



# Periodic Review Report

May 20, 2016

Dr. Harvey G. Stenger  
*President*

Accreditation reaffirmed  
March 3, 2011

Dates of Evaluation Team's Visit  
November 7-10, 2010

**BINGHAMTON**  
UNIVERSITY  
STATE UNIVERSITY OF NEW YORK

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# Section 1

## EXECUTIVE SUMMARY

# Executive Summary

## **Binghamton University Overview**

Founded only seventy years ago, Binghamton University has grown rapidly in size and stature, becoming one of the best mid-size public research universities in the U.S. One of four doctoral-granting University Centers in the State University of New York system, Binghamton enrolls almost 17,000 students in 74 undergraduate degrees in 261 different concentrations, 39 different masters degrees with 81 different concentrations offered by 31 different departments and programs. We enroll students in 28 different doctoral degrees, with 37 different concentrations offered by 27 different departments and doctoral programs. The University consists of seven colleges and schools, including the College of Community and Public Affairs, the Decker School of Nursing, the Graduate School of Education, the Harpur College of Arts & Sciences, the School of Management, the School of Pharmacy and Pharmaceutical Sciences (scheduled to accept its first class in August 2017), and the Thomas J. Watson School of Engineering and Applied Sciences.

Binghamton has earned a strong reputation for excellence. For the past twenty years, *U.S. News and World Report* has ranked us among the top 50 public universities in the U.S. *The Princeton Review* and *Kiplinger's Personal Finance* consistently rate Binghamton among the "best values" in public higher education, and *Business Week* places our School of Management 23<sup>rd</sup> among business schools at America's public universities.

Binghamton prides itself on excellence, access, and value. We are highly selective, recruiting some of the top students in New York and throughout the world. In the last admissions cycle (2014-15), the University received over 30,000 applications for a freshman class of about 2,600 students. The average SAT for the freshman cohort entering in August 2015 was 1305 and the mean high school average was 95. Although we are highly selective, we provide access to students from economically disadvantaged backgrounds. In Fall 2015, 28 percent of our students were Pell eligible, 22.5 percent were the first in their families to attend college, and 16.4 percent were underrepresented minorities. In September 2015, the *New York Times* Ranked Binghamton 35<sup>th</sup> among "Top Colleges Doing the Most for Low-Income Students." (Appendix 1.1)

We boast a strong record of student success. Our current first-to-second-year retention rate is over 91 percent. Our four and six-year graduation rates are 71.4 percent and 81 percent, respectively. Students in our Educational Opportunity Program, which is designed to provide access and support for low-income students, have a first-to-second-year retention rate of 94.3 percent and four and six-year graduation rates of 55.2 percent and 77.2 percent, respectively.

As a research University, Binghamton offers a wide range of masters and doctoral programs; approximately 20 percent of our students are graduate students. At the masters level, we support a rich portfolio of professional masters programs that lead to the Masters of Social Work, Masters of Public Administration, Masters of Business Administration, MS in Accounting, MS in Nursing, MS in Education, Master of Arts in Teaching, MS in Biomedical Engineering, MS in Systems Science, MS in Industrial and Systems Engineering, MS in Electrical and Computer Engineering, MS in Mechanical Engineering, and MS in Computer Science as well as innovative masters degrees in Sustainable Communities, Health Systems, Biomedical Anthropology, and Public Archaeology. All of our schools support doctoral education leading to the PhD, EdD, DNP, and PharmD (to be offered, beginning in 2017). In 2014-15, Binghamton awarded 139 doctoral degrees, 127 of which were the PhD. Our doctoral

graduates enjoy successful careers in academia, education, business, finance, industry, the arts, and health professions.

Binghamton is known for pathbreaking research and creative work in the humanities, social sciences, arts, management, education, and human services as well as in mathematics, sciences, and engineering. One measure of our strength is, of course, external funding. Consistent with national trends, research expenditures declined between FY 2011 and FY 2014, as congressionally-directed funding ended, support from the American Recovery and Investment Act concluded, and funding available from federal agencies declined. However, Binghamton's committed funds increased by 21 percent in FY 2015 and is on pace to grow by another 18 percent in FY 2016. Another measure of our success is the presence of three federally funded research centers: the Northeast Center for Chemical Energy Storage (Department of Energy), the Developmental Exposure Alcohol Research Center (NIH), and the Center for Energy Smart Electronic Systems (NSF). A third is the presence of 21 faculty members in the humanities, social sciences, engineering, sciences, mathematics and management who hold the rank of Distinguished Professor, the highest recognition for research conferred by the State University of New York. A fourth is our innovative Transdisciplinary Areas of Excellence (TAE), which promote cross-disciplinary hiring and research collaboration in such critical areas as energy, health, human rights, sustainable communities, and the material and visual worlds (<http://www.binghamton.edu/tae/>). Finally, a number of high profile international journals call Binghamton home, including the *Journal of Women's History*, *Medievalia*, *Review*, and *Online Journal of Rural Nursing and Health Care*.

Consistent with its commitment to excellence in teaching and research, Binghamton has enjoyed success in internationalization. Approximately 1,600 of our undergraduates study abroad, and we have formal partnerships with almost 60 universities in more than 20 countries on five continents. Currently, international students make up more than 16 percent of our enrollment, strengthening the intellectual and cultural life of our campus. Binghamton's success in internationalization has been recognized with major awards from the Association of Public and Land Grant Universities, the American Council on Education, the Institute for International Education, NAFSA: Association of International Educators, and the National Association of Student Personnel Administrators.

As a public research university, Binghamton takes seriously its responsibility to contribute to the economic, educational, and cultural life of the community and the State of New York. Faculty and students make critical contributions to such local arts organizations as the Binghamton Philharmonic and the Tri-Cities Opera as well as local theaters and galleries. Each year, more than 160,000 individuals, many of them community members, enjoy performances, exhibits, and competitions at the Anderson Center for the Arts, University Art Museum, Watters Theater, Events Center, and Bearcat Sports Complex. Almost 3,000 students annually contribute to—and benefit from—the community through internships and practica, many with local governments, schools, social service agencies, non-profits, and firms.

Serving as a catalyst for economic development is an especially important part of Binghamton's mission. We have strong partnerships with industry, generating approximately 10 percent of our external research support from industry. We have 10,300 square feet of incubation space on campus and are the principal partner in the 35,000 square foot Southern Tier High Technology Incubator, currently under construction in downtown Binghamton and scheduled to welcome companies in 2016. Binghamton University President Harvey Stenger serves as co-chair of the Southern Tier Regional Economic Development Council, which coordinates economic development initiatives in the eight counties of our region. In December 2015, the Council was awarded \$500 million over the next five years from the state's Upstate Revitalization Initiative to invest in economic development initiatives—including University-sponsored initiatives such as the Southern Tier Health Science Technology Innovation Park in Johnson City and the Advanced Manufacturing Innovation Center in Endicott—that will create more than 10,000 jobs in the

region. The University contributes more than \$1 billion annually to the local economy and more than \$1.34 billion to the New York state economy. In recognition of our commitment to and success in economic development, we are one of 18 universities recognized by the Association of Public and Land Grant Universities as an Innovation and Economic Prosperity University.

### **Major Developments since Decennial Accreditation**

There have been a number of significant institutional changes since Binghamton University was awarded its decennial accreditation in 2010:

- Dr. Harvey G. Stenger, Jr. became the sixth president of Binghamton University on January 1, 2012.
- The University successfully concluded its “Bold, Brilliant Binghamton” comprehensive campaign in June 2012, raising \$102 million (7 percent more than the campaign goal).
- Binghamton University’s NY SUNY 2020 plan was approved by Governor Andrew Cuomo in August 2012, providing \$35 million in capital funding to support construction of a Smart Energy Research Center and committing the University to increase enrollment as well as faculty and staff hiring.
- Enrollment grew by 2,167 students (1,630 undergraduates and 537 graduate students) between August 2011 and August 2015, exceeding the University’s commitment to grow by 2,000 students by 2017.
- The University added 115 net new tenure track faculty and 164 net new staff between 2011 and 2016, placing it on track to meet its hiring commitments under NY SUNY 2020.
- A state-of-the-art vivarium and research facility, Science V, opened in August 2011, adding 39,691 square feet of research space.
- The Engineering and Science Building, a 125,000 square foot LEED-Platinum, research facility opened in November 2011, adding a second building to the Innovative Technologies Complex.
- The University unveiled its new strategic plan, Road Map to Premier 2013 in April 2013.
- The \$375 million East Campus Housing Project was completed in August 2013, adding more than 1,000 beds to on-campus housing.
- In September 2013, the University submitted a letter-of-intent to establish a School of Pharmacy and Pharmaceutical Sciences to SUNY. Since then, the State of New York has authorized \$60 million to construct a new home for the school in Johnson City, Founding Dean Gloria Meredith joined the University, the SUNY Board of Trustees authorized Binghamton to grant the PharmD, a proposal for pre-candidacy status was submitted to the Accrediting Council of Pharmacy Education, and we are on track to welcome the first class of students in August 2017.
- The Center of Excellence, a 125,000 square foot research facility, opened as the third building in the Innovative Technology Complex in October 2014.
- In August 2014, the University broke ground on its Smart Energy Building, a 114,000 square foot

facility that will house the Departments of Chemistry and Physics when completed in 2017.

- The University has launched new masters degrees in applied statistics, health systems (executive masters), public archaeology, and sustainable communities and a new PhD in Community and Public Affairs. Proposals for a new bachelors degree in Russian, masters in applied liberal studies, data analytics, and public health, and the PharmD have been submitted to SUNY.

### **The Periodic Review Report**

In April 2015, the provost convened an executive committee consisting of faculty and staff to compile the report. Once the report was drafted, it was reviewed and approved by the executive committee and posted on the provost's web site for review and comment by community members.

The 2010 Middle States Evaluation Team found Binghamton University to be in full compliance with its standards of excellence and extended accreditation with no reservations or recommendations. In response to the Team's report, however, Binghamton University itself identified 16 recommendations it wished to pursue, consistent with its vision and strategic priorities. **Section Two** provides a discussion of the steps we have taken to meet all 16 of our self-identified recommendations.

**Section Three** discusses challenges and opportunities facing Binghamton as it builds on its long history of academic excellence to enhance its standing as a premier mid-size public research university. Rapid growth presents challenges, especially in the rapidly changing environment of U.S. higher education: recruiting and retaining a diverse student body that can flourish at a highly selective university, hiring outstanding faculty and staff, expanding our physical plant, and developing academic programs that meet the needs of students and society. However, when coupled with our reputation for excellence and value, we believe that we can grow while maintaining and even enhancing quality and student outcomes. We also believe that growth opens opportunities to strengthen the research enterprise and graduate education and also increases the economic and cultural impact of Binghamton University on our region, the state, the nation, and the world.

**Section Four** examines recent trends and projections concerning enrollment and finances, two critical elements in the University's health. Since reaccreditation by Middle States in 2010, we have seen significant increases in applications and enrollments at the undergraduate and graduate levels consistent with Binghamton's NY SUNY 2020 plan. Growing enrollment, coupled with modest increases in tuition for New York residents and sharper increases for out-of-state students, has generated additional revenue. Coupled with growth in external funding, philanthropy, and state capital support, we have been able to invest in our human and physical resources. This has enabled us to meet the demands created by growth, establish new programs, and maintain healthy reserves.

**Section Five** discusses the University's approach to assessment of institutional effectiveness. We are committed to assessing all aspects of our operations as a means of increasing our effectiveness in optimizing use of limited resources and improving student outcomes. We have invested in hiring additional staff in our Office of Institutional Research and Assessment to assist in data collection and analysis as well as to provide units across campus help in developing and refining their assessment activities. We have also invested in software (e.g., Academic Analytics and WEAVE) that facilitates assessment as well as surveys (COACHE, FSSE, Higher Education Research Institute Faculty Survey, NSSE) and home-grown tools (e.g., Campus Climate Survey, Contributions to Mission, Deans' Dashboards, Student Evaluations of Teaching, Student Exit Surveys, and Student Opinion Surveys) that enable us to evaluate both unit and institutional effectiveness. Vice presidents, deans, and individual units use these tools to assess effectiveness and make adjustments where warranted. All academic units have developed plans that enable them to assess student learning and use the results to inform changes in their curricula.

Binghamton has long prided itself on strategic planning and linking planning to the budget process. **Section Six** discusses new approaches we have pursued to enhance planning, integrate Binghamton's strategic plan with SUNY's strategic plan, and strengthen the link between planning and budgeting. Following development of a new strategic plan by SUNY in 2011 (*The Power of SUNY*), Binghamton developed a new strategic plan, *Road Map to Premier 2013*. Binghamton's plan was developed in a highly collaborative manner, with almost 400 administrators, faculty, staff, students, alumni, and community members participating in the planning process. Since the plan was announced in April 2013, we have developed metrics to measure progress as well as a new budget process that invites members of the campus community to submit proposals for projects to advance the Road Map's strategic priorities. We have also created an inclusive process for selection of those projects selected for funding. The process used to create the plan and make decisions concerning allocation of resources has created a high level of awareness of our strategic priorities and support for achieving them. This section provides numerous examples of how we have allocated resources in ways that will enable us to achieve the strategic priorities we have established.

The **Appendices** provide a wealth of documents relating to campus strategic planning, facilities planning, unit and institutional planning and effectiveness, internationalization of the campus, finances and financial planning, assessment, and student outcomes.

These are challenging times for public higher education. State support has declined steadily during the past thirty years, making public universities more reliant on tuition. The number of high school graduates is declining in most parts of the country, fueling fierce competition for students. Federal support for research has declined, making it more difficult for investigators to support their graduate students and research programs. As tuition and student debt have risen, politicians and members of the public have demanded greater accountability. At this difficult time, Binghamton is fortunate to be in a state that has, during the past five years, created a stable financial environment and made significant capital investments. We are also fortunate that our reputation for excellence and value, coupled with our commitment to inclusive strategic planning and budgeting, has enabled us to achieve significant growth while enhancing student quality and diversity. We have built new research and teaching space, and enrollment growth has enabled us to increase significantly the size of our faculty and staff. As a result, we have enhanced the quality of teaching and student learning, improved student success, expanded research, and made Binghamton University an engine for economic development in the region and state. Our leadership, faculty, and staff understand the challenges, but are committed to acting strategically and making decisions that will enable us to achieve our goal of becoming the premier public university of the 21<sup>st</sup> century.

## Section 2

# SUMMARY OF INSTITUTION'S RESPONSES TO SELF-IDENTIFIED RECOMMENDATIONS FROM THE PREVIOUS EVALUATION

## **Preface**

The recommendations addressed in this section were made by Binghamton University rather than by the 2010 Middle States review team (Appendix 2.0.1). Indeed, that team affirmed that Binghamton University met all standards for accreditation and concluded that “The accreditation team has no recommendations for follow-up actions or requirements” (page 13).

The review team found that Binghamton “has a remarkably well-developed strategic planning process” and “should be commended for its process of resource allocation, which is directly and intimately linked to the strategic plan” (pages 1, 2). They also observed that “The University’s commitment to assessment is well-documented and permeates the organization through all academic and administrative programs,” with “a well-designed and well-managed student learning outcomes assessment program” serving as the core of institutional assessment efforts (page 10).

The substantial section that follows addresses our progress in achieving sixteen aspirational recommendations that we made to ourselves in the 2010 Middle States self-study response, Distinguished Past, Innovative Future. Our goal then resembles closely our goal today: to be “a stellar institution of higher education” with “an international reputation for graduate education, research, scholarship, and creative endeavor” as well as “the best undergraduate programs available at any public university.”

As this section shows, we have advanced in several ways toward realizing these aspirations.

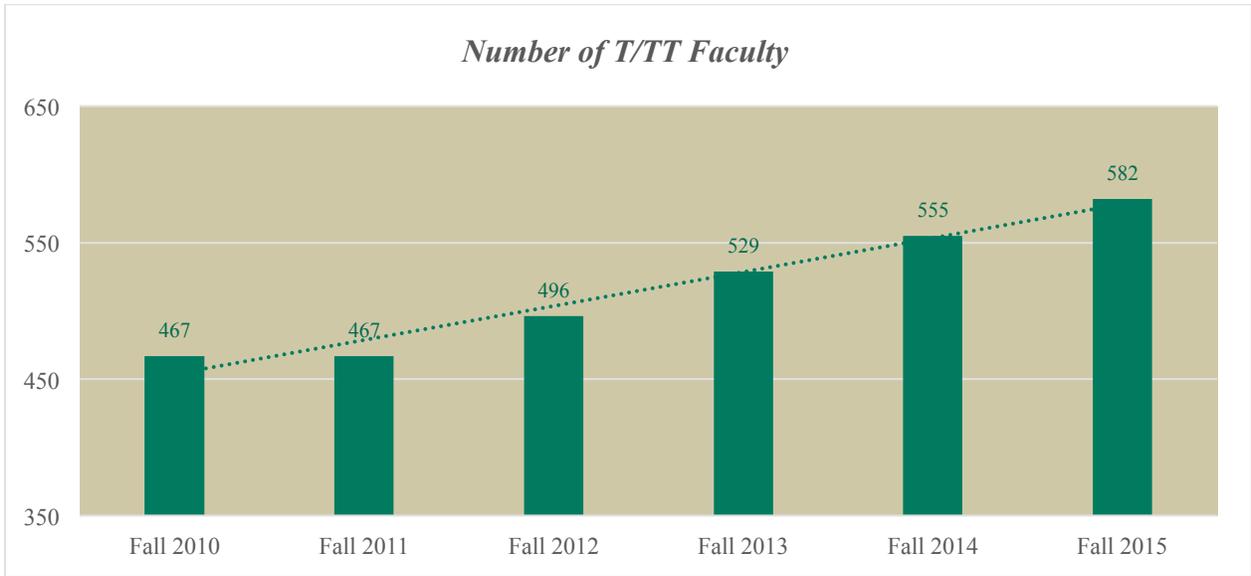
## **Recommendation #1**

***Increase Tenured/Tenure-Track Faculty. This remains our first priority. We intend to reduce the Student-Tenured/Tenure-Track/Faculty ratio to 24-1 over the next five years. (Reference section 1, page 17; section 3, page 5; section 4, page 3 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

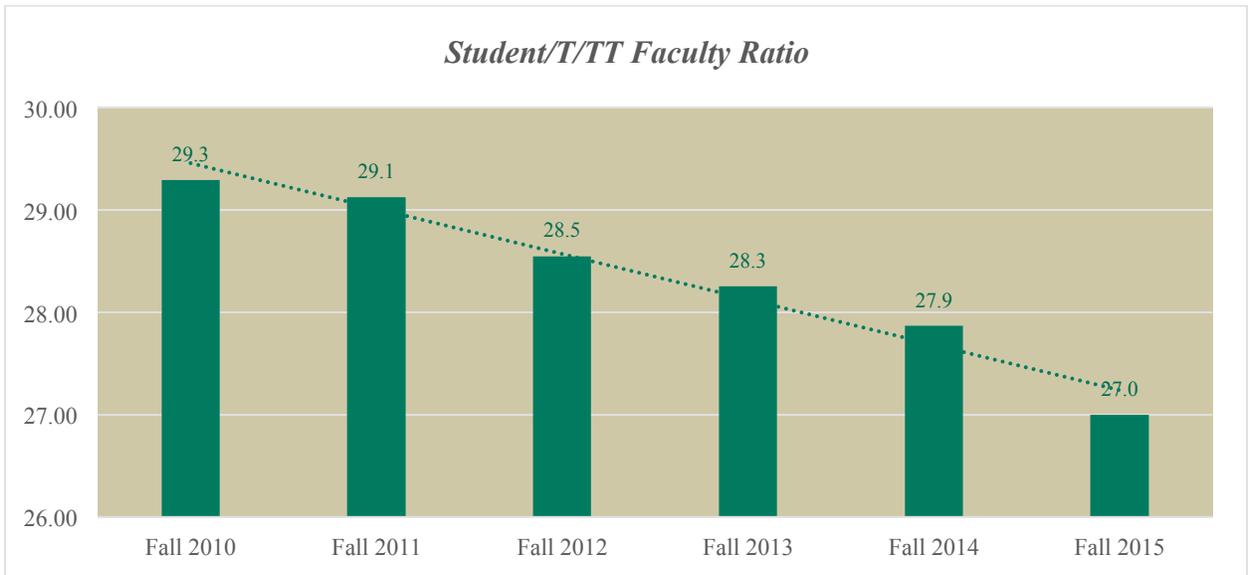
Our 2010 Self Study submission indicated that we put a first priority on increasing the number of tenured/tenure-track faculty. It was fortuitous, then, that NY SUNY 2020, an initiative from the governor and SUNY's chancellor, challenged us to leverage the university's academic excellence, cutting-edge research and economic development initiatives to jump-start a new era of powerful and productive returns to the local community and New York state.

Our successful submission allowed us to implement SUNY's rational tuition plan which began to provide an adequate and predictable revenue stream to ensure program quality and support for new initiatives. We used the new tuition program as a base to judiciously enroll more students with the revenue generated from that enrollment growth used primarily to increase the numbers of tenured/tenure-track faculty. It can be seen from the accompanying charts, we have been very successful in increasing the number of faculty significantly and we have made great strides in approaching our goal of 24 to 1 student-tenured/tenure-track/faculty ratio. We will achieve that goal within the next three years. The slower pace than we had anticipated, of course, had to do with the need to increase the numerator while increasing the denominator. So while it is taking a little more time to reach our goal, we are sanguine that we will achieve it while, at the same time, increasing quality.

***Tenured/Tenure-Track Faculty  
Fall 2010 – Fall 2015***



***Student Tenured/Tenure-Track Faculty Ratio  
Fall 2010 – Fall 2015***



## **Recommendation #2**

***Grow and Strengthen Graduate/Professional Education. Add at least 300 graduate/professional students over the next five years; reduce normative times for all programs below national averages; maintain stipends at 75<sup>th</sup> percentile among comparison institutions. (Reference section 1, page 18; section 3 page 5; section 4, page 4 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

### **Increase enrollments**

The goal we set was to increase graduate enrollments by 300 between 2010 and 2015, and we have met that goal. We have succeeded in increasing enrollments, even though the 10% increase in non-resident tuition, compounded yearly between 2011 and 2015, has made our graduate programs less affordable for international and out-of-state applicants.

In fall 2010, we enrolled 3,077 graduate students; in fall 2015 official headcount reached 3,422, forty-five students above our stated target.

We continue to place our focus on increased recruiting of graduate students, which will increase quality as well as numbers enrolled. With additional staff, we are doing more travel and more outreach; we have a strong web presence, new CRM software to enhance recruiting, and we are reaching new markets both domestic and international.

We are also developing new graduate programs in areas of student demand and professional need; these will help us achieve the goal of continuing graduate growth. We begin to enroll pharmacy students in fall 2017, for example, (first cohort is 90 students) and we are proposing other new programs in areas of state and national need.

### **Reduce time to degree below national averages**

Time to Degree is measured by the National Science Foundation (NSF) as part of a biannual study, *The Survey of Earned Doctorates*. According to the latest data (2013), Binghamton University has met its goal of reducing times below the national averages in most programs:

<b>Binghamton TTD</b>	<b>By Field 2010-2013</b>	<b>By National TTD 2013</b>
<b>Biological Sciences</b>	5.4 years	6.9 years
<b>Computer Science</b>	7.3 years	6.5 years
<b>Engineering</b>	6.0 years	6.6 years
<b>Education</b>	7.6 years	11.7 years
<b>Mathematics</b>	5.9 years	6.5 years
<b>Geological Sciences</b>	6.0 years	7.7 years
<b>Psychology</b>	6.7 years	7.7 years
<b>University Average</b>	6.7 years	7.5 years
<b>Median TTD</b>	7.9 years	8.3 years

## **Maintain stipends at 75<sup>th</sup> percentile among comparison institutions**

We continue to strive to meet this goal. We have committed funds to provide significant increases in stipends for each of the next four years. Between 2010 and 2014, increased tuition costs (which we must pay), with no offsetting increases in state support, made it impossible for us to invest funds to increase stipends. As a result, stipend levels remained flat during this period for the average entering graduate student.

Beginning in fall 2013, however, the provost invested funding in “provost’s summer fellowships” to enable programs to recruit the best applicants in the pool: these fellowships of \$4 thousand are paid for four years, beginning in the summer after the first year of study. In the 2013-14 recruiting season, 30 offers were made; in 2014-15, 45 offers were made. These fellowships, offered selectively to the strongest applicants, help to bring total stipend support up for some of the best entering students.

As a result of our Road Map process (Section 6) beginning in 2016-17, stipend offers for entering students will be increased significantly. \$600 thousand in Road Map funding will be allocated to increase stipends. Divided among approximately 145 new funded students, it will make a significant difference and raise stipends for new students to the 75<sup>th</sup> percentile in most disciplines. We are committed to adding similar amounts to base stipend funding for new students in each of the following years.

## **Recommendation #3**

***Continue the Development of a State of the Art Research/Scholarly Environment. Complete current expansion of research space for science/engineering; continue development of the Humanities Center. (Reference section 1, page 18; section 3, page 5; section 4, page 10 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

Binghamton University is committed to providing a state-of-the art environment for research and scholarly activities that encompasses both physical and intellectual infrastructure and provides a solid base for Binghamton's projected growth over the next five years.

### **Facilities Planning**

The University continues to follow the general blueprint set forth in the *2011 Facilities Master Plan*. System-wide funding had been provided each year through a central fund appropriated and bonded through New York state. The state funding was provided primarily for critical maintenance purposes and could not be used to build new structures. The campus supplemented the state funds to expand projects as well as strategic initiative projects. Following is a summary of the actions taken during the last few years:

Construction project funding was applied to meet the campus's most critical need: Classrooms per the Facilities Master Plan; but other areas throughout the campus were also addressed.

Examples of the largest projects underway or completed by the campus can be found in Appendix 2.3.1.

New building projects since 2010 include the new LEEDS Certified Engineering and Science Building, the Center of Excellence (COE) building, Science V (animal vivarium), the Smart Energy Building which is currently in construction, and the Pharmacy Building for which we will soon break ground. In addition, Binghamton University is a key partner, along with the regional economic development community, and led by the Southern Tier High-Technology Incubator, Inc., on construction of an incubator in Binghamton to house emerging companies in such areas as energy, electronics and healthcare. The incubator and building site are included in Binghamton University's START-UP NY tax-free program, giving tenants up to 10 years of state tax relief. In addition, the incubator is participating in the Southern Tier Hotspot tax-free initiative.

In December 2015, the governor of New York announced that Binghamton University and the Southern Tier Region were among the winners in an Upstate Revitalization Initiative (URI), a competition among seven upstate regions for millions of dollars in funding to support projects identified by the Regional Economic Development Councils. We have been designated one of the "Best Plan Awardees" – and will receive \$500 million over five years.

Binghamton University President Harvey Stenger co-chairs the Southern Tier Regional Economic Development Council (REDC).

The Southern Tier plan addresses the key economic development challenges facing our region, with emphasis on industry and manufacturing, agriculture, transportation and tourism.

The \$500 million awarded to the Southern Tier REDC will support projects that advance four themes:

- Build the Greater Binghamton Innovation Ecosystem
- Invest in the Advanced Manufacturing Industry

- Transform the Food and Agriculture Industry
- Promote the Southern Tier's Innovative Culture

Binghamton University will play a role or be impacted in some way by the dozens of projects outlined in the URI, due in part to its many industry collaborations and community partnerships. A number of projects will be led by or will have a direct impact on the University.

Among the projects with major University impact included in the Southern Tier's proposal are:

- Funding to rehabilitate 48 Corliss Ave. in Johnson City to move the Decker School of Nursing into space proximate to the new School of Pharmacy and Pharmaceutical Sciences and United Health Services' – Wilson Hospital. This will allow the nursing school to collaborate with the already funded School of Pharmacy and Pharmaceutical Sciences, a key step for the initiative to establish The Health Sciences and Technology Innovation Park at the center of the Johnson City iDistrict and part of the overarching strategy to build the Greater Binghamton Innovation Ecosystem.
- Initial funding to facilitate growth and expansion of both the University-driven Flexible Printed Electronics Technology Center and an Industrial 3D Printing Center for Product Prototyping and Commercialization. These two projects, which will be collocated at the Huron Campus in Endicott, are both part of the Endicott Advanced Manufacturing iDistrict. The Endicott iDistrict will be driven by these two centers and major anchors such as BAE Systems and i3 Electronics, and will establish Greater Binghamton as the preeminent place for flexible hybrid electronics and manufacturing with thin, flexible-glass technology and industrialization of 3D printing processes.
- Funding to establish secure electronics and advanced manufacturing projects. With Lockheed Martin taking the lead, and Binghamton University positioned as one of the key partners, this initiative will advance the Southern Tier's manufacturing leadership for electronics hardware addressing cybersecurity and trusted manufacturing capabilities.

### **Adaptable Lab Models**

Binghamton has adopted a model of adaptable laboratories that can be reconfigured quickly and cost effectively to address the rapidly changing research needs of our growing faculty base. For each of the new research buildings developed at the Innovative Technologies Complex, a planning committee for each building was constituted that involved faculty from the outset to ensure that the labs and building layout would support faculty research initiatives and foster intellectual exchange and collaboration.

### **New Core Facilities to Stimulate Emerging Research Thrusts**

The campus is experienced in the establishment of multi-user centralized laboratories to ensure that faculty and external partners have access to the infrastructure and expertise necessary to advance their research programs. Research core facilities represent an increasingly important operational, science and strategic component of Binghamton's research enterprise, especially in the health sciences and engineering disciplines where performance of research in many areas requires complex, expensive technical equipment that often requires operation by dedicated, skilled scientific personnel. Research core facilities play an increasingly important role in the University's ability to conduct cutting-edge research; in its competitiveness for recruiting and retaining strong faculty members; and in its competitiveness for external research funding. For example, the Analytical and Diagnostics Laboratory (ADL), part of the New York State COE in Small Scale Systems Integration and Packaging, and in operation since 2007, is an 8,000 square-foot \$21 million multi-user laboratory that promotes high-tech commercialization of microelectronic technologies by providing over 78 instruments and technical support to internal and external users.

In addition, a Health Sciences Core Facility is also under development in the new COE building at the Innovative Technologies Complex (ITC). Instrumentation will enable researchers from across the region to analyze proteins, determine the amino acid sequence of proteins, and identify small molecules rapidly and accurately, acquire 3-dimensional images of biological samples, and identify the entire genetic code or RNA complement of an organism or cell. The University recently received a \$1.6 million award from New York state to build a telemedicine and mobile health lab that will bring together faculty and students from across engineering, nursing, and the sciences with health care providers to conduct research and training in the area of telemedicine and mobile health to enhance health care delivery in the Southern Tier.

Moving forward, development of additional core facilities will be instrumental to recruiting and retaining new world-class faculty and increasing our research capacities and competitiveness. The University's objective is to ensure the quality of these research cores by enabling the necessary infrastructure, accessibility, affordability, accountability, oversight and fiscal responsibility of these institutional investments. The University's Business Office is developing a unit to assist with development of chargeback rates and the Chargeback Committee will continue to have oversight over approval of rates.

Binghamton took the lead on working with SUNY Central Administration on the development of requirements for the establishment of new not-for-profit affiliate corporations that will provide an avenue for the campus to conduct research that falls under the provision of International Traffic in Arms Regulations (ITAR), especially in such areas as cybersecurity. These arrangements will provide the flexibility required by our faculty to conduct defense-related research.

### **Center for Learning and Teaching**

The Center for Learning and Teaching (CLT) has been reorganized and expanded to emphasize student-centered learning. The CLT encompasses tutoring services where students take ownership of their learning, summer and winter sessions which assist students with reaching their academic goals outside the traditional fall and spring semesters, Educational Communications Center for enhancing communication of ideas with technology and media, and Instructional Design Services which places the focus on student learning, rather than teacher teaching. The CLT brings an awareness of innovative teaching approaches to faculty and others who teach at the University. This approach gives students greater ownership of their education, while faculty function more as guides to self-directed learning than as instructors. This shifts undergraduate education from a reliance on lecture toward the facilitation of active learning. A key aspect of the CLT is the development of experimental classroom facilities and using information learned when developing new or renovating existing learning spaces. The Learning Studio in the CLT is the first such "sandbox" space. This learning laboratory provides multiple technologies and a variety of seating options to promote active learning. After one year in operation, the Learning Studio is one of the most highly sought after learning spaces on campus and there are plans for the development of several more in the next few years.

### **Humanities Center**

Binghamton University is known for its commitment to the liberal arts. The Institute for Advanced Studies in the Humanities (IASH) was established in 2010 to support innovative research in humanistic studies and create an intellectual community of scholars pursuing humanistic studies. Faculty, graduate students, and undergraduate students inspire the cross-pollination of ideas, encourage emerging knowledge and ways of knowing, and spark meaningful campus-community engagement at Binghamton University. The establishment of the Center and its future growth has been made possible by strategic

investments by the provost, the vice president for research and generous donors. In 2011, the University renovated space in the heart of campus to provide a home for IASH sponsored events.

### **Harpur Edge**

This Harpur College program provides students with the resources necessary to enrich their academic experience and prepare them for careers and lifelong learning. The three main goals are to welcome students into the Harpur academic community, help students take advantage of opportunities in Harpur College and across the University, and help students learn to articulate the value of their liberal arts education.

### **Global Center**

Drawing on Binghamton University's long-standing excellence in programs that raise global awareness and its commitment to becoming a premier global institution, a new Global Center is opening in 2016. Several key offices, serving international and domestic students in their scholarly and research activities, will co-locate into this modern facility. This new center will provide streamlined areas for student and scholar services. A key feature will be a new multi-purpose space that will allow a variety of activities that transcend disciplinary boundaries aimed at fostering cross-cultural interaction and creating global citizens.

### **Providing a State-of-the-Art Intellectual Environment**

Binghamton is committed to providing a state-of-the-art environment for the development of new research collaborations. Under the NY SUNY 2020 Challenge Grant Program, Binghamton is engaged in a hiring program that is bringing 150 new faculty by 2017. To ensure that Binghamton makes the most of this opportunity, the provost has allocated a significant portion of these new faculty positions to five transdisciplinary areas of research and scholarship called Transdisciplinary Areas of Excellence (TAEs) in which the University has significant existing strength and can achieve international prominence. President Stenger plans to grow the University's enrollment to 20,000 students – 14,000 undergraduates and 6,000 graduate students. Besides the growth in student enrollment, the resources generated by further increasing the student population will lead to the hiring of an additional 180 faculty — an increase of 35 percent over current levels. An additional 180 teaching assistants and more than 100 new staff members will support these faculty members. Together they will provide education and services to approximately 3,000 additional students. Not only will this have a real impact on the local and regional economy, it will also significantly add to the University's research efforts, scholarship and teaching.

The Provost's Office and the Division of Research, with funding from the Road Map, are providing seed funding to the TAEs to fuel interdisciplinary collaborations. Road Map funding is also providing startup funding to attract top hires to the sciences and engineering. Binghamton's Organized Research Centers and Advanced Study Institutes also provide a mechanism for bringing together faculty from across the disciplines, and across institutions in new and exciting research areas. For example, the campus' organized research center in Energy-Smart Electronic Systems, a National Science Foundation Industry/University Cooperative Research Center, is led by Binghamton University, with partners at Villanova University, University of Texas at Arlington, Georgia Institute of Technology, and over 20 industry members, including IBM, Facebook, Bloomberg, Intel, Corning, and Verizon. The center focuses on industry-driven research on making data centers more energy efficient. In the health-related fields, the University was recently awarded \$60 million from New York state to begin site acquisition, design work, and construction for a School of Pharmacy and Pharmaceutical Sciences. This new school will build on Binghamton's strengths in health sciences and healthcare, engaging world-class researchers,

students, entrepreneurs, health science corporations and healthcare partners in cutting-edge, transdisciplinary research; integrated product development; and innovative education in pharmacy.

In support of the TAEs, with funding from the Road Map, the Libraries have acquired significant new collections to provide interdisciplinary research support for the new TAE faculty hires as well as current faculty. These new resources have strengthened the Libraries' rich and extensive research collection.

Extending research to the undergraduate level is also a campus priority. In addition to the establishment of the Undergraduate Research Center, Binghamton was awarded \$1.4 million from the Howard Hughes Medical Institute (HHMI) and \$700 thousand from New York state to renovate undergraduate research labs in the sciences as part of the new Freshman Research Immersion program (FRI), an innovative research-based program that will provide every undergraduate STEM student with multiple top-quality authentic research experiences throughout their four years on campus. Currently there are streams in Biofilms, Smart Energy, Neuroscience, Image and Acoustic Signal Analysis, and Biomedical Chemistry. New streams for the 2016/17 academic year include Molecular and Biomedical Anthropology, Biogeochemistry, Environmental Science, and Geospatial Remote Sensing. The Libraries supports this initiative with the creation of online tutorials designed to teach critical research skills for each stream.

### **Grant Submission and Compliance**

The University has turned towards electronic research administration to help streamline processes and reduce the administrative burden on faculty. COEUS is a comprehensive system that aids in managing the complexities of research administration needs from the faculty researcher through grants administration to the funding agencies. This web-based system allows users 24/7 access to the status of their proposals making the process of proposal development, review, approval, and submission very transparent. It also provides a collaboration platform for multidisciplinary proposals to be shared between all involved faculty, ensuring the most recent version of critical information are available to all involved. In addition, COEUS provides department chairs and deans on-demand access to the proposal activity of the faculty in their areas.

## **Recommendation #4**

***Further Strengthen the Link Between Research/Scholarship and External Communities. Enhance internal and external entrepreneurship, including patents, tech transfer, and business incubation; maintain campus' excellence in research/business partnerships; continue and strengthen research programs designed to support local schools, government agencies, and the local medical community. (Reference section 1, page 18; section 3, page 5; section 4, pages 10-14 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

Binghamton University, through its Road Map to Premier process, has identified, “...*enhancing the University's economic, social and cultural impact through engagement from the local to the global level*” as a strategic priority. Binghamton is committed to its role in translating its research and scholarly discoveries for the promotion of the public good. To achieve this goal, we collaborate with business, educational, governmental and not-for-profit organizations, ensure that our scholarly expertise is accessible to practitioners and policymakers, publicize our artistic and cultural events, fuel entrepreneurialism, create university/community initiatives that strengthen our schools, foster faculty and student involvement in servicing the health needs of vulnerable populations in rural and other underserved areas, and collaborate to develop innovative healthcare delivery strategies to these populations throughout New York state.

The Association of Public and Land-grant Universities (APLU) recently designated Binghamton University in the 2015 class of Innovation & Economic Prosperity universities in acknowledgement of our effectiveness in working with public and private sector partners to support economic development through a variety of activities, including innovation and entrepreneurship, technology transfer, talent and workforce development, and community development. The Office of Entrepreneurship and Innovation Partnerships, which led this submission, handles all invention disclosures, patenting activities and licensing of technologies coming out of faculty, staff, and student research. The University has a disclosure activity that is above the national average. In fiscal year 2014, over 23 patents were issued. These result in opportunities for industry licensing. In fact, Binghamton has averaged over \$500 thousand in royalties per year over the past five years. The office recently hired a new licensing associate to work with faculty in this area. The campus also promotes business incubation through its pre-incubation start-up suite in the Biotechnology building with additional facilities available in the new COE building. Ten companies are currently housed in this facility, with six more companies approved for entry. Nine additional companies have associate member status in that they do not reside in the start-up suite but access its services. In order to engage entrepreneurially-minded students, a new student incubator is also under development on campus. The campus' role as an economic driver has been enhanced by the implementation of new tax-incentive programs by New York state such as the START-UP NY program and the Hotspot program. These programs are economic incentives for companies to create new jobs; by associating with the university, the company gets access to educated employees and the students get access to real-life training opportunities that will increase their chances of finding employment.

The campus is also a major partner in the construction of a new high-technology incubator in Binghamton which will provide a unique entrepreneurial ecosystem for emerging high-technology companies in the region. The office also runs such programs as Entrepreneurship-Across-the-Curriculum, TechStorm NY, Innovation Days, pre-seed workshops, mock Shark Tanks, commercialization clinics, and oversees the Small Business Development Center. These entrepreneurial activities encourage faculty involvement in technology development. The office now has proof-of-concept funding for university technology

development and student technology/product development as well as a small seed fund for student ventures.

Binghamton is a leader in industrial collaboration. Industrial partners mentor student interns, hire students, serve as senior design project partners, fund individual research projects and multi-investigator, multi-year research programs, promote the development of master agreements, participate on advisory boards, and provide outstanding advocacy for Binghamton University with local, state and federal government partners. The New York State Center of Excellence in Small Scale Systems Integration and Packaging is a major source of industrial collaboration. It has generated over \$1 billion in economic impact and led to the creation and retention of 1,900 jobs since 1994. Its National Science Foundation (NSF) funded Center for Energy Smart Electronics, for example, has over two dozen industry partners alone, including IBM, Intel, Facebook, Bloomberg, and Microsoft. In addition, the newly announced Flex Tech Alliance led U.S. Department of Defense (DoD) funded Manufacturing Innovation Institute for Flexible Hybrid Electronics will feature a New York node led by Binghamton University in partnership with General Electric, Corning Incorporated and i3 Technologies.

The University has a wealth of programming designed to support local schools, government agencies, and the local medical community. Many departments, such as the Department of Human Development and the Department of Social Work as well as the Decker School of Nursing (DSON), place undergraduate and graduate student interns in local schools, government agencies and the medical community. Many of our graduate students in departments like public administration complete capstone research projects for non-profit organizations and government agencies. These capstone projects focus on such topics as examining how municipal public works departments integrate electronic document and record management into their organizations; researching the experiences, benefits and challenges that organizations have when implementing new housing programs; and conducting a cost effective analysis of shared services for a local school district. Faculty research projects such as the Healthy Lifestyles Project, geared to address childhood obesity, or the Institute for Multigenerational Studies' Center on Aging's randomized controlled trial to prevent <30 day re-hospitalizations, provide beneficial information to the community that is being replicated in other communities in the country.

Binghamton is building a research-intensive, School of Pharmacy and Pharmaceutical Sciences (SOPPS) in Johnson City which will develop outstanding leaders in medication management and innovative research. The school will provide an annual economic impact of over \$219 million regionally and more than \$290 million statewide. In addition, the school will support (directly and indirectly) over 2,428 jobs in New York state over the next few years, while providing professional training for students in a high-demand field. It is expected that drug companies and medical technology firms will establish roots in the area, as new research faculty develop marketable products and technologies. The Decker School of Nursing received a significant philanthropic gift to further develop the inter-professional Elder Services into a multidisciplinary health center that will support a wider range of health care services for older adults in this region. Furthermore, the new geriatric health center will provide inter-professional clinical experiences for students in nursing, social work and pharmacy.

Binghamton also conducts many additional research projects in coordination with the medical community. For example, the Southern Tier Telemedicine and Mobile Health Research, Development, and Training Center will provide a centralized framework for a systems approach to health care delivery based on a partnership between local healthcare professionals, scientists and engineers. The center will focus on telemedicine and mobile health care technology research and development, as well as the health care profession's clinical training and certification. The center will facilitate healthcare workforce development initiatives tailored to Southern Tier's healthcare provider partners. Indeed, healthcare systems engineering and healthcare operations/systems management represent areas of significant expertise at Binghamton. The Watson Institute for Systems Excellence (WISE) has established a national

reputation in this area through collaborative partnerships on a wide spectrum of projects with multiple U.S. hospital systems. Research has optimized the use of operating room suites, outpatient scheduling and pre-admission testing; reduced patient turnaround time in emergency rooms; provided faster delivery of medications/lab results; and optimized deployment of mobile intensive care units. These efforts have been supported through partnerships with several U.S. hospital systems and healthcare organizations, including United Health Services, Virtua Health, the Mayo Clinic, Mount Sinai Medical Center, Montefiore Medical Center and the Care Management Organization, the New York Organ Donor Network, Cooper Health, and Upstate University Hospital. Binghamton has also started a twelve-month Executive Master of Science in Health Systems in Manhattan, NY. This innovative graduate program, which was established based on a long-history of collaboration with many hospital systems, has graduated a total of 31 students in 2014 and 29 students in 2015. A total of 31 students are currently enrolled in this program. The most recent report by the President's Council of Advisors on Science and Technology (PCAST) (Better Health Care and Lower Costs: Accelerating Improvement through Systems Engineering) provides sufficient evidence that this health systems degree program is helping fill a national gap, especially in the era of the Affordable Care Act (ACA).

In 2013 Binghamton University's College of Community and Public Affairs and Institute for Multigenerational Studies was designated a Promise Zone by the state of New York. In this effort, the university receives yearly funding to implement a county-wide system of university-assisted community schools to help the 55% of children being raised in low-income families in Broome County's 13 school districts to succeed academically. More than a hundred undergraduate and graduate students from all BU schools and colleges participate in interprofessional teams in local schools and communities as Promise Zone interns or volunteers each year.

Binghamton's alumni are a very important constituency and provide a vehicle for increasing engagement with external partners. Our Alumni Association is committed to expanding connections with our alumni, and in cooperation with the Office of Alumni Relations, worked with an external consultant on the development of a strategic plan to guide the association in the future. These actions include hiring new school/college-level alumni staff and developing new chapters across the nation and world. The association is now implementing those strategies which will strengthen our connections to our alumni base moving forward.

Division I Athletics also represents an important avenue for bringing the University and the community together. The spirit and pride seen on the Binghamton campus today has built on the legacy of enthusiasm, loyalty and support for our intercollegiate athletics program through the years.

Our efforts to reach out to the community also involve showcasing Binghamton's educational excellence and community impact at such events as our annual Research Days, Engineers Week, "Nano Day" and Binghamton University Day at the Oakdale Mall. These programs provide community members with an informal avenue to learn more about the campus, participate in interactive science experiments, watch performances by student organizations, and talk to professors and admissions staff about our academic programs and civic engagement.

As a result of these and other initiatives, Binghamton University positively impacts the local economy (Broome and Tioga counties) and the New York state economy in terms of economic output, jobs and human capital. Spending on wages and salaries, goods and services, and construction has a direct economic impact. Spending by students and visitors to the campus also impacts the economy. Through its own expenditures and the spending of its visitors and students, Binghamton University's direct and associated expenditures totaled \$670 million for fiscal year 2013-14. This translates to a regional impact of \$1 billion on Broome and Tioga counties and over \$1.38 billion on New York state. The University accounts for about 12 percent of the gross domestic product (GDP) in Broome and Tioga Counties.

During this time period, more than eight thousand students engaged in clinical experiences, course practica, and volunteer experiences. These experiences represented \$11.4 million in value in Broome and Tioga counties. Our annual faculty reporting system has been revised to better capture the many ways that our faculty engage with the external community.

## **Recommendation #5**

***Continue to Seek Sponsored Funds, including Developing Alternative Sources. Continue steady increase in extramural funding, including research funding and gifts in kind from research partnerships with business at a rate of 10% per year for five years; complete transition to “Research Intensive” status. (Reference section 1, page 18; section 3, page 6; section 4, page 21 of Binghamton University’s 2010 Self Study: Distinguished Past, Innovative Future.***

Through the Divisions of Research and Advancement, Binghamton University seeks sponsored funds and private charitable gifts to support its research and scholarly activities. The University has a goal of \$50 million in research expenditures by 2020. For FY14-15, the University posted \$35.6 million in new awards and \$35.7 million in research expenditures, an increase of 13 percent over the previous year. These are clear signs that we are recovering from the recent downturns in the economy and recent instability of federal funding. In particular, elimination of congressionally-directed funding, termination of the American Recovery and Reinvestment Act (which resulted in a one-time influx of \$6 million in federal research support), and an overall 5 percent decrease in the federal government’s research budget, have all had a significant impact on the University’s research enterprise over the past few years that we are now beginning to recover from.

Binghamton is committed to implementing new approaches to facilitate research to enable the University to meet its goal of \$50 million. Toward this end, the University has established a new Office of Strategic Research Initiatives to work with faculty and senior leadership on the identification, coordination and execution of submissions of large multidisciplinary research proposals to federal agencies and the strategic positioning of university programs and collaborative efforts for successful funding. This Office brought on an institutional grant writer in July, 2015 who has already provided input into over 10 faculty proposals.

With the awarding of the NY SUNY 2020 Challenge Grant program, Binghamton is completing a hiring program that is bringing 150 net new tenure-track faculty to campus by 2017. Although there is a two to three year lag between commencing a faculty hiring plan and a resulting growth in research expenditures, we are already seeing the results of these hires with the new faculty actively seeking external funds to support their research programs. In the fiscal year ending June 30, 2015 we have a 34 percent increase in the amount of funding requested in grant applications over June 20, 2013. To maintain this level of increased activity, the Division of Research continues to work closely with deans and department chairs to identify areas of need in sponsored program development. As a result, workshops in funding opportunities and courses in grant writing have been regularly offered to the faculty. In addition, one-on-one meetings with new faculty are scheduled on a regular basis to ensure they have the solid infrastructure needed to ensure a successful tenure at Binghamton.

The Transdisciplinary Areas of Excellence (TAE) in health sciences, smart energy, material and visual worlds, sustainable communities and citizenship, rights, and cultural belonging, are significantly strengthening the University’s research and scholarly efforts. Members of the Division of Research support the research development initiatives of the TAEs. For the 2015 academic year, the TAEs were involved in the hiring of 27 affiliated faculty and 3 core faculty, focused on growing the strength of specific areas of research and scholarship. Hires spanned the disciplines including anthropology, history, English, geology, theatre, music, social work, management, engineering and computer science. In addition, faculty hired since fall 2012 submitted a total of 155 funding applications to external sponsors in FY15, a third of the total proposals submitted during that fiscal year. Over 80 Binghamton University faculty members have received funding for 35 collaborative research projects funded by the TAEs

through the Road Map, totaling \$480.5 thousand. In 2013-14, the TAEs awarded \$153 thousand in seed grants to 13 projects. In 2014-15, the TAEs awarded \$190 thousand in seed grants to 13 projects. In 2015-16, the TAEs awarded \$137.5 thousand in seed grants to nine projects (with additional funds provided by the Provost's Office). Interdisciplinary teams have included faculty from disciplines including psychology, nursing, anthropology, systems science & industrial engineering, social work, mathematical sciences, cinema, geography and others. Funds have resulted in the following examples: proposals to NIH, NSF, Human Frontier Science Program, and NEH; an invention disclosure focused on eye movement tracking technology; a conference on Italian poetry and music; and a NSF Award representing a collaboration between psychology and engineering exploring brain responses and cybersecurity.

The campus' Organized Research Centers and Institutes for Advanced Study provide a forum to build interdisciplinary collaboration. In fact, 318 faculty out of 555 (fall 2014 tenured/tenure-track) (57.3 percent) participate in one or more of the centers and institutes. In 2014, the campus developed a new model to designate one new organized research center in a strategic research area per year, and provide that center with \$60 thousand in start-up costs. This process has resulted in designating two new centers in the past two years: Binghamton Center for Biofilm Research and the Center for Collective Dynamics of Complex Systems.

Binghamton's new School of Pharmacy and Pharmaceutical Sciences will build on Binghamton's strengths in health sciences, engaging world-class researchers, students, entrepreneurs, health science corporations and medical partners in cutting-edge, transdisciplinary research; integrated product development; and innovative education in pharmacy. The school will include the addition of two dozen new faculty. Each researcher is expected to attract over \$300 thousand annually in external funding. A new dean was brought on board in 2015 and is already participating on a number of grant applications. All of these initiatives will lead to growth in Binghamton's research portfolio.

Working in partnership with the Division of Research, the Division of Advancement continues to seek alternative sources of funding for the University through private, charitable support. Advancement is focused on engaging our constituents with the University in ways that are beneficial to them and to the University. Both the University and the Binghamton Foundation are investing in advancement personnel and infrastructure to enhance our fundraising efforts. During FY2014-15, six net new front-line fundraisers were added to the development team. The five-year strategic plan for fundraising has set an aggressive goal of \$16 million in new business for FY2019-20 as the program prepares for a third comprehensive gifts campaign. Our annual giving program which focuses on current-use funding continues to grow in both dollars and donors. The program has increased giving every year for the past three years. New executive leadership was recruited for the division of advancement in July of 2014, demonstrating the university's commitment to growth in philanthropic giving. A renewed stability and shared vision for growth is present. We have also been able to secure, with assistance from the Division of Research, several significant and important research tools from foundations and industry since FY2009-10 including software from Siemens (\$43.5 million), research instrumentation from the Decker Foundation (\$705 thousand) and manufacturing tools from FlexTech Alliance (\$5.9 million).

Binghamton has always placed a focus on globalization and internationalization (see also Recommendation #15). Growth in this area will provide additional opportunities for research collaboration. Distinguished Professor Krishnaswami "Hari" Srihari was appointed executive vice provost for international initiatives and chief global affairs officer in June 2015, in addition to his role as dean of the Thomas J. Watson School of Engineering and Applied Science and director of the Watson Institute for Systems Excellence (WISE). Srihari was the 2014 recipient of the Michael P. Malone International Leadership Award, recognizing individuals who have made significant contributions to international education at public and land-grant institutions. In his new role, Srihari continues the strong partnerships developed by his predecessor and is strategically growing additional international

partnerships with select institutions to enhance undergraduate and graduate education at the University. Many of these partnerships are multi-faceted, including activities such as student exchanges, joint degrees, visiting faculty appointments, research collaborations and much more. In addition to university partnerships, faculty teams are collaborating with multi-national companies, working on industrial projects with colleagues at one or more of their global locations. These projects often include students at the undergraduate and graduate level.

Binghamton's Self Study included a goal of achieving research intensive university status with the Carnegie Foundation for the Advancement of Teaching. Beginning with the 2005 update of the basic classification, all doctorate-granting universities are now classified into three categories: RU/VH: Research Universities (very high research activity), RU/H: Research Universities (high research activity), and DRU: Doctoral/Research Universities. Binghamton is pleased to be classified by Carnegie as RU/H: Research Universities (high research activity).

## **Recommendation #6**

***Complete the Current “Bold, Brilliant Binghamton Campaign.” Currently at \$85 million with a target of \$95 million. One hundred million dollars would be ideal. Also try to get at least one principal gift of cash in the \$5-10 million range. (Reference section 1, page 18; section 3, page 6; section 4, page 21 of Binghamton University’s 2010 Self Study: Distinguished Past, Innovative Future.***

The quiet phase, July 1, 2005 – April 22, 2010, resulted in a public goal of \$95 million. Based on economic challenges, the quiet phase was extended and the goal lowered. In the depth of the economic crisis, the Foundation board considered, but ultimately dismissed, the possibility of closing the campaign without a public phase. Our constituents were hit especially hard, as they are heavily clustered around the metropolitan NYC area and many were affected directly or indirectly by the meltdown of the financial services industry. During the campaign, due to state budget cuts, the development staff was reduced from thirteen (13) front-line fundraisers to six (6), including the planned giving director, the metro New York gift officer, and the assistant vice president for development. During the quiet phase, the Lead Gifts Solicitation Team provided cultivation and solicitation support to the development staff. This team was co-chaired by Mark Zurack ’78 and Larry Schorr ’75, MA ’77 and each team member made a commitment of \$100 thousand or more to the campaign.

A gift of \$6 million from an anonymous donor in April 2009 and a second gift of software from UGS/Siemens of \$25.9 million allowed us to announce a campaign total of \$82.9 million (87 percent) towards our public goal of \$95 million, with twenty-seven (27) months to raise an additional \$12 million. Binghamton was the first university in the country to launch the public phase of its campaign with an internet-only event and more than 1,000 on-line participants. In addition to the support and guidance from the Foundation Board, the Campaign Executive Committee (CEC) provided inspiration and motivation for the development team. The CEC was led by campaign chair, Paul Turovsky ’73. The campaign’s Major Gifts Outreach Committee, chaired by Owen Pell ’80, assisted with cultivation and solicitation activities for prospective donors.

Despite many challenges, including the Great Recession, changes in University leadership and negative coverage for the athletics program in national media, the campaign surpassed its \$95 million goal in January 2012, six months before the end of the campaign. A stretch goal of \$100 million was then announced. The campaign concluded on June 30, 2012 with a total raised of \$101,219,732 from 38,739 donors. In addition to surpassing its overall fundraising goal, the campaign also met its goals for the funding priorities including student excellence (\$45.5 million or 108 percent of \$42 million goal), faculty and academic support (\$45.3 million or 101 percent of \$45 million goal) and the Binghamton Fund (\$10.3 million or 130 percent of \$8 million goal).

## **Recommendation #7**

***Seek Revenue Flexibility. Support the Chancellor in her campaign for tuition flexibility and to return tuition to the campuses; also continue to diversify and enhance non-state revenue streams. (Reference section 1, page 18; section 3, page 6; section 4 pages 19-20 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

### **University Revenue**

The University's primary revenue stream is student tuition. SUNY had developed a rational tuition plan as part of the NY SUNY 2020 program which provided a guarantee that state funding would not be reduced and a five year tuition and fee increase program. The NY SUNY 2020 program has enabled the campus to predict its revenue stream more accurately than in the past and therefore more accurately estimate the assets available for program support and expansion.

The University is in the fifth year of the growth plan stated in the NY SUNY 2020 program. The plan was based on an increase of 2,000 students over four years (1,600 undergraduate and 400 graduate students). The campus has exceeded those projections and 2015-16 application and enrollment levels remained strong.

The University's Office of Undergraduate Admissions makes admission decisions based on the information they receive and the evaluation of the student's potential for success at the University. Part of the decision process is to achieve a diversified student body which will provide all students an opportunity to interact with other students from all areas of the world. The annual enrollment plans and revenue projections have reflected this desire.

### **Budget Process**

In 2012-13 the University altered its annual budget process to provide for broad campus input and transparency. The new process was developed as part of the campus Road Map and strategic planning process. It provided for two year funding identification and was based on the projected campus revenue stream. The budget assignments were determined through a team process which aligned available resources with the initiatives that were identified through the Road Map process.

The two years of funding identified through the process was fully funded. A measurement of the progress made on the initiatives showed that progress was made in each of the areas. There were also other initiatives undertaken to take advantage of opportunities that arose during the years.

New York state had settled contracts with each of the unions that serve at the University. Settlements were less than awarded in prior years but the University was informed that the state was not providing funding for the salary increases. Since the university revenue/budget plan had not expected this additional cost, it was necessary to develop a plan using other-than-state support and tuition as the revenue stream. A plan was put in place to generate revenues sufficient to absorb the 2014-15 base and one-time estimated costs and adjustments were made for future years.

## **Facilities Planning**

The University continues to follow the general blueprint set forth in the 2011 Facilities Master Plan (see also Recommendation #9). System-wide funding had been provided each year through a central fund appropriated and bonded through New York state. The state funding was provided primarily for critical maintenance purposes and could not be used to build new structures. The campus supplemented the state funds to expand projects as well as undertake stand-alone projects.

## **Construction Projects**

The funds were applied to meet the campus' most critical need - classrooms per the Facilities Master Plan - but other areas throughout the campus were also addressed. Individual projects are described in detail in the response to Recommendations #3, #9, #10

## **Recommendation #8**

***Enhance the Planning and Self-Evaluation Process. Develop dashboards for divisional units to strengthen the relationship between the planning and budget processes. (Reference section 1, page 19; section 3, page 6; section 4, page 25 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

Binghamton University has made great strides in our planning and self-evaluation process. The introduction of a new president and the university-wide inclusive Road Map process he developed, together with the hiring of an assistant provost for institutional research and effectiveness, have revolutionized our approaches, our processes, and our metrics. At every level of the university, faculty and staff consider continuous improvement to be the standard.

As an example, the University is proud of its achievements and reputation for academic excellence. We continuously look to internal processes to determine if we are sustaining the excellence for which we are known. Binghamton University has adopted a peer review process for evaluation of all its academic programs. Each year seven to ten units are chosen; all units are, therefore, reviewed about once every five to seven years. The review involves: a self-study by the unit; a visit by two peer reviewers; an exit interview with the academic unit, dean of the school or college, provost, and dean of the graduate school; a final report from the site team; a written response from the academic unit; and follow-up by the dean, graduate dean, and provost. This process was explicitly designed to look at both undergraduate and graduate education and to assess how each department uses its strengths to mount excellent programs at both levels.

In addition to these academic unit reviews, learning outcomes for general education and each major or professional program are assessed on a regular basis. Binghamton evaluates faculty contributions to the University's mission in three ways. The first involves annual faculty reports which are submitted individually by faculty via the web. The collected data is formatted into a searchable database. Faculty members' teaching, research and scholarly contributions are collected and integrated into academic unit-level "contributions to mission" reports (Appendix 2.8.1) which are used for analysis and decision-making.

Secondly, the campus participates in the Delaware Study (Appendix 2.8.2). Participation in this national benchmarking effort provides Binghamton with comparative information on teaching and funded research for each academic unit with respect to its chosen peers. Additionally a departmental profile dashboard is created annually (Appendix 2.8.3). Since 2008, these two sets of data along with a department-level report from Academics Analytics (a vendor that provides benchmarking data on faculty scholarly productivity) (Appendix 2.8.4) have been the basis for strategic conversations with each academic unit.

The three reports are shared with faculty in meetings to discuss findings in detail. Attending those meetings are the dean, department chair, department graduate director, department undergraduate director, graduate dean, senior vice provost and provost. The agenda for these discussions is wide-ranging with the aim to improve the academic unit as a whole. Visits typically occur every three years for each unit so that actions taken to address concerns can be evaluated for their impact. The dean and graduate dean launch discussions with department chairs and graduate directors about what could be learned from the data and what actions might be taken in the future to advance research and scholarship in the unit.

## **Recommendation #9**

***Develop a new Master Plan for Buildings and Grounds. Carry through on current cooperative planning with the State Construction Fund; agree on current space shortfall, coordinate additional space with anticipated program types/growth and overall growth. (Reference section 1, page 19; section 3, page 6; section 4, page 25 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

### **Facilities Planning**

The University continues to follow the general blueprint set forth in the 2011 Facilities Master Plan. System wide funding had been provided each year through a central fund appropriated and bonded through New York State. The state funding was provided primarily for critical maintenance purposes which may not be used to build new structures. The campus supplemented the state funds to expand projects as well as stand-alone projects.

### **Construction Projects**

The funds were applied to meet the most critical need of the campus - classrooms per the Facilities Master Plan - but other areas throughout the campus were also addressed. Details of the individual projects are available from the Physical Facilities Office.

A listing of the largest projects underway or completed can be found in Appendix 2.3.1.

### **New Buildings**

#### **Smart Energy Building**

As part of the campus NY SUNY 2020 program a Smart Energy building of \$70 million was funded, using one-half state/SUNY funding and one-half campus funding. Faculty from the chemistry and physics departments will be located in the new building which will be used for research and instruction purposes.

#### **Pharmacy Building**

The campus was provided \$10 million to purchase property and begin design on a building to house the Pharmacy School proposed by the campus. The purchase of off-campus property and design of the project has been completed. Bidding for construction is in progress, and the state has appropriated an additional \$50 million for construction.

## **Recommendation #10**

***Plan for Growth. Link enrollments, construction, program design, and resources in an adaptable way; offer a clear statement of the campus' aspirations and intent, including intermediate stages on the way to ultimate goals. (Reference section 1, page 19; section 3, page 6; section 4, page 19 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

Binghamton University subscribes fully to integrated planning. Our strategic plan, Road Map to Premier, 2013, carefully links growth to planning and budgeting.

Our enrollment growth and faculty and staff increases have been closely linked to every aspect of our institutional planning from classrooms to state-of-the-art living spaces for our residential students.

Here is just some of the recent progress we have made in realizing the strategic priorities of our Road Map. We list them by strategic priority.

### **Road Map to Premier: The Strategic Priorities**

The premier public university of the 21<sup>st</sup> Century will:

- 1. ...engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.**
  - Construction is nearing completion on the \$70 million, 114,000 gross square-foot Smart Energy Research and Development Facility. The facility will provide room for faculty and industry scientists and engineers to work side by side to create new energy technologies and maintain and expand the regional workforce. Construction will be completed in summer 2017.
  - Another 70,000 square feet of cutting-edge research and laboratory space has been created with the construction of the \$66 million Engineering and Science Building and the \$30 million Center of Excellence (COE) building. The COE, houses the Northeast Center for Chemical Energy Storage, addresses research challenges in small-scale system design, process development, prototyping, manufacturing for academia and the microelectronics industry as well as energy storage and conservation.
  - Binghamton University will contribute to improving health care in New York with the addition of a School of Pharmacy and Pharmaceutical Sciences which will prepare students to meet the region's healthcare needs, and expand Binghamton's health science research and development while at the same time having a significant economic impact on the region and the state. Construction on a 97,000 gross square foot building to house the school begins in spring 2016 and anticipate enrolling our first class in August 2017. Recently, purchase of additional land and buildings will enable the university to create the Health Sciences and Technology Park that will bring Decker School of Nursing and the School of Pharmacy and Pharmaceutical Sciences together in close proximity to United Health Services – Wilson Memorial Hospital.
  - To assure that investments in faculty are strategic, we identified five areas in which Binghamton University has significant strength and can become internationally recognized by making additional investments in faculty to build on that strength. These Transdisciplinary Areas of Excellence (TAE) address important scientific, social, technological, cultural, and policy questions and bring together teams of faculty from multiple disciplines, thereby building transdisciplinary research clusters that are necessary to address the world's most challenging problems: energy, health, sustainability, human rights, and the built environment.

- Binghamton University has developed strong partnerships with industry. As a result it continues to be very successful in attracting industry-funded research, which approaches 10 percent of our external funding each year, well above our peers.
- Hiring faculty and supporting their success has been paramount for us. Since 2011, with the advent of NY SUNY 2020 on our campus, the university has used our resources to hire 175 new tenured/tenure-track faculty members. The net new tenured/tenure-track faculty members hired since that time is 115 – right on target with the promise we made in the Challenge Grant application. So successful has the investment been that now over 70 percent of our faculty members are full time – a 3 percent increase since the beginning of NY SUNY 2020.
- New faculty members in STEM fields require significant seed funding to prepare them to succeed in their research. Since 2011 the University has spent over \$17 million on equipment associated with new faculty startups.
- Admissions to Binghamton’s graduate programs have increased by impressive numbers and percentages over the past two years. We have seen a 16.3 percent increase between fall 2013 and fall 2014 in applications alone. For fall 2014 we achieved a 7 percent increase over our fall 2013 graduate enrollments and fall 2015 graduate enrollments grew by another 4 percent over fall 2014. By offering provost’s summer fellowships to outstanding doctoral students, we have recruited over 30 of the very top applicants to 18 different doctoral programs.
- We are also adding graduate programs, enabling students to pursue advanced study in a wide variety of practical and career-oriented fields. We submitted 15 proposals since the 2013-14 academic year – adding more accelerated, and 4+1 programs, more concentrations in areas of high need like taxation and public archaeology, and adding significant new programs in pharmacy and sustainable communities.

**2. ...provide a transformative learning community that prepares students for advanced education, careers and purposeful living.**

- To increase our ability to help students make consistent progress towards degree completion and prepare them for successful careers, the number of academic advisors will increase nearly fifty percent from 2011 to 2016. In addition, a newly expanded and relocated Fleishman Center for Career and Professional Development offers significantly increased access to career advice, alumni mentors, and internship opportunities.
- In concert with its outstanding reputation of offering a premier undergraduate education, Binghamton University, with the support of a major grant from the Howard Hughes Medical Institute (HHMI), has established a new Freshman Research Immersion program that provides freshmen with training in research methods and then a multi-semester curriculum-based authentic research experience.
- Additionally, the FRI is helping to transform STEM education at Binghamton, building on research in multiple disciplines to align curricula with innovative research initiatives and transforming courses into genuine discovery environments.
- A successful pilot program has led to a new calculus teaching initiative that transforms the way courses in the calculus sequence are taught by emphasizing collaborative problem-solving and active learning in the classroom. The result has been a dramatic increase in student success in these critical courses.
- The enhanced CLT helps faculty understand how to combine student-centered instructional methods and state-of-the-art instructional technology in ways that engage students effectively and assist in their learning.
- Binghamton continues to have an enviable over 90 percent retention rate for freshmen, among the highest in the country for public institutions. We have used new resources to strengthen programs for freshmen, academic advising, and mentoring to increase this number to even higher levels.

- Binghamton’s 4-year graduation rate of over 70 percent is significantly higher than the national public university rate of 33 percent, but we continue to invest time, energy and dollars to make our graduation rate even higher, and it has increased since the start of NY SUNY 2020.
- 3. ...unite to foster a diverse and inclusive campus culture.**
- The Road Map enabled the hiring of an adaptive technology specialist in the Office of Services for Students with Disabilities (SSD). She, and her team of six student assistants, spent over 2,000 hours training students with disabilities in the use of adaptive/assistive technology. This initiative resulted in more capacity to serve students with disabilities, higher staff morale and greater efficiency and accuracy of alternate format text production services.
  - Assisted by the creation of the Division of Diversity, Equity and Inclusion (DDEI) and a support team of six divisional diversity officers, we are making steady progress in increasing diversity among faculty, staff and students and creating a more inclusive campus environment. A current major focus is the revamping of the recruiting process for new faculty hires. In fall 2014, the DDEI began to conduct workshops in which those involved in the recruiting process are trained in ways to develop candidate pools that are more diverse and inclusive.
  - Full tuition support, available as a result of NY SUNY 2020, has made it possible for new Education Opportunity Program students to join us for a comprehensive summer start-up program. The program has already been shown to be beneficial. Almost 50 percent of our EOP students achieved a 3.0 GPA in their first semester at Binghamton. Additionally, the retention rate of EOP students exceeds that of the student population as a whole.
  - A 49 percent increase in under-represented minority students majoring in STEM disciplines in just three years’ time displays vividly that our efforts have been effective. And, with a stellar 94 percent retention of African American freshmen and a 91 percent retention of Hispanic freshmen (a 17 point and a 12 point advantage respectively over the SUNY average) we are well on our way to exceeding our goal of producing significant numbers of under-represented STEM graduates.
- 4. ...enhance the university’s economic, social and cultural impact through engagement from the local to the global level.**
- Binghamton University is the primary economic driver for the Southern Tier, accounting for 12 percent of the region’s GDP. Investments in the university lead to job creation and economic impact in the community.
  - The Smart Energy Research and Development Facility, which began construction in fall 2014, will fuel research, teaching and entrepreneurial activity in energy-related disciplines that will help create more than 840 university and private sector jobs.
  - The NorthEast Center for Chemical Energy Storage (NECCES) at Binghamton University has been awarded \$12.8 million and designation as an Energy Frontier Research Center by the Department of Energy. Research at the Center will attract new companies to the area to create collaborative research, spin off companies, energy products, and sustainable jobs.
  - Binghamton University’s New York State COE in Small Scale Systems Integration and Packaging (S<sup>3</sup>IP) conducts high-impact research that supports the translation of economically significant microelectronic innovations to United States industry. S<sup>3</sup>IP is a proven innovation leader and, since 1996, has generated more than \$1 billion in economic impact and over 1,900 new and retained jobs to New York State.
  - We are committed to providing a direct link between academic excellence and high technology business development. A renewed focus on entrepreneurship and business development through the Office of Entrepreneurship and Innovation Partnerships has resulted in the nurturing of several new ventures in the Binghamton start-up suite.
  - The University is one of the first SUNY campuses to implement START-UP NY, signing up five new companies to reside in campus-based incubation space.

- A founding partner of the regional Innovation Hot Spot, this Binghamton-Corning-Cornell collaboration is strengthening and supporting the growing entrepreneurial ecosystem in the Southern Tier.
- The University's leadership in the development of the new Southern Tier High Technology Incubator, located in Binghamton's urban core, will provide the infrastructure needed for new companies which will benefit from university-fostered technologies as well as from co-located firms which will focus on energy, electronics and healthcare. Opening in 2016, the facility will provide space for 12 high-technology companies and an estimated 382 jobs in the first five years.
- Binghamton University has increased its research partnerships with leading universities in China, India, Korea, Germany, and Jordan and enrollment of international undergraduate students has increased by 20 percent since 2010.
- The direct and associated expenditures of the university resulted in an overall economic impact of approximately \$1 billion on Broome and Tioga counties in FY2013.
- Binghamton University's direct and associated expenditures of \$650 million resulted in an overall economic impact of \$1.34 billion on New York state during FY2013.
- The number and percentage of Binghamton STEM graduates has grown visibly. In 2014, almost half of our bachelor's graduates earned degrees in STEM fields, helping provide business and industry with the employees they demand.

**5. ...optimize the acquisition and allocation of human, technological, financial and physical resources.**

- Since 2010 we have made significant investments in instructional space. The University has invested heavily in general purpose classrooms spending over \$3.1 million on technology upgrades, new furnishings, renovations, and refreshing of spaces. One third of the classrooms have been upgraded over the past four years with 33 receiving modern, flexible seating. During the fall 2014 semester, an additional ten classrooms were upgraded to the new digital standard and eight new digital classrooms will be developed. Started in spring 2015, a renovation of our Student Wing Building, will result in 20 new high technology classrooms. All of these rooms will be on line for the fall 2016 semester.
- A Learning Environment Committee, composed of representatives from all schools and colleges and key administrative areas across the University, ensures that our learning environments respond to the needs of our diverse community.
- Three new instructional designers provide training and support for instructors of online courses, improving the quality of online and hybrid course offerings.
- Enhanced research infrastructure. With well over 300,000 square feet of space dedicated to research in construction or recently completed, our ability to meet the needs of new and current faculty has increased dramatically over the last few years.
- External funding has been growing as a result of recent faculty hiring. In the past year two large grants to support two major federal research centers were awarded and applications for external funding have increased dramatically.
- Since 2010 the Binghamton University Foundation's investment portfolio, which includes our endowment, has increased by 57 percent.

## **Recommendation #11**

***Enrich the Instructional Methodologies Available to Faculty. Expand faculty use of Blackboard and other instructional software; continue phased conversion to smart classrooms; continue expansion of distance learning, including distance learning as an option in regular classes during summer and intersession. (Reference section 1, page 19; section 3, page 7; section 4, page 26 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

### **Enrich the Instructional Methodologies Available to Faculty**

Since 2010, the Center for Learning and Teaching (CLT) has been running immersive, spring workshops and other events for faculty development. Topics for the spring workshops have included: Building Community Face-to-Face and Around-the-World (2010), Our Students and Learning What's New, What's Changing (2011), and Using Your Strengths to Enhance Student Learning (2012). In 2013, at the completion of Binghamton University's new strategic plan, the Road Map to Premier, the CLT was reorganized and expanded to focus on the promotion and support of student-centered learning. To support this new mission, a series of "road shows" were organized and presentations regarding the re-vamped CLT were made to the schools/colleges on campus. Three full-time instructional designers were hired to provide pedagogical support to our instructors. Significant educational technology funds were also allocated to the CLT in support of this mission. Major multi-day workshops included: Flipping the Classroom (2014), The Art of Questioning (2015), and Online Teaching (2015). Other notable events offered since the reorganization of the CLT include: Digital Fluency, Student Success Strategies, Gameification, Collaboration via Technology, Authoring an iBook, Legalese in Higher-Ed, E-Portfolios for Assessment, Strategies for Large Lectures, Open Educational resources, Team-based Learning, and Student Success and Engagement, to name only a few.

The CLT also maintains a website (<https://www.binghamton.edu/clt/>) of resources and information for faculty on instructional methodologies as well as links to the Binghamton University Libraries Guide that is updated annually with new ebooks and other resources relating to learning and teaching in higher education. The CLT has developed and implemented a teaching online certification program for both faculty and graduate teaching assistants. This multi-day workshop was attended by 75 instructors last year and we plan to continue this popular workshop for the foreseeable future. This workshop will help the development of additional online course offerings and improve the quality of instruction and student learning in our online courses.

Funded by the Provost' Academic and Faculty Development Fund, the Libraries created an online suite of information literacy and research tutorials to support the teaching and curriculum of the University. The interactive tutorials help students learn critical research and thinking skills. Topics include resource evaluation, plagiarism avoidance, information needs in different disciplines, citation management, and identifying scholarly research. Faculty can assign these tutorials through Blackboard and receive a certificate of completion from students. The tutorials provide learning outside of the classroom to support the curriculum.

The Libraries also provide a wide range of other online teaching tools, including research and subject-specific guides and a research calculator (time management tool). These online research tools support distance education courses.

## **Expand Faculty use of Blackboard and other Instructional Software**

The CLT works closely with the University Center for Training and Development (UCTD) on the use of Blackboard. Recent efforts between these two centers include: upgrading Blackboard, marketing Blackboard across campus, and enhancing current documentation and training for both faculty and student users. Other instructional software has been introduced to faculty from the instructional design perspective, including: Wordpress Blogs, Digication ePortfolios, Student Response System Solutions (Top Hat, Poll Everywhere and iClickers), Articulate Storyline, VoiceThread, teleconferencing applications and Streaming Media Solutions (Echo360, Kaltura and Panopto). The CLT works very closely with other stakeholders on campus to vet such instructional software as well as to document use-case scenarios for showcasing to other faculty.

The CLT has taken the lead in developing an award-winning Online Learning Immersion Experience (Orientation) for students; this self-paced, online course provides learners with an orientation to the University's Learning Management System (Blackboard), as well as an overview of the online learning environment and how to be successful in such an environment. The North American Association of Summer Sessions awarded this orientation its Creative and Innovative Award for Most Outstanding Administrative Program for 2014. The orientation acts not only as a student orientation to online learning, but also as a faculty development tool. See this link for more info: <http://bit.ly/1GgDnds> (external link).

## **Continue Expansion of Distance Learning, Including Distance Learning as an Option in Regular Classes During Summer and Intersession.**

Since 2010, the Office of Summer and Winter Programs has actively encouraged participating departments to expand the number of high-quality distance learning courses available to students during the university's summer and winter sessions. Coupled with the addition of instructional design services in support of distance learning course creation, the results have been positive.

An analysis of operation data from the 2010-2015 period reveals that:

- the number of distance learning courses run during the summer and winter sessions has increased at an annual average rate of 11.1 percent (As compared with the annual average growth rate of 4.2 percent for all courses)
- student enrollment in distance learning courses increased at an annual average rate of 8.6 percent
- credit hours associated with distance learning courses increased at an annual average rate of 7.8 percent

## **Continue Phased Conversion to Smart Classrooms**

Since 2010, The Educational Communications Center (ECC) has upgraded 119 spaces on campus with new digital and/or collaborative audio-visual technology. Seventy-three of these spaces are classrooms. Seven of those classroom spaces were integrated with lecture capture/distance learning systems.

New digital standards for classrooms were enacted shortly before 2010, and all rooms renovated since then have been brought up to these new standards. This includes digital hi-def projection, Blu-ray players, high fidelity sound systems, high resolution document cameras, and various inputs for computers and mobile devices.

In 2013, the ECC was brought under the CLT organization. This was done to streamline many of the decisions made during the design phase for the renovation/construction of general purpose classrooms at

Binghamton University. This organizational change has brought many impactful changes to the classroom environment:

- An innovative teaching laboratory, The Learning Studio, was developed and built to provide a space where new AV technologies can be workshopped before deployment into the broader campus. Many technologies have seen successes and failures in the learning studio and have informed construction decisions in other renovations.
- New classroom technology decisions have a stronger oversight group in partnership with the instructional design team yielding greater collaboration.
- New programs from the CLT fostering and improving online learning has seen a real bump in classroom capture and distance learning usage within classroom and “soft classroom” spaces.
- New distance learning spaces are actively being redesigned to support up-to-date pedagogical ideas and technologies. The current Studio B and Studio C renovations will yield exciting new possibilities in this field.

## **Recommendation #12**

***Increase Opportunities for Undergraduate Research. Develop an Office for Undergraduate Research to promote undergraduate research and serve as a clearinghouse for research opportunities.***

**(Reference section 1, page 19; section 3, page 7; section 4, page 5 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.)**

The development of increased opportunities for our undergraduates to participate in challenging, innovative research opportunities has been a central part of the University's effort to enhance the depth of the undergraduate educational experience.

The key initial element in implementing this strategy was the establishment of an Undergraduate Research Center (URC), assigning it a highly visible location on campus, and staffing it appropriately. In January, 2012 an implementation team composed of faculty, staff and students from across the University submitted a report outlining the initial structure and early objectives for a new undergraduate research center. The URC was officially formed in spring 2012 with a half-time director and located in temporary office facilities.

The URC began to move forward with new initiatives immediately. Within six months, the URC had established and awarded its first summer research awards for undergraduates. Faculty associates were appointed to assist the director in developing and implementing new initiatives and planning began for the URC to move into central, newly renovated space in the University Union as part of a major renovation project. (The move was completed in 2014.)

From 2012-2015, the URC has continued to develop new initiatives and programs that foster undergraduate accomplishments in research, scholarship and creative activities. In recognition of the high value placed on undergraduate research by University leaders as well as the University community as a whole, special Road Map funds were allocated to support the URC and its projects which support our Road Map Strategic Priority # 2 ("to provide a transformative learning community that prepares students for advanced education, careers and purposeful living").

Below is a summary of some of the key initiatives that the URC has developed since 2012:

### **Summer Scholars and Artists Program**

Beginning in 2012, the URC has coordinated a growing campus-wide undergraduate summer research program. Beginning with two awards in 2012, the program has grown each year and in 2015 the URC made twenty awards of \$3,000 to students (and \$1,000 to their faculty mentors) to conduct student-selected research/creative activities under the mentoring of a faculty member. We anticipate continued growth in 2016.

### **Enhance research/creative activities in Humanities, Social Sciences and Fine Arts**

In recognition of the smaller proportions of students in humanities, social sciences and fine arts who participate in research, a Road Map project was launched to increase research activity in these areas. Special workshops, consultation sessions and training materials were developed. The results show a marked increase in students from these disciplines who participate in the University's annual Research Days poster fair, who publish and present their work, and who apply for – and receive – funding in the Summer Scholars and Artists Program.

### **Provide opportunities for students to display and showcase their work**

- In spring 2012, the URC was instrumental in launching the University's annual Research Days celebration. The poster sessions during Research Days have seen a doubling of student participants in the short time that Research Days have been celebrated.
- In spring 2015, the URC unveiled the first issue of *Alpenglow*, the University's official undergraduate journal of research and creative activities. The journal will be highly selective and release one issue each year.
- Each semester, the URC distributes research materials grants and travel grants to assist students in conducting research or to help them participate in conferences either regionally or nationally.

### **Recognize excellence in undergraduate research and mentoring**

Since 2013, the URC has coordinated annual awards that recognize faculty excellence in undergraduate research mentoring, and that recognize exceptional accomplishments by undergraduate researchers, scholars and artists.

### **Develop staffing to support programming**

Through support from Road Map funds and funding from the Provost's office, the URC has grown to include a director, an assistant director, a graduate assistant, and a secretary. (The team also supports the University's External Scholarships office.) Additional contributions are made by faculty associates and student interns.

The Freshman Research Immersion program (FRI) is described in Recommendation #3.

## **Recommendation #13**

***Enhance Transfer Initiatives. Appoint a campus Director for Transfer Affairs to enhance the transfer experience, assess the factors limiting transfer success, and to do outreach to our feeder institutions. (Reference section 1, page 19; section 3, page 7; section 4, page 7 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

The success of transfer students is a vital part of the University's strategic objectives. With approximately 1,250 new undergraduate transfer students enrolling at Binghamton each academic year, the University recognizes the importance of identifying and addressing barriers to transfer student success. In the past 5 years, significant steps have been taken to improve the transfer experience at Binghamton University. A number of actions and programs have been developed locally, while others are a result of the University's role in fostering transfer student success within the transfer mobility initiative directed by the Chancellor of the State University of New York. Several of the most relevant initiatives will be detailed below.

### **Appoint a Director Within an Office of Transfer Affairs**

The director was appointed in 2010 as part of a collaboration between student affairs and academic affairs to enhance transfer student success. Early initiatives included an emphasis on starting a transfer student mentor program (in collaboration with residential life staff) and establishing programming for transfer students that would help them to develop connections more quickly at Binghamton. A local chapter of an honor society for transfer students was established to recognize successful students, and the office quickly added a graduate assistant to assist with programming and helping transfer students with practical issues that they deal with, especially in their first semester and first year.

### **Transfer Articulation Agreements, Shifting Responsibilities**

After two years, the University reconfigured the responsibilities of the transfer services team. One member shifted to assume campus-wide responsibility for the negotiation of new articulation agreements with key feeder schools for the 10-12 most popular majors chosen by transfer students. This involves close collaboration with Binghamton faculty and also with faculty and professional staff at two-year colleges across New York and neighboring states. We plan to continue adding additional articulation agreements, including both new institutional partners as well as adding agreements for additional academic programs. Identifying the specific courses that students should take for maximum credit transfer towards their academic program at Binghamton will help students to be better prepared for success at Binghamton while also ensuring that they will not waste time taking lower-level courses that they could have taken at their previous institution.

The second member of the transfer services team remains directly responsible for coordinating services for transfer students. Since 2011, this role has included significant responsibilities as primary student affairs point-of-contact for students in the Binghamton Advantage Program (see below).

### **Improving Transcript and Credential Review**

In 2013, new resources were allocated to expedite transcript review for incoming transfer students. The rapid evaluation and allocation of incoming course credits allows new students to make better course selections at registration and allows them to make better progress in completing their degree.

### **Binghamton Advantage Program**

A novel approach to facilitating transfer student success was the establishment of the University's path-breaking Binghamton Advantage Program, a collaboration between Binghamton University and SUNY Broome Community College. The program offers applicants, who were not offered immediate admission to Binghamton University, a chance to live on the Binghamton University campus while taking courses at nearby SUNY Broome. After demonstrating academic success at SUNY Broome, students are permitted to transfer to Binghamton. The program has grown from an initial cohort of 42 in 2011-12 to an entering cohort of 212 in 2015-16. The program benefits both SUNY Broome (by assisting with student enrollment) and Binghamton University (by allowing advisers from both institutions to have early contact with students and collaboratively provide them with academic advice on course selection and academic preparation for the intended course of study at Binghamton.)

### **SUNY Mobility Initiative**

Over a period of five to seven years, SUNY has advanced an ambitious system-wide mobility initiative designed to allow students access to accurate information about course equivalencies as well as the relationship between major requirements at different SUNY institutions. The recent implementation of a substantial number of transfer paths is intended to further assist students in planning course selections that will allow SUNY students to move seamlessly between SUNY institutions. Binghamton University has participated fully in each of these SUNY initiatives and has been a key implementation leader in SUNY's new system-wide degree audit software (Ellucian Degree Works™).

### **On-campus Living/Residential Life**

Binghamton added approximately 1,100 beds to its residential life system over the period 2009-2014 (increase from 6,300-7,400). Prior to the expansion of the residential life infrastructure, Binghamton could not accommodate demand for on-campus living for transfer students. Binghamton is now able to offer on-campus living options to those transfer students who request it. Living on campus best supports a transfer student's assimilation into the University by providing a supportive environment to make connections to other students and to faculty/staff and by providing convenient access to university advising and other critical services.

## **Recommendation #14**

***Enhance the Partnership Between Academic and Student Affairs to Strengthen the Educational Experience. Continue cooperation in such areas as peer advising, College-based education, tutoring, and transfer services. (Reference section 1, page 19; section 3, page 7; section 4, page 8 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

Binghamton has embedded the development of partnerships between academic and student affairs directly into the University's strategic plan. Moreover, the structure of the strategic planning and assessment process has facilitated continuous integration of student and academic affairs work at divisional, programmatic and individual initiative levels as more particularly described below.

### **Strategic Plan**

Binghamton commits itself to provide a transformative learning community that prepares students for advanced education, careers and purposeful living as the second of five over-arching goals in its strategic plan. See <https://www.binghamton.edu/president/road-map/the-goals.html>. Progress on each of these goals is guided by a subcommittee of the strategic planning group that advises the president and provost. The learning community subcommittee is intentionally co-chaired by the vice president for student affairs and the associate vice provost for student and faculty development/executive director of CLT in order to facilitate deep collaboration and integration of academic and student life programs. The subcommittee tracks the following metrics to assess university performance:

- Percentage of students engaged in high impact learning experiences as defined (lead metric)
- Placement rates upon graduation in graduate education/employment as applicable
- First year retention rates
- Four and six year graduation rates

The subcommittee also solicits and develops proposals for new University investment in programs and services that will advance its goals within an annual strategic resource allocation process tied to the strategic plan. This structure of tying academic/student affairs collaboration to a major goal of the university strategic plan and sharing leadership across divisions has stimulated extensive collaboration across multiple programs. A representative sample of programs and initiatives linking academic and student affairs programs resulting from this process follows.

### **Mature Programs**

#### **University Tutoring Services**

UTS was created out of a collaboration of student affairs academic support programs and the CLT. It unites formerly distinct tutoring initiatives under an umbrella, sets standards for the identification and training of all university tutors, tracks outcomes across all programs to facilitate feedback as to where tutoring support is needed and provides multiple locations for students to access services in the residential communities. This initiative aligns with the University strategic plan goals related to learning community and measures of student retention and success. The CLT (where UTS is housed) was substantially enhanced from strategic plan funds in the amount of approximately \$600 thousand base support.

## **Promise Zone/Community Schools**

The College of Community and Public Affairs (CCPA) partners with the Division of Student Affairs in connection with a community schools initiative. CCPA participates in a county-wide grant to create a community schools model in local K-12 districts. The Division of Student Affairs helps identify students that provide volunteer capacity to support programs in the selected schools and also provides staff and graduate student support to program administration. The project provides service learning opportunities for graduate students, community benefit to the surrounding area and civic engagement opportunities for undergraduate students. This initiative aligns with the University strategic plan's support for both transformative learning community through the creation of high impact learning experiences (HILE's) and with goals related to advancing Binghamton's identity as an engaged university.

## **Discovery Program/Early Alert**

Discovery is a peer-advising program housed within student affairs that provides support to primarily first-year students with respect to course registration processes and referrals to academic advising and academic support resources housed in both student and academic affairs areas. Discovery advisors are matched to students by being assigned to specific first year writing courses and First Year Experience (FYE) courses. Discovery also partners with CLT, an academic affairs program, in the administration of an early alert process for students enrolled in identified "gateway" courses with high DFW rates. In 2014-15, Discovery reached 1,180 unique students. This initiative aligns with the University strategic plan goals related to learning community and measures of student retention and success.

## **Students of Concern Committee**

The dean of students convenes a group of professional staff across student, academic and administrative affairs to apply a case management model to students confronting various challenges that could impact retention/success. The spectrum ranges from students who need a one-time referral for advising to students for whom a formal threat assessment process is invoked. In 2014-15 a total of 1,553 students were addressed at some level through the case management process. The most challenging cases (214 in total) were managed through the team approach of the Student of Concern Committee. The retention rate for those students actually slightly exceeds the overall university retention rate. (93 percent to 91 percent). This initiative aligns with the University strategic plan goals related to learning community and measures of student retention and success. It also ties to our learning community goals associated with healthy living. The case management process is being further enhanced through a planned investment of funds (approx. \$100 thousand in base) from the university strategic planning process.

## **Center for Civic Engagement/Faculty Engagement Fellows**

The Center for Civic Engagement (CCE) is a student affairs based program that, among other initiatives, promotes the adoption of service learning by faculty. It does so by providing both financial and administrative support to faculty willing to adopt service learning elements and by matching faculty interests with local community needs. This initiative aligns with the Road Map's support for both transformative learning community through the creation of HILE's and with goals related to advancing Binghamton's identity as an engaged university. The University's strategic planning process invested approximately \$165 thousand in base support for the CCE.

## **Career Services Internship Program**

The Fleishman Center for Career and Professional Development is a student affairs program that collaborates with a faculty-led committee to provide for-credit internships to an increasing number of students. Career program sponsored internships have both a field component (a placement at a work or research site) and a classroom component. The program served 779 students in 2014-15. This initiative aligns with the Road Map's support for the creation of a transformative learning community through the creation of HILE's. The Road Map planning process has provided two rounds of investment in the career services program in the total amount of approximately \$220 thousand.

## **Faculty-in-Residence**

The office of the provost and the vice president for student affairs provide support to place faculty within the fabric of student residential communities in multiple ways. A long-standing program provides a "collegiate professor" for each residential community. More recently, as a by-product of on-going collaboration around efforts to provide more faculty-student interaction outside the classroom, a "faculty in residence" program has been added to the existing faculty master program to provide an additional avenue for faculty involvement in the residential communities. Faculty-in-Residence do not physically live in the residential community but become engaged in the life of their assigned community and receive programming funds to advance thematic thrusts associated with their community of affiliation.

## **Emerging Programs**

### **B-Healthy**

The University has a research emphasis in health sciences fields and anticipates additional strategic growth in these academic and research areas. Student Affairs has, as a central strategy, the promotion of healthy living among students. Binghamton has created a health promotion initiative that currently brings together faculty from the health/wellness unit of DSON with student affairs practitioners in health, counseling and recreation. Branded as B-Healthy, the group has spearheaded nutritional programs, involvement in physical activity and understanding of health risks associated with various high incidence student behaviors. Their work has already earned Binghamton recognition as one of the "top 25 healthiest campuses" by one ratings agency. The program aims at expanding its breadth through cultivating additional faculty-staff connections in allied health related fields.

## **Programs in Development**

### **Binghamton Pathways**

Binghamton pathways is a collaboration aimed at more intentionally linking a student's co-curricular and extracurricular involvements into broad themes that would provide students with depth in particular skills. For example, a pathway might provide a student with a set of experiences that would provide depth in internationalization, or in civic engagement. Binghamton pathways was developed by a committee of faculty and staff and is currently piloted in our scholars program. This initiative aligns with the Road Map's support for the creation of a transformative learning community through the creation of HILE's. The Road Map process has provided an investment to support this initiative of approximately \$50 thousand to support personnel time and software.

## **Binghamton Plus**

The Binghamton Plus program is a proposed initiative to create a special track masters program (the Master of Arts in Applied Liberal Studies) that would provide a mix of traditional masters work in a discipline, internship/job experiences and distance education. It is a collaborative venture between the Graduate School and the Career Services unit of the Division of Student Affairs. A curriculum proposal has been submitted for SUNY review. This initiative aligns with the Road Map's support for the creation of a transformative learning community through the creation of HILE's.

The above list of programs and initiatives is not an exhaustive list of student affairs and academic affairs collaboration, but is representative of the depth of that collaboration, the degree to which that collaboration is directly connected to the Road Map plan and the strength of the University's commitment to advancing academic and student affairs partnerships through new strategic investments.

## **Recommendation #15**

**Continue the Campus' Global Initiatives. Continue emphasis at program level and in traditional study abroad, develop international research partnerships at the institutional level, and develop an international alumni network. (Reference section 1, page 20; section 3, page 7; section 4, page 17 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.**

### **Continue the Campus Global Initiatives**

Binghamton University remains committed to a comprehensive approach to its global engagement and the internationalization of the University. Broad indicators of that effort are the number of international partnerships we establish, the number of students who study abroad, and the number of international students.

The number of international partnerships has grown substantially just in the last two years. Currently, Binghamton University has 74 partnerships in 26 countries. In the study abroad area, we had 13 percent growth in study abroad participation for 2013-2014 and we plan to continue that growth while paying attention to the quality of the experiences and diversifying opportunities.

With more than 3,000 international students from 115 different countries, Binghamton University's campus is rich with different cultures and perspectives. As the international student cohorts increase, we are investing in support services by strengthening the English-as-a-Second Language program, targeting academic advising for these students, and providing increased support in the Office of International Student and Scholar Services.

### **Continue the Campus Global Initiatives...at program level**

Recognizing the importance of global initiatives and international learning for student development, Binghamton University added new foreign language courses to already extensive course offerings in foreign languages. With the addition of Turkish and Persian, Binghamton University offers 16 different foreign language options to students. In addition to new foreign language courses, Binghamton University enhanced its strength in foreign languages by increasing the number of students studying Chinese and Arabic. Between fall 2010 and fall 2014, the number of students studying Chinese increased by 18 percent. Similarly, the number of students studying Arabic increased by 38 percent between fall 2010 and fall 2014.

The new Center for Israel Studies at Binghamton University will offer research, programming, study-abroad and learning opportunities for undergraduate students, graduate students and faculty members. The University has also received a multi-year grant from the Israel Institute in Washington, D.C., to enable the hiring of three tenure-track professors in the Judaic Studies Department who will work with center-affiliated faculty members in departments such as history and philosophy. The center will also cooperate with the Middle East and North African (MENA) program.

Founded in 2012 as an independent, nonpartisan organization, the Israel Institute partners with academic and cultural institutions to enhance the knowledge and study of Israel around the world. The Israel Institute typically assists schools on graduate-student projects. Binghamton University, however, is one of the Israel Institute's first academic partnerships that stresses undergraduate education. A minor and courses in Israel studies that focuses on undergraduate education began in the 2015-16 academic year.

In addition, the new Chinese Studies program offers students a diverse curriculum centered on Chinese language, literature, culture and society. Its rigorous language curriculum stresses verbal and textual mastery, cultural competency, and includes courses in Chinese linguistics and language pedagogy. Content courses explore both ancient and modern Chinese literature, visual arts, society, history, philosophy, and economics. The Chinese Studies faculty stress both global/transnational perspectives and area/regional knowledge and linguistic skills, in order to best prepare students for a broad spectrum of future educational and career goals and opportunities.

In support of the Chinese Studies program, the Libraries and Confucius Institute of Chinese Opera partnered to create the new Chinese Cultural Experience Center in Bartle Library. Faculty and lecturers bring their students to explore various aspects of Chinese culture through an interactive display and a book exhibit.

The Global Studies Minor (GSM) is a multi-disciplinary program where students can investigate cross-cultural experiences to help them better understand international, regional, and global issues. The GSM is open to all undergraduate students who want to increase their intercultural competencies and add a global dimension to their program of study. In the past the GSM program was open only to domestic students, but with recent modifications, international students can complete the minor as well.

The GSM courses foster a self-critical perspective on the study abroad/intercultural experience; promote students' reflective-analysis so they may better understand their own cultural values and behaviors, and the various ways these may be interpreted by members of other cultures; connect students intercultural experiences abroad to their academic area of expertise; and encourage investigation into the ways scholarship has been used to achieve understandings of international, regional and global issues.

The Languages Across the Curriculum (LxC) program at Binghamton University continues to be innovative in its approaches. LxC incorporates language and cultural knowledge into discipline-specific study and research. Further, LxC fosters, maintains and enriches the language abilities of all students (native and non-native speakers).

### **Continue emphasis on traditional study abroad**

Given that increased access to study abroad is a strategic Road Map priority, and we are tracking our achievements in WEAVE™, we had 13 percent growth in study abroad participation for 2013-2014. We plan to continue that growth while paying attention to the quality of the experience and diversifying opportunities.

Several existing faculty-led programs have become more diverse through efforts to make them increasingly interdisciplinary. This leads to cross-departmental collaboration and increased access to students studying varying subjects.

Several new faculty-led programs have also been developed to diversify our Binghamton program offerings. These are represented by new collaborations with faculty in the disciplines of engineering, comparative literature, romance languages, social work, and Africana studies. The programs have added diversity both via academic content and in geographic locations.

We will offer programs for the first time ever in the countries of Malawi and Canada. The program to Malawi also represents an expansion of our service-learning program opportunities for students. A new partnership with Lorenzo de Medici in Italy also now provides a variety of additional direct enrollment program options for our students across a range of disciplines.

While increasing program offerings, increasing access and inclusivity at the same time is crucial. Binghamton established a new study abroad scholarship program: The Myers Family Scholarship aimed specifically to provide funding to underrepresented students in study abroad. This includes but is not limited to: first generation students, low income students, students who are members of minority communities in the U.S., non-traditional students, STEM majors, and veterans.

Several offices across campus are collaborating together to implement additional efforts to increase access to diverse students and secure additional funding opportunities. The Office of International Programs collected baseline data of student demographics in order to continually measure progress towards increased access for underrepresented students in study abroad.

### **Develop international research partnerships at the institutional level**

Binghamton University's growing international presence now includes partnerships with multiple universities in India, due to efforts by the Thomas J. Watson School of Engineering and Applied Science at a number of levels. Due to the new partnerships in India, the University has a self-supporting Binghamton University-Vishwakarma Institute of Technology (VIT) research center in Pune that works with industry in that area and that has given our faculty the opportunity to work with leading industries there. Similarly, Harpur College of Arts and Sciences is beginning to explore such collaborations in Jordan, Turkey, and Germany.

### **International alumni network**

Alumni play an important role in the University's efforts to further internationalize partnerships around the world. Our alumni played key roles in the establishment of our study abroad programs in Peru, Chile and Turkey. As an example, Dahlia Rissman Graham '06 is president and founder of Corazón de Dahlia, a nonprofit organization that promotes education and community development in Saylla, a small town in the Andes Mountains of Peru.

Alumni have been instrumental in making connections in India for the the Thomas J. Watson School of Engineering and Applied Science. One of Binghamton University's alums, Sandeep Tonapi, MS '98, PhD '01, helped the University with the logistics and was instrumental in setting up the relationship with VIT Pune.

To strengthen the international alumni network, the University organizes receptions for alumni in different parts of the world. Provost Donald Nieman hosted alumni events in Turkey and China which brought together international alumni and newly admitted students in Istanbul and in Shanghai. Similarly, deans of various schools held alumni events in India, China, and Turkey. Alumni play a crucial role as Enrollment Management develops new strategies for international recruitment in various countries.

The Binghamton University Alumni Association and Center for Civic Engagement sponsored the first Alumni Global Day of Service on the weekend of April 18, 2015. Fifty alumni stepped forward to lead community service projects in their respective communities around the world and nearly 400 alumni volunteered their time in support of these projects. This new initiative will help strengthen Binghamton University's international alumni network by providing them with an opportunity to assist their communities around the world.

## **Recommendation #16**

***Continue Initiatives to Establish Binghamton's Leadership as a "Green" Campus. Continue commitment to build to LEED standards; further develop focus on energy-related research and sustainability. (Reference section 1, page 20; section 3, page 7; section 4, page 11 of Binghamton University's 2010 Self Study: Distinguished Past, Innovative Future.***

Physical Facilities plays a major role in sustainability initiatives through management of the campus energy infrastructure, a robust resource management program and adherence to LEED standards in construction and renovation of facilities. Binghamton University has been recognized by New York Power Authority as the Highest Performing SUNY Campus in Energy Efficiency.

All new construction or major renovation projects are built to LEED Silver standards or beyond. The University currently has 12 LEED certified buildings. The Engineering and Science Building is only the third building in the SUNY system to achieve LEED Platinum status. In 2011, *The Engineering News Record* named the building its top "Green Project of the Year in the New York Region" in its annual competition. In 2013, the University was awarded a High Performance Energy Efficiency award from the New York State Energy Research and Development Authority for the construction of the Engineering and Science Building.

In 2006 the University established a revolving fund to invest in projects aimed at reducing energy and water consumption. Since then, \$7 million has been invested resulting in \$10.5 million in savings. Projects include campus-wide lighting upgrades, installation of occupancy sensors and LED exit and street lights, boiler control upgrades, free cooling, installation of roof-top solar arrays and a preventive maintenance program that insures regular replacement of items such as equipment air filters which improves air quality and reduces electricity consumption. In addition, the school is in the process of converting the Central Heating Plant to a biomass facility with natural gas to supplement heat input as needed.

The University monitors and manages building energy use with a sophisticated 100,000 point Energy Management System. Mechanical, electrical and lighting systems can be programmed in accordance with how the facility is used thereby conserving energy.

Through Operation Green Space we're pulling up the pavement and putting in the green — more than 2 acres of it. Since its implementation, this initiative has transformed approximately 91,165 square feet of formerly paved areas on campus into green space, including the planting of Canadian cherry, maple and flowering pear trees.

Binghamton University's janitorial staff uses environmentally friendly, nontoxic, biodegradable cleaners and electric hand dryers have replaced paper towels in all restrooms on campus.

A comprehensive, student-operated resource management program has a track record of continuous improvements in waste reduction, recycling and composting rates. Each year, the Office of Recycling and Resource Management organizes move-out week, collecting unwanted food and clothing when students leave campus after spring semester. Bins are placed in all residential communities so students can donate items they don't plan to take home. In one year alone the program collected and then donated 1.7 tons of sealed food. Hundreds of recycling receptacles are located across campus both in buildings and outdoors. Composting programs are underway in dining halls collecting about 2,000 pounds of

compostable food waste per day during the spring and fall semesters. Students manage an organic garden demonstration project.

## Section 3

# NARRATIVE IDENTIFYING MAJOR CHALLENGES AND OPPORTUNITIES

## Narrative identifying major challenges and/or opportunities

Binghamton University's NY SUNY 2020 plan, approved by the state in 2012, promised to increase student enrollment by 2,000 students between 2011 and 2017. Coupled with capital funding for a new smart energy research facility, modest increases in tuition, and the state's commitment to maintain its existing fiscal support, the plan provided an opportunity to increase financial resources, hire additional faculty and staff, invest in programs, and enhance the quality of teaching and research.

To guide the University as it embarked on a significant period of growth—and the challenges and opportunities growth entails—the president initiated development of a strategic plan, Road Map to Premier, which was released in April 2013. The Road Map guides Binghamton University's efforts to manage growth in a manner that will enhance its strength and standing as a research university while maintaining its longstanding excellence in undergraduate education.

Creating the Road Map presented an opportunity to engage the campus in the process of managing growth to achieve strategic objectives. The document was produced with broad community involvement: almost 400 faculty, staff, students, alumni and community members participated in the nine teams that developed the document. In the three years since the Road Map was released, a broad-based steering committee composed of 40 senior leaders, faculty, and staff has monitored progress in achieving Road Map goals. The president and provost have issued annual Requests For Proposals (RFPs) to the campus community for funding projects to advance the Road Map's strategic priorities, and vice presidents, the Steering Committee, and the Faculty Senate Budget Review Committee have prioritized proposals and selected those that were funded. This approach has led to broad awareness of and support for Road Map priorities, a nimble approach to achieving its goals, and strategic use of campus resources to advance Road Map priorities. In these ways, our unique strategic planning process has helped us adapt to changing circumstances while seizing the opportunities presented by growth.

Increasing diversity and promoting inclusion are challenges facing every university, including Binghamton. The Road Map identifies fostering a diverse and inclusive campus culture as one of our five strategic priorities. As we have grown during the past four years, we have seized opportunities to make significant progress in this area. We have appointed a chief diversity officer, created a Division of Equity, Diversity, and Inclusion, and appointed diversity officers in each of the University's other divisions. These investments have focused attention on diversity and inclusion and helped the campus achieve promising results. Enrollment of underrepresented minority students has increased by 34 percent since 2010 (compared with overall enrollment growth of 13 percent). Among tenure track faculty, underrepresented minorities have increased by 42 percent since 2010 (compared with an overall increase of 25 percent).

Binghamton University has significant opportunities to pursue enrollment growth while maintaining its longstanding commitment to academic excellence. It has a strong reputation as an elite public university that is reinforced by its position in rankings by such prominent publications as *U.S. News & World Report*, *Kiplinger's*, *Fiske's Guide*, and *Princeton Review*, among others. Binghamton's reputation for excellence, combined with its affordable tuition, makes it an outstanding educational value for top high school graduates. Freshman applications have grown steadily in the past decade, reaching almost 31,000 (for 2,500 spots in the freshman class) in 2015. This robust pool of highly competitive students has allowed Binghamton to increase undergraduate enrollment by approximately 12 percent since 2010 while maintaining the academic quality of the students who enroll.

With undergraduate enrollment at just under 14,000 students in fall 2015, Binghamton is approaching its undergraduate enrollment target. As the number of high school graduates in the northeast continues to

decline, however, Binghamton must continue to develop new approaches to expanding its applicant pool and yielding admitted students if it is to maintain current enrollment levels and academic quality. The systems put in place to recruit top students during this recent period of growth will help Binghamton meet this challenge.

While Binghamton is a highly selective university, it prides itself on providing access to members of underrepresented groups and students from economically disadvantaged families. In fall 2015, 16.4 percent of Binghamton students were underrepresented minorities, 28 percent were Pell-eligible, and 22.5 percent were the first in their families to attend college. As the cost of attendance has increased, albeit moderately since 2011, the financial challenges faced by students from low and moderate-income families have also increased, with implications for their academic success. Binghamton has allocated 25 percent of the revenue generated by increasing tuition to student support and used a significant portion of these funds to increase resources available to low-income students through the Tuition Assistance Program (TAP). It has also increased efforts to increase financial assistance to students through private fundraising and has enjoyed some success, as student support from the Binghamton University Foundation has increased by 105 percent in the past decade. Nevertheless, the financial hardship faced by students from families with incomes from \$40 thousand to \$80 thousand is becoming increasingly acute and poses a challenge to these students and the University, as it seeks to provide the financial assistance necessary to allow them to complete their degrees.

With a six-year graduation rate of 81 percent, Binghamton prides itself on its efforts to assure student success. Because its graduation rate is already so high, increasing it will be challenging. Nevertheless, the University sees opportunities to do so, thereby serving students and society even more effectively. It has developed early intervention strategies for students in academic difficulty and programs to promote the success of transfer students; redesigned tutoring services and curricula in critical gateway courses such as calculus and general chemistry; expanded academic advising services; and invested in the Center for Learning and Teaching (CLT) to promote student-centered pedagogies. These strategies will enable Binghamton University to increase its first-to-second-year retention rate from 91 percent to 93 percent and its six year graduation rate to 83 percent by 2020.

With a strong reputation for excellent graduate education at the masters and doctoral levels, Binghamton also has opportunities to increase enrollment in its graduate programs. Significant growth in faculty and externally funded research create opportunities for increasing doctoral enrollment, and student demand for professional masters degrees offers opportunities to add masters students. Since 2011, graduate enrollment has increased by 537, an increase of 18.6 percent.

Additional opportunities for increasing graduate enrollment remain. Many existing programs have additional capacity, and new programs such as sustainable communities, public archaeology, applied statistics, teaching English as a second language, data analytics, and the master of arts in applied liberal studies have the potential to generate significant enrollments. While Binghamton does not have a medical school, it has strong partnerships with local hospitals and a variety of excellent programs in the health sciences, an area where the demand for masters and doctoral graduates will continue to grow in the coming years. A new School of Pharmacy and Pharmaceutical Sciences, scheduled to welcome its first class in August 2017, will add 360 PharmD and 40 PhD students. The school's site in Johnson City, about two miles from campus and adjacent to Wilson Hospital, offers the opportunity to develop a health sciences campus with graduate programs offering entrée to other high-demand health professions. In December 2015, the Southern Tier was one of three regions to win awards of \$500 million from New York state, including over \$30 million to facilitate growth of the health science campus. The University's intention is to increase graduate enrollment to 6,000 students in the next decade, altering its undergraduate to graduate student ratio from 5:1 to 3:1.

Enrollment growth has enabled Binghamton to hire 115 net new tenure-track faculty since 2011. This has posed a number of challenges for the campus: hiring faculty who share the campus's commitment to excellence in teaching and research; increasing the number of classrooms and labs necessary to accommodate additional students and faculty; adding additional library collections in new areas of research; and providing competitive start-up packages and salaries to a large number of faculty. In the coming years, Binghamton will face challenges in providing mentoring and support systems that will enable new faculty to succeed.

Adding new faculty has also provided significant opportunities. New faculty have brought with them energy and new approaches to teaching and research that will strengthen the institution. This is reflected in new course offerings, interest in experimentation with new pedagogies such as the "flipped" classroom, and new academic programs such as sustainable communities, TESOL, and pharmacy. New faculty also provide opportunities to expand research and external funding. They helped spur, in a period in which federal support was diminishing, continued growth to the university in the area of externally sponsored programs; an increase of over 23 percent since 2011-12. After several years of declining research expenditures that resulted from the end of the American recovery and reinvestment act and federal earmarks as well as decreases in federal support for NSF and NIH, Binghamton witnessed a 12 percent increase in research expenditures in FY15. It expects that trend to continue in the coming years and research expenditures to reach \$50 million by 2020 as newly hired faculty hit their stride and develop collaborations with colleagues. A new school of pharmacy and pharmaceutical sciences will also create rich opportunities for research and collaboration with existing programs in the life sciences.

Increasingly, successful research programs demand collaboration across disciplines. The skills and perspectives of one discipline are rarely adequate to address large, complex issues that are at the forefront of scholarship. The growing demand for collaboration is often at odds with university cultures that are rooted in disciplines and the academic departments that represent them. Overcoming the inherent conservatism of disciplines to create a culture that embraces inter- and transdisciplinary collaboration is a major challenge facing most research universities, including Binghamton. However, robust faculty hiring, coupled with a historical openness to interdisciplinary research, has created opportunities to promote transdisciplinary collaboration at Binghamton. In 2013, a faculty committee appointed by the provost identified five broad research areas that address pressing social, cultural, scientific, technological and intellectual issues that can best be pursued by teams of faculty from multiple disciplines. These Transdisciplinary Areas of Excellence (TAEs) are guided by steering committees composed of faculty from a variety of disciplines who have a commitment to transdisciplinary research. The steering committees have played an important role in defining new positions and participating in faculty searches. In the past three years, 71 new faculty have been hired as part of the TAEs. Together with more than 100 existing faculty who have affiliated with the TAEs, these new hires have created a critical mass of new faculty who are open to transdisciplinary collaborations and who are changing the research culture at Binghamton.

## Section 4

# ENROLLMENT AND FINANCE TRENDS AND PROJECTIONS

## ENROLLMENT AND FINANCE

### Enrollment Trends and Projections

The Road Map calls for judicious growth for Binghamton University – first increasing undergraduate enrollment to 14,000 students and then selectively increasing graduate enrollment, especially at the doctoral level, to enhance our scholarly and research activity. We have been successful in meeting our goals every year and with the creation of the School of Pharmacy and Pharmaceutical Sciences – the first cohort of students will enter in fall 2017 – we will enter the final stage of achieving our steady state enrollment. This table demonstrates the progression toward meeting our goals.

Actual Enrollment	Fall 2012	Fall 2013	Fall 2014	Fall 2015
<b>UG</b>	12,356	12,997	13,412	13,491
<b>GD</b>	2,952	3,080	3,283	3,422
<b>Total</b>	<b>15,308</b>	<b>16,077</b>	<b>16,694</b>	<b>16,913</b>

Similarly, our projections for the next three years demonstrate judicious and prudent planning.

Projected Headcount	Fall 2016	Fall 2017	Fall 2018
<b>UG</b>	13,592	13,671	13,721
<b>GD</b>	3,669	3,942	4,167
<b>Total</b>	<b>17,261</b>	<b>17,613</b>	<b>17,888</b>

## **Finance Trends and Projections**

### **Background**

Binghamton University does not issue financial statements as the State University of New York (SUNY) System Administration compiles financial information for each campus using the SUNY Financial System that it maintains. SUNY then publishes aggregate SUNY audited financial statements and management letters each year. (For audited SUNY financial statements and management letters for the 2012-13, 2013-14, and 2014-15 fiscal years, please see Appendices 4.1, 4.2 and 4.3). This information is provided by SUNY to the Office of the New York State Comptroller (OSC) for inclusion in the New York state financial statements which are audited by an independent external accounting firm.

As Integrated Postsecondary Education Data Systems (IPEDS) information is useful for reviewing the University's revenue, expenses, assets and liabilities, (Appendices 4.4, 4.5, 4.6 and 4.7) containing the last four years of campus IPEDS financial reports is included.

In addition to the IPEDS reports, the University maintains detailed financial information for the funds over which it has allocation and expenditure control and uses that information to make management decisions and plan strategically.

The University financial chart of accounts and funds arise from the funding categories and financial framework of the SUNY system and as mandated by OSC and the NYS Division of the Budget. These funds include state aid, tuition and fees, and special revenue funds (Income Fund Reimbursable, SUTRA and Dormitory Income Fund.) Each of these funds and related accounts are administered under applicable New York state and SUNY rules and regulations. The University is also supported by related not-for profit entities that support the University mission. These include the Research Foundation for SUNY (Sponsored Research) and the Binghamton University Foundation (Endowment, Gifts.)

## Operating Revenue and Expenditures

Binghamton University revenue, as noted in Table 4a below, reflects a consistent and steady growth. While state support has remained flat, this growth in revenue is due to the increase in tuition and fee revenue from expanded enrollment and SUNY's 5-year rational tuition increases as part of the NY SUNY 2020 initiative that started in 2011. As can be seen from the table, tuition and fee revenue has increased by \$14.9 million in 2013 and \$12.3 million in 2014.

<b>Table 4a</b>			
<b>University Revenue Sources</b>			
	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>
<b>Operating Revenues</b>			
Tuition and Fees	\$86,271,121	\$101,218,329	\$113,510,741
Federal Operating Grants/Contracts	28,770,022	24,501,284	21,361,074
State Operating Grants/Contracts	2,927,106	1,703,918	2,628,164
Local/Private Grants/Contracts	23,896,986	23,342,215	28,347,962
Sales & Services of Auxiliary Enterprise:	80,798,580	89,022,504	96,650,389
Residence Halls	46,198,582	51,756,792	57,244,551
Food Service	19,630,018	20,698,825	21,698,293
Intercollegiate Athletics	5,224,031	6,376,748	6,134,883
Health Services	6,106,301	6,794,542	7,536,611
Parking	3,639,648	3,395,597	4,036,051
Subtotal Aux. Enterprises	80,798,580	89,022,504	96,650,389
Other Sources – Operating	3,537,165	3,199,290	4,255,508
<b>Total Operating Revenues</b>	<b>226,200,980</b>	<b>242,987,540</b>	<b>266,753,838</b>
<b>Non-Operating Revenues</b>			
State Appropriations			
Fringe Benefits (Pers serv *F/B rate)	65,647,552	73,068,682	81,791,333
Local Assistance Expenditures	0	0	50,232
State Purpose Activity	44,694,066	40,403,963	43,367,653
Banking Services	1,786,333	2,000,000	1,817,028
Fin. Stmt. Adj. for Equip. Shift	(584,846)	(1,308,363)	(660,835)
Ed Facility Debt Service Pmt.	29,042,428	25,412,673	28,066,713
Litigation Expense/Change in Accrual	0	(781,500)	0
Subtotal State Appropriations	140,585,533	138,795,455	154,432,124
Federal Non-Operating Grants	15,706,604	15,575,178	17,386,754
State Non-Operating Grants	11,834,865	12,633,888	13,477,972
Gifts	2,155,703	2,058,544	2,811,568
Investment Income	274,699	441,159	535,999
Other Non-Operating Revenues	1,692,113	701,554	2,475,156
<b>Total Non-Operating Revenues</b>	<b>172,249,517</b>	<b>170,205,778</b>	<b>191,119,573</b>
<b>Other Revenues and Additions</b>			
Capital Appropriations	0	0	38,251
Capital Gifts and Grants	1,007,776	10,346,595	10,322,811
Total Other Revenues and Additions	1,007,776	10,346,595	10,361,062
<b>TOTAL REVENUE &amp; ADDITIONS</b>	<b>\$399,458,273</b>	<b>\$423,539,913</b>	<b>\$468,234,473</b>

Source: IPEDS

Noted in Table 4b below are Binghamton University's expenditures for the past three years by program. Expenditure increases over this period are largely due to increased instructional funding towards academic instruction in line with our campus strategic plan, the rising cost of employee fringe benefits, increased auxiliary related expenditures due to the increase in enrollment, and campus construction and debt that included the completion of a new \$350 million student living complex consisting of eight new dormitories and a new collegiate center.

It is also worth noting the increase in student scholarship expenditures over the period as it reflects the University's efforts to attract and retain additional and highly qualified students as well as a reinvestment of a portion of the additional tuition revenues resulting from the NY SUNY 2020 initiative.

<b>Table 4b</b>			
<b>University Expenditures</b>			
	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>
Instruction	<b>\$129,837,920</b>	<b>\$135,099,820</b>	<b>\$142,255,898</b>
Academic Support:			
<b>Organized Activities</b>	18,156,603	19,626,977	21,855,864
<b>Libraries</b>	11,668,347	12,013,932	12,502,103
Subtotal Academic Activities	<b>29,824,950</b>	<b>31,640,909</b>	<b>34,357,967</b>
Research	<b>24,084,013</b>	<b>19,747,299</b>	<b>18,333,372</b>
Public Service	<b>5,837,908</b>	<b>6,047,542</b>	<b>6,029,718</b>
Student Services	<b>13,939,622</b>	<b>14,590,733</b>	<b>14,149,771</b>
Institutional Support:			
<b>General Institutional Support</b>	23,439,109	22,844,003	26,166,923
<b>General Administration</b>	12,237,710	13,371,967	13,754,914
Subtotal Institutional Support	<b>35,676,819</b>	<b>36,215,970</b>	<b>39,921,837</b>
Operation and Maintenance Plant	<b>27,712,285</b>	<b>29,310,722</b>	<b>33,450,253</b>
Construction Fund Operation & Maint.	<b>9,419,196</b>	<b>4,547,828</b>	<b>7,000,081</b>
Depreciation	<b>29,842,279</b>	<b>31,655,856</b>	<b>45,550,201</b>
Scholarship and Fellowships	<b>8,929,994</b>	<b>9,177,871</b>	<b>9,553,181</b>
Auxiliary Enterprises:			
<b>Residence Halls</b>	29,911,192	31,883,369	39,074,650
<b>Food Service</b>	23,649,059	22,448,436	26,628,800
<b>Auxiliary Other</b>	8,937,183	11,225,227	12,929,848
<b>Intercollegiate Athletics</b>	12,176,177	11,774,203	11,826,695
Subtotal Auxiliary Enterprises	<b>74,673,611</b>	<b>77,331,235</b>	<b>90,459,993</b>
Other Operating Expenses	<b>1,444,192</b>	<b>198,271</b>	<b>1,053,063</b>
Total Expenditures & Transfers	<b>391,222,789</b>	<b>395,564,056</b>	<b>442,115,335</b>
Interest Expense	21,134,867	24,874,254	32,583,542
Loss on Disposal of Plant	130,881	235,183	599,516
Unrealized Losses	0	1,746,873	0
Total Non-Operating Expenses	<b>21,265,748</b>	<b>26,856,310</b>	<b>33,183,058</b>
<b>TOTAL EXPENSES &amp; DEDUCTIONS</b>	<b>\$412,488,537</b>	<b>\$422,420,366</b>	<b>\$475,298,393</b>

Source: IPEDS

## Capital Projects

The list below shows the major capital projects that have been implemented over the past three years as well as projects in production and planned per the University master plan.

Completed Projects		
Project	Completion Date	Total Cost
<b>Engineering &amp; Science</b> —State-of-the-art research facility with a clean room, photovoltaic array and anechoic chamber.	August 2013	\$66,000,000
<b>University Union Marketplace</b> – Conversion of a dining room and food court into twelve food venues for students, faculty and staff as well as space for student programming and special events.	December 2013	\$6,000,000
<b>University Union Phase 2</b> – Renovation to provide space for student programs such as EOP, CDC, TRIO, tutoring and other student support programs to be located in close proximity.	December 2013	\$12,000,000
<b>Old Whitney Hall Renovation</b> – Conversion of a residential hall to offices and teaching space for the Math Department.	March 2015	\$6,000,000
<b>Center of Excellence</b> – State-of-the-art research facility funded in large part with campus funding that features natural cooling with research space for START-UP NY partners and campus researchers.	June 2015	\$37,000,000
<b>Old O’Connor Johnson Renovation</b> – Renovation of a residential hall for faculty and staff offices including Geography, Binghamton Foundation & Advancement, and Alumni Lounge. Also created two floors of surge space to allow for the temporary relocation of faculty and staff during construction projects.	June 2015	\$22,000,000
<b>East Campus Housing</b> – Construction of eight new residential halls and a Collegiate Center that accommodate over 3,000 students and increasing campus available beds by 1,000.	October 2015	\$350,000,000
<b>Chemistry Teaching Lab Renovations</b> – Renovation of 14 chemistry teaching labs into state of the art facilities.	October 2015	\$5,000,000
<b>Dickinson Hall Renovation</b> – Renovation that converted a dining hall to a “one-stop” Admissions Center that includes Student Accounts, the Registrar, Financial Aid and other student related services.	September 2014	\$11,300,000

<b>In Production/Planned</b>		
<b>Project</b>	<b>Completion Date</b>	<b>Total Cost</b>
<b>Lecture Hall Student Wing</b> – Renovation of the Lecture Hall Student Wing that will create 19 additional classrooms equipped with wireless internet, up-to-date audio visual equipment and flexible classroom furniture to further enhance the learning environment.	August 2016	\$14,000,000
<b>Old Champlain Renovation &amp; Global Center</b> – Renovation of a residential hall for Harpur School Advising and several other programs to assist international students including creation of a Global Center and Korean Center.	October 2016	\$7,000,000
<b>Smart Energy Building SUNY2020</b> – The fourth building on the Innovations Technology Center site supporting research in Chemistry and Physics in a state of the art environment.	August 2017	\$70,000,000
<b>School of Pharmacy Construction</b> – Construction of a new School of Pharmacy in Johnson City, NY. The building will include classrooms, simulation labs and a research lab.	August 2018	\$60,000,000
<b>School of Nursing Construction</b> – Renovation of a vacated shoe factory building for the expansion of the School of Nursing to 48 Corliss Ave. in Johnson City, NY. The building will include classrooms, simulation labs and vivarium research labs and will be funded in part from a Regional Economic Development grant.	August 2018	\$32,000,000

## **Operating Budget & Projections**

Binghamton University President Harvey Stenger instituted the Road Map process in the spring of 2012 to formulate the strategic plan for the University for the next 5 to 20 years. Each year, campus constituents submit proposals for review by the Road Map Steering committee and the Faculty Senate Budget Review committee. Road Map proposals are for initiatives, innovations, and ideas to move the University ahead as part of the NY SUNY 2020 plan as well as promote the University's future growth, academic excellence, and operational excellence. The president and provost work with these groups to make decisions on the items that will receive funding and will become part of the new budget in the upcoming fiscal year. Items that are selected for implementation will receive funding during the campus financial plan process.

This process has already proven to be efficient in enhancing the initiatives outlined in the Road Map as 2012-13 saw the first major wave of new student enrollment. Enrollment growth and faculty hiring continued throughout the 2014-15 year and enrollment has risen to close to 17,000 students during the 2015-16 year.

As fiscal year 2015-16 is the last year of the SUNY rational tuition plan, the program will require legislative action for it to be extended. SUNY System Administration and the SUNY campuses have

identified extension of the program as a legislative priority for the 2016-17 year. In addition, the campus has developed plans to increase student retention and out-of-state enrollment. Based on these facts and state authorized 2015-16 tuition rates, Table 4c below shows the University's latest projections for tuition revenue over the next four years.

<b>Table 4c</b>			
<b>Projected Year-to-Year Tuition Revenue</b>			
<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>
<b>\$144,248,800</b>	\$151,047,049	\$159,176,899	\$167,002,958

Along with the Binghamton Foundation and Binghamton Research Foundation, separate non-for-profit corporations designed to provide ancillary services to the University, this anticipated tuition revenue combined with expected stable base state support and other sources of revenue, will allow the University to fund the planned expenditure commitments for future years in accordance with the Road Map as illustrated in Table 4d below.

<b>Table 4d</b>					
<b>Binghamton University Financial Plan Summary</b>					
	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	
State resources					
Base resource	203,396,260	210,311,809	218,547,859	226,455,818	
One-time resource	296,900	-	-	-	
Tuition <sup>1</sup>	(8,069,800)	(8,388,100)	(8,388,100)	(8,388,100)	
Base allocation to units	(166,989,702)	(169,808,451)	(181,587,308)	(190,196,451)	
Base commitments and strategic initiatives	(20,830,575)	(25,725,544)	(23,967,472)	(26,066,605)	
One-time commitments	(7,803,083)	(6,389,715)	(4,604,979)	(1,804,662)	

<sup>1</sup>Tuition reimbursement not funded by state tax dollars and SUNY tuition credit as determined by HESC

## Section 5

# PROCESSES TO ASSESS INSTITUTIONAL EFFECTIVENESS AND STUDENT LEARNING

# ORGANIZED AND SUSTAINED PROCESSES TO ASSESS INSTITUTIONAL EFFECTIVENESS AND STUDENT LEARNING

## Background

Binghamton University has used assessment results for decades to inform planning and to improve institutional effectiveness. As a research university celebrating a half-century of doctoral education, Binghamton has a well-established culture valuing reflection, analysis, and the use of data to make informed decisions and improve outcomes. As a public institution, and one of only four doctoral-granting campuses in the 64-campus State University of New York system, Binghamton understands the need for accountability and the call for clear returns on the investment of public funds in higher education.

Assessment at Binghamton is grounded in the solid foundation of our overall mission and vision. In 2012, President Harvey Stenger brought a renewed focus on strategic thinking and a new strategic plan grounded in widespread discussion of our values. Under his leadership, a group of more than 400 faculty, staff, and students gathered in nine teams and worked through most of academic year 2012-13 to develop our new strategic plan, The Road Map to Premier. In the process, our mission was newly articulated: “Binghamton University is a premier public university dedicated to enriching the lives of people in the region, state, nation and world through discovery, creativity and education and to being enriched by partnerships with those communities.”

With our mission clear, the campus identified five strategic priorities; clear assessment metrics are established to measure our achievement of steps toward these five priorities. The documents developing the strategic plan explain that resources will target these five priorities, and that each project funded by Road Map investments will identify metrics for its success and assess its results through data analysis. The five priorities include:

- 1) path-breaking graduate education, research, scholarship, and creative activities that shape the world;
- 2) transformative learning community that prepares students for advanced education, careers and purposeful living;
- 3) a diverse and inclusive campus culture;
- 4) enhanced economic, social and cultural impact through engagement from the local to the global level;
- 5) optimized acquisition and allocation of human, technological, financial, and physical resources.

The strategic plan is available on the university website: <http://www.binghamton.edu/president/road-map/index.html>.

Each year, flexible funds in the campus budget are set aside for Road Map projects. Members of any campus constituency (faculty, staff, administrators, students) can submit proposals for a project that will advance one or more of the five priorities, with specific goals and measures. After broad input from faculty governance leaders and discussion of the merits of various projects, decisions among the Road Map proposals are made by steering committee members (consisting of faculty and administration) in yearly meetings.

The annual meetings to decide on Road Map funding establish a direct correlation between the investment of resources and the improvement of institutional effectiveness. The process insures that the initiatives selected for funding demonstrate clear and vital contributions to the university’s priorities.

Examples of funded projects include:

- Establishing a new school in the life sciences: this proposal called for a school of pharmacy to complement and expand the academic and research missions of the university. Road Map funding led to a faculty task force study, a letter of intent, a full proposal, and the hiring of a founding dean of the Binghamton School of Pharmacy and Pharmaceutical Sciences. Initial faculty and staff have been hired and plans are underway for the development of a curriculum and the construction of a new building, as well as other crucial steps to achieve pre-candidacy accreditation by 2017, when the first class of pharmacy students will be admitted.
- Expand graduate recruiting to increase the selectivity of enrolled doctoral students in all campus programs. This proposal called for increased marketing, more travel both domestic and international, and additional staff to accomplish these goals. The numbers of events attended show a positive increase: from 60 (2012) to 76 (2013) to 85 (2014), with trips to China and Brazil added in the latter year.
- Increase funding for doctoral students. Two proposals in different years added 20 additional funding positions for doctoral students, and added \$600 thousand from Road Map funds to the stipend budget in order to raise stipends to recruit the best applicants to doctoral programs. The additional positions have supported research and teaching, as well as the expansion of doctoral education. The funding for higher stipends, committed for new students beginning in fall 2016 and beyond, is anticipated to increase quality by enabling programs to compete for the best applicants in their pools.

### **Standard 7: Institutional Effectiveness**

Binghamton University's approach to assessment combines centralized support and data gathering with decentralized and campus-wide ownership of the assessment process. All aspects of the university are assessed, including each unit of every division; appropriately, units define their own mission, goals, and targets and develop their own assessment measures, using a combination of formative and summative approaches to assessment. Student learning outcomes are assessed within each academic unit, and student experiences are assessed at several levels by units within academic and student affairs. Institutional effectiveness is assessed within every division, with a focus on identifying areas that contribute most centrally to institutional effectiveness and areas where improvement is most desirable.

To coordinate data gathering across the diverse units of a large and complex organization, Binghamton purchased WEAVE™ online software. The program connects goals identified by each individual unit to the five strategic priorities of the Road Map, insuring that goals align both within and across divisions. The program also enables the Office of Institutional Research and Assessment to take the lead in organizing assessment initiatives and coordinating results. Within Academic Affairs, every academic program (undergraduate and graduate), as well as every administrative office leading and serving academic programs, has goals, objectives, targets and measures in WEAVE™ (Appendices 5.1, 5.2, 5.3 and 5.4).

### **Program and Institution: Interconnected Effectiveness**

#### **Program Reviews**

Like most research universities, Binghamton University has a long tradition of undertaking academic program reviews, typically every seven years. Program reviews assess undergraduate and graduate

academic programs, faculty productivity, doctoral graduates' placement and time to degree, outcomes and satisfaction of undergraduate majors, changes in numbers of students over time, faculty and student achievements in research or creative activities, opportunities for new developments in the programs, resources and challenges confronted by the programs. These reviews have for decades provided an opportunity for external faculty consultants to advise the program and the administration about both challenges and opportunities in our academic programs.

Like other universities, however, we found limitations in the program review process. First, we found that both the self-study done by the program and the report done by the outside evaluators often focused primarily on the need for additional resources. With an influx of additional faculty and assistantship support, many programs could establish stronger records; but we know that. We wanted program reviews, themselves costly, to provide a more rigorous and informative assessment, one that could yield positive change and help align the program's aspirations and achievements more closely with institutional goals.

In a series of discussions of the goals of the reviews in 2013, we made significant changes to the program review guidelines and process. The new guidelines include a far more detailed set of questions for self-study, to be supported by a broad set of data supplied to the program, and a more comprehensive report by the consultants about the quality of and opportunities for the program. We ask the external faculty consultants to provide "advice about the quality of what the unit does, how current resources are used, and how they might be used better to achieve the unit's aspirations."

The new guidelines are here:

<https://www.binghamton.edu/academics/provost/documents/guidelines-program-review-spring2013.pdf>.

To support an extensive self-study, we send data in advance from the Office of Institutional Research and Assessment regarding number of majors, student-faculty ratios, teaching and research productivity, and other measures of the program; from Academic Analytics regarding faculty productivity; from the Graduate School's Annual Report regarding student applicants, time to degree, graduations, and placements; and in some cases data from the appropriate dean's office. External reviewers spend two days on campus, meeting with faculty and students as well as administrators.

At the last stage of their campus visit, the consultants spend time in two exit meetings. The first includes campus leaders (the provost, the senior vice provost and chief financial officer, the vice provosts for undergraduate and graduate studies, the assistant provost for institutional research and effectiveness, the dean) and department leaders (the chair, the graduate director, the undergraduate director). The second meeting includes only the campus administrators and provides an opportunity for frank discussion with the faculty consultants about issues or concerns from either side. Within the next month, the consultants submit a report designed to advise the university and the program on potential and desirable improvements.

Program reviews after 2013 have provided far more useful information, advice, and evaluation of both successes and challenges than previous reviews. In one example, a previous review began with a "self-study" recycled from the one done seven years before and concluded with a focus limited to resources. A subsequent review raised questions about the delivery of required entry courses, the preparation of TAs to deliver these courses, the relationship of exams to material covered in the courses, and much more (see the section on calculus).

## **Contributions to Mission Meetings**

Most universities have program reviews; Binghamton University has also developed a relatively unique and highly effective approach to the assessment of program and institutional effectiveness. For at least fifteen years, the division of Academic Affairs has committed time and resources to high-level assessment meetings with every academic unit on campus. Called “contributions to mission” meetings, the conversations align program-level assessment, based on detailed data shared with the program, with institution-level goals and achievements.

These meetings occur more frequently than program reviews (about every three years) and provide an opportunity for follow-up or for exploration of newly emerging issues. The same leaders participate: the provost, the senior vice provost and chief financial officer, the vice provosts for undergraduate and graduate studies, the assistant provost for institutional research and effectiveness, the dean; and the chair, the graduate director, and the undergraduate director. The meetings are designed to share information about faculty productivity in teaching, research, and service and to provide the program with information about its own achievements in relation to national benchmarks. Data for these meetings is compiled from several sources, including the Office of Institutional Research and Assessment, the Graduate School Annual Report, the Research Foundation, the Delaware Study of Instructional Costs and Productivity, Academic Analytics, and individual Annual Faculty Reports.

In a unique set of reports, data from individual faculty members in the program, submitted in Annual Faculty Reports, is compiled and shared in reports that cover three years of data including information about publications, sections taught, credits generated, and independent work supervised. Though self-reported, the information provides a clear snapshot of current faculty productivity; gathered in four-year reports on each faculty member, the spreadsheets clearly indicate patterns of productivity in each department.

Other reports distributed at the meeting show trends over time in numbers of majors, graduate students, and courses taught. Binghamton data is compared with parallel programs that participate in the Delaware Study of Instructional Costs and Productivity (Appendix 2.8.2). Comparative charts make visible the sections and credit hours taught by faculty at Binghamton beside the averages taught nationally, and similarly the instructional cost per student credit hours locally and nationally. Other tables presented at these meetings display student FTEs and student/faculty ratios in the program over the past five years; faculty and staff FTEs over six years; numbers of majors and graduate students at each level, and numbers of degrees awarded over eight years; numbers of applications for graduate admission over five years and the geographic origins of applicants and enrolled students; attrition rates by entering cohort of graduate students, their average time to degree and average GRE scores.

The program’s “Detailed Assessment Report” (Appendices 5.1, 5.2, 5.3 and 5.4) of student learning outcomes for the latest year is also distributed and discussed. In this way, programs are able to reflect with administration on how well students are meeting the learning objectives.

Research data are also compiled and presented at these “contributions to mission” meetings. Data from the Research Foundation show total sponsored funds activity in the program over a five-year period. In all doctoral programs, data from Academic Analytics (Appendix 2.8.4) is also shared and discussed, including “Productivity Radar” data about the department’s comparison to national medians in grants, citations, articles, awards, and books. Using the “Faculty Counts” data, individual faculty in the doctoral program are compared to national quintile norms, making clear where the department’s most successful researchers are, where promotions might be appropriate, where assistant professors might need mentoring, and where program resources might be reallocated to support the success of research and teaching missions.

These “contributions to mission” meetings are designed to occur every three years; on average, 10-15 such meetings occur each academic year. Their goal is to enable conversations that assess the program’s overall effectiveness, seen in relationship to the institution’s goals. The meetings are typically frank discussions of challenges and opportunities as well as successes; they raise questions about ways to increase the program’s effectiveness and generate further dialogue and thought within the program.

At the same time, these meetings serve a crucial function in advancing institutional effectiveness: they are strategic, open conversations about unit-level goals in relation to institutional goals, and they allow direct exchange of ideas about evolving trends in the field, changes in faculty expertise, and adjustments in the goals. Programs discuss problems and challenges, the strategies they are using to achieve their goals, their resource wishes, their understanding of students’ learning in the program, and opportunities for growth and improvement. Each of these meetings aligns program-level goals with institutional goals and, starting with detailed discussions of about 50 pages of hard data, assesses the achievement of the goals at both levels.

We believe these unique and important “contributions to mission” meetings play a vital role in helping faculty and staff make good decisions about their programs, develop goals, curricular ideas, and plans that support and are supported by institutional priorities, invest program resources wisely, and stay current with new developments in the university. At the same time, they give university leaders a frequently updated knowledge of the issues, challenges and opportunities in the programs, and thereby a set of assessment results to inform planning and resource allocation decisions.

### **Institutional Improvement: Revising Calculus for Student Success**

An academic program review of the department of mathematical sciences was conducted in April, 2013; it found “a healthy department working at a high level.” During the exit interviews, the campus administrative leaders asked about “service teaching”: the lower division courses in calculus. Concerns had been expressed by students and program directors in fields where the understanding and application of calculus is required (especially engineering).

In particular, there was concern that students in Calculus I and Calculus II were failing, getting D’s, or withdrawing from the courses at rates that hindered their progress toward graduation. The DFW rates for engineering students in these two courses were close to 50%, and the external faculty consultants expressed concern, in April 2013, about the delivery of calculus education.

The department of mathematical sciences had explored efforts to improve the calculus offerings even before the external evaluation, experimenting with “flipped” classes, creating a calculus testing center, adding online homework, adding new initiatives to improve TA training, and making revisions to the curriculum in Calculus I and II. After the academic program review, the department received significant support from the provost, the vice provosts for undergraduate and graduate studies, and the director of the Center for Learning and Teaching. The group consulted with outside experts in calculus education, identified through national organizations; it brought several experts to campus for meetings and presentations on Teaching Assistant development for effective calculus teaching, on the use of “flipped” classes in calculus, and on tutoring and software packages to improve placement and student success.

The following year, in a collaborative effort that included participation from the department of mathematical sciences, the Provost's office, and natural sciences faculty, we hired a new director of the calculus program. Building on “active learning” curricular innovations that had already been introduced at Binghamton University in a pilot calculus project, the first step in a more comprehensive revision of the calculus program was turning all Calculus 1 courses into “flipped” courses with an emphasis on active learning in the classroom. In addition, the calculus director met with all academic units that require

calculus for their programs, working with them to align calculus course sequencing and learning outcomes to be consistent with the skills and learning needed for student success in the associated programs. Extended tutoring and academic support services were added, and a substantially enhanced orientation was developed for all first-time teachers of the calculus course.

The second year of the revision process (2015-16) saw even more significant changes. Calculus 1 and Calculus 2 (4 credits each) were each divided into two 2-credit modules; an additional 2-credit course, Introduction to Calculus, was added to the curriculum as well. The advantages of the new modular system are significant:

- It allows for a more nuanced approach to placement: students who would formerly have met the minimum requirement for Calculus 1 are now placed in the Introduction course. Their chances for success are greatly enhanced by more suitable placement.
- It allows students who get into difficulty to quickly return to the sequence. If a student has difficulty passing the first half of Calculus 1, s/he can repeat the same course in the second half of the semester.
- It allows students who fall behind in the sequence to get back on track with a 2-credit winter session course and be back on pace with their cohort for the spring semester.

The new system was implemented with the first three modules in fall 2015. Freshmen took a placement test and were placed either into Introduction to Calculus (for students who brought minimal preparation for calculus), the first half of Calculus 1, or Calculus 2 (first taught in its modular form in spring 2016). The results have been very impressive: student learning in calculus, as measured by passing grades, has increased dramatically.

From a DFW rate that averaged more than 21.5 percent in Calculus 1 from 2008-14, the DFW rates were cut in half in fall 2015:

- in Introduction to Calculus, DFW rate was 10.6 percent;
- in Calculus 1, first half, DFW rate was 9.6 percent;
- in Calculus 1, second half, DFW rate was 9.5 percent.

The changes in Calculus 2 -- even before the new "modular" curriculum was first implemented in Spring 2016 -- have been equally impressive, thanks to the emphasis on active learning and the reconfigured approach to learning outcomes and assessment.

From a DFW rate that averaged more than 34 percent in Calculus 2 from 2008-14, the DFW rate was cut to just 14 percent in fall 2015.

The success of this initiative, which grew from a program review, has improved institutional effectiveness and touched all of the STEM disciplines on campus.

### **Institutional Improvement: Other Examples**

Data about faculty and student perceptions of effective teaching have led to new investments in resources for the CLT. A new state-of-the-art teaching lab ("the sandbox") allows teachers to experiment with new technologies in teaching. Workshop presentations encourage faculty to experiment with online components or system-linked dialogues with colleagues and classes at a distance.

Data about first year retention in 2014 showed that international students have higher levels of difficulty and drop-out-rates than other students, and suggested that some gateway courses are particularly difficult.

A new program was initiated to contact first-year students with marginal fall grades over winter break, to advise them about the possibility of altering their spring course selection, offer tutoring, and encourage them to return with more support systems in place. The director of CLT has been appointed to head university efforts to increase first year persistence and success; he coordinates work across Academic Affairs and Student Affairs for this purpose, working with a group to resolve problems and align support services.

Graduate School data analysis, together with program reports, showed that Binghamton's doctoral stipends had become increasingly non-competitive with our peer institutions, and that the disparities were largest in STEM fields. Campus Road Map funds have been dedicated, beginning in fall 2016, to remedying the disparities in all fields and to bringing stipends up to the 75<sup>th</sup> percentile of those offered by peer institutions over the next four years.

Data from the Campus Climate survey suggested a need for further investment in strategic priority 3, creating a diverse and inclusive campus culture. Road Map funds have been invested during 2014 and 2015 to adding diversity officers in each division, to adding staff in the Office of Diversity, Equity, and Inclusion, and to enriching the campus support offered by the Multicultural Resource Center.

#### **Standard 14: Student Learning Assessment**

Binghamton University relies on the effective assessment of student learning to achieve its strategic goals. Connections between student learning outcomes and strategic priorities 1 and 2 (graduate education and research; transformative learning communities) are obvious and vital. As a result, every academic unit has a plan and procedures for the assessment of student learning at both undergraduate and graduate levels. The assessment of student learning extends into the division of Student Affairs, where experiential learning is often transformative.

The links between student learning outcomes and institutional effectiveness are especially clear, however, in the Academic Affairs division, where this report will concentrate.

#### **General Education: Assessing Student Learning and Updating the Program**

Binghamton University has 11 requirements in an unusually rigorous general education program, with specific goals for student achievements in written and oral communication, foreign language, social science, global interdependencies, pluralism in the United States, natural science, mathematics, humanities, aesthetics, and physical activity/wellness.

A university-wide faculty committee designed an assessment procedure for the program in the 1990s: a selection of faculty teaching general education courses is contacted and given assistance to create a "course portfolio" of work submitted in the class, to include anonymous student work judged to exceed, meet, approach, and fail to meet the specific learning outcomes for the general education category. In addition to a syllabus and a description of how the course fulfills the general education requirement, each instructor submitting a portfolio is asked how many students in the course fell into each of the four categories and to write a reflective statement about strengths and weaknesses in student learning with regard to the specific learning outcomes.

Three general education categories are assessed each year, and several course portfolios from each of these categories are submitted to the University Undergraduate Curriculum Committee (UUCC) each semester. In compiling an overview of patterns within each category and identifying both successes and

areas for improvement, the UUCC assesses student learning outcomes of general education and reports to the Provost.

The Office of Institutional Research and Assessment prepared a recent analysis of critical thinking skills, which are interfused throughout general education coursework. They selected 80 sample papers (out of 172 submitted) for rubric-based assessments according to criteria developed by SUNY faculty senate processes. In a lengthy analysis, the report finds that students' overall performance in critical thinking is good (mean of 3.03 out of 4). The sub-area, "development of argument" scored highest (mean of 3.26), while the sub-area, "reasonableness of premises" scored lowest (mean of 2.84). Analysis shows that students who began at BU as freshmen scored better than transfer students; New York residents scored better than non-residents, seniors scored better than juniors, and students who lived on campus scored better than those who lived off-campus.

In addition to the assessment of students' learning in general education courses, the program itself has undergone repeated assessments of its various categories and their associated learning outcomes. As a result of findings over the two-decades of the program, the University Undergraduate Curriculum Committee (UUCC) has implemented several changes in recent years. In each case, the general education categories have been refined, clarified, updated, and made more rigorous and more helpful to students.

Composition courses: these writing-intensive courses feature an emphasis not just on effective writing skills but also on effective editing of early drafts. After noting that practice in some courses had effectively reduced the number of pages of original prose required of students, the UUCC undertook an extensive review of syllabi from recent Composition courses. As a result, they formulated and shared with the campus a revised set of guidelines that outlined a more rigorous approach to written work within Composition courses. The new guidelines were discussed across campus and then passed by faculty governance bodies.

Pluralism courses: as a result of ongoing assessment and campus feedback, the UUCC thoroughly revised the guidelines for pluralism courses to reflect current approaches to diversity and inclusiveness. The new guidelines allow for courses to examine several additional types of pluralism that were not previously included. The new guidelines were discussed across campus and then approved by faculty governance bodies.

Oral proficiency: in its regular review of general education objectives and guidelines, the UUCC discussed ways to make the oral proficiency requirement more relevant and useful for undergraduate students who will be entering a highly digitized professional work environment. As a result, the committee decided to allow one of the two required oral presentations to be made digitally (webinar, video, etc.) but opted to delay implementation until the University's CLT could provide recommended assessment rubrics and develop a support system for students who will need assistance in preparing for these new types of presentation opportunities.

Global interdependencies: these courses were designed to satisfy the SUNY requirement for a course in other world civilizations, but with a uniquely Binghamton world-systems focus on the inter-relationships between different parts of the globe across a span of history. Courses on imperialism and colonialism offered in some disciplines were envisioned as a valuable way to study the West's impact on the "other" cultures and vice versa. As the general education category evolved, the new definition of the G courses requires a focus on two distinct cultural regions, at least one (and possibly both) of which must be non-Western. The emphasis remains on the complex processes of cultural interaction and influence, but the revised and broader definition of these courses opens up a wider range of possible foci and combinations.

Information about general education learning outcomes, including revisions made to the program as a result of assessments over time, can be found here:

<http://www.binghamton.edu/general-education/information-faculty/gen-ed-guidelines.html>

## **Assessing and Updating Undergraduate Initiatives**

A task force on undergraduate education for the digital generation was constituted in fall 2009 and given a mandate to provide an outline for the University's future planning in undergraduate education. The task force was given a comprehensive, four-part charge: (i) to weigh the effectiveness of prior initiatives; (ii) to assess whether current educational programs continue to meet the broader educational objectives of the University; (iii) to identify the changing needs of our students and how/whether the educational infrastructure (technology, programs, initiatives, etc.) can be modified in accordance with such needs; and (iv) to examine major national trends in higher education and the extent to which the undergraduate experience at Binghamton University meets, exceeds or falls short of such trends.

In short, the mandate was to undertake comprehensive assessment of the University's existing undergraduate initiatives while also assessing national trends, opportunities and challenges, and to recommend updated and vital new initiatives.

From the outset, the task force determined to recognize and productively engage the University's existing core strengths, academic culture and traditions while supporting the University's aspirations for the future. It recognized that as the University has increased in size and diversified its undergraduate offerings, placed more emphasis on graduate education and worked to build a stronger reputation as a research institution, the nature of the undergraduate experience has evolved as well. Undergraduates gained more opportunities to participate in research, scholarship and creative work and to engage with professionals in their disciplines. But as the University's mission expanded, its historic core strengths in undergraduate education should remain fully supported. Continued excellence in undergraduate teaching and programs should remain a primary focus for the University.

To fulfill its mandate, the task force adopted a broadly collaborative approach, offering multiple opportunities for the entire campus community to participate in its work. This started with an examination of existing programs that had emerged from a previous task force study. After an environmental scan of national trends and opportunities, the task force also suggested new initiatives, consisting of a list of ten major ideas, which it sent out to the university for further input. A series of forums was scheduled, and surveys were distributed to all students, faculty and staff, along with a group of alumni who had volunteered to participate. Altogether, more than 2,600 responses were received.

In its final deliberations, the task force articulated a clear hierarchy of priorities within three broad categories: connecting students, challenging students and supporting students.

The first category, connecting students, included measures aimed at strengthening the advising and mentoring that students receive, helping them with the transition to Binghamton in their first semester and helping them to integrate living and learning within learning communities. The second category, challenging students, identified ways to increase opportunities for deeper, more intensive intellectual and personal challenges. This could happen through close faculty-student interaction in an undergraduate research or creative work project, through increased exposure to global issues and opportunities, or through a push to think — and act — more entrepreneurially. The third category, supporting students, focused on improving the undergraduate learning experience by developing new ways to recognize and reward outstanding faculty engagement with undergraduates and by seeking efficiency and facilitating innovative thinking throughout the institution.

Two recommendations emerged as immediate and overwhelming priorities for all campus constituencies:

- strengthening advising/mentoring opportunities, and
- creation of a structure to strengthen undergraduate research, scholarship and creative activities.

The task force recommended immediate action on these two initiatives while also recommending that the other new programs be implemented as resources and opportunities permitted.

The following sections will focus on the University's implementation of the two primary recommendations (advising and undergraduate research/creative activities), but implementation of several lower priority recommendations has also taken place.

- **Connecting students:** Five new Learning Communities have been established in the University's residential colleges to expand opportunities for living/ learning engagement based on academic interests.
- **Challenging students:** Entrepreneurial support for students has been established within the Division of Research, and an Entrepreneurial Learning Community has been started.
- **Supporting students:** An enhanced CLT was developed to strengthen support for teaching, as well as mentoring support for students. One of its specific objectives was to support faculty who take the time to enhance their teaching skills.

## **Supporting undergraduate research**

The Undergraduate Research Center (URC) was created in fall 2012 to encourage, support, and acknowledge undergraduate research, scholarship, and creative activity in all disciplines. Many of the Center's programs address the need to foster a culture of undergraduate research in the fine arts, humanities, and social science disciplines. The URC conducts workshops that introduce freshmen and sophomores to research in their discipline, and it facilitates research "support groups" for advanced undergraduates from the same or related disciplines.

Another URC initiative is the Summer Scholars and Artists Program, begun in 2012 with only two undergraduates, which supported 20 students in 2015. The program provides a stipend supporting students to conduct eight weeks of full-time primary research or creative activity with guidance from faculty mentors.

In fall 2013, the URC created the undergraduate conference travel fund, which has helped 61 students attend professional meetings across the country to present their research as first or second author.

In fall 2014, the URC developed an online database, Campus Research Opportunity Postings (CROP). Faculty and advanced graduate students are able to post opportunities for undergraduates to assist them in research, scholarly or creative activity. Staff have also shared information on opportunities external to Binghamton University for students to participate in summer and post-graduation research.

The inaugural issue of *Alpenglow: Binghamton University Journal of Undergraduate Research and Creative Activity* appeared in spring 2015. This online journal showcases the breadth and quality of undergraduates' work. Multiple formats, including research articles, visual art, audios and videos, poetry and prose from all disciplines appears in this annual journal.

In 2012 two awards were created to acknowledge students and faculty involved in undergraduate research endeavors: the Provost's Award for Excellence in Undergraduate Research and the Provost's Award for Faculty Excellence in Undergraduate Research Mentoring.

In 2014-15, the University established a STEM Freshman Research Immersion program (FRI) consisting of a three-course sequence in research. This research experience includes five elements of authentic research:

- engaging students in scientific practices;
- emphasizing collaboration;
- examining important topics;
- exploring questions with unknown answers to expose students to the process of scientific discovery; and
- performing research that builds on itself over the three courses.

The program includes opportunities for research in several fields: biofilms (microbiology), biomedical chemistry, image-and-acoustics signals (computer science-computer engineering), Neuroscience, and smart energy (chemistry-physics). Each year, each of these research streams has admitted about 30 students into the three-course-sequence; overall, about 200 students participate in the program in 2015-16. In 2016-17, three more streams will be added: biogeochemistry (environmental science), geospatial remote sensing (archeology, environmental studies, geology), and molecular & biomedical anthropology.

All of the research streams take students into areas of projected high job growth. To implement this program, Binghamton University invested \$3.5 million and obtained external funding (\$1.4 million from Howard Hughes Medical Institute and a total of \$925 thousand from New York's Regional Economic Development Council). To date, five laboratories have been renovated to support this undergraduate research program.

### **Improving advising and mentoring**

The university set out to improve advising and mentoring by providing additional resources for students, including both human and digital resources.

The digital resources include newly developed software that helps incoming freshmen gain familiarity with degree requirements, academic opportunities, and curricular pathways so that they will make better-informed decisions when choosing courses, including their first courses at orientation. The software and advising materials were rolled out for the first time in 2015.

Human resources were added in the form of additional advisers. The number of professional advisers has been increased in all three of the largest colleges, including the School of Management, the Watson School of Engineering and Applied Sciences, and Harpur College of Arts and Sciences. This has allowed schools to work more actively with students, especially students who need significant help to cope with challenges or to find the best way to meet degree requirements.

One of these initiatives has been developed in Harpur College of Arts and Sciences, the university's largest academic unit. Over the course of several years, Harpur Academic Advising made significant changes to both staffing and programming. Analysis by the Watson Institute for Systems Excellence (WISE) led to recommendations for improvements in advising. The study confirmed the need for additional staff and for revised processing of student visits.

With increased staffing in Harpur Academic Advising, advisors are now able to proactively reach out to all students on academic probation and to work individually with students on a plan for success. Advisors also offer workshops on study skills, note taking, and time management, and they make referrals to faculty, counseling and health services. These efforts have resulted in increased retention of at-risk students (an increase of 10 percent for at-risk students, fall 2015 against fall 2014) and increased

academic success (a decline of 12 percent in the number of students on probation as a result of grades, fall 2015 against fall 2014).

### **Assessment of Student Learning Outcomes in Academic Programs**

Every academic unit at Binghamton University is responsible for developing an appropriate assessment plan for student learning outcomes in each degree-granting program. All undergraduate and graduate programs have created these plans, which have been approved by the appropriate dean of the school. Deans are responsible for oversight and implementation of the assessment plan and for insuring that assessment results lead to academic program improvements. A recent (fall 2015) review of the assessment process across all schools and colleges at Binghamton revealed a complete set of plans, with goals, outcomes, targets and measures entered into the WEAVE™ online system.

The gathering and analysis of data from departmental assessments is at its most comprehensive in the professional schools, with impressive results and sustained use of these results to improve teaching and learning. Each of the professional programs at Binghamton is accredited by a national body that has required evidence of detailed assessment practices for years; as a result, professional programs have sustained cultures of assessment and experience using assessment data to identify and improve student learning.

Some examples will illustrate the ways Binghamton programs have successfully used assessment data to improve student learning.

### **School of Management**

In the AACSB-accredited School of Management, data is gathered each year by focus group discussions, dean's visit to key classes, and course-embedded assessments of learning. Focus group discussions have led directly to the redesign of some courses, the addition of sections to courses, and the development of new courses. For example, the school developed a class in business analytics for undergraduates, one in negotiations for MBA students, and one in forensic accounting for MS accounting students. Student input also led to a new policy allowing high-performing students in the accounting program to earn an additional concentration in another area, like finance or MIS.

Course-embedded assessment led faculty to evidence that students needed a better introduction to management. As a result, the faculty split an introductory undergraduate course into two, added an introduction to the resources available to students including career services and advising, and added a mentoring component pairing each freshman with an upper level student who provides professional as well as academic advice. At a more advanced level, the MBA course in statistics was revised to offer two levels, basic and advanced, to advance the statistical skills of all students, regardless of their initial knowledge and ability. MS in accounting courses were also revised: a new course in advanced accounting theory was developed, as well as two required courses in ethical and global issues in business and written and oral communications.

A new concentration in the MS in accounting was developed and has recently been approved by SUNY and the NY State Education Department. This concentration in Taxation was developed in response to student interest and employment demand.

## **Watson School of Engineering and Applied Science**

The ABET-accredited Watson School of Engineering and Applied Science practices continuous assessment and makes changes in every program every year. Each of the seven undergraduate programs housed in the schools have defined Program Educational Outcomes and Student Learning Outcomes; at a minimum, data for each metric for each SLO are obtained at least twice per 6-year ABET cycle, and data are reviewed annually by faculty.

Changes are made in every program each year. In biomedical engineering, for example, changes were made because of assessment results showing that students did not perform well in applying mathematical principles to solve equations. As a result, an assessment measure was added to a midterm exam to uncover any problems earlier, and the course text was changed to one that requires the use of mathematical techniques to solve bioengineering problems. The new text contains sample questions that involve using advanced mathematical techniques to obtain numerical solutions. With a revised course and text, the program aims to provide students with more experience in solving challenging real-world problems.

In industrial and systems engineering, student learning was improved in a required core course through several innovations. I-clickers were used to enhance student engagement in the large class; a week-long refresher on linear algebra was offered, and an undergraduate course assistant was added to hold discussions and tutor students. The result was a rise in one measure of student learning from .77 in spring 2011 to .90 in spring 2012.

At the graduate level, programs make changes to improve student learning outcomes as well. In one example, a required graduate course in computer science was revised when students did not demonstrate adequate understanding of data dependency and its effect on out-of-order processors. The course was revised to split up dependency resolution, renaming, and forwarding into different assignments, add emphasis in lectures, and reinforce the concepts with quizzes.

## **College of Community and Public Affairs**

All four units within CCPA have defined student learning outcomes, and all of them assess outcomes in order to make improvements. The two largest programs in the school, the public administration MPA (NASPAA accredited) and the social work MSW (CSWE accredited) have clearly defined accreditation standards that rely on assessment. The other two programs, Human Development and Student Affairs Administration, have developed similarly rigorous assessment standards and practices.

In the social work MSW, students sit for a licensure exam after completing the program, which set a goal of 90 percent pass-rates on the first attempt. In 2015, they achieved a pass-rate of 89 percent and have taken the following actions for the 2015-16 academic year as a result: more practice exam questions will be incorporated into all required MSW courses; exam prep courses will be offered twice a year for second-year MSW students. A previous portfolio project will be replaced with a newly designed capstone project for graduating students. The goal is to better incorporate measures of the 9 competencies and 49 practice behaviors required by the accrediting agency, CSWE.

The MPA program has identified five competency areas for students and designed a praxis course that assesses student performance in all five, with eighteen sub-areas. The program also requires a capstone project, presented publicly, that enables the assessment of students' competencies in all five areas. MPA faculty recently devoted a half-day retreat to discussion of the capstone project. As a result, they

redesigned the course to direct students toward more practical projects and to focus on professional preparation.

### **Graduate School of Education**

The TEAC accredited Graduate School of Education (TEAC has folded into what is now known as CAEP) specializes in the graduate-level preparation of teacher educators, school and district leaders, and other education professionals. The school offers over two dozen programs, each of them assessing student learning outcomes yearly. All of the programs use some common evaluation instruments, including the online “Professional Knowledge and Dispositions Survey” evaluating student teaching; the NYSTCE series of state tests measuring content knowledge and pedagogical competence; and SOOT surveys and exit surveys. The assessment of student learning outcomes relies most heavily on the first two of these.

Programs have regularly used data analysis of test results to improve their results. At the school level, pass rates on state tests have been low, state-wide; Binghamton students have regularly outperformed their SUNY counterparts on these exams. Analysis of the results is done with the goal of improving teacher preparation. At the program level, analysis of the Professional Knowledge and Dispositions Survey has helped to counsel individual student teachers in the classroom, as well as (rarely) counseling out student teachers who cannot improve. Similarly, the “edTPA” review required by NYSED for certification has been helpful in mentoring student teachers.

Program revision has also been generated by assessment results. Faculty in the literacy program developed a survey, aligned with the NYSTCE literacy content specialty test, to identify where students feel less confident about their knowledge. After a review of results, the faculty revised the literacy MSEd program, adding a new course to provide students with a foundational knowledge of literacy programs, data-driven planning, and literacy leadership.

### **Decker School of Nursing**

DSON has a strong self-evaluation process that feeds into their accreditation process with CCNE and New York state. Based on standards from the American Association of Colleges of Nursing (AACN), the Decker school assesses student learning in relation to national standards of care, competencies, and practice. One goal for nursing students is comprehensive clinical knowledge, for example, and its achievement is assessed through students’ grades in core and clinical nursing courses.

Programs within the school have regularly used data analysis to refine programs, including integrating nursing science into care for patients. In all of the nursing programs, the need to help graduates make connections between academic knowledge gained in coursework and its application in patient care has led to modifications in several courses.

### **Harpur College of Arts and Sciences**

The assessment of student learning outcomes is established as a practice in Harpur College of Arts and Sciences. Each academic program has objectives and procedures for the assessment of student learning at both undergraduate and graduate levels. Many departments followed in the footsteps of the general education assessment procedures and developed course portfolio assessments, with the collection, submission, and assessment of outcomes in selected courses required for the major at yearly intervals. The portfolios include faculty reflections on the strengths and weaknesses of learning in department courses, including those required for the major, and department subcommittees meet to assess the results.

### **An example: Economics**

An increasingly popular major with an accelerated BS/MA program, the economics program found a bottleneck that called for change. Data analysis revealed that students in the accelerated program wanted and needed courses in finance leading to practical and applied knowledge. At the same time, the program had relied on 3 finance courses offered in the School of Management, but AACSB accreditation rules limited enrollments well below interest and demand for the program. To incorporate better understanding of and experience with finance in the undergraduate courses, new faculty were hired in the field of financial economics, and the program was redesigned and renamed; it became a 64 credit BS in financial economic analysis. The master's degree has also been redesigned to incorporate this same field of practical analysis, and (once approved) it will be renamed an MA in financial economic analysis. In proposals currently making their way through the approval process, the accelerated program will combine these programs into an 88 credit accelerated degree program drawing on an updated curriculum to meet increasing student demand.

### **An example: Clinical Psychology**

The program in clinical psychology collects annual data and analyzes it in relation to student admissions, outcomes, and other measures. As a result of recent self-study analysis, the program initiated a wide-ranging review of its curriculum in the 2012-13 academic year and added three new courses dedicated to increasing broad coverage of the field. They added courses in human development, cognitive and affective bases of behavior, and supervision and consultation. To avoid increasing the overall number of required courses, they eliminated requirements for courses that are not required by APA or New York State. The program also moved the first course in which students learn formal therapy skills to the fall of the second year, so that students take it concurrently with their first clinic team experience.

### **An example: Chemistry**

The undergraduate program in chemistry gives a national standardized final exam in the capstone senior seminar, which is required for all majors regardless of their concentration. This "DUCK" exam, the American Chemical Society's "Diagnostic of Undergraduate Chemistry Knowledge," requires knowledge from more than one traditional area for all items and thus tests subject matter knowledge. National norms are published, and the program aims to have at least 50 percent of its graduating majors perform at the 50<sup>th</sup> percentile or higher. In 2013-14, 54 percent (33) performed at or above the 50<sup>th</sup> percentile. In 2014-15, 58 percent of the BS students, and 23 percent of the BA students performed at or above norms; overall, 47 percent of the graduating majors performed at or above norms. The department plans to monitor next year's results before making changes. Some additional support for subject matter knowledge in the BA track is likely to emerge.

### **Support for Assessment at Binghamton University**

At both graduate and undergraduate levels in all programs at Binghamton University, information regarding student learning outcomes is supplemented by institutional surveys, such as NSSE, the Campus Climate Survey, undergraduate and graduate student exit surveys, and data from the Office of Institutional Research and Assessment (OIRA) regarding student retention, graduation, and success. The Graduate School tracks and provides information regarding numbers of applicants, average test scores of students enrolled, selectivity of the program, time to degree of master's and doctoral graduates, and job placements of doctoral graduates. The university subscribes to Academic Analytics and shares data from its large database with faculty to assist in the evaluation of faculty productivity.

These and other supports at Binghamton make it easy to base decisions, from individual program improvements to large-scale planning, on data about effectiveness. The following list includes some of the resources we use on a regular basis for assessment.

### **Assessment Resources at Binghamton University**

Academic Analytics  
Academic Program Review  
Alumni Surveys, Graduate, Undergraduate, Student Athletes  
Annual Faculty Reports  
Assessment of Student Learning  
Binghamton Scholars Program Annual Report  
Campus Climate Survey  
COACHE  
Council of Graduate School Surveys and Analysis  
CUPA salary survey, faculty and staff  
Deans' Dashboards  
Delaware Study of Instructional Costs and Productivity  
Economic Impact Study  
Enrollment Budget Projections and Forecasting  
Faculty Teaching Analysis  
Faculty Scholarship Analysis  
Faculty Survey of Student Engagement  
Financial Aid Yield Analysis  
Forty Cell Matrix Study, student/ faculty ratios  
Freshman Survey  
General Education Assessment Reports  
Graduate School Annual Report:

- Applications, Selectivity
- Enrollment
- Test Scores
- Time to Degree, Masters and Doctoral
- Doctoral Job Placement

Higher Education Research Institute Survey, graduating seniors  
Identification of Students at Risk for Attrition  
Internal Audit/ Budget Control  
National Survey of Student Engagement  
Research Foundation:

- Grants and Contract Applications
- Awards
- Expenditures

Professional Accreditation  
Space Utilization Studies  
Student Evaluations of Teaching  
Student Exit Survey

- Undergraduate, by college
- Graduate, by college

Student Headcount Study  
Student Opinion Survey  
Study Abroad Program Surveys

Subsequent Enrollment Report, Graduate Applicants  
Tutoring Satisfaction Surveys, Tutor and Tutee  
Undergraduate Graduation/ Completion Analysis  
Undergraduate Retention Analysis

## Section 6

# LINKED INSTITUTIONAL PLANNING & BUDGETING PROCESSES

## **Binghamton's Road Map**

Binghamton University's Road Map (<http://www.binghamton.edu/president/road-map/>) is a plan that was initiated in April 2013 and extends through 2020. The process that established our Road Map was broadly inclusive, bringing together more than 400 faculty, staff, students, alumni and community members. The plan established an expansive vision for the campus's future—becoming the Premier Public University for the 21st Century. Functionally, the plan established five strategic priorities that roughly align with the priorities established by the SUNY System-wide *The Power of SUNY 2020*. Equally important, the Binghamton Road Map also established a practical and successful process for identifying specific projects and initiatives that will improve the experiences of students, faculty and staff over the next five years. Under this process, members of the campus community are encouraged to develop initiatives that strengthen the campus in accordance with our strategic priorities; these are widely vetted, and those deemed most important and likely to succeed are provided funding. The Road Map has been successful in engaging the entire campus in the pursuit of excellence, with a total of 424 proposals being developed by faculty, staff, and administrators. Throughout the entire process, there is an institutional commitment to growth—growth in *enrollment and educational access*, growth in *research and inquiry*, growth in *impact—economic, social, and cultural*—and growth in *success and opportunities* for our students.

Given the structure and purpose of the Road Map, Binghamton University's current strategic priorities correspond significantly with those of *The Power of SUNY 2020* and its implementation plan, SUNY Excels (<https://www.suny.edu/excels/> external SUNY link).

Below are the five strategic priorities of the Road Map, along with an abbreviated name that captures the priority's purpose.

### **Strategic Priorities (Abbreviated names)**

1. Engage in path-breaking graduate education, research, scholarship and creative activities that shape the world. **(Creative activities)**
2. The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living. **(Learning community)**
3. Unite to foster a diverse and inclusive campus culture. **(Inclusive campus)**
4. Enhance the University's economic, social and cultural impact through engagement from the local to the global level. **(Engagement)**
5. Optimize the acquisition and allocation of human, technological, financial and physical resources. **(Strategic investments)**

Overall, our strategic priorities align well with SUNY Excels. In addition, several of the goals and measurements associated with our strategic priorities track very closely with those identified in SUNY Excels. Of the 23 goals (see <http://www.binghamton.edu/president/road-map/the-goals.html> for a list of all goals) set in the Binghamton Road Map, seven are directly related to SUNY Excels goals (Table 1 illustrates this alignment), with the majority of the remaining goals correlating indirectly.

**Table 1: Direct Alignment of SUNY Excels and Binghamton Road Map**

<b>SUNY Excels Priority Area</b>	<b>Binghamton Road Map Strategic Priority</b>	<b>Specific Goals related to SUNY Excels</b>
<b>Access</b>	Inclusive campus	Enhance diversity of the student population at both undergraduate and graduate levels
<b>Completion</b>	Learning community	Increase four-year graduation rate
<b>Success</b>	Learning community	Prepare undergraduates seeking graduate degrees for the challenges of graduate school Prepare students to enter the workforce and successfully navigate their own career choices
	Strategic investments	Optimize staff and faculty resources
	Inclusive campus	Enhance diversity of the faculty, staff, and administration of the university
<b>Inquiry</b>	Creative activities	Increase research, scholarship, and creative activities profile to that of a premier public university
<b>Engagement</b>	Engagement	Strengthen the University's economic impact on the local community

**Specific SUNY Excels Priority Areas and Metrics**

As part of our planning process, senior campus administrators, with involvement from faculty, staff, students, and other stakeholders, identified targets that we hope to achieve by 2020 for each of the goals stated above, with one primary target for each priority area. Table 2 shows the alignment of these targets with the SUNY Excels Priority Areas.

**Table 2: Binghamton Road Map Targets and Alignment with SUNY Excels**

<b>SUNY Excels Priority Area</b>	<b>Binghamton Road Map Strategic Priority</b>	<b>2020 Target (<i>Primary target</i>)</b>
<b>Access</b>	Inclusive campus	20% of our students will be from under-represented groups
<b>Completion</b>	Learning community	Increase 6-year graduation rate to 85%
<b>Success</b>	Learning community	100% of our students will be engaged in a high-impact learning experience
	Strategic investments	Student to tenure-track faculty ratio of 25:1
	Inclusive campus	10% of our faculty will be from under-represented groups
<b>Inquiry</b>	Creative activities	Faculty ranking from departments that have doctoral programs to improve according to Academic Analytics by 2020
<b>Engagement</b>	Engagement	Increase the statewide economic impact to \$1.5 billion per year

We have made significant investments in order to achieve each of these targets. Table 3 lists some of these investments and their funding source. Funding for these projects primarily comes from two separate pools—funds set aside as part of the Road Map process (*RM-year*) that have been generated as a result of increases in enrollment as part of NY SUNY 2020, as well as resources associated with University-led projects included in NYS Governor Andrew Cuomo’s Regional Economic Development Council awards. The first round of Road Map funding was implemented at the end of the 2013 academic year and extended through 2015. The University is currently implementing the second round of Road Map projects (2015-16), has made financial commitments for 2016-17, and has called for proposals for projects to be implemented in 2017-18.

Each of the projects is explained in greater detail below. Between 2013 and 2015, Road Map expenditures totaled \$5.084 million in both base and one-time appropriations. It is important to note that the University also has many existing programs that support these missions (for example, we have a SUNY-best Educational Opportunity Program that supports student access and success). Funding for these programs are continuing and will increase as budgets and priorities allow; the programs that will be discussed in this document are, for the most part, new programs that are the result of the Road Map and opportunities stemming from state economic development programs. The campus also has established key metrics for determining progress on each of the Road Map’s strategic priorities. This table is provided as a quick reference; a narrative description of these projects follows.

**Table 3: Strategies to Achieve Goals**

<b>Binghamton Road Map Target</b>	<b>Investments (Funding Source)</b>
<b>20% of our students will be from underrepresented groups</b>	<ul style="list-style-type: none"> <li>• Develop organizational structure to support diversity, equity and inclusiveness (RM 2013-15)</li> <li>• Creation of divisional/departmental. Staff with diversity responsibilities (RM 2013-15)</li> <li>• Explore increasing scholarships to aid recruiting diverse students, undergrad and graduate (RM 2013-15)</li> <li>• Division of Diversity, Equity and Inclusion (RM 2015-16)</li> </ul>
<b>Increase our 6-yr graduation rate to 83%</b>	<ul style="list-style-type: none"> <li>• Enhanced Center for Learning and Teaching (RM 2013-15)</li> <li>• Developing a premier student experience through academic advising (RM 2013-15)</li> <li>• EASSE into premier: expanding academic skills and support in English</li> <li>• The role of online learning in a premier university (RM 2013-15)</li> <li>• Undergraduate advising (RM 2015-16)</li> <li>• Retaining students in academic difficulty, increasing advising support (RM 2016-17)</li> </ul>
<b>100% of our students will be engaged in a high-impact learning experience</b>	<ul style="list-style-type: none"> <li>• Fostering a culture of undergraduate research (RM 2013-15)</li> <li>• Fleishman Center (RM 2013-15)</li> <li>• The 4-1-1 program (RM 2015-16)</li> <li>• Exponentially increasing STEM research for economic development (REDC Round III)</li> </ul>
<b>Student to tenure-track faculty ratio of 25:1</b>	NY SUNY 2020 plan to add 150 tenure-track faculty

<p><b>10% of our faculty will be from underrepresented groups</b></p>	<p>(see Access projects)</p>
<p><b>Faculty ranking from Departments that have doctoral programs to improve according to Academic Analytics by 2020</b></p>	<ul style="list-style-type: none"> <li>• Establish a new college or school in the life sciences (RM 2013-15)</li> <li>• Increased institutional support for interdisciplinary research (RM 2013-15)</li> <li>• Library support for new programs and departments (RM 2013-15)</li> <li>• Increase the funds available for new faculty start-up support (RM 2013-15)</li> <li>• Recruit top quality PhD students (RM 2013-15)</li> <li>• Smart-energy and health sciences (RM 2013-15)</li> <li>• STARS: strategic targeted academic research support; adopt strategies for investment to create exponential (Non-Linear) increases in extramural funding (RM 2013-15)</li> <li>• Enhance creative activities and research infrastructure (RM 2013-15)</li> <li>• Undergraduate and graduate recruitment (RM 2015-16)</li> <li>• Graduate student support (RM 2015-16) Transdisciplinary areas of excellence (RM 2015-16) Start-up supplemental support (RM 2015-16)</li> <li>• Stipend increase for new doctoral students (RM 2016-17)</li> <li>• Matched funding for doctoral students (RM 2016-17)</li> <li>• NSF graduate research fellowship supplements (RM 2016-17)</li> <li>• Support for new faculty start-up (RM 2016-17)</li> <li>• High performance and data intensive computing facility (RM 2016-17)</li> <li>• Health sciences core facility instrumentation (RM 2016-17)</li> </ul>

<p><b>Increase the statewide economic impact to \$1.5 billion per year</b></p>	<ul style="list-style-type: none"> <li>• Industry funded research (RM 2013-15) Entrepreneurship and innovation partners (RM 2015-16) Southern tier high technology incubator (REDC Round II)</li> <li>• Plan and execute the next successful comprehensive gifts campaign (RM 2012-14)</li> <li>• Additional needed frontline fundraiser: director of development (RM 2015-16)</li> <li>• Alumni Association <u>Plan for Alumni Engagement</u> emphasize broad-based engagement activities (RM 2012-14)</li> <li>• Provide students with more and enhanced service and giving experiences through coursework (RM 2012-14)</li> </ul>
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**Projects Related to Access**

**Diversity**

It is a central part of our mission to support educational access for the residents of New York state. At the most fundamental level, this involves increasing enrollment, which is one of the central goals of Binghamton’s NY SUNY 2020 plan approved by SUNY and the state legislature in 2012. As part of this increase, we have made a concerted effort to enroll more minority students. Since 2012, when NY SUNY 2020 went into effect, Binghamton has increased its enrollment by 2,321 students (a 26.5% increase). At the same time, the number of underrepresented minority students increased by approximately 740 (a 32% increase).

We also are working to ensure that the Binghamton University campus encourages success for all our students. One of the highest priorities of the initial Road Map process was the launch of the Division of Diversity, Equity and Inclusion (DDEI) (RM 2013-15), in Fall 2013, which established a framework for developing a campus climate that supports diversity, equity and inclusiveness. Valerie Hampton was named chief diversity officer. Some of the activities of the office to date include the creation of a diversity fellowship program to increase diversity in the professional ranks of each administrative division, and the development of a cultural competency training program for staff in the Divisions of Student Affairs and Operations.

We believe that attracting qualified minority candidates for faculty and staff positions is highly pertinent to attracting and retaining underrepresented students. In order to support this activity we’ve appointed divisional diversity officers (creation of divisional/department staff with diversity responsibilities) (RM 2013-15) with a primary focus on identifying, attracting and retaining highly qualified minority faculty, staff and students to Binghamton University. NY SUNY 2020 has presented a unique opportunity for the University to increase the number of minority faculty members as part of the hiring initiative that is now underway. Working together, DDEI, the provost, and the deans are encouraging departments to broaden their candidate pool to include more minority candidates; this is a challenging project given the small number of available candidates and the competitive salaries they can garner from other campuses. Nonetheless, we have been able to

increase the number of underrepresented minority faculty from 37 in 2011 to 54 in 2015—a 45% increase. A similar increase in underrepresented minority staff has also occurred.

In addition to the creation of DDEI and the divisional diversity officers, Road Map funding was used to explore increasing scholarship to aid recruiting diverse students, undergrad and graduate (RM 2013-15). This project is designed to increase student diversity by reducing unmet financial needs for low-income students, increasing support for Clark Fellowships, seeking external support for minority scholarships and grants, and strengthening recruitment in school districts with large numbers of minority students, particularly in New York City.

### **Projects Related to Completion**

Binghamton University has a tradition of student success, with significantly higher retention and graduation rates and shorter time-to-completion than both national averages and peer group comparisons. As part of the Road Map, we have developed a number of programs designed to intervene with and improve the experiences of students who are academically at risk to ensure that they continue through to graduation. In order to increase the percentage of students who are graduating in four years, we have employed four strategies: Enhancing the Center for Learning and Teaching (CLT) (RM 2013-15), investing in undergraduate advising, expanding academic skills and support in English, and exploring the role of online learning in a premier university. Each of these strategies is explained below.

The primary objective of enhancing CLT is to foster innovative teaching approaches by offering instructional design services, consistent with our identity as a highly selective, residential campus. The CLT offers a state-of-the-art learning studio, nicknamed “The Sandbox,” that serves as a teaching laboratory incorporating innovative educational technology, flexible layout and multi-use design. It is arranged to encourage collaboration and active learning, and features four large, wirelessly programmable screens and electronic walls and interactive white boards to promote engaged learning. In addition, the University has established a system of “mini-grants” to support instructional innovations by faculty, expanded the University tutoring services, produced “road shows” to highlight effective teaching, and worked with the University’s Educational Opportunity Program and athletics programs to support at-risk students.

Good advising and academic support is critical to student completion. Recognizing this, we have invested in advising in all three years of our Road Map planning. Funding for developing a premier student experience through academic advising (RM 2013-15) enabled the campus to pioneer a new degree-auditing program, Degree Works, designed to give students and advisors a more accurate and timely record of student’s coursework and progress to degree; this year Degree Works has been adopted throughout the SUNY system. This initiative also paved the way for undergraduate advising (RM 2015-16) staff increases, under which four advisors were added to assist in both general academic advising and as key personnel in a proactive and responsive retention effort. A focus on retaining students in academic difficulty and increasing advising support (RM 2016-17) targets both the freshman population that is already in academic difficulty during the first semester and continuing students, particularly transfer students, for whom more advising contact should lead to improved retention and graduation prospects.

In order to support our undergraduate transfer students, Binghamton introduced two Road Map proposals to improve our selectivity, yield and retention of this important group of students. Undergraduate admissions support (RM 2015-16) and undergraduate advising (RM 2015-16) provided for the hiring of a total of eight staff members to support graduate and undergraduate

recruiting and advising, including assistance to transfer students as part of SUNY's seamless transfer process. In addition to direct support for recruiting and advising for transfer students, Binghamton University also introduced the Binghamton Advantage program in 2011. Under this program, students from SUNY Broome are granted admission to the University, contingent upon achieving a 3.2 GPA after one year of studies at the community college level. This program continues to grow, with approximately 220 students entering through the program in 2014, compared to an initial class of only 40 students.

In addition to the CLT and enhancements in advising, we have invested in two additional projects to promote student completion. The first, EASSE into premier: expanding academic skills and support in English (2013-15), increases support for courses, programming and services to support high retention of international students, particularly with regard to strengthening their language skills throughout their degree programs. Located in our new Global Center (supported by REDC funding), our English Language Institute is increasing staff and working closely with the University tutoring services to better serve students and develop best practices to ensure international students' academic success.

Binghamton also is committed to enhancing student completion and success through the development of on-line coursework. Binghamton currently has more than 600 courses taught on line, many of which are utilized by students during winter and summer breaks, which contributes to Binghamton's extremely efficient time-to-degree rankings. One of our Road Map projects, the role of online learning in a premier university (2013-15), established a campus task force to review the University's current practices and objectives in online learning in order to develop an overall strategy for online learning and an infrastructure to support the different pedagogy required in online or blended courses. The CLT is training both experienced faculty and graduate students in the different pedagogies required for effective on-line teaching. The University has provided funding to support a series of workshops and seminars for 75 teachers each year that will focus on effective strategies and technologies for on-line student learning.

### **Projects Related to Success**

Of the three measures of success—the percentage of students in high-impact learning experiences, the student to tenure-track faculty ratio, and the percentage of faculty from underrepresented groups—the first two are discussed below. The third was covered in our discussion of access.

### **High-Impact Learning Experiences**

We have made several investments aimed at ensuring that every student benefits from at least one “high-impact” learning experience — defined as internships, study abroad, service learning, or undergraduate research. Evidence suggests that student participation in these types of learning experiences encourages academic engagement and therefore, student success. There are several components of this initiative. For example, one project thus funded is fostering a culture of undergraduate research (RM 2013-15), with an emphasis on the social sciences and the humanities. The office of undergraduate research has hired three staff members and additional resources were made available to support undergraduate research in summer 2014. This office has established a database of campus research opportunities and funding sources, and works to promote the results of student research in campus publications as well as at disciplinary conferences and meetings. Similarly, the University is also working to encourage undergraduate research in STEM fields through a grant awarded through the REDC process — exponentially increasing STEM research for economic development (REDC Round III) — which has provided funding for the University to

design, construct and outfit new laboratories with innovative infrastructure so that we may increase the number of undergraduates participating in research in the associated disciplines as part of a new Freshman Research Immersion program. Additional funding for this program was obtained from the Howard Hughes Medical Institute.

Through generous support from alumni Steve and Judy Fleishman, the Fleishman Center for Career and Professional Development (RM 2013-15) was substantially enhanced in 2014 with a state-of-the-art facility in the heart of campus. Through walk-ins and appointments, students are assisted with career and major decision-making, résumé and cover letter development, graduate school decision-making and applications, practice interviews, job and internship searching, and on-campus interviews. In addition, significant educational and networking programming is provided throughout the entire year, and last year the center earned two regional awards recognizing its programming innovation. Alumni are strongly encouraged to engage with students in recruiting and hiring graduates and interns. Student use of Fleishman Center services significantly exceeds that of our Carnegie Classification peers in many areas—for example, 8,470 students attended center programs last year, compared to peer averages of only 3,244.

Professional masters degrees play an increasing role in the success of today's university students, with the result that these programs are in high demand. Twenty-two such programs, across a variety of disciplines, have recently been added or are in the process of receiving SUNY approval. For example, Binghamton plus (formerly the 4-1-1 program (RM 2015-16)), an inclusive master of arts in applied liberal studies (MAALS) will develop internship placements and provide curricular connections for master's level students in the liberal arts. Binghamton Plus is designed to make graduating seniors in the liberal arts more desirable as employees—while providing access for new, career-oriented students. The program has been developed by faculty and evaluated by external reviewers. It is in the advanced "review and discussion" phase and will be presented to campus governance processes this fall.

### **Reducing the Student to Tenure-Track Faculty ratio**

The additional tuition revenue resulting from NY SUNY 2020 will allow Binghamton University to hire 150 net new faculty over a five year period and increase enrollment by 2,000 students during that same period. These additional funds have enabled us to extend access to what is widely regarded as the best undergraduate education in the SUNY system, with a broad-based hiring strategy that encompasses all schools. With the added teaching capacity we have been able to better accommodate demand. The increase in faculty has allowed us to offer a broader range of cutting-edge courses, add 400 new student research opportunities, and substantially decrease our student: tenure-track faculty ratio, one of the prime indicators of student success, from 28.06:1 to 25:1 by 2020. By improving this ratio, the university enhances the quality of student experiences, increases faculty-student interactions to promote success, and fast-tracks students' path to graduation.

### **Projects Related to Inquiry**

As a research university, one of Binghamton's core missions is the discovery and dissemination of new knowledge. The Road Map process and the allocation of new resources have therefore focused especially on strategies related to Inquiry. Some of our investments in inquiry are also related to issues of access—for example, with regard to the addition of a new school and the expansion of our graduate programs. The University's commitment to research and scholarship also contributes to student success—such as through high-impact learning experiences like our Freshman Research Immersion program. At the same time, strengthening research and scholarship will pay dividends in

the economic well-being of the community, and thus also are relevant to issues of Engagement. This section will describe four major strategies and related projects aimed at increasing research and creative activities: the development of a School of Pharmacy and Pharmaceutical Sciences, the establishment of five Transdisciplinary Areas of Excellence (TAEs), start-up support for new faculty, and investments in graduate students.

### **School of Pharmacy and Pharmaceutical Sciences (SOPPS)**

This project to establish a school of pharmacy proceeded along an aggressive timetable, beginning as part of our NY SUNY 2020 proposal and identified as the Round I Road Map proposal establish a new college or school in the life sciences (RM 2013-15). Beginning in 2013, a letter of intent was submitted for this new program which was approved by the SUNY Board of Trustees in March 2015. The state has appropriated money for a new building and land has been purchased in nearby Johnson City. Construction is expected to begin in fall 2015. Dean Gloria Meredith joined the campus in 2015. There is an advisory board in place and the dean has begun hiring faculty and administrators who will develop the curriculum and prepare materials for accreditation. We are on target to receive the first class in fall 2017; after four years, it will enroll approximately 360 PharmD and 50 pharmaceutical sciences PhD students, and employ 15 clinical and 15 research faculty. The School's researchers, in conjunction with faculty involved in our Transdisciplinary Areas of Excellence (see below), will focus on personalized medicine, drug development and delivery, infectious disease control, and healthcare management and outcomes. Research work in the school is expected to generate in excess of \$1.65 million in external funds annually. In addition, the University sees the school linking with external research partners in the pharmaceutical industry to develop new smart drugs and drug delivery systems.

### **Start-Up Support for New Faculty**

In addition to strengthening student success by reducing student-to-tenure track faculty ratio, the faculty hiring initiative undertaken through the Road Map will significantly increase the amount of university research. One of the central tenets of our hiring process has been to focus on both highly-respected, experienced faculty along with extremely promising young faculty; both groups can require substantial investment incentives. Toward that goal, Road Map funding and support from our Research and Academic Affairs Divisions was authorized in 2014-15 through 2016-17 to increase the funds available for new faculty start-up (RM 2013-15), to provide start-up supplemental support (RM 2015-16), and support for new faculty start-up (RM 2016-17). From 2012-13 to 2015-16, the university has hired a total of 200 tenure-track faculty. Of these, approximately 70, mostly in the STEM fields, received start-up support, ranging from a minimum of \$20 thousand to a maximum of \$600 thousand.

### **Transdisciplinary Areas of Excellence (TAE)**

As the University's NY SUNY 2020 plan and the concurrent Road Map were developed, the campus selected smart-energy and health sciences (RM 2013-15) as two research areas where the University had significant historical strengths and the potential to assume national leadership. These were areas of discovery that attracted research talent from a variety of disciplines, in part because the questions raised in these fields are complex and address critical social, cultural, scientific, technological, economic and policy concerns. This new approach to research—holistic, interdisciplinary, and focused on pressing national and global challenges—was embraced by other disciplines on campus, leading to the identification by faculty and administrators of three additional Transdisciplinary Areas of Excellence (TAE): citizenship, rights and belonging; material and visual worlds; and sustainable

communities. In short, NY SUNY 2020 and the Road Map process resulted in a complete rethinking of the University's approach to academic inquiry.

Much of the initial Road Map funding focused on providing seed grant support for the TAEs. These separate programs: smart energy and health sciences; STARS: strategic targeted academic research support; adopt strategies for investment to create exponential (non-linear) increases in extramural funding (RM 2013-15); and increased institutional support for interdisciplinary research (RM 2013-15). These programs offered funding to support collaborative research; the first in smart energy and health sciences, the second two providing support for all five TAEs. Significantly, the STARS initiative also introduced the concept of cluster hires in the TAEs as a means of rapidly increasing the University's stature as a research University. To date, of the approximately 200 faculty hired since the start of the Road Map, about 35% have been associated with the TAEs.

The Road Map also has provided funding to strengthen the campus research support staff and infrastructure. Transdisciplinary Areas of Excellence (RM 2015-16) provided funding for a grant writer, administrative assistant, and a laboratory technician, necessary to meet the administrative and support needs of a growing faculty. Two additional Road Map initiatives, library support for new programs and departments (RM 2013-15) and enhance creative activities and research infrastructure (RM 2013-15) provide additional administrative and library support for the TAEs and other campus research activities; the former, by providing resources to purchase materials that most directly support faculty and research groups aligned with the TAEs and the latter by supporting two new full-time research staff positions to assist in grants administration, compliance requirements and principal investigator informational needs.

The University also has moved to enhance the research facilities employed by TAE and other faculty in their research work. Early on, as a part of the health sciences initiative, the health sciences TAE identified a strong need for Binghamton University to establish a health sciences core facility. Road Map funding beginning in Round II helped establish a centralized core in the Center of Excellence Building to house and maintain large ticket equipment, some of which the campus has already purchased. In addition, two separate Road Map initiatives, increased institutional support for interdisciplinary research (RM 2013-15) and health sciences core facility instrumentation (RM 2016-17) provide for instrumentation support for this facility. A second phase of the core facility initiative will establish a satellite core facility that will include a more standard array of equipment for tissue processing, RNA/DNA/protein preparations and other procedures central to studies in the health sciences, particularly in such areas as cell biology, microbiology, biomedical engineering, pharmaceutical sciences and neuroscience. Faculty associated with the core will also seek additional external funding from federal, state, and private agencies.

A second core facility is being developed to address the "big data" needs of faculty in a variety of fields that employ computationally intensive modeling, simulation, and analysis. Historically, campus researchers have met this need either through collaboration with researchers at other Universities or by employing "work-arounds" that utilized excess computer capacities. Neither approach was perfect, as it placed the research needs of our campus second to the needs of other institutions or institutional priorities. We are addressing this challenge by providing one-time support for the acquisition of a high performance and data-intensive computing facility (RM 2016-17) that will foster significantly greater productivity and efficiency by reducing costs and paperwork, while adding flexibility and opportunities to ask more speculative and potentially more rewarding questions.

## Graduate Student Support

We are rapidly growing our tenure-track faculty, our research profile, our undergraduate student population and our graduate student population. During this period of growth, it is critical that we attract, admit and matriculate the highest-quality graduate students to our master's and doctoral programs in order to support and facilitate our faculty growth.

Our current plan calls for improving graduate selectivity by generating increased applications to all graduate programs. The Road Map proposal recruit top-quality PhD students (RM 2013-15) provided support for increased marketing and the expansion of assistantship opportunities on campus. Undergraduate and graduate recruitment (RM 2015-16) provides for an increase in graduate admissions staff, allowing the University to participate in more graduate fairs in a wider geographic range, as well as to improve on-line information and marketing. Our goal is to increase our enrollment of PhD students at a rate close to our faculty growth rate, as this will help us maintain our research profile. An increase in graduate student support (RM 2015-16) will provide stipend assistance for graduates assigned to faculty hired as part of our recent expansion.

By every measure, Binghamton's support for graduate students is inadequate: according to the best national data available, current stipends range from \$2 thousand to \$8 thousand below national averages, with the worst disparities in STEM fields. Three projects in Road Map Round III targeted the challenge of graduate student funding. A stipend increase for new doctoral students (RM 2015-16) will allocate additional funding to support tuition scholarships for TA and GA graduate students, with the goal of raising stipend levels to the 75th percentile for the discipline.

At the same time, we are developing a plan to encourage faculty to seek external funding to support their graduate students. Matched funding for doctoral students (RM 2016-17) explicitly recognizes the advantages that some disciplines (especially STEM fields) have in terms of securing external funding, as well as the differences in costs among the fields. Under this proposal, Binghamton University will match doctoral student funding generated by the academic units through grants and contracts. Our goal in pursuing this approach is to recognize and reward departments and schools for doing what they can do on their own. This approach creates a direct partnership between the central administration and the departments/schools to generate external funds in a responsible way, while helping recruit and retain a stronger and more diverse pool of doctoral students.

In addition to increasing stipends in general for graduate students, we also are seeking to attract and retain the nation's most promising young researchers by establishing a program of the National Science Foundation (NSF) graduate research fellowship supplements (RM 2016-17). NSF graduate research fellowships are generally awarded to graduate students with great potential to achieve high levels of success in their future STEM careers, and thus are an important measure of the quality of an institution's research programs. Historically, neither Binghamton University nor any of our SUNY peers have received many of these awards; in 2014 SUNY received just six of the 750 awards made to AAU Public Universities, and Binghamton received two of these. Under this plan, the Division of Research, the Graduate School and the Office of Undergraduate Scholarships and Awards will work to encourage a greater number of qualified students to apply for the NSF GRFP and will supplement the NSF GRFP award with an additional \$10,000 stipend for every Fellowship winner, beginning with up to five per year, with the intent that these stipends will serve as a recruiting tool to retain Binghamton recipients, while helping recruit new NSF awardees to Binghamton for their graduate careers.

## **Scholarship, Discovery and Innovation**

For over ten years Binghamton University has been very active in collecting data on publications, scholarships, sponsored funds, and creative activities undertaken by our faculty. Data from our annual faculty reports is collected via a web-based tool which populates a database used to create reports. Additional information is assembled via student records and instructional activity databases to create what we call the “contributions to mission report” for each academic unit on campus. The contributions to mission report for each department is supplemented by information from the Delaware Study and Academic Analytics and together they inform regular meetings with departmental representatives on instructional and scholarly progress.

This type of information being considered here is very specific to individual disciplines and even sub-disciplines and must be analyzed in its full context, so caution is advised. It has taken us over a decade to reach a place where most of our disciplines are comfortable with how the data is represented.

## **Projects Related to Engagement**

Binghamton University has long been committed to strengthening the communities that support us. The partnerships we have formed with community organizations have resulted in an annual statewide economic impact of more than \$1.3 billion and accounts for more than 12 percent of the Southern Tier’s economic activity. Please see our Economic Impact website for more information and to access our annual Economic Impact Report (<https://www.binghamton.edu/community/economic-impact.html>). Because of these efforts, in 2015 Binghamton University was one of only 18 universities nationwide, and the only campus in New York state to be named as an “Innovation and Economic Prosperity University” by the Association of Public and Land-Grant Universities (APLU).

## **Entrepreneurship and innovation partners (RM 2015-16)**

Entrepreneurial activities of faculty and students have the potential to become sources of regional economic growth, innovation and employment opportunities. Burgeoning geographic regions such as Boston, Silicon Valley, and the Research Triangle in North Carolina have each demonstrated how university-led research generates and supports entrepreneurial activity. In an effort to jump-start new business in the Southern Tier, Binghamton University will be committing Road Map funds to establish staff and seed support for student based start-up company ideas.

## **Southern Tier High Technology Incubator (REDC Round II)**

Binghamton University, SUNY Broome and the regional economic development community are building an incubator at 120 Hawley Street in downtown Binghamton to help grow an entrepreneurial ecosystem that nurtures emerging companies. The incubator and building site are included in Binghamton University’s START-UP NY tax-free program giving tenants up to ten years of state tax relief. In addition, the incubator is participating in the Southern Tier Hotspot tax-free initiative. The Binghamton University Foundation formed The Southern Tier High Technology Incubator Inc. as a not-for-profit to build and own the incubator on a site leased from the Broome County Industrial Development Agency.

The incubator will provide the infrastructure needed for companies focusing on energy, electronics and health, with specialized laboratories for testing, evaluation and prototyping. In addition, the incubator will have co-located business resources and provide access to research and educational

programming, core user facilities, student internships and co-ops, and technology transfer and commercialization offices at Binghamton University and SUNY Broome.

### **Industry-Funded Research (RM 2013-15)**

Collaboration with industry plays an important role in Binghamton University's research strategy. Currently, industry support represents about 10 percent of the University's research expenditures; this compares favorably to a national average of about 6 percent. This project's goal was to leverage this success by establishing a task force to develop recommendations to enable Binghamton University to significantly grow industry-funded research. The task force identified three key objectives to be met in order to increase university collaborations with industry: 1) establish a single point of contact for industry collaboration; 2) identify key areas of interest to the University that are relevant to industry and invest in faculty and core facilities in these areas; 3) provide incentives to faculty to promote collaboration with industry with the goal of conducting transformational research that benefits society and improves people's lives. The University's assistant vice president for innovation and economic development is serving as a point person with regard to these recommendations.

### **Southern Tier Health Sciences and Technology Innovation Park**

Perhaps the most significant project in the University's efforts to increase industry partnerships and foster community economic development is now under development. Binghamton University's new School of Pharmacy and Pharmaceutical Sciences (SOPPS) will welcome its first class of students in fall 2017. Apart from the economic impact resulting from 400 new students and 30 faculty — estimated at more than \$100 million annually—this facility forms the centerpiece of the Southern Tier's economic development plans for Round IV of the Regional Economic Development Council (REDC) funding, as well as its proposal for New York state's Upstate Revitalization Initiative (URI). The Southern Tier REDC proposal was successfully chosen for funding with the focus being the development of a new Southern Tier Health Sciences and Technology Innovation Park that will establish a healthcare ecosystem in the region surrounding Wilson Hospital and the School of Pharmacy and Pharmaceutical Sciences.

Our plan is to grow the regional medical infrastructure — the cohort of doctors, nurses, biomedical researchers and life scientists that work in one of the fastest-growing sectors of the economy. Toward this end, we have embarked on building a new healthcare campus that will bring together the Decker School of Nursing, the Clinical Campus of Upstate Medical University, and the School of Pharmacy and Pharmaceutical Sciences. Apart from providing space for teaching and learning near one of the region's largest hospitals, we also see these facilities housing research and clinical facilities to support advances in such related areas as rehabilitation and regeneration technologies. In addition, we see the development of a biopharmaceutical hub as well as space for research and production for medical 3D printing. This is research that is at the forefront of medical science, and positions Binghamton University and the region for decades of future growth — both in terms of jobs and national reputation.

### **Alumni/Philanthropic Support**

Binghamton University is committed to expanding private support and alumni engagement, with the objective being to plan and execute the next successful comprehensive gifts campaign (RM 2012-14). Binghamton University is not currently in a state of campaign readiness, based on a variety of factors and challenges in previous years, including the completion of its most recent successful campaign that concluded in 2012 that raised in excess of \$101 million. The Binghamton University

Foundation Board of Directors has received a plan that calls for an aggressive hiring and investment plan in Binghamton's development operation that would result in a state of campaign readiness by 2018-2019. We anticipate beginning the nucleus phase of a campaign at that point. To date, Binghamton has hired both a new vice president for advancement and a new associate vice president, and is in the process of hiring an additional frontline fundraiser: director of development (RM 2015-16). Major gifts officers and fundraising staff have been added to four of our schools. And attention has been paid to corporate fundraising, placing Binghamton in a good position to plan and pursue its next comprehensive gifts campaign. While not technically advancing a comprehensive gifts campaign, Binghamton University continues on an upward trajectory with regard to alumni and other private philanthropic support. Individual commitments of support have increased from \$5.4 million in 2011 to over \$9.1 million in 2015, a 69 percent increase. Alumni engagement is also on the increase, due in no small measure to the development of a *Plan for Alumni Engagement* by the University's Alumni Association. Recognizing that alumni engagement is a necessary precursor to philanthropic support, the plan establishes five central goals for the Association: 1) Affirm the Alumni Association as the University's centralized organization for alumni relations; 2) Develop high-quality programs and benefits that offer value to alumni; 3) Create opportunities for alumni to connect with each other and with students; 4) Create spirit and pride in Binghamton University; and 5) Support a dynamic alumni volunteer program that provides opportunities, training, stewardship and recognition.

The University is also investing in infrastructural support for private philanthropy, and has incorporated several initiatives as part of its Road Map. For example, emphasize broad-based engagement activities (RM 2012-14) enabled our Alumni Relations staff to focus on creating "development partners to strengthen the relationship between potential donors and the University." The campus is also working to build relations with current students to encourage student philanthropy as part of providing students with more and enhanced service and giving experiences through coursework (RM 2012-14)

## **Civic Engagement**

Binghamton promotes civic engagement through a dedicated Center for Civic Engagement (CCE) (See: <https://www.binghamton.edu/cce/>) and through specific curricular initiatives ranging from practica in various degree programs to community-based internships sponsored through career center course rubrics. Data on civic engagement is collected through multiple channels. Binghamton assigns two special course designations to identify courses with a service learning component; accordingly we can identify all students who have enrolled in courses with such a designation. Binghamton also collects information on reports filed by individual faculty. We have designated a more specific inquiry related to civic engagement/service learning activities included on the faculty report template. The Division of Student Affairs works in partnership with the SGA to track service hours of students in those organizations that promote significant service commitments by members. The same approach is taken with specific student cohorts who have community service expectations of students (e.g., Scholars Program, athletes). Student involvement software is used to track and warehouse these service activities. In the case of student organizations, an officer of the organization must approve/verify reported activity. Finally, Binghamton tracks/predicts service activity based upon student response to NSSE. We have found it useful to separate mechanisms that measure volunteer activity from those that measure curricular-based initiative. We are working on an approach to include non-credit but intense/sustained volunteer service in either its own category or as service learning. For example, we would include recurring mentoring/tutoring commitments to a K12 school in this category. Our "effort" threshold for such activity is that it should require at least as much time as a one-credit course (estimated at 45 hours).

## **Conclusion and Expected Impact**

A public university has several unique missions: it has to serve the needs of the public with regard to educating the next generation of professionals and citizens; it needs to produce new knowledge leading to scientific discovery, innovative technologies and thoughtful consideration of society and culture; and it needs to leverage its resources to promote economic, social, and cultural development in our communities and beyond. For these reasons, the focus of Binghamton's Road Map has been to increase the size and scope of our enrollment and faculty, and thereby serve as a catalyst for research, education and outreach. We want to increase our regional and global impact making Binghamton the go-to university for people seeking solutions to difficult problems. At Binghamton, growth is the key to future success.

At the campus level, growth increases access for New York State students and promotes success by allowing us to deliver more classes in more fields, giving more students new educational and career opportunities in fields that are in high demand by New York State industries. Growth has allowed the University to hire more faculty, lower the student-to-faculty ratio, and focus on student-centered learning. Growth has made us more accountable to New York state's students, families, and communities. Growth fosters new inquiry by shifting the current balance between teaching and research, encouraging faculty to target their research and scholarship on addressing the world's challenges. It enables us to develop new areas of research and scholarship focusing on such crucial areas of inquiry as healthcare and biomedical technologies, alternative energy, cultural belonging, the impact of the material world on culture and society, and the creation and maintenance of sustainable communities. Growth will allow Binghamton University to establish a critical mass of excellence across the entire campus that will attract better students and faculty. And growth will increase visibility and recognition, generating increased pride among alumni, partners and our community. Growth is making Binghamton the crown jewel among New York state's public colleges and universities.

As a result of NY SUNY 2020, Binghamton has successfully increased its undergraduate enrollment. Our focus now is on bringing new and higher quality graduate students to campus, which we believe is necessary if Binghamton is to achieve its proper balance as a public research institution. The University already has a number of initiatives underway to help increase the graduate population: a new PharmD and pharmaceutical sciences PhD program currently under review and due to begin by 2017; a graduate growth initiative, which targets the development of new career-oriented master's programs; commitments to enhance funding for graduate students to bring the best and brightest to campus; an increasing cohort of teaching assistants to support increases in undergraduate enrollment; and a growing base of research assistants on grants and contracts due to the growth in research funding.

At Binghamton, we have invested in access, supported success, and fostered scientific and scholarly inquiry. We are working to improve our already outstanding record of student retention and completion, and our commitment to community engagement has received national acclaim. Taken together, the broad vision outlined in the Road Map, combined with the specific initiatives Binghamton University has undertaken as part of the Road Map and state-wide economic development programs, has placed the campus on the path to premier.

# Periodic Review Report

## Appendices

Date of Evaluation Team's visit  
November 7-10, 2010

**BINGHAMTON**  
UNIVERSITY  
STATE UNIVERSITY OF NEW YORK

# Appendix 1.1

# Top Colleges Doing the Most for Low-Income Students

Reference – New York Times, September 16, 2015

<http://www.nytimes.com/interactive/2015/09/17/upshot/top-colleges-doing-the-most-for-low-income-students.html? r=0>

To measure top colleges' efforts on economic diversity, The Upshot created the College Access Index. It's based on the share of students who receive Pell grants (which typically go to families making less than \$70,000); the graduation rate of those students; and the price that colleges charge both low- and middle-income students. The following table also shows colleges' endowment per student, which is a measure of the resources available to colleges. This year, colleges with a five-year graduation rate of 75 percent or higher are included. (The cutoff [last year](#) applied to the four-year graduation rate, which is why this version includes more colleges.) SEPT. 16, 2015.

Rank	College	Freshman Class	Pell Grad Share	Net Price Middle-Income	College Access Index	Endowment Per Student
35	SUNY at Binghamton	2,585	20	\$18k	1.14	\$5k

**Pell grad share** for each college is the average share of the freshman class that received a Pell grant in 2011-12, 2012-13, 2013-14 and 2014-15, multiplied by the graduation rate for recent Pell recipients. Later years count more; not all colleges released 2014 data. Graduation rates for Pell students at some colleges are estimated.

**Net price for middle-income students** covers tuition, fees, room and board, after taking into account federal, state and institutional financial aid, and it applies to students who come from households earning between \$48,000 and \$75,000 a year and qualifying for federal aid. Loans and wages from work-study jobs are counted in the net price as part of the students' cost.

**The College Access Index** is a combination of a colleges' Pell graduates and net price, compared with the average school. (The index is based on the net price for both the \$48,000-to-\$75,000 income range shown here and the \$30,000-to-\$48,000 income range.) A college with an average score on the two measures in combination will receive a one. Scores above one indicate the most effort.

**Endowment per student** is for the year 2012-13 and includes graduate students.

Sources: individual colleges; the Department of Education

# Appendix 2.0.1

**Report to the  
Faculty, Administration, Trustees, Students  
of**

**Binghamton University  
Binghamton, NY 13902**

**by**

**An Evaluation Team representing the  
Middle States Commission on Higher Education**

**Prepared after study of the institution's self-study report  
And a visit to the campus on November 7 – 10, 2010**

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### **I. Context and Nature of the Visit**

Binghamton University is a state-affiliated public university and is part of the State University of New York System. The university enrolls over 11,000 undergraduates and 3,000 graduate students. The university holds a Carnegie classification of Research – High Research Activity. It awards the Doctor's – Research/Scholarship, Master's, Bachelor's, and Certificate/Diploma degrees.

Binghamton University has no branch campuses, but operates additional locations at the SUNY State College of Optometry in New York City and the University Downtown Center in Binghamton, NY. Other instructional sites include BAE Systems, Johnson City, NY; Broome County Office of Emergency Services, Binghamton, NY; Greek Peak, Marathon, NY; Johnson City Elementary/Middle School, Johnson City, NY; Lockheed Martin, Owego, NY; south wind stables, Binghamton, NY; Tri-Cities Opera, Binghamton, NY.

Binghamton University has been a member of Middle States since 1952 and was last reaffirmed on November 16, 2006.

The self-study was based upon a special topics approach with the special topics being a focus on Standards #1, #2, #3, and #7 as explained in 'Characteristics of Excellence'.

### **II. Affirmation of Continued Compliance with Requirements of Affiliation**

Based on a review of the self-study, interviews, the certification statement supplied by the institution and/or other institutional documents, the team affirms that the institution continues to meet the requirements of affiliation in Characteristics of Excellence in Higher Education.

### **III. Compliance with Federal Requirements; Issues Relative to State Regulatory or Other Accrediting Agency Requirements**

Based on a review of the self-study, certification by the institution and other institutional documents, and interviews, we affirm that Binghamton's Title IV cohort default rate is within federal limits and it complies with all requirements under the Higher Education Opportunity Act of 2008.

The team is not aware of any issues relative to state regulatory requirements or the institution's status with other programmatic accrediting organizations.

### **IV. Evaluation Overview**

Binghamton University has a remarkably well-developed strategic planning process. This process is on-going and is closely linked to assessment processes. The most recent strategic

plan, completed in 2010, *'Distinguished Past, Innovative Future'* springs from a critical review and evaluation of progress achieved under the 2005 *'Roadmap'* plan. The new plan was developed with broad participation from faculty, staff and other stakeholders. It is somewhat unique in featuring pragmatic implementation issues, such as resourcefulness, as key features of the plan. The plan was designed to provide a framework for future directions of the university, but also to allow flexibility for the new President to shape the plan. The mission, vision and goals and the objectives and strategies to further those outcomes are defined and include key performance indicators. Binghamton University should be commended for its process of resource allocation, which is directly and intimately linked to the strategic plan. Assessment is pervasive at Binghamton in academic programs, student learning, student life, and administrative functions. The University faces fiscal challenges as do most universities in the US. The university would benefit greatly from a rational and sustainable multi-year tuition plan developed between the legislature and the SUNY system that would allow for stronger support of academic programs while providing for greater financial aid for students of low and lower-middle income families.

## **V. Compliance with Accreditation Standards**

### **A. Standards Addressed Substantively within the Selected Topics**

#### **Standard 1: Mission and Goals**

The institution meets this standard.

Binghamton University has a long and innovative tradition relative to strategic planning and in the utilization of Middle States review processes to complement these planning efforts. The Binghamton planning process is well-defined, systematic, multi-layered, and highly collaborative. Substantial attention is given to plan development, implementation, evaluation, and to the use of outcomes information in improvement and subsequent planning.

The Strategic Planning Council (SPC)—a representative group of faculty and staff from throughout the institution—is the central planning group. In addition to faculty and staff, an undergraduate student, a graduate student and a member of the community also serve on the planning council. The SPC is responsible for evaluating the success of previous planning efforts, developing new directions, and engaging faculty and staff from throughout the institution in these processes.

Institutional directions and priorities are established through this process in a manner that provides numerous opportunities for review and input throughout the campus community. Within the broad framework of established university directions, academic, student affairs, and administrative units develop their own plans and strategies which align with the institutional vision, goals, and directions.

In the 2005 plan, the Binghamton University's mission statement described the institution as "*a premier public university dedicated to enriching the lives of people in the region, state, nation and world through discovery and education and to being enriched by partnerships with those communities.*"

Consistent with the requirements of Middle States Standard 1, this statement was clear in delineating Binghamton University's purposes, the constituencies it serves, and the nature of the relationship it intends to create with those constituencies.

The 2005 document included the following vision statement: "*Our vision is to become a truly distinguished and unique institution of higher education, one that combines an international reputation for research, scholarship and creative endeavor with the best undergraduate programs available at any public university.*" This statement articulated Binghamton's aspirations broadly, and at the same time identified *international reputation* and *undergraduate education* as particular foci of attention. In the case of undergraduate education, the intention is clear and articulated in a way that is well-suited to assessments as to the effectiveness of the institution in fulfilling the aspirations.

The 2005 plan identified four strategic goals to pursue this vision:

- 1) Invest in academic excellence, growth, and diversification;
- 2) Enhance engagement and outreach;
- 3) Create an adaptive infrastructure; and
- 4) Foster a campus culture of diversity, respect and success.

The 2005 University planning process also described a regular review of academic and administrative units. This component of the planning process consisted of a summer retreat through which the senior leadership outlines the vision and challenges for the next academic year. Divisions developed plans for carrying out the strategies within their respective units, and these were organized in terms of the four overarching strategic goals, as were assessment measures and methods. All were established in cooperation with area vice presidents. Divisions and departments then developed goals and plans that aligned with the institutional goals. There was also a "bottom-up" planning and budget process through which faculty and staff in divisions across the campus, put forward recommendations for unit-based initiatives which advance that unit's mission.

The 2005 plan, aspirations, and achievements were widely distributed to internal and external constituencies—and were accessible via the web.

The campus entered its 2010 planning at a particularly challenging time given pressing budgetary circumstances, the search for a new president underway, and new leadership and new directions emerging at the System level.

The 2010 plan seeks to define "differentiable goals, objectives, strategies and indicators" that will facilitate fulfillment of Binghamton's mission and aspirations. The plan also gives consideration to the institution's particular educational and research role within the SUNY system.

Binghamton's vision statement, also included in the 2010 plan articulates the institutions aspirations in clear, unambiguous, and inspirational terms: "*Binghamton will distinguish itself*

*as a stellar institution of higher education, one that combines an international reputation for graduate education, research, scholarship and creative endeavor with the best undergraduate programs available at any public university.”* The language used in the statement makes it possible for the institution to assess progress toward its aspirations (i.e., “distinguished,” “international reputation” “best undergraduate program available at any public university”), and to use the results for internal and external monitoring, future planning, and continuous improvement.

The details of 2010 plan were developed after a review of the 2005 plan and an evaluation of its outcomes. All five major divisions of the institution were engaged in the review process, which consisted, in part, of an analysis of divisional contributions to the University’s 2005 strategic goals. The review resulted in 16 recommendations that were integrated in the 2010 plan.

Six goals were identified to form the foundation of the new strategic plan:

1. Educationally exemplary
2. Innovation
3. Collaborative
4. Global
5. Technological
6. Resourceful

Each of the five divisions - student affairs, research, external affairs, administration and academics - identified ways in which they could contribute to the advancement of these goals (Table II, Sec 3). Division recommendations were drafted, reviewed by the Strategic Planning Council, and disseminated internally and externally. The final plan was written and approved by the SPC.

Like the goals of the 2005 plan, these goals are generic. This generality is probably helpful given that Binghamton University and the SUNY System are both in a time of leadership transition. That said, the generality of the goals may be seen as an impediment to the university’s intention to define and pursue a distinctive identity.

The final plan lists goals and a series of strategies associated with each. Strategies are clear and actionable, and the connection between goals, strategies, and objectives/activities is largely self-evident. From the documentation provided and from campus discussions, it would seem many academic and academic support functions (for instance, the library and student affairs) have developed a comprehensive set of strategies that leverage and enhance Binghamton’s focus on students and their needs.

Appendix 1 provides a very helpful characterization of the goals which have been identified as central to the work of particular divisions. Appendix 2—Binghamton University’s Strategic Plan: Goals, Objectives, Strategies and Indicators—is an extremely useful document, providing clear and persuasive evidence of the 2010 plan’s attention to aligning goals, strategies, objectives and indicators. The mission and vision components are not included in this charting; their

inclusion would have been helpful in clarifying linkages within the plan, and in indicating how elements of the plan are intended to advance particular facets of the institutional mission and aspirations.

**Standard 2: Planning, Resource Allocation, and Institutional Renewal**

The institution meets this standard.

To meet this standard an institution must first have developed a mission and goals that are clearly articulated and expressed as observables (Standard 1). Standard 2 addresses the ways in which an institution achieves its mission and goals. This occurs through planning, defining and implementing objectives and strategies (the path to achieving the goals), allocating resources intentionally to those strategies, measuring the outcomes of the process, and finally, using this assessment to further refine the goals and strategies. For best results this process should occur at all levels; institutional, unit, and departmental. Various units' plans should be coordinated with other units at the institution, and for a holistic approach, all stakeholders should be involved. In our review we examined whether this 'assessment loop' was in place and whether this process occurs at the institutional, unit, and departmental level. We examined whether the various units' plans are coordinated with other units on campus. We also examined the extent to which all the stakeholders are engaged in the planning and allocation process.

Binghamton University has conducted a University-wide planning process every five years, coinciding with the decennial and periodic reviews by MSCHE. Binghamton's last strategic plan, conceived in 2005, focused on four strategies: 1) investing in academic excellence, innovation, growth and diversification; 2) enhancing engagement and outreach; 3) creating an adaptive infrastructure to support its mission; and 4) fostering a campus culture of diversity, respect and success. The University has made significant progress in incorporating assessment into the planning cycle and ensuring that the resultant objectives and goals play an important role in the resource allocation process. Broad participation in the planning process is evident and analysis of data and benchmarking play a role in that process. The planning process is overseen by a Strategic Planning Committee and consists of members recruited widely across the university and corresponding to each Vice Presidential unit. The committee assessed each unit's progress on the strategies of the 2005 plan. That assessment was used to formulate the new 2010-2015 plan '*Distinguished Past, Innovative Future*'. Ample evidence of the inclusionary and deliberative nature of the process exists in the minutes of the meetings provided to the committee on the wiki. During the development of the plan a website allowed input into the plan from the Binghamton community and several faculty fora took place.

Binghamton is part of the State University of New York system which has recently completed its own strategic plan. That plan, *The Power of SUNY*, seeks to drive the revitalization of New York State through six major initiatives: entrepreneurship, seamless education, health, energy, community, and a global perspective. *Distinguished Past, Innovative Future* fits well within the context of the SUNY plan. The plan acknowledges the difficult financial circumstances of public higher education in New York and the upcoming change in leadership at Binghamton. The new plan is designed to be flexible and allow the university to respond to opportunities while providing a framework to guide decisions. In *Distinguished Past, Innovative Future*,

Binghamton University seeks to be educationally exemplary, innovative, collaborative, global, resourceful and technological.

Implementation of the strategic plan has been reviewed yearly at the VP/Dean level by a summer assessment retreat led by the President. At the retreat each unit's VP presents the progress made during the previous year. Deans do the same for each college. Evidence of the progress made by the major units is presented in 'star charts'. Monitoring reports provided by the VP's document the on-going assessment of progress towards the plan. These reports detail accomplishments, shortfalls and actions necessary to overcome shortfalls. It is clear that a great deal of assessment is done to ensure plan implementation. It has been established through interviews that collaboration occurs to enable units to achieve their objectives when that achievement requires the assistance of another unit.

Strategies and objectives for the new plan are expressed as Key Performance Indicators in the appendix of the self-study. These KPIs contain a mix of activity, resource and outcome measures. Thus, units will be engaged in activities with benchmarks and expectations. Examination of the benchmarks indicates that the plan is ambitious, but appropriate.

- Sub-committees corresponding to each VP unit have been formed to respond to the MSCHE accreditation self-study. We suggest that these committees become permanent committees dedicated to ensuring follow-through on plan actions and objectives.

Authority for fiscal and space planning decisions to fuel the plan resides with the Vice Provost for Strategic and Fiscal Planning. This administrator chairs an Operations Group and leads the Office of Strategic and Fiscal Planning (OSFP). These groups are responsible for communication across the various units. The process for funding is clearly documented and authority for leading the process is well established in a communication from the President. Binghamton should be commended for the process by which resource allocation is tied to achievement of the strategic plan. Allocations are based upon responses to requests made by individual units, and the actual allocations are tabulated according to the objectives to which they are applied in the strategic plan. Units submit requests to the appropriate Vice President. Each Vice President reviews requests and develops a budget proposal under various scenarios of increases and cuts. Proposals must align with strategic objectives for the division. Requests are prioritized following analysis by the OSFP. Units include budget, space, and capital requests in their submissions. The OSFP works closely with the Operations Group, the VPs and the Faculty Senate Budget Review Committee before making recommendations to the President.

Planning and implementation at the level of academic departments is guided by external program review. Program review appears to be regular and in depth. It begins with a self-study and is followed by a site visit by external experts. Evidence of these periodic reviews is presented in the self-study. Budget requests for academic units then incorporate resource requests that derive from the program reviews. It is clear that considerable progress has been made across the board on those issues that have been cited by the visiting committees during the periodic reviews. The majority of issues raised in reviews have been ameliorated for those reviews conducted through 2008. This implies that the recommendations from external reviews are given great weight by

the OSFP and VPs. It is also clear from an examination of the periodic review documentation in the self-study that those issues which have not yet been addressed are those which require rather large commitments of resources, such as new hires and new equipment.

- We suggest that an opportunity exists with the release of the strategic plan to more strongly brand the university as a research university strongly committed to undergraduate education. A tension between research and teaching missions is sometimes perceived by both students and faculty. A strong message that reinforces the value of research and graduate education to the exemplary undergraduate education at Binghamton is important to both external and internal constituents. This message could include the increased attractiveness of Binghamton to the best faculty and the transformative impact of undergraduate research on Binghamton students. The university would be well served by communicating its gains, improvements, and outcomes from the plan and explaining and publicizing these on a more regular basis.
- There are slight discrepancies between the wording of the strategic plan and the university's websites regarding goals. While these are minor they may lead to some confusion. We suggest that the university's website be brought into conformity with the new plan: the Mission, Vision & Values website has different themes from the strategic plan. The website lists: world-wise, innovative, engaged while the plan says: technological, resourceful, global, collaborative. Clearly world-wise and global represent similar things, but the 'brand' is lost when different terms are used. Furthermore some aspects of the plan are not included on the website. This may incorrectly imply that they are less important values or goals.

### Standard 3: Institutional Resources

The University meets this standard.

In the Standards of Excellence document, two components of the standard are described. First there is the "quantity" aspect and the second is the effective and efficient use of resources.

As discussed in the Standards, resources are broadly defined and include human, financial, and facilities. In reviewing the Self-Study and other information available, it appears that Binghamton has adequate resources to accomplish its mission, at least overall. While the Self-Study makes no mention of critical mission elements not being accomplished as a result of a lack of resources; this should not be interpreted that there are no needs at the University.

As it is part of SUNY, separate audited financial statements are not available on campus. However, there are annual IPEDS reports for each campus. Based on the three recent (FY 07, 08 and 09) reports, Binghamton is spending more than it is bringing in. The results were \$4.7 million, FY 07, -\$15.8 million in FY 08 and -\$6.1 in FY 09. This should be viewed in the context of unrestricted net assets of \$23.3 million at the close of FY 09. In discussions with a number of senior members of the administration it was confirmed that the university planned to have deficit spending in order to provide the necessary resources to move forward with the

University's strategic plan. The overall level of spending in the same three period has risen from \$336.2 to \$371.8 million. In material provided during the course of the visit, the University provided some additional analysis which showed the reductions in the Educational and General (E&G) on campus. University administration indicates they have a plan to continue expense reduction on the one hand and enhance certain revenues on the other to achieve a balanced budget in a few years.

The 2009 Campus Statement indicated that the University has 3.1 million net assignable square feet, of which 1.9 million is for instruction and research and 1.2 million is for residential facilities. 47.2% of the gross square feet are greater than 40 years old. The Self-Study and other material describe an active maintenance program. The University has upgraded facilities and developed flexible labs as part of the program. There are several major construction projects now underway which will further increase the campus facilities. The University has in place an aggressive facilities maintenance program which helps to assure continued quality of facilities. Further, the plant personnel have actively pursued energy management. The University reports that there will be a reduction of \$1.3 (18%) million in costs of energy in the three years ending June 2011. Some of these savings have been allocated to continue to fund the initial costs of improvements. Savings have also been used to assist in mitigating reductions in State appropriations.

Although the State support for operations has been reduced, there has been on-going support for capital projects. In addition to the new facilities mentioned above, there are significant additions of equipment that were funded by the State. This relieves the operating budget of a substantial call on resources.

The Self-Study does not provide information with respect to human resources in general. However, the plans would appear to call for a number of positions, both faculty and staff to accomplish the future goals.

While there are fewer employees now on campus, the University indicates that there are sufficient personnel to implement the critical elements of the Strategic Plan. The administrative personnel with whom the team met appear to be competent, energetic and aware of the Strategic Plan and how their specific area contributed to the success of the plan.

The University is in the process of updating its Information Technology Long-Range Plan. The draft indicates that the 2003 Plan has been largely implemented. The document describes a robust program of high-speed connectivity, access to Internet 2 and a more decentralized and responsive technical support environment. The faculty, students and staff with whom we met indicated that there were at least adequate IT resources on campus.

Turning to the allocation of resources, the Self-Study provides a description of a budget process tied to strategic objectives and accomplishments. There is a chart in the Self-Study section on resources which outlines a process to receive requests and to allocate funds. It appears that the Office of Strategic and Fiscal Planning is charged to analyze and prioritize the requests, and with

dialog with the vice presidents, make a recommendation to the President. The President reviews the budget, makes adjustment and approves the budget for release to the units.

There appears to be considerable discussion on the expense side of the budget but very limited discussion of income. While tuition and appropriations are the two main sources, it is, according to the chart, an "all funds" budget. This means that other income such as Foundation proceeds, are factored into the evaluation and allocation process. It is not clear how this is accomplished. There is a limited discussion of the Foundation. Based on information on the web, the Foundation Board includes both alumni and other "friends" of the university. Separately incorporated, the Foundