966,620	(507,382)	-14.6%
Student Services	2,530,745	2,249,807	(280,938)	-11.1%	2,503,469	2,211,637	(291,832)	-11.7%
Institutional Support	6,847,120	6,668,705	(178,415)	-2.6%	6,808,229	6,214,746	(593,483)	-8.7%
Operation & Maintenance of Plant	3,891,917	3,355,868	(536,049)	-13.8%	3,672,160	2,697,023	(975,137)	-26.6%
Total Expenses by Function	**24,254,395**	**23,081,404**	**(1,172,991)**	**-4.8%**	**24,427,989**	**21,641,812**	**(2,786,177)**	**-11.4%**
Expenses by Object								
Personal Services	12,629,464	12,032,241	(597,223)	-4.7%	12,581,036	11,808,917	(772,119)	-6.1%
Equipment	10,470	167,270	156,800	1497.6%	45,498	85,676	40,178	88.3%
Contractual Expenses	4,951,285	4,807,898	(143,387)	-2.9%	5,107,426	4,136,376	(971,050)	-19.0%
Employee Benefits	6,663,176	6,073,995	(589,181)	-8.8%	6,694,029	5,610,843	(1,083,186)	-16.2%
Total Expenses by Object	**24,254,395**	**23,081,404**	**(1,172,991)**	**-4.8%**	**24,427,989**	**21,641,812**	**(2,786,177)**	**-11.4%**

Herkimer
THE STATE UNIVERSITY OF NEW YORK

Unit Annual Report

Unit (Department/Division): Office of Assessment and Institutional Effectiveness
Annual Core Value: _Community (2015-2016)_
Date: May 31, 2016
Contact: Mary Ann Carroll, Assistant Dean of Academic Affairs

Section I: Operational Plan

See attached completed plan. Note: The Operational Plan includes many initiatives that have included concentrated activity from the IE Office. However, the completion and measurement of those activities is yet to be realized, as the Operational Planning deadlines were moved to better realign with the start of the academic year. The outcomes from those plans will be included in the next year in an extended report.

Section II: Unit Profile

The Office of Institutional Effectiveness is managed by the Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness (full time) and includes the Research Assistant (half time), in a shared position with the Office of Institutional Research (half time). The ADoAA is responsible for helping to develop, compile and report results from the college's assessments for all Units, including the academic divisions. SLO assessment and alignment is facilitated through all strategic and operational planning goals and processes, with assessments and outcomes by all targeting student success. The IE Office oversees course, program, Unit and institutional level planning, assessment and improvement. General Education and Learning Activity Assessment are also under the purview of the Office of Assessment and IE. Additionally, the IE Office handles all Accreditation issues, training in matter of assessment, planning, accreditation and improvement, and close, on-going collaboration with Institutional Research Office.

Section III: Resources

    A.   Personnel

Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness reports to the Provost and is responsible for overseeing all matters of assessment at both the formative and summative levels in College non-instructional Units and all academic programs. Also, oversight of integrated strategic planning in all offices and large committees. Responsibilities include: organizing data, training sessions, planning processes and committee direction, as well as work groups. The ADoAA is also the MSCHE Accreditation Liaison Officer (ALO).

The Research Assistant performs an eclectic mix of duties for both IE and IR Offices. The Research Assistant shares duties between the two offices with two different supervisors. The accomplishments and duties include: completing the first two courses toward the SUNY CPD Certification for Assessment, serving on, though unofficially assigned to, the Survey Committee, the SPIE Committee and Accreditation Subcommittee and the Unit Review Ad Hoc Committee,

    B.   Facilities

The space in CA234, CA 234A and CA 232 is well used, with on-site meetings, with up to 10 people, taking place at least several times a week. The shared environment with IR is conducive to the close collaboration necessary for productivity.

The offices are extremely hot, however. The window and portable air conditioner with fans barely takes the temperature down. It often hovers around 80 degrees.

    C.   Technology

The Research Assistant received a new Surface Tablet, with which she takes notes at meetings and conferences. This was purchased through the IR Office. She also has a desktop computer with two monitors. The Research Assistant has taken over the Assessment Handbook updates from the IA Coordinator. They have met on several occasions for training.

The ADoAA had some challenges with portable technology in that two different tablets were not working correctly when taken off campus for conferences or note taking in meetings. So, after those two tablets were tried, the third alternative was a laptop that is currently in the office. However, the laptop will not configure to the wireless monitor set up for small conferences in the office. The IS department has been very helpful with providing service. A request will be going forward for a machine that will work with the wireless monitor, and a second monitor for the desk computer, since so many forms and long documents that require multiple windows/documents open at the same time are created in the IE Office.

Section IV: Goals and Achievements

Follow-through:

A. **Objectives/Goals**:

    a.   Community – The objective to fulfill the standard for "Community" includes developing a Service Excellence program that addresses student, faculty and staff needs through better communications. Develop an internal communications protocol, after completion of the Communication on Campus surveying is complete. ACHIEVED RESEARCH. SERVICE EXCELLENCE PLAN IN PROCESS. SEE #C-h.

    b.   Provide assistance and data for Program Review completion on schedule, according to the new procedures checklist. PROGRAM FACULTY RECEIVED PACKETS OF DATA, SEVERAL INDIVIDUAL AND SMALL GROUP INFORMATIONAL MEETINGS AS NEEDED, CONTINUAL REMINDERS AND ASSISTANCE WITH NEW PROCEDURES.

    c.   Finish developing and implementing a new Performance Review process. PREPARATION COMPLETED. PROCESS HALTED BY HR SEEKING LEGAL COUNSEL. DEVELOPED ALTERNATIVE QUALITY MEASUREMENT PROCESS, BUT TO DATE HAS NOT BEEN ACCEPTED TO MOVE FORWARD.

    d.   Institute the first round of performance reviews within the IE Office for the Research Assistant. DEMO VERSION WAS TRIED AND INTRODUCED, BUT NOT USED. SEE ABOVE "c".

    e.   Further investigate and recommend Assessment Software acquisition with a proposal to the Provost and President by Jan. 2016. CENTRIEVA ACADEMIC EFFECT SOFTWARE DEMO, PROPOSAL AND ACQUISITION COMPLETE – TO BEGIN JUNE 1, 2016, FOR IMPLEMENTATION TO BEGIN FOR WIDESPREAD USE IN SEPTEMBER 2016.

    f.   Establish the Strategic Plan and IE Committee to reach its goals. SPIE COMMITTEE REACHED ITS GOALS. ALSO, CREATED INSTITUTIONAL EFFECTIVENESS STEERING TEAM TO ADD TO THE GOVERNANCE STRUCTURE – LIAISON BETWEEN THE "BIG 5" COLLEGE COMMITTEES AND THE COLLEGE ADVISORY COUNCIL.

    g.   Complete SUNY Excels reporting. REPORT WAS COMPLETED AND SUBMITTED ON TIME, POSTED ON MYHERKIMER FOR ALL; WILL BE REVIEWED FOR NEXT OPERATIONAL PLAN.

    h.   Update understanding and application of new MSCHE Standards. NEW TEAMS HAVE BEEN FORMED AND HAVE BEGUN PLANNING FOR DOCUMENT ROADMAPPING IN THE UPCOMING YEAR – ACCREDITATION TEAM, COMPLIANCE TEAM AND PROGRESS REPORT TEAM.

    i.   Create an improved reporting system in Angel with an additional field or two of information that will improve the data results. DECIDED NOT TO INVEST THE TIME, GIVEN ANTICIPATED MOVE TO NEW SOFTWARE. PAPER ILO AND GEN ED ASSESSMENTS WERE CREATED AND ADMINISTERED FOR SPRING 2016.

    j.   Facilitate Operational Planning throughout the year. MANY INFORMATIONAL MEETINGS WERE HELD WITH UNIT LEADERS, BOTH INDIVIDUALLY AND IN SMALL GROUPS. ALSO WORKED ON UNIT REVIEW AND NEW ANNUAL REPORTING. NEW FACULTY ANNUAL REPORTING FORM WAS DEVELOPED BY IE OFFICE AND DISTRIBUTED TO DIVISIONS.

    k.   Continue offering training for the Research Assistant. IN-HOUSE MEETINGS, DEPARTMENT MEETINGS WITH IR, SUNY CPE COURSES ON ASSESSMENT CERTIFICATION (2/3 COURSES COMPLETED), CONFERENCES AND MEETINGS PER IR (AIRPO, PERKINS, ETC.)

    l.

B. Actions:

a.   The IE ADAA will develop and begin implementation of a Service Excellence program to increase quality across campus. IN PROCESS. STAGE 1 TO BE IMPLEMENTED BEGINNING WITH FALL 2016 SEMESTER.

b.   Develop job description and hire an Assessment Specialist. DEVELOPED AND PROPOSED THROUGH THE NEW RESOURCES ALLOCATION PROCESS. NO RESPONSE AT THIS TIME.

c.   Chair Strategic Planning and Institutional Effectiveness. COMPLETE. SEE SPIE COMMITTEE ANNUAL REPORT AND MINUTES.

d.   Continue committee organization and follow-through facilitating minutes and communication with College Advisory Council. DONE. IE STEERING TEAM FORMED, MET AND PLANNED FOR THE FUTURE. PRESENTED RESULTS AT FINAL ALL FACULTY/EMPLOYEE RECOGNITION MEETING IN APRIL 2016

e.   Implement Performance Review by holding training sessions for supervisors prior to administering reviews. Create timeline and distribute to all. ON HOLD. NEW PROCESS BEING PROPOSED.

f.   IE Report Card completion – work on data points with IE/SP Committee. STILL IN PROCESS.

g.   Assessment Committee – work with co-chairs on goal development and follow-through; measured by completion of tasks: establishment of ILO Rubrics, Completion of Program Review, develop PLO assessment plan for Gen Studies and Humanities; investigate e-portfolio implementation. ILO-B RUBRIC WAS UPDATED, OTHERS ARE ON SCHEDULE FOR NEXT SEMESTER. PROGRAM REVIEWS AND MID-CYCLES ARE APPROX. 70% COMPLETE – OTHERS NOT COMPLETE – TO BE PURSUED DURING THE FALL 2016 SEMESTER.

h.   Work with Tabitha Carter to create a revised assessment reporting system in Access on Angel – particularly for Gen Ed and ILO reporting. DECIDED AGAINST. PAPER ASSESSMENTS INSTEAD – RESEARCH ASSISTANT IS HELPING TO FACILITATE THE PROCESS AND HAS TAKEN OVER FOR TABITHA CARTER IN ANGEL HANDBOOK UPDATING.

i.   Continue weekly IE/IR office meetings for planning and follow-through. MEETINGS ARE CONTINUING, THOUGH SOMETIMES DIFFICULT BECAUSE OF LIMITED TIME.

C. Provide evidence:

a.   The second round of Operational Planning will be completed by the September 30th deadline, with instruction and review completed during the summer, prior to the return of faculty and students.; OPERATIONAL PLANNING COMPLETE, ANNUAL REPORTING COMPLETE AND FURTHER PREP FOR UPDATED OPERATIONAL PLANNING HAS OCCURRED FOR THE SUMMER SESSION 2016; NEW OPERATIONAL SCHEDULE IS IN PLACE, CUTTING SHORT THE RESULTS AND ANNNUAL REPORTING TIME. DOCUMENTS AVAILABLE ON F: DRIVE AND MYHERKIMER.

b.   Performance Review will be implemented in accordance with the committee's process schedule. NOT YET IMPLEMENTED. THE FORM AND PROCESS WERE READY AND TRAINING WAS TO BE SCHEDULED WHEN LEGAL COUNSEL TEMPORARILY HALTED THE PROCESS. A NEW PROCESS IS BEING CONSIDERED.

c.   Unit Review process plans will be developed and distributed, ready for implementation in fall 2016. UNIT REVIEW TEAM HAS MET AND THE PROCESS CONTINUES TO BE DEVELOPED.

d.   The Academic Assessment Committee will lead the Assessment Days and train on a new reporting system, either in-house updated, or new software; ASSESSMENT COMMITTEE ASSISTED IN ASSESSMENT DAY ACTIVITIES, BUT DID NOT PLAN AND ADMINISTER THE SESSIONS BECAUSE THERE WAS NO TIME FOR PLANNING.

e.   Software proposal will have been submitted to Executive Council by January 2016; PROPOSAL WAS SUBMITTED AND APPROVED FOR PURCHASE, ACQUISITION EXPECTED FOR JUNE 1, 2016 WITH ANTICIPATION OF IMPLEMENTATION FALL 2016.

f.   Higher reporting rates of assessments by part-time faculty – up 30%; PART TIME FACULTY AND FULL TIME ASSESSMENT PARTICIPATION COMPARISON INDICATES AN INCREASE OF 24.5% AFTER EFFORTS TO HAVE THE ADJUNCT OFFICE DUPLICATE CONTACT EFFORTS FROM THE ASSESSMENT & IE OFFICE. The adjunct office also added "Assessment Completion" to the end of semester check off list. Full time faculty participation also increased by 14.5% after increased email and Assessment Day reminders.

Here are the assessment rates for Spring and Fall 2015, based on your numbers of active faculty (62 Full-Time and 98 Part-Time/Adjunct):

Spring 2015

FT: 51 (82.3%) unique FT faculty members assessed courses

PT/Adj.: 18 (18.4%) unique PT/Adj. faculty members assessed courses

Fall 2015

FT: 60 (96.8%) unique FT faculty members assess courses

PT/Adj.: 42 (42.9%) unique PT/Adj. faculty members assessed courses

g. Greater awareness and use of quality assessment methods – increase in the number of faculty reporting learning activity assessments, and Unit leaders to begin reporting out their assessment results/best practices for colleagues. ASSESSMENT RESULTS HAVE BEEN ENTERED INTO ANGEL, BUT COLLEGE NOW FACULTY STILL HAVE TIME TO COMPLETE THEM. NO RESULTS ON THIS OUTCOME FINALIZED UNTIL ASSESSMENT DAY IN AUGUST.

Further, strategic planning and SUNY Excels goals are aligned and through the work of the Strategic Planning and Institutional Effectiveness Committee, the micro KPIs have been established and published to enhance the new Operational Planning process. Also, General Education Assessments and ILO Assessments have been prepared on paper, administered, collected, and are currently being tallied while waiting for CN to finish.

1. **Strengthen Support for Student Success:** *Promote student success through relevant programs and support services within an enriched teaching and learning environment*

   Unit objective/goal(s): Implement new Program Review process with enhanced data and new checklist.
   Assessment Data: schedule of meetings; posted reviews and mid-cycle reports in Angel; Assessment Committee and Faculty Senate meeting minutes regarding program review
   Actions: Continual meetings, email, and individual contacts to facilitate use of enhanced data packets and follow through documentation
   Costs: NA

   Also, Assessment Day trainings on best practices and Academic Team participation in developing on-going programs

2. **Campus Life:** *Provide a rich two-year college experience for all students.*
   Unit goal:
   Assessment Data:
   Actions:
   Costs:

   Advising two clubs and participating in performances: Generals Theater Group and Acapella Club

3. **Institutional Culture:** *Create a more engaged and vibrant campus community.*
   Unit goal: To acquire Assessment Software for academic assessment, IE Operational and Strategic Planning and Accreditation documentation; to be used by all departments on campus
   Assessment Data: contract set to begin June 1, 2016
   Actions: Proposed, ordered, made contacts to begin Centrieva Academic Effect implementation process.
   Costs: $4,100 prorated from June 1 – Aug. 31, 2016; $9,990 for '16-'17 academic year

   Also, Enrollment Management & Marketing Committee writer and retention committee, Survey Committee, Midnight Breakfast surveying, Unit Review Committee, TV Demonstration with second grade students from Dolgeville, Director for TV production for Commencement, Graphics and Audio for Inauguration TV production, Grants proposal writing - ASPEN Prize and Keller McIntyre, teachings on MSCHE Conference outcomes/trainings on new standards, etc., taught extra service courses – HU 165 and Independent Study EN 161, continued advising students, Completed SUNY CPD Certification with distinction in Institutional Effectiveness

4. **Operational Sustainably:** *Ensure the operational sustainability of the institution.*
   Unit goal: Managed department budget
   Assessment Data:
   Actions: Proper processes for budget preparation, requests and use.
   Costs: None.

5. **Outreach & Community Relations:** *Enhance community connections.*
   Unit goal: Two Presentations made to Assessment Network of New York (ANNY) at Annual Conference, April 2016; Collaborated with Karen Ayouch, Director of IR
   Assessment Data: ppt; conference program; thumbs up responses during presentation
   Actions: Presented – "Focus on Focus Group: A Low-cost DIY Research Option" and "From Deficient to Efficient: Use what you have and what you know even if it is Television Production" (Quality Team implementation).
   Costs: approx. $800.00

   h. Provide evidence showing how your unit's goals and outcomes supported the core value of "Community" for all your constituents. (Score goal*s* outcomes below.)

Goal (s): To create a Service Excellence and Communication Plan for campus-wide implementation to aid in Retention and to raise quality of achievement per office. Would also serve to aide in creating identity for image excellence and increase morale.

Criteria: Plans will be developed that are well documented for release, introduced publicly, adopted across campus, become ingrained in the fiber of daily operations.

Outcome: Focus groups and surveys are completed; student success surveys are being compiled, proper communications are being prepared for presentation in August. Meetings with PR Office are still in process.

Assessment Data: Very successful collaboration in two focus groups on Communication on Campus, with representatives from all departments on campus; administrators and faculty also surveyed for both; ppt presentation with results has been prepared for Assessment Day release, will be updated prior to that time. Additional surveys were done for defining student success and the premier two-year experience, through large committees and student surveys. The compilation of these data will support the final plan that is currently in the process of being developed.

COMMUNITY: To foster a collaborative campus environment that promotes civility, creativity, diversity, open communication, social responsibility, and mutual respect among students, faculty, staff, and the public.

Very successful collaboration in two focus groups on Communication on Campus, with representatives from all departments on campus; administrators and faculty also surveyed for both; ppt presentation with results has been prepared for Assessment Day release, will be updated prior to that time. Additional surveys were done for defining student success and the premier two-year experience, through large committees and student surveys. The compilation of these data will support the final plan that is currently in the process of being developed.

   i. Rank your unit's success in supporting the Core Value above, according to the Quality Rubric.

Poor-0 No Action	Fair-1 Convenient	Good-2 Compliant	Very Good-3 Growth	Excellent-4 Promotes future growth	Measure/Score
Not collaborative, nor promoting attributes of community.	Collaborative with some constituents, not all; communication among and between constituents is ineffective or non-existent.	Collaborative with all constituents (students, faculty, staff and public), communicating within a closed circle.	Collaboration with all constituents, based on assessments, practicing open communication using a variety of communication methods.	Collaborative with all constituents, promoting open communication and creativity in future collaborative opportunities.	

SCORE : _____3_____   The plan is still incomplete, though the data collection and compilation has been very collaborative and open. The whole process to include follow through is still in process.

Section V: Recommendations/Challenges

Based on this final assessment and analysis on the fulfillment of your unit's operational plan, identify challenges and recommendations for the future. Particularly, consider identifying priorities for the upcoming year.

Challenges: New software implementation, low enthusiasm for Academic Assessment Committee; Accreditation Academy collaboration with on-campus departments and peer institutions to address new MSCHE Standards of Excellence; SPIE Committee and IE Steering Team division of responsibility and planning integration; Time to accomplish the growing list of tasks, goals and need for the IE Office and the IR Office individually and together. Create Unit Review procedures and Performance Review.

Recommendations: Become more directly involved the AAC meetings and agendas; get new tablet to be able to use the remote monitor in the office area; evaluate the time usage of the Research Assistant for both IE and IR departments; create a series of workshops for Accreditation Academy; (others as discussed with Provost after reviewing this report).

> **Future Planning Targets:**   While most initiatives and actions have been completed or are in process, the final measures for several will not be done until the end of Aug. 2016, as originally planned. Therefore, some of the future targets will be shaped as that time nears. Critical Success Factors have been identified and distributed to administrators to help facilitate forward planning. They are: Enrollment, Student Success, Revenues, Gifts and Student Satisfaction. These will be targeted in the next Assessment and IE plan, through the various committee involvement, Assessment Software acquisition and implementation, developing a guide for IE and more Academic Assessment Committee involvement by the Assistant Dean and the Research Assistant.

Section VI: Highlights

What data or highlights can you share to illustrate areas of growth, accomplishment, service, or leadership? We are looking for submissions that quickly demonstrate a point for possible inclusion in the College's Annual Report.

Note: Completion of the Annual Report may include attachments of data used as evidence, as noted in each section. Assessments (direct and indirect measures) may also be attached in support of statements made in this document. Indicate in each section any references to attachments.

Unit/Department Operational Plan

UNIT/DEPARTMENT: Institutional Effectiveness and Assessment   ANNUAL CORE VALUE: Community
DATE: Oct. 9, 2015/ Completion Date: May 31, 2016
CONTACT(s): Mary Ann Carroll

Unit Mission Statement:

The Mission of the Herkimer College Assessment and Institutional Effectiveness office is to provide leadership in facilitating and cultivating a standard of quality across the institution through outcomes assessment, in accordance with strategic planning.
Vision Statement: (as developed during the SUNY IE Certification Course)
Herkimer College's office of Assessment and Institutional Effectiveness will be known as a leader in facilitating the establishment of quality standards and measures of success through its innovative planning, outcomes assessment, and improvement practices.
It will further be exemplary for having established a flourishing office of Planning and Improvement that will not only meet current standards, but raise expectations and achievement for all departments across campus, elevating morale and building confidence and pride in the quality of Herkimer graduates. Peer institutions will look to Herkimer for best practices in planning, assessment and institutional effectiveness.

Annual Plan

1. **Priorities (Institutional and Departmental):**
   - (Institutional): Enrollment Management, Academic and Student Affairs, Strategic Planning, Facilities Planning and Resource Allocation.
   - Operational Planning and follow-through on new Governance Structure.
   - Prepare for MSCHE next actions.
   - Collaborating closely with IR in compiling, distributing, analyzing and applying data.
   - Assisting the Academic Assessment Committee to enhance and improve processes and data outcomes.
   - Unit Program Review development.
   - Academic Program Review completion.
   - Develop a campus Service Excellence program plan.
   - Committee goals: Retention, Survey, SP/IE, IRB, PLA, Unit Assessment, Performance Review, Academic Assessment.
   - Increase assessment awareness on campus, including: reporting rates by part-time faculty, better use of data to complete goals and higher quality assessment methods.
   - All program learning outcomes are being assessed and documented in the common repository.

2. **Objectives/Goals**: (Solutions considering Core Values EXCELLENCE, OPPORTUNITY, COMMUNITY, INTEGRITY)
   a. Community – The objective to fulfill the standard for "Community" includes developing a Service Excellence program that addresses student, faculty and staff needs through better communications. Develop an internal communications protocol, after completion of the Communication on Campus surveying is complete.
   b. Provide assistance and data for Program Review completion on schedule, according to the new procedures checklist.
   c. Finish developing and implementing a new Performance Review process.
   d. Institute the first round of performance reviews within the IE Office for the Research Assistant.
   e. Further investigate and recommend Assessment Software acquisition with a proposal to the Provost and President by Jan. 2016.
   f. Establish the Strategic Plan and IE Committee to reach its goals.
   g. Complete SUNY Excels reporting.
   h. Update understanding and application of new MSCHE Standards.
   i. Create an improved reporting system in Angel with an additional field or two of information that will improve the data results.
   j. Facilitate Operational Planning throughout the year.
   k. Continue offering training for the Research Assistant.

3. **Actions:**
   a. The IE ADAA will develop and begin implementation of a Service Excellence program to increase quality across campus.
   b. Develop job description and hire an Assessment Specialist.
   c. Chair Strategic Planning and Institutional Effectiveness.
   d. Continue committee organization and follow-through facilitating minutes and communication with College Advisory Council.

  e. Implement Performance Review by holding training sessions for supervisors prior to administering reviews. Create timeline and distribute to all.

  f. IE Report Card completion – work on data points with IE/SP Committee.

  g. Assessment Committee – work with co-chairs on goal development and follow-through; measured by completion of tasks: establishment of ILO Rubrics, Completion of Program Review, develop PLO assessment plan for Gen Studies and Humanities; investigate e-portfolio implementation.

  h. Work with Tabitha Carter to create a revised assessment reporting system in Access on Angel – particularly for Gen Ed and ILO reporting.

  i. Continue weekly IE/IR office meetings for planning and follow-through.

4. **Timeline:** (Expected deadlines for actions and goal completion.)
Completion of SUNY IE Certification program – October 2015
Implementation of Performance Review January – March 2016
Software proposal – January 2016
Unit Review Process – May 2016
Assessment reporting enhancements for Gen Ed and IE – November 2015

5. **Major Costs:** Assessment Software - $15,000 – $30,000 – depending upon decision criteria; would need to investigate funding sources for proposal

6. **Communications:** (with whom, when, why, how)
All Unit Leaders, Academic Assessment Committee, College Advisory Council
Research Assistant, Director of IR
President
Provost
Academic Team
Committee Chairs

7. **Expected Outcomes:** (Benchmarks)

  a. The second round of Operational Planning will be completed by the September 30th deadline, with instruction and review completed during the summer, prior to the return of faculty and students.

  b. Performance Review will be implemented in accordance with the committee's process schedule.

  c. Unit Review process plans will be developed and distributed, ready for implementation in fall 2016.

  d. The Academic Assessment Committee will lead the Assessment Days and train on a new reporting system, either in-house updated, or new software.

  e. Software proposal will have been submitted to Executive Council by January 2016.

  f. Higher reporting rates of assessments by part-time faculty – up 30%

  g. Greater awareness and use of quality assessment methods – increase in the number of faculty reporting learning activity assessments, and Unit leaders to begin reporting out their assessment results/best practices for colleagues.

8. **Measuring Success:** Primary measures of success will include noting completed actions. However, qualitative evaluation forms will be administered at committees and events to help gauge success through satisfaction and extent of implementation. College Committee reports on meeting their goals and Unit Annual Reports will indicate Quality Rubric measurements. Alignment of Herkimer's Strategic Plan and SUNY Excels measures (Critical Success Factors) will be monitored and documented for analysis at the end of the year. Compare last year's part-time faculty reporting rates with this year's reporting rates. Note the inclusion of increased participation in learning activities and assessment best practices.

9. **Results:**

  a. The second round of Operational Planning will be completed by the September 30th deadline, with instruction and review completed during the summer, prior to the return of faculty and students.; OPERATIONAL PLANNING COMPLETE, ANNUAL REPORTING COMPLETE AND FURTHER PREP FOR UPDATED OPERATIONAL PLANNING HAS OCCURRED FOR THE SUMMER SESSION 2016; NEW OPERATIONAL SCHEDULE IS IN PLACE, CUTTING SHORT THE RESULTS AND ANNNUAL REPORTING TIME.

  b. Performance Review will be implemented in accordance with the committee's process schedule. NOT YET IMPLEMENTED. THE FORM AND PROCESS WERE READY AND TRAINING WAS TO BE SCHEDULED WHEN LEGAL COUNSEL TEMPORARILY HALTED THE PROCESS. A NEW PROCESS IS BEING CONSIDERED.

  c. Unit Review process plans will be developed and distributed, ready for implementation in fall 2016. UNIT REVIEW TEAM HAS MET AND THE PROCESS CONTINUES TO BE DEVELOPED.

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e. Software proposal will have been submitted to Executive Council by January 2016; PROPOSAL WAS SUBMITTED AND APPROVED FOR PURCHASE, ACQUISITION EXPECTED FOR JUNE 1, 2016 WITH ANTICIPATION OF IMPLEMENTATION FALL 2016.

f. Higher reporting rates of assessments by part-time faculty – up 30%; PART TIME FACULTY AND FULL TIME ASSESSMENT PARTICIPATION COMPARISON INDICATES AN INCREASE OF 24.5% AFTER EFFORTS TO HAVE THE ADJUNCT OFFICE DUPLICATE CONTACT EFFORTS FROM THE ASSESSMENT & IE OFFICE. The adjunct office also added "Assessment Completion" to the end of semester check off list. Full time faculty participation also increased by 14.5% after increased email and Assessment Day reminders.

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Fall 2015
FT: 60 (96.8%) unique FT faculty members assess courses
PT/Adj.: 42 (42.9%) unique PT/Adj. faculty members assessed courses

g. Greater awareness and use of quality assessment methods – increase in the number of faculty reporting learning activity assessments, and Unit leaders to begin reporting out their assessment results/best practices for colleagues. ASSESSMENT RESULTS HAVE BEEN ENTERED INTO ANGEL, BUT COLLEGE NOW FACULTY STILL HAVE TIME TO COMPLETE THEM. NO RESULTS ON THIS OUTCOME FINALIZED UNTIL ASSESSMENT DAY IN AUGUST.

Further, strategic planning and SUNY Excels goals are aligned and through the work of the Strategic Planning and Institutional Effectiveness Committee, the micro KPIs have been established and published to enhance the new Operational Planning process. Also, General Education Assessments and ILO Assessments have been prepared on paper, administered, collected, and are currently being tallied while waiting for CN to finish.

10. **Future Planning Targets:** While most initiatives and actions have been completed or are in process, the final measures for several will not be done until the end of Aug. 2016, as originally planned. Therefore, some of the future targets will be shaped as that time nears. Critical Success Factors have been identified and distributed to administrators to help facilitate forward planning. They are: Enrollment, Student Success, Revenues, Gifts and Student Satisfaction. These will be targeted in the next Assessment and IE plan, through the various committee involvement, Assessment Software acquisition and implementation, developing a guide for IE and more Academic Assessment Committee involvement by the Assistant Dean and the Research Assistant.

Herkimer
THE STATE UNIVERSITY OF NEW YORK O

Unit Operational Plan

UNIT/DEPARTMENT: Assessment and Institutional Effectiveness   ANNUAL CORE VALUE: **Integrity**
DATE: Academic Year 2016-2017
CONTACT(s): Mary Ann Carroll, Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness

Unit Mission Statement:

The mission of the Herkimer College Assessment and Institutional Effectiveness office is to provide leadership in planning, facilitating and cultivating a standard of quality across the institution, using outcomes assessment in accordance with strategic planning, and providing direction in matters of institutional improvement and accreditation.

Annual Plan (Complete #1-3 by 8/1/16, discuss with supervisor, submit final approved plan to IE office by 9/1/16)

1. **Priorities (Institutional and Departmental):**

   Institutional: 1.) Enrollment, 2.) Student Success, 3.) Revenues, 4.) Gifts, 5.) Student Satisfaction
   Departmental: Continue maintaining partnerships on campus for furthering effective use of assessment processes and use of data toward improvement; Centrieva implementation, strategic planning; accreditation; service excellence and communication plan; program review and academic assessment; Unit Review process and unit assessments; Assessment and strategic planning for student success and satisfaction

2. **Criteria for excellence in INTEGRITY in your Unit:** (see Quality Rubric for reference competencies)
   a. Collaborate closely with Institutional Research to sustain assessment plans, processes and reporting with consistency and accuracy, promoting continuous improvement and the quality movement across campus – Assessment: Institutional Effectiveness Guide with improved processes and data reports/analyses used for documenting unit/campus improvements
   b. Disseminate assessment results, committee and accreditation reports to appropriate constituents, using accessible, appropriate communication methods – Assessment: Documentation available to proper constituents; postings as necessary; collaborate with IR to develop use of Data Dashboards and IE Report Card
   c. Maintain office operations with honest, fair practices, and consistent follow-through on established goals - Assessment: completion of goals; end-of-year office summary meeting

3. **Objectives/Goals*:**

   Goal #1 – **Create a comprehensive Institutional Effectiveness Guide to better provide documentation and direction for the Institutional Effectiveness Office, and to give all units a comprehensive reference for institutional unit and academic assessment, accreditation, planning and improvement procedures and practices.**

   a. **Actions:** Compile current process documentation; write procedures manual and other procedural instructions/process documents
   b. **Timeline:** June 2017
   C. **Major Costs:** Time
   d. **Communications:** Provost, IR, Research Assistant, President
   e. **Expected Outcomes:** Manual complete and available for continual updating
   f. **Assessment plan –** Evidence of manual access and use

   Goal #2 – **Create the process and establish procedures for implementing campus wide usage of Centrieva Academic Effect software for academic and unit assessment, institutional planning and accreditation.**

   a. **Actions:** Create Centrieva files, training in setup for all modules, achieve
   b. **Timeline:** Summer 2016 – May 2017
   C. **Major Costs:** $9,990/yr., training time
   d. **Communications:** IR, Centrieva, Provost, Unit leaders, Faculty

e. **Expected Outcomes:** All units will be introduced to and be able to use Centrieva for first stage unit reporting**;** academic assessment procedure will be established (though not implemented totally)

f. **Assessment plan** – Usage level monitoring, training evaluations

<u>Goal #3</u> – **Re-establish shared oversight of the Academic Assessment Committee to further educate committee members on improvement needs, accurate assessment data, usable data and creative opportunities through applied learning. Also, creating better assessment work flow, and improved program review processes.**

a. **Actions: add meetings to schedule, create agendas and training materials, meet with co-chairs regularly**

b. **Timeline:** August 2016 - May 2017

c. **Major Costs:** Time

d. **Communications:** Provost, AAC co-chairs & members, Associate Deans, Research Assistant, IA Coordinator, IR

e. **Expected Outcomes:** Improved processes with reduction of time and increase in efficiency and effectiveness; faculty are able to strategize using assessment data and information on assessment processes

f. **Assessment plan** – AAC Meeting minutes; Assessment Day program and minutes; Assessment data per faculty type, faculty focus group (5 year follow up - Summer 2017); comparative assessments pre and post AAC changes

<u>Goal #4</u> – **Oversee accreditation efforts: completion of the MSCHE Progress Report, further development of the Accreditation and Compliance teams, and improvement of Integrated Strategic Planning.**

a. **Actions:** Accreditation Academy; Professional Development on new standards; new annual reporting with IR; implement and/or support next stages of developing master strategic plans for EMM, SASS and FACILITIES; monitor and support progress on RAC resource allocation process.

b. **Timeline:** August 2016- April 2017

c. **Major Costs:** Time; Conference expenses – MSCHE Annual, ANNY and possibly drive-in SCoA sessions ($5,000)

d. **Communications:** SPIE committee members, President, Provost, IR, MSCHE

e. **Expected Outcomes:** Progress Report is submitted on time and accepted by the Commission; document road maps are established according to team plans; strategic planning is expanded to include an academic/student success plan that is integrated with the EMM plan and Facilities plan

f. **Assessment plan** – Documents available and disseminated as appropriate to constituents

<u>Goal #5</u> – **Implement a Unit Review program that establishes more effective Unit assessment and improvement toward ensuring student success through the contribution of student services and non-instructional units.**

a. **Actions:** Continue to lead a Unit Review Ad Hoc Committee to establish the review guidelines; pilot and introduce process to SPIE and IE Steering Team to read, per MSCHE recommendation; work with HR to update procedure manuals in connection with Unit Review

b. **Timeline:** August 2016 – May 2017 (first pilot for Spring 2017)

c. **Major Costs:** Time, in-house training

d. **Communications:** Provost, EC, Unit ad hoc committee and Unit Leaders

e. **Expected Outcomes:** Unit Review begins in Spring 2017 using established guidelines

f. **Assessment plan** – Guidelines published, processes begun, status reported in Progress MSCHE Report

<u>Goal #6</u> – **Implement the Service Excellence and Communication plan.**

a. **Actions:** Follow plan guidelines; develop program and administer training sessions, collaborating with HR & PR

b. **Timeline:** Sept 2016 – May 2017

c. **Major Costs:** Indicated on proposal; collateral and promotional items, time

d. **Communications:** PR, HR, EC, IR, Unit leaders, faculty and staff

e. **Expected Outcomes:** per plan

f. **Assessment plan** – repeat survey, as indicated on plan

4. <u>**Assessment Results:**</u> (Data to be tracked throughout the academic year; include dates with specific measured outcomes.)

5. <u>**Future Planning Targets:**</u> (Describe expected follow-through based on assessment results.)
*Goal statements should be "SMART": Specific, Measurable, Actionable, Realistic and Timed

ASSESSMENT DAY

August 25, 2016   **Agenda**   **RMCC Alumni Hall**

ACADEMIC ASSESSMENT (All Faculty)

8:45   **Breakfast** – Waffle Bar with Belgian waffles and choice of toppings, bacon, sausage, juice and coffee/tea.

9:00   **1. Course Assessment (as breakfast continues)**
Course Learning Outcomes - Close the Loop
Announcements: Centrieva Software; New benchmark standards & reporting form; Learning Activities; Assessment Quiz

9:20   **2. Program Assessment**
Program Learning Outcomes & CTL Discussion; Program Review; Benchmarking

9:50   BREAK

10:00   **3. Institutional Assessment**
"Know Your Students: New Data on Herkimer College Students" - Student Success Defined; …the premier 2-year college experience; MSCHE New Standards
-Institutional Learning Outcomes (Data and next cycle) and Gen Ed Data (Response Rates, Outcomes Comparison, Upcoming Cycle)

11:00   **4. Featured Information Session**
Improving the Value of SLO Assessment at Herkimer (Info for Assessment Committee agendas); Quiz results

12:00 Noon   Faculty adjourn

****

UNIT ASSESSMENT (All Unit/Division Leaders)

12:30 p.m.   **Lunch** (Unit Leaders) – Light fare of petite sandwiches, veggies, cookies, drinks

12:45   **Unit Assessment**   - Announcements as lunch continues.
Using data to make improvements: How are we doing?
          Data Points of Interest
          Student Success Defined, Premier 2-year College Experience, CTL on Operational Plans using effective assessment methods – Direct/Indirect Assessment
          Centrieva Update

1:30   MSCHE Standards for Service and the Student Experience

The Big Picture: Your Unit Assessments Make a Difference (Where does your unit fit? How do we measure your unit's contribution and success?)

Accreditation – new Standards of Excellence – the relationship to Service Excellence Plan

2:30   Adjourn

D'Arcangelo&Co.,LLP

Certified Public Accountants & Consultants

120 Lomond Court, Utica, N.Y. 13502-5950
315-735-5216 Fax: 315-735-5210

Independent Auditor's Report

Board of Trustees
    Herkimer County Community College

Report on the Financial Statements

We have audited the accompanying financial statements of Herkimer County Community College (component unit of Herkimer County, New York) and one of the discretely presented component units, as of and for the year ended August 31, 2016, and the related notes to the financial statements, which collectively comprise the College's basic financial statements as listed in the table of contents. The prior-year summarized comparative information has been derived from the College's 2015 financial statements and, in our report dated January 27, 2016, we expressed an unmodified opinion on those financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We did not audit the financial statements of the Herkimer County College Foundation, Inc. and the Herkimer County Community College Housing Corporation, which represent 87%, 81% and 79%, respectively, of the assets, net position, and revenues of the component units. Those statements were audited by other auditors whose report has been furnished to us, and our opinion, insofar as it relates to the amounts included for the Herkimer County College Foundation, Inc. and the Herkimer County Community College Housing Corporation is based solely on the report of the other auditors. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in **Government Auditing Standards,** issued by the Comptroller General of the United States. The financial statements of the component units were not audited in accordance with **Government Auditing Standards**. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the College's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the College's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, based on our audit and the report of other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of Herkimer County Community College and the aggregate discretely presented component units as of August 31, 2016, and the respective changes in financial position, and where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

To the Board of Directors
   Faculty Student Association of Herkimer County Community College, Inc.

We have audited the financial statements of Faculty Student Association of Herkimer County Community College, Inc. for the year ended June 30, 2016, and have issued our report thereon dated November 16, 2016. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our letter to you dated August 17, 2016. Professional standards also require that we communicate to you the following information related to our audit.

Significant Audit Findings

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by Faculty Student Association of Herkimer County Community College, Inc. are described in Note 1 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during 2016. We noted no transactions entered into by the Organization during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimate affecting the financial statements was:

> Management's estimate of the accounts receivable allowance for doubtful accounts. We evaluated the key factors and assumptions used to develop the allowance for doubtful accounts in determining that it is reasonable in relation to the financial statements taken as a whole.

The financial statement disclosures are neutral, consistent, and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. There were no misstatements noted during the audit.

Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in the management representation letter dated November 16, 2016November 16, 2016.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the Organization's financial statements or a determination of the type of auditor's opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the Organization's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

This information is intended solely for the use of the Board of Directors and management of Faculty Student Association of Herkimer County Community College, Inc. and is not intended to be, and should not be, used by anyone other than these specified parties.

D'Arcangelo + Co., LLP

November 16, 2016

Utica, New York

FITZGERALD, DePIETRO & WOJNAS CPAS, P.C.

CERTIFIED PUBLIC ACCOUNTANTS

Communication With Those Charged with Governance

December 8, 2016

To the Board of Directors of
Herkimer County College Foundation, Inc.
 and Herkimer County Community College Housing Corporation

We have audited the combined financial statements of Herkimer County College Foundation, Inc. and Herkimer County Community College Housing Corporation for the year ended August 31, 2016 and have issued our report thereon dated December 8, 2016. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our letter to you dated October 3, 2016. Professional standards also require that we communicate to you the following information related to our audit.

Significant Audit Findings

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by Herkimer County College Foundation, Inc. and Herkimer County Community College Housing Corporation are described in Note 1 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during 2016. We noted no transactions entered into by the Organization during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimate affecting the financial statements was depreciation.

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291 GENESEE STREET, UTICA, NY 13501 | PHONE: (315) 724-2145 | FAX: (315) 724-7268

Qualitative Aspects of Accounting Practices (Continued)

Management's estimate of the depreciation is based on the useful life of an asset. Useful lives are determined by using the Alternative Depreciation System (ADS) set forth by the IRS. ADS is required for any tax exempt use property. We evaluated the key factors and assumptions used to develop the estimate of depreciation in determining that it is reasonable in relation to the financial statements taken as a whole.

The financial statement disclosures are neutral, consistent and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are trivial, and communicate them to the appropriate level of management. Management has corrected all such misstatements. In addition, none of the misstatement detected as a result of audit procedures and corrected by management were material, either individually or in the aggregate, to the financial statements taken as a whole.

Disagreements with Management

For purposes of this letter, professional standards define a disagreement with management as a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representation

We have requested certain representations from management that are included in the management representation letter dated December 8, 2016.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the Organization's financial statements or a determination of the type of auditor's opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultants with other accountants.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the Organization's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

Other Information in Documents Containing Audited Financial Statements

With respect to the supplementary information accompanying the financial statements, we made certain inquiries of management and evaluated the form, content and methods of preparing the information to determine that the information complies with U.S generally accepted accounting principles, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

This information is intended solely for the use of the Board of Directors and management of Herkimer County College Foundation, Inc. and Herkimer County Community College Housing Corporation and is not intended to be and should not be used by anyone other than these specified parties.

Very truly yours,

Fitzgerald, DePietro & Wojnas, C.P.A.s, P.C.

FITZGERALD, DEPIETRO & WOJNAS CPAS, P.C.

Communicating Internal Control Related Matters

December 8, 2016

To Management of
Herkimer County College Foundation, Inc.
 and Herkimer County Community College Housing Corporation

In planning and performing our audit of the combined financial statements of Herkimer County College Foundation, Inc. and Herkimer County Community College Housing Corporation as of and for the year ended August 31, 2016, in accordance with U.S. generally accepted auditing standards, we considered Herkimer County College Foundation, Inc.'s and Herkimer County Community College Housing Corporation's internal control over financial reporting (internal control) as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Organizations' internal control. Accordingly, we do not express an opinion on the effectiveness of the Organizations' internal control.

Our consideration of internal control was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control that might be significant deficiencies or material weaknesses and therefore there can be no assurance that all such deficiencies have been identified. However, as discussed below, we identified certain deficiencies in internal control that we consider to be significant deficiencies.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. We did not identify any deficiencies in internal control that we consider to be material weaknesses.

Page 5

A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material misstatement, yet important enough to merit attention by those charged with governance. We consider the following deficiency in internal control to be a significant deficiency:

> Management responsible for the accounting and reporting functions does not endeavor to have current working knowledge of GAAP pronouncements and standards in order to prepare the disclosures associated with the financial statements. Management currently overcomes this weakness by discussion and consultation on these matters with the independent auditors, and then reviews and approves the final disclosures.

This communication is intended solely for the information and use of management and others within the Organization, and is not intended to be and should not be used by anyone other than these specified parties.

Very truly yours,

Fitzgerald, DePietro & Wojnas, C.P.A.s, P.C.

Herkimer College
Service Excellence and Communication Plan
Employee Workshops Fall 2016

Herkimer College – *your* Community College – where every student counts and every employee makes a difference.

Purpose: To improve student and employee satisfaction through *consistency* and *quality* in communication and service.

- improve service and communication in all offices, between all constituents, particularly faculty, staff, students and administrators
- create consistency in practices
- build collegial and productive relationships
- demonstrate quality communication and service practices.
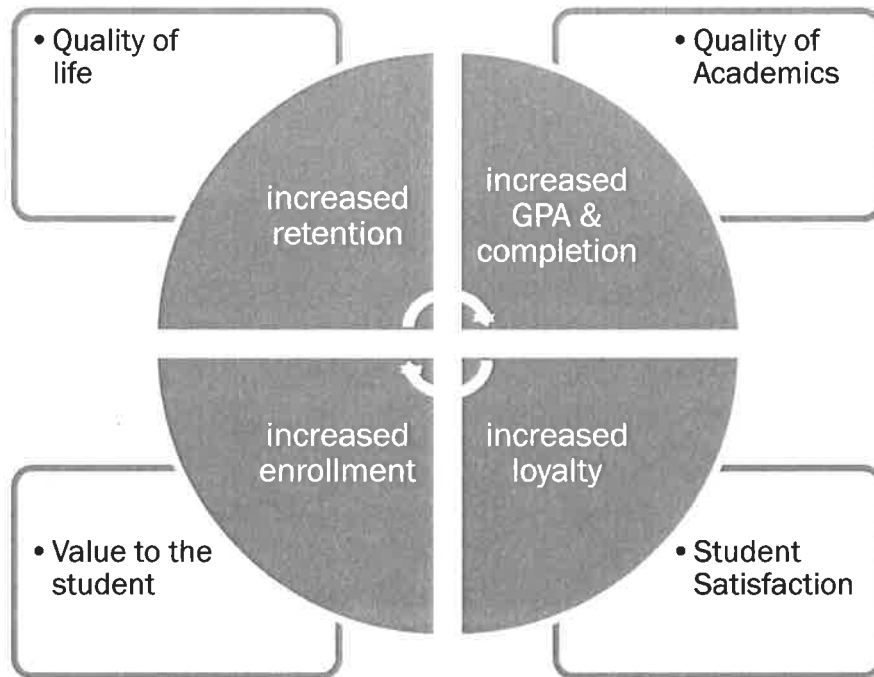
Workshops:

1. Will be provided for all employees at Herkimer College for the Service Excellence and Communication Plan for quality and improvement.

2. Will introduce and explain the Service Excellence and Communication philosophies and standards

3. Will examine techniques, best practices, and opportunities for collegial collaboration, defining roles in building a culture of excellence and quality service

Workshop Outcomes:
- All departments adopt a posture of excellence by identifying their own needs and actions which may be included in operational planning
- To gather Unit communication information that will result in creating an Campus Contact sheet; department 5Ws of communication; Service Analysis Maps, Coffee Stain Checklist
- Recognize and reinforce excellence in service

Prepare people to engage in building a culture of quality through service excellence ------→ employee satisfaction --------→ premier 2-year college experience -------→ student satisfaction------→ increased retention -------→ increased completion -------→ increased enrollment -------→ increased loyalty

The Premier 2-Year College Experience toward Student Success

- Quality of life

increased retention

- Quality of Academics

increased GPA & completion

- Value to the student

increased enrollment
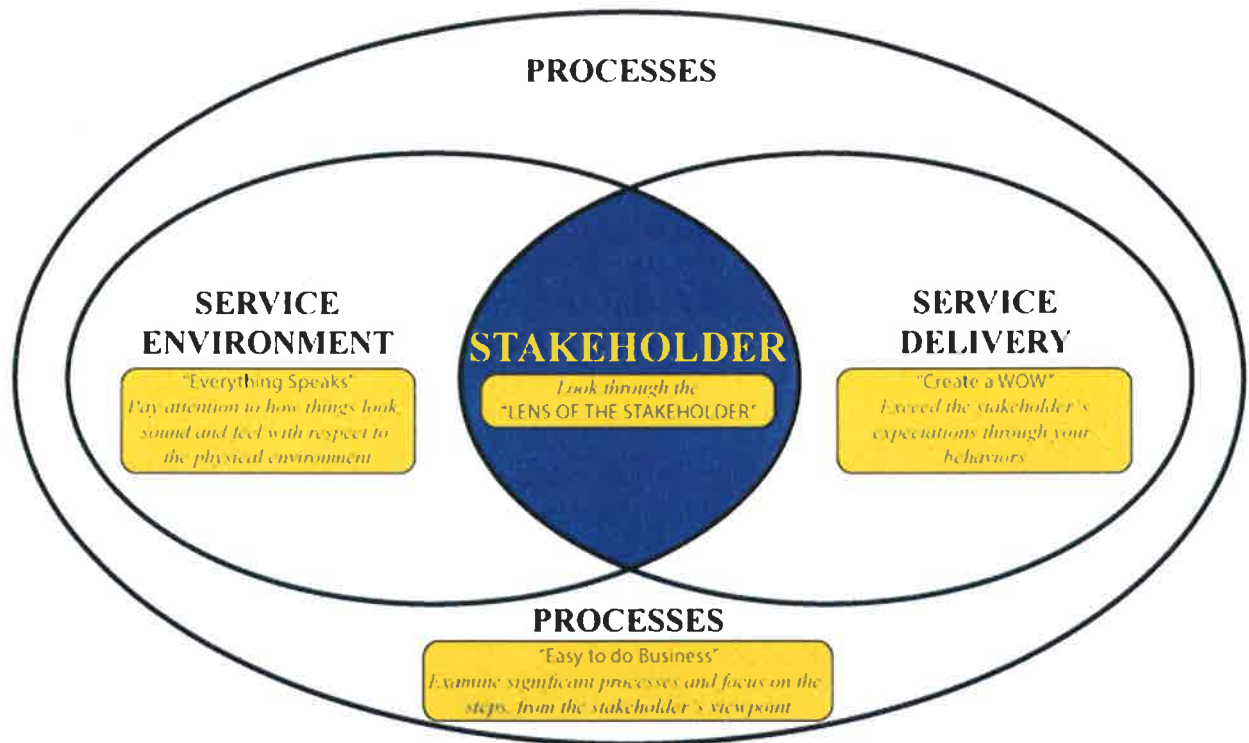
increased loyalty

- Student Satisfaction

What is Service Excellence?

- Service Excellence is aligning the quality of our services and environment with the excellence of our academic programs.
- Service Excellence provides a great experience outside the classroom, so that students and faculty can focus on being successful inside the classroom.
- Service Excellence includes providing excellent service to each other so that Herkimer is positioned to provide excellent service to students. It also creates a system to recognize those who provide excellent service.
- Service Excellence enables greater work satisfaction, more time focused on issues that advance the College, and less time worrying about internal issues.

http://www.montana.edu/serviceexcellence/what.html
Green text has been changed to reflect Herkimer's application.

(Adapted for Herkimer: Original from Montana State University)

SERVICE ENVIRONMENT
"Everything Speaks"
Pay attention to how things look, sound and feel with respect to the physical environment

STAKEHOLDER
Look through the "LENS OF THE STAKEHOLDER"

SERVICE DELIVERY
"Create a WOW"
Exceed the stakeholder's expectations through your behaviors

PROCESSES
"Easy to do Business"
Examine significant processes and focus on the steps from the stakeholder's viewpoint

http://www.montana.edu/serviceexcellence/what.html
Green text has been changed to reflect Herkimer's application.

How do we Achieve Service Excellence?

- View everything through the lens of the stakeholder, whether it be a student, colleague, community member or any other person with whom we come in contact.
- Everything speaks: pay attention to how things look, sound and feel with respect to the physical environment. (Scan for the Coffee Stains)
- Examine significant processes using service maps— focusing not on our own steps in the process, but on the stakeholder's viewpoint. (Empathy; knowing needs and expectations)
- Provide a framework for removing roadblocks through a Service Opportunity System. (Dept. improvement meetings and operational planning.)

Service Mapping: Exercise; Choose a process to analyze from within your department; Consider how to best create a seamless experience for the stakeholder, with a process that includes as few contacts and roadblocks as possible. "Coffee Stains" action plans: What needs priming? 5 W's of communication
Expected Plan Outcomes:
- Improved morale among faculty and staff; Increased pride in institution
- Unified goal targets
- Quicker and more effective student service response times
- Increased student satisfaction
- Enhanced vibrancy of campus
- Improved student retention (based on increased student satisfaction)
- Enhanced reputation, recognition and external perception
- A more motivated workforce, loyalty, high performance, innovation and a distinctive institutional competitive advantage

HERKIMER COUNTY COMMUNITY COLLEGE
SERVICE EXCELLENCE AND COMMUNICATION PLAN

OUR SERVICE COMMITMENT TO ALL:
"We will demonstrate the quality we value!"

We Value:
1. **Excellence** - To encourage all constituencies of the college community to pursue the highest standards of performance in their academic and professional work.
2. **Opportunity** - To provide access to quality, affordable lifelong learning opportunities and to maintain an environment that fosters individual growth and development for all.
3. **Community** - To foster a collaborative campus environment that promotes civility, creativity, diversity, open communication, social responsibility, and mutual respect among students, faculty, staff, and the public.
4. **Integrity** - To embrace the values of honesty, respect, consistency, diversity and responsibility, in order to provide fair and equal treatment for all.

Our Mission:
Our mission is to serve our learners by providing high quality, accessible educational opportunities and services in response to the needs of the local and regional communities.

We will fulfill our mission. We will:

- **Create** an exceptional campus environment to give our students a premier two-year college educational experience.
- **Connect** with co-workers, students and visitors to facilitate and improve collaboration toward productivity.
- **Communicate** clear, positive messages that create effective engagement to support individual and departmental goals.
- **Care** for our campus community. Embrace civility, diversity and inclusion!
- **Commit** to excellence in service.

COMMITMENT FROM ADMINISTRATION/SUPERVISORS:
1. We will include all employees in events and activities of an important institutional nature (i.e. anniversary celebration).

2. We will disseminate "Campus Briefs," an internal communication that will include notes from all-campus meetings, personnel updates, Executive Council announcements, 'need to know' information, upcoming events and other points of interest.

3. We will provide a suggestion box outside the IE Office, as well as a "We heard you" bulletin board with data points and actions taken.

4. We will inform employees of work expectations and quality performance at least annually, both written and in face-to-face meetings.

5. We will implement a Performance Development Plan through individual achievement goals in a performance review process.

6. We will provide and participate in training in communication and interpersonal skills for all employees to support service excellence.

7. We will make timely announcements of new hires and departing employees, as well as immediate updates to directories with photos and bios (MyHerkimer, website and organizational charts).

8. We will create a comprehensive, on-going dynamic employee orientation program for faculty and staff.

9. We will model service excellence and include such within department operational planning.

COMMITMENT for Excellence:

We will view ourselves as the "face" of our brand, and we will demonstrate the quality that we value. Adopt an attitude of excellence and empathy. See service through the "Lens of the Stakeholder" (Yanovitch & Associates LLP, 2014).

Communication Excellence – professionally listen, analyze and respond:

1. We will be proactive in trying to resolve issues, seeking answers to questions, and learning about programs, processes, procedures and policies.
2. We will be respectful of others' time (keep agendas, communicate missing meetings, etc.).
3. We will use proper request protocols, appropriate media for different messages and Outlook scheduling tools. (Track-it, calendars, e-mail, texts, etc.)
4. We will avoid gossip by sharing accurate, relevant and timely information.
5. We will recognize, celebrate and communicate service excellence. We will acknowledge a good job.

GREET – LISTEN – RESPOND PROFESSIONALLY:

Greet:
1. We will greet our coworkers, students and visitors in a courteous and professional manner.

2. We will hold ourselves and each other accountable for addressing inappropriate comments and behavior.

3. We will be proactive in acknowledging visitors, greeting them in the hallway or offices, and offering assistance.

4. We will extend telephone courtesy to all by properly identifying ourselves to callers:
   External calls: "Good (morning, afternoon, evening). You've reached the Herkimer College (name) Office. I'm (your name). How may I help you?"
   Internal calls: "Hello. You've reached the (name) Office. This is (your name). How may I help you?

Listen:
1. We will listen effectively to our students', parents' and coworkers' requests and promptly take the necessary actions to assist them.

2. We will actively listen patiently to the details of requests and concerns, and affirm the request.

Respond:
1. We will respond to students', parents' and coworkers' needs with the first contact whenever possible, targeting a maximum of three contacts with different offices.

2. We will inform our customers of normal process times, when they can expect completion, and any delays that may arise in the process.

3. We will document details, as necessary, to relay information to others who may need to provide service.

4. We will respond to website questions/requests and voicemail messages within 24 hours during normal business hours when the college is open.

5. We will resolve issues with co-workers and other departments by discussing problems directly and working toward agreed upon solutions.

6. We will not complain or recount situations in public; if a situation was challenging, debrief with a supervisor or colleague in private.

7. We will follow through!

Barriers to effective communication and excellent service: (Sure ways to fail!)
1. The "not me" syndrome. (Believing that everyone else has a communication or service problem.)
2. Acting before asking and listening. (Failure to collaborate with those who have information that you need. – VIPs – Very Important Partners)
3. Not reading written correspondences thoroughly. (Putting emails aside or not opening docs.)
4. Choosing to disengage. (Tunnel vision – bubble world. Too busy and lacking connections.)
5. Leftovers. (Old wounds still open.)
6. Wrong "side of the house." (It's not my job. It's their job.)
7. Mistrust/Distrust. (Fear! No trust in others, or trust in the wrong people.)
8. Lack of leadership buy-in and role modeling.
9. Lack of faculty and staff buy-in and role modeling.

(No one is exempt from the service excellence program!)

What's next?:
- Display the 5C's Commitment poster; pins for those who have not received one
- Engage in high profile campaign – We "C" your service excellence!
- Incorporate service and communication excellence goals/activities in Operational Plans
- Meet with staff formally to discuss service analysis maps and coffee stains action plans; discuss expectations
- Complete departmental 5 W's of Communication; keep a copy & send one to IE Office
- Remind colleagues about workshop sessions

Timeline for Implementation:

Stage I:
1. Research and Planning (July 2015 – June 2015)
2. Meet with President – July 19
3. Present to EC – week of July 25[th]
4. IE and IR meet with very important partners – early August
5. Unit Leader group meeting with EC (August 9)

Stage II:
6. Intro at All-Campus Meeting – September – Pins; Take department pictures/Gather bios and photos for directory; Share at CAC meeting and SGA after start of semester
7. Four 2-hr sessions offered – end of Sept. - Oct.; all must choose one training session
8. Implementation across campus on-going through academic year 16-17.
   – "We 'C' you".../pay it forward campaign; posting of "C's" documents & slogans
9. Incorporate tactics for excellence as noted in the developing Diversity Master Plan; to be included in trainings, as indicated
10. Assess in late Spring 2017

Stage III:
11. Create follow up campaign to implement in Fall 2017
12. Communication Training Fall 2017 - follow up from Spring assessment
13. Establish persona guidelines

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Faculty Annual Report

Faculty Name: _____   **Rank:** _____

Unit (Department/Division): _____

Annual Core Value: <u>Community (2015-2016)</u>

Date: _____

Section I: - Teaching Assignments:

Section II: Committees/College Leadership roles:

Section III: Resources

A. Individual Achievement

(Provide details regarding your professional development, awards and recognition received, education and training, committee and community involvement.)

B. Facilities

(Describe your working environment, note significant changes in your work area and the impact is has had on your work and/or your program.)

C. Technology

(Describe significant changes to hardware or software, and any training that has made an impact on your teaching. Also, note any current challenges.)

Section IV: Curriculum Development

A. List course and program development/updates, program review and other curriculum changes that you initiated or toward which you contributed.

B. List your contributions to the college within the context of supporting the Strategic Plan:

1. **Strengthen Support for Student Success:** *Promote student success through relevant programs and support services within an enriched teaching and learning environment.*
    (Advising, retention efforts, curriculum/course development, etc.)

2. **Campus Life:** *Provide a rich two-year college experience for all students.*
    (Club advising, program leadership, etc.)

3. **Institutional Culture:** *Create a more engaged and vibrant campus community.*
    (Contributions to activities and interdisciplinary efforts on campus.)

4. **Operational Sustainably:** *Ensure the operational sustainability of the institution.*
   (Budgeting contributions, recruitment and retention, etc.)

5. **Outreach & Community Relations:** *Enhance community connections.*
   (Professional Memberships, Community Involvement, Volunteer Contributions, etc.)

C. Supporting the Core Values: "Community" for all constituents is being measured this year. Name one of your many contributions that fulfilled a specific criterion of the core value competency below and score it according to the rubric.

   Criterion:

   Action and Outcome:

   Assessment Data:

   SCORE: _____

   COMMUNITY: To foster a collaborative campus environment that promotes civility, creativity, diversity, open communication, social responsibility, and mutual respect among students, faculty, staff, and the public.

   Rank your success in supporting the Core Value above, according to the Quality Rubric.

Poor-0 No Action	Fair-1 Convenient	Good-2 Compliant	Very Good-3 Growth	Excellent-4 Promotes future growth	Measure/Score
Not collaborative, nor promoting attributes of community.	Collaborative with some constituents, not all; communication among and between constituents is ineffective or non-existent.	Collaborative with all constituents (students, faculty, staff and public), communicating within a closed circle.	Collaboration with all constituents, based on assessments, practicing open communication using a variety of communication methods.	Collaborative with all constituents, promoting open communication and creativity in future collaborative opportunities.	

Section V: Recommendations/Challenges

Identify challenges and recommendations for the future that you would like your supervisor to consider in the next Operational Plan.
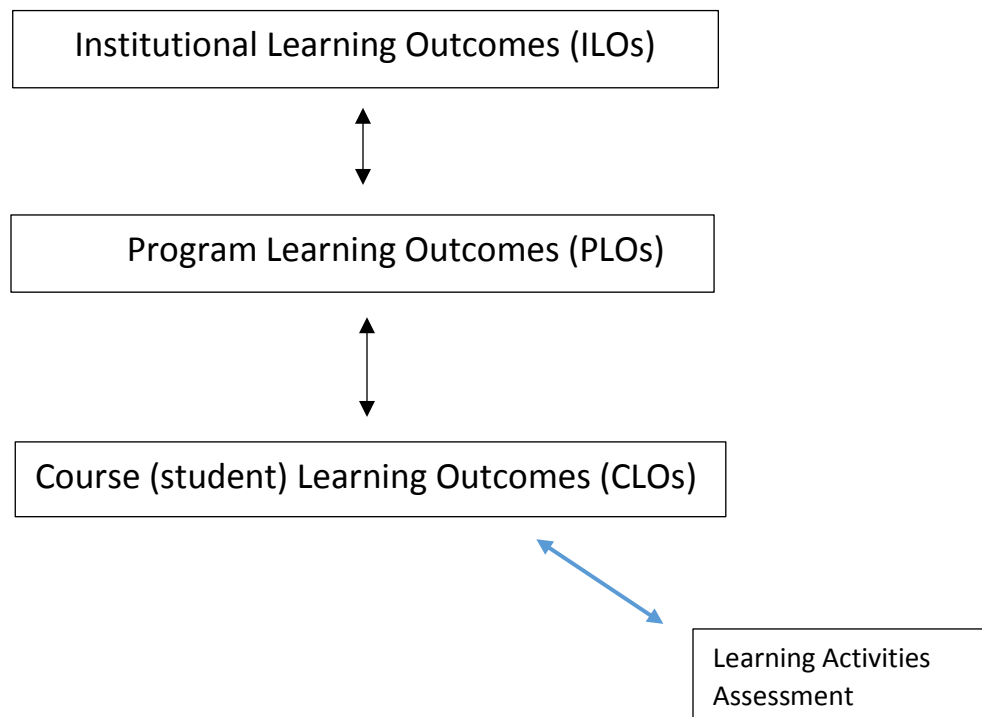
Challenges:

Recommendations:

Section VI: Highlights (optional)

What data or highlights can you share to illustrate areas of growth, accomplishment, service, or leadership? We are looking for submissions that quickly demonstrate a point for possible inclusion in the College's Annual Report.

Herkimer College Learning Outcomes Assessment Plan

```
┌─────────────────────────────────────────────┐
│   Institutional Learning Outcomes (ILOs)    │
└─────────────────────────────────────────────┘
                      ↕
┌─────────────────────────────────────────────┐
│    Program Learning Outcomes (PLOs)         │
└─────────────────────────────────────────────┘
                      ↕
┌─────────────────────────────────────────────┐
│ Course (student) Learning Outcomes (CLOs)   │
└─────────────────────────────────────────────┘
                            ↕
                  ┌──────────────────────┐
                  │ Learning Activities  │
                  │ Assessment           │
                  └──────────────────────┘
```

- Assessment of CLOs results in data that determine how course objectives are met.
- PLOs are served by the assessment results from CLOs, which determine whether program goals are met.
- ILOs are assessed by using assessment data from PLO and CLO assessment.
- Closing the loop on SLO assessment includes modifications to goals, outcomes, methods, and techniques that are informed by assessment of CLOs, PLOs, and ILOs.
- Learning Activities Assessment was added to the assessment flow in 2013-14, as all faculty were invited to choose one learning activity and assess it, using the Teaching Goals Inventory as a guide for prioritizing expectations and helping to design appropriate, purposeful learning activities and assessments. While learning activities assessment remains optional for faculty, it is used by many as an improvement gauge and a best practice documentation.

ILO Assessment Form
ILO B: Knowledge Management

Faculty Name:		Course:			
		Enter the # of students that completed the assessment.	Enter the # of students enrolled that DID NOT complete the assessment.		
ILO B: Knowledge Management Learning Outcomes	78-100% proficiency level	70-77% proficiency level	1-69% proficiency level	0%	Assessment Instrument Used (please write in choice(s) from key below):
(1) Ability to demonstrate a level of information literacy that enables students to manage knowledge by locating research gathered via traditional and/or contemporary methods. Examples of criteria, including but not limited to: a) Ability to use the library b) Ability to research a topic c) Ability to gather relevant information d) Demonstrate the ability to identify the appropriate resource for the desired information.					
(2) Ability to demonstrate a level of information literacy that enables students to manage knowledge by organizing research gathered by traditional and/or contemporary methods. Examples of criteria, including but not limited to: a) Ability to use the library b) Ability to research a topic c) Support positions with effectively organized sources d) Ability to use the appropriate citation formatting style in research reporting e) Sort ideas and data					

	ILO B: Knowledge Management Learning Outcomes	78-100% proficiency level	70-77% proficiency level	1-69% proficiency level	0%	Assessment Instrument Used (please write in choice(s) from key below):
(3)	Ability to demonstrate a level of information literacy that enables students to manage knowledge by evaluating the validity of research gathered by traditional and/or contemporary methods. Examples of criteria, including but not limited to: a) Ability to use the library b) Ability to research a topic c) Ability to use information once obtained d) Ability to evaluate and analyze sources e) Ability to make informed, educated decisions based on research that they collect and analyze f) Ability to distinguish reliable sources from unreliable sources g) Ability to understand quantitative and qualitative data					
(4)	Ability to use course appropriate computer technology for research. Examples of criteria, including but not limited to: a) Ability to research a topic b) Up-to-date with current technology c) Ability to use technology appropriate for research					
(5)	Ability to use computer technology in discipline specific software applications. a) Keyboarding skills b) Computer applications c) Ability to use discipline specific software and interpret results d) Ability to seek out third party assistance to enhance skills.					

Faculty Signature:_____

<u>Instrument Key:</u>   Written Paper   Test   Quiz   Project Presentation   Case Study   Other:_____

Please attach copies of assessment instruments used, and return to the Office of Institutional Effectiveness (CA234A): Mary Ann Carroll

Committee Minutes

Committee: Academic Assessment Committee
Chair: Maryann Wrinn, Lindsey Taube, Mary Ann Carroll (co-chairs)
Date: 11-17-16   Location: JH103   Time: 12:30pm

Attending: Maryann Wrinn, Lindsey Taube, Mary Ann Carroll, Jason Brown, Jason Davis, George Smith, Kalman Socolof, April Harris, Rebeccah Socolof

Excused: Annette Yauney, Tom Giamarria, Jen Herzog, Guy Devitt, Sharon Howell

Absent: Bob Gassman, Dan Thompsune, Marjorie Moore

1. **Mary Ann Carroll reported on her attendance of SUNY Council on Assessment (SCoA) Panels at FLCC and HVCC**
    a. Among the attending schools, we were ahead when it came to Institutional Learning Outcomes (ILOs), but we should not become complacent about it.
    b. We have overlap with our ILOs and GenEds
        i. The Committee needs to try to reconcile the two, and maybe be able to consolidate some of them together.
        ii. We can't stop assessing things as we have them in the meantime, but we can work on reviewing, revising, and replacing things as we go.
    c. Mary Ann has the PowerPoint with included SCoA definitions of terms. If anyone is interested in having a copy, please let her know, and Mary Ann will get you one.
    d. Our resource allocation process is being worked on currently, and is being changed to adjust the weight of factors in the grading process. This is ongoing, and will be running another test cycle to see if the improvements helped.
    e. **Learning Outcomes**- It's becoming expected for not just academic units to be accountable with learning outcomes/student support, but also our non-academic units (Financial Aid, Bursar, Registrar, etc.).
        i. **Expectations from MSCHE**- MSCHE is expecting a 'mature' assessment process.
            1. Assessment should be consistent, regardless of modality, level, or location.

     2. There should be evidence of using assessment results to improve teaching and learning.

2. **ILOs**- More extensive mapping will be expected in the future, but 'simpler is better!' and we should try to keep it as simple as possible while having all the relevant information represented.

  a. **ILO B-** The Committee was presented with two versions of ILO B, the original version with 6 Learning Outcomes, and the newer version with 5 Learning Outcomes. It was noted that the broken out parts of those Learning Outcomes represented on the form were intended as examples of activities that could fulfill the Learning Outcome, rather than a checklist of things to be completed. This will be represented on the next draft of the ILO B assessment form.
    Action Item: A revised draft of the ILO B form will be created wherein it's made clearer that the items listed under the Learning Outcomes are examples of possible ways to fulfill the given Learning Outcome, and are not meant to be a checklist of required activities. Revised forms will be distributed in March 2017.

3. **General Studies-** A better method of assessment is required.

  a. **Program Learning Outcomes-** The program learning outcomes for the General Studies program may need to be reviewed and revised.

    i. Mary Ann and Karen Ayouch experimented using an indirect assessment of the General Studies students by choosing the most popular basic Math, Science, Humanities, etc. courses taken by General Studies students and making a final grade progression study. The study is indirect program assessment, as it only uses final grades, and may not reflect how the students actually did on the assessments that measure the Learning Outcomes under scrutiny.

    ii. The question was raised that if the PLOs were revised in time, could we go back and apply it to past results.

      1. The answer is yes, but it wouldn't be a good use of the limited time and resources available, and is more beneficial to look forward and not worry about fixing past results.

    iii. We are looking at options on how to best use direct assessments for General Studies students.

      1. Portfolios- These were tried previously, but they were started halfway through the students' academic careers, and there wasn't much buy-in. Results may have been better if the process was instituted from the outset and students understood that they would be required to develop a portfolio from the beginning of their academic careers.

    iv. Collegial discussions with representatives from other colleges included possibly aligning the Program Learning Outcomes with the GenEd

requirements to make assessment a smoother process and require less work on behalf of faculty.

1. It might be possible to tie in the soon-to-be-required electronic grading with the assessments on the new Learning Management System (LMS) being implemented for 2017. To be reconsidered after the LMS is set up.
2. It was suggested that part of the upcoming January Assessment Day activities could be used to discuss the wording of new PLOs for General Studies so that input could be obtained from across faculty groups.

v. **Action Item:** The Committee will use email to work on topics and organization for the January Assessment Day activities.

vi. **Action Item:** Mary Ann will work on getting copies of the 'faculty response' packets that were used in revising ILO B so that Committee members can use them for the work of revising ILOs A, C, D, and E, using more wide-spread faculty input.

4. **Old Business/New Business –**
   a. A reminder that the new assessment forms this fall for faculty assessment will include further breakdown of proficiency levels to include the following:
      i. 0% (Did Not Complete Assessment)
      ii. 1-69%
      iii. 70-77%
      iv. 78-100%
   b. We will still be asking faculty to use headcounts when filling out these forms, and work is in progress to get a program up and running that will calculate percentages.

   Action Item: All AAC division reps, remind faculty about the new forms. Mary Ann will also include this in an end-of-semester email.

4. **Items to be considered by College Advisory Council:** None

5. **Adjourned:** 1:27pm
6. **Next Meeting:** TBD

Annual Program Learning Outcomes Assessment (PLO) Form

Program: Business: Fashion Buying & Merchandising_ Academic Year:_2015__-_2016___

Faculty Contact: _Amy Roepnack_____ Meeting #1 Date: ___01/2016_____

1. Improvements made to the program since last assessment:

- Increased Hand-On Assessments and Class Discussions

2. Which PLO will you assess this year? (# and description)

- Reflect and interpret concepts and historical backgrounds of the retail and/or fashion industry. (PLO #1)

3. How will you assess it? (method/data collection plan)

- Hands-On Project for History of Costume

4. Findings/data collected:

   - BU 156 - History of Costume Project: students will create a small fashion doll that is inspired by one fashion era along with a 1 page typed paper that explains the importance of the chosen era to the fashion industry.

   - Assessment findings: 70-100% - 20 students
     - 1-69% - 0 students
     - 0% - 0 students

5. What program improvements will be made as a result of the assessment findings?

   - Additional Project will be added to better assess the students. For project #2 students will create an inspiration board that depicts the influence of one particular era of fashion on today's clothing trends.

6. CLOSING THE LOOP: Meeting #2 Date: __08/2016_____Location: _Herkimer College_Alumni Hall_____
    Attending: _Amy Roepnack_____

   Describe how the findings may be helpful for further assessments and program improvements.

   - Hands-on project help to further students growth & interest. An additional project will be added for History of Costume to enhance student knowledge.

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Academic Program Review (SUNY Review of the Major) Process Check List

In accordance with Herkimer College's adoption of SUNY's Review of the Major outline for a Program Self-Study at a SUNY State-Operated Campus, all academic programs will be reviewed on a five year rotation, with a mid-cycle report at approximately 2-3 years into the Review process. Herkimer's process for completing academic program review is as follows:

- ☐ 1. AD (Associate Dean) announces curricula for Program Review and for Mid- Cycle Reports in the given year, and names Faculty review teams at the first division meeting.
- ☐ 2. AD contacts IE/IR (Institutional Effectiveness/Institutional Research) office with a list of reviews and reports* for the year.
- ☐ 3. Faculty Review Team sets up meeting with IE/IR by Sept. 30th .
- ☐ 4. IE/IR lead introductory discussion and fill out Intake Form.
- ☐ 5. Faculty set up reporting sessions schedule with IE/IR – for data and analysis.
- ☐ 6. Faculty write the Review/Report on schedule, using SUNY Appendix D outline or the Mid-Cycle Report form in Angel.
- ☐ 7. Faculty send draft to Academic Assessment Committee (AAC) and Faculty Senate at the end of the Fall semester, for Jan. or Feb. meeting (faculty will need to check committee meeting schedules).
- ☐ 8. AAC and Senate give feedback to faculty within 2 weeks of submission/committee review.
- ☐ **9. Faculty send final draft with names of external reviewers to AD by March 1st.**
- ☐ 10. AD contacts and arranges external review.
- ☐ 11. AD contacts faculty when external reviews are returned.
- ☐ 12. AD meets with faculty to discuss findings, recommendations and plan for implementing changes; and completes Major-2 Form with AD.
- ☐ 13. AD gets the report(s) bound and distributes to Provost, President and IE Office, and sends an e-document to the Provost's office, which the Provost's office will post to MyHerkimer and load onto the F: drive in the Assessment/IE Folder.
- ☐ 14. AD and faculty make an appointment with Executive Council to provide a brief report on findings and recommendations from the Review.
- ☐ 15. * Mid-cycle Reports will be completed by the program faculty according to the mid-cycle schedule, then sent to Academic Assessment Committee and Faculty Senate as an information item.
- ☐ 16. AD will review Mid-cycle Report with faculty in the program.
- ☐ 17. Faculty will post Mid-cycle Report in the Angel drop box.

"Student Success" at Herkimer College and the "premier 2-year college experience"

The Student Success Survey results below were compiled from volunteer on-campus respondents who took an open-ended response survey using either a Survey Monkey direct entry method, or a paper copy of the survey which was later entered into Survey Monkey. Responses were gathered from members of the 'Big 5' college committees, and students at both the "Stress Less Rodeo" and "Midnight Breakfast" end-of-semester events. There was a total of 53 unique survey respondents.

This report summarizes both parts of the Student Success Survey, including the open-ended question: What is Student Success? Survey takers could list up to five things they believed defined student success. Part II included a list of 22 categories about which respondents were asked to identify what the ideal "premier 2-year college experience" would look like for each. Among the 53 respondents, a total of 215 individual responses were recorded. These 215 responses were broken down into 41 categories. Further analysis is summarized in the following statements to determine criteria for Student Success and a premier 2-year college experience.

"Student Success" Defined – The following themes were identified as priorities in the Top 25% of all categories with above average response rates:
1. **GPA** – Student success is when students achieve a high GPA.
2. **Determination** – Student success is when students use self-motivation and perseverance to achieve goals.
3. **Graduation*** – Student success is when students actually earn a degree.
4. **Transferability*** – Student success is when students are well equipped to transfer to their preferred four year school.
5. **Prioritization#** – Student success is when students identify and manage their priorities toward reaching their goals.
6. **Work Ethic#** - Student success is when students embrace and practice a good work ethic.
(*# = tied results)

The "premier 2-year college experience" Defined
The following are the most frequently identified top priorities within a "premier college experience", as identified by Herkimer College staff and students:
1. Food – more variety; better hours (weekends) A
2. Student Activities – diverse programming, fun and more interactive activities, especially with extended hours A
3. Transportation – availability; more need for buses on a regular, reliable schedule, expand where and how often they run   A
4. Programs of Study – diverse offerings , good job fit and relevance to work   B
5. Scheduled classes and activities – more options and various scheduled times B
6. Social Culture – diverse; structured activities & chances for interaction and acceptance A
7. Housing – clean, affordable & safe A
8. Environment – clean, friendly, safe, positive perception ("cool, awesome, chill") A
9. Facilities, Technology, Classes (tied) –clean, updated & repaired; state-of-the-art, esp. WiFi; faculty engagement, small class size & variety in schedule and content B
10. College image, Cost/affordability, Opportunities (tied) – positive, good, clean & friendly; affordable, good value, cheap/reasonable cost; student work, work study, internships – provided by the College C

The above criteria appear to fall within three main categories:
  A. Quality of Life
  B. Academics
  C. Value

Performance Review Process
January 2016

The Performance Review process is a means of communication implemented to advance the productivity and growth of employees and their work areas. The Performance Review process should result in a collaborative Performance Development Plan (PDP) for the employee. Supervisors will receive training on how to best administer performance review and create a performance development plan with the employee that promotes a standard of excellence. Note that the evaluation scale is representative of the Quality Rubric based on Herkimer's core values.

1. The Human Resources Office will send to supervisors a list of employees per department with initial date of employment so that supervisors may develop a review cycle.
2. Supervisor creates and distributes the review cycle to department employees. Begin with newest employees, starting with approximately half of the number of NBU employees from the department for the first year of performance review. In the second year, review the remaining employees in the department, unless the department includes three or fewer employees. Each employee will be on a cycle based on his/her number of years of service. The standard review cycle will be:
   a. Six-month probation review for new employees
   b. First-Year Review
   c. Second-Year Review
   d. Every two years until 10 years of service.
   e. Every three years for employees with more than 10 years of service.
3. Supervisor communicates with employees about PDP cycle and gives employee instructions, including the form and the copy of the current job description.
4. Employee fills out a self-review, while supervisor fills out the same document, is voluntary. The process is a communication designed to establish professional quality in the Herkimer College work force.
5. Minimum half-hour conference is scheduled at least 48 hours in advance, regarding the results of the reviews.
6. Supervisors and employees will compare responses and complete the review process during the January to March time period.
7. Employees will expect to have a conference completed within the review time period.
8. Employee, HR and the Supervisor will receive copies of the signed reviews and any attachments.
9. Note: The reviewing supervisor must have been closely familiar with the employees work for a minimum of six months prior to completing a performance review. This time period may necessitate waiting until the next January-March review period.
10. If the review is during a probationary period, but the supervisor has changed, the next higher level supervisor would perform the review if he/she has been closely familiar with the employee's performance within the previous six months.
11. Performance review may occur more often than the stated schedule, if it is deemed necessary by the supervisor and is noted in the employee's PDP.
12. Employees that report equally to more than one supervisor will be reviewed by both supervisors in a collaborative manner, whereby one review and performance development plan is presented to the employee. Both supervisors are expected to attend the review meeting.

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Performance Review Form

Employee's Name:_____

Title:_____

Supervisor:_____

Review Period:_____ **Last Review:**_____

Job Definition

1. Attach a current position description; if applicable, make note of any significant changes since last year's performance review.
2. If performance goals were set at the last performance review, attach a copy of these goals and comment on the employee's progress.

Performance Competencies - Depending on position, some competencies may be more relevant than others. Core value alignment: E – Excellence, O - Opportunity, C - Community, I- Integrity.

Quality Points	4-Exceptional	3-Highly Effective	2- Proficient	1-Inconsistent	0-Unsatisfactory	New/Not Applicable
4 - Exceptional: Performance is consistently superior/significantly exceeds expectations/facilitates future growth **3 - Highly Effective:** Performance is consistently purposeful and useful; frequently exceeds position requirements **2 - Proficient:** Performance consistently meets position requirements; compliant with expectations **1 - Inconsistent:** Performance meets some, but not all position requirements; actions are based on convenience **0 - Unsatisfactory:** Performance consistently fails to meet minimum position requirements; employee fails to utilize necessary skills or lacks skills required; little/no action in most cases **New or N/A:** Employee has not been in position long enough to have demonstrated the essential elements of the position and will be reviewed at a later agreed upon date						
1. Skill and proficiency in carrying out assignments (E) *Brief explanation:*						
2. Possesses skills and knowledge to perform the job competently (E) *Brief explanation:*						
3. Skill at planning, organizing and prioritizing workload (For self and direct reports, if applicable) (E, O, C) *Brief explanation:*						
4. Holds self accountable for assigned responsibilities; sees tasks through to completion in a timely manner (I) *Brief explanation:*						
5. Proficiency at improving work methods and procedures as a means toward greater efficiency (O, E) *Brief explanation:*						
6. Communicates effectively with supervisor, peers, and customers (C) *Brief explanation:*						
7. Ability to work independently (I) *Brief explanation:*						

Quality Points		4- Exceptional	3 - Highly Effective	2 -Proficient	1 - Inconsistent	0 - Unsatisfactory	New/Not Applicable
4 - Exceptional: Performance is consistently superior/significantly exceeds expectations/facilitates future growth **3 - Highly Effective:** Performance is consistently purposeful and useful; frequently exceeds position requirements **2 - Proficient:** Performance consistently meets position requirements; compliant with expectations **1 - Inconsistent:** Performance meets some, but not all position requirements; actions are based on convenience **0 - Unsatisfactory:** Performance consistently fails to meet minimum position requirements; employee fails to utilize necessary skills or lacks skills required; little/no action in most cases **New or N/A:** Employee has not been in position long enough to have demonstrated the essential elements of the position and will be reviewed at a later agreed upon date.							
8. Ability to work cooperatively with supervision or as part of a team (C) *Brief explanation:*							
9. Reliability (attendance, punctuality, meeting deadlines) (I) *Brief explanation:*							
10. Adeptness at analyzing facts, problem solving, decision-making, and demonstrating good judgment (E) *Brief explanation:*							
Additional performance competencies for employees with supervisory responsibilities							
11. Displays fairness towards all subordinates (I, C) *Brief explanation:*							
12. Identifies performance expectations, gives timely feedback and conducts formal performance appraisals (O, C) *Brief explanation:*							
13. Helps employees to see the potential for developing their skills; assists them in eliminating barriers to their development (O, C) *Brief explanation:*							
14. Delegates responsibility where appropriate, based on the employee's ability and potential (O, I) *Brief explanation:*							
15. Takes timely and appropriate corrective/disciplinary action with employees (I) *Brief explanation:*							
16. Takes specific steps to create and develop their diverse workforce and to promote an inclusive environment (E, I, C) *Brief explanation:*							

Average score is based on number of points per applicable competency.   Total per quality level: _____ _____ _____ _____ _____ ___

Average Score: _____ = _____points/ _____ competencies

Performance Summary (attach additional pages as necessary)

1. List all aspects of employee's performance that contribute to his or her effectiveness.

2. List aspects of employee's performance that require improvement for greater effectiveness.

3. In what way has the employee demonstrated a willingness to take on extra responsibility?

4. In what way is the employee ready for increased responsibility? What additional training will he/she need to be successful?

Goal Setting and Development Planning

5. List the employee's performance goals for the coming year:

6. How do these align with departmental goals?

7. List the employee's development goals for the coming year:

8. In the coming year, how will you provide guidance and assistance for the employee to accomplish his/her goals?

This annual performance review will become part of your Herkimer College personnel file. Please sign below to acknowledge that you have received this document. A signature does not necessarily denote agreement with content.

Employee's Signature:_____**Date:**_____

Supervisor's Signature:_____**Date:**_____

Attached Response: _____ yes; _____ no

March 28, 2017
To the Middle States Commission on Higher Education:

Attached is Herkimer County Community College's most recent 3 year official cohort rate. Additionally, the response to requests included with Standards 2, 3 and 7 follow-up report, the Progress Report due April 1, 2017:

-USDE Financial Responsibility Composite Scores:
Proprietary schools are required to meet different standards than public institutions and must demonstrate financial responsibility to participate in Title IV programs. Proprietary institutions receive composite scores as a result of financial information submitted annually to the Department of Education. Herkimer County Community College is a public institution and, therefore, does not receive a composite score.
https://ifap.ed.gov/fsahandbook/attachments/1617FSAHbkVol2Ch4.pdf

-The status with regard to Heightened Cash Management with USDE:
Herkimer County Community College is not subject to Heightened Cash Management and remains under the advance fund payment method with USDE.

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School Default Rates
FY 2013, 2012, and 2011

Record 1 of 1

OPE ID	School	Type	Control	PRGMS		FY2013	FY2012	FY2011
004788	HERKIMER COUNTY COMMUNITY COLLEGE - SUNY OFFICE OF COMMUNITY COLL 100 RESERVOIR ROAD HERKIMER NY 13350-1598	Associate's Degree	Public	Both (FFEL/FDL)	**Default Rate**	13.6	12.6 [1]	18.9 [1]
					No. in Default	182	179	251
					No. in Repay	1,330	1,416	1,323
					Enrollment figures	5,401	5,542	5,864
					Percentage Calculation	24.6	25.5	22.5

ENROLLMENT: To provide context for the Cohort Default Rate (CDR) data we include enrollment data (students enrolled at any time during the year) and a corresponding percentage (borrowers entering repayment divided by that enrollment figure). While there is no direct relationship between the timing of when a borrower entered repayment (October 1 through September 30) and any particular enrollment year, for the purpose of these data, we have chosen to use the academic year ending on the June 30 prior to the beginning of the cohort year (e.g., FY 2013 CDR Year will use 2011-2012 enrollment).

(1) Adjusted rate reflects Cohort Default Rate (CDR) data updated as a result of an appeal and/or adjustments submitted after official cohort default rates were released.

Current Date : 12/14/2016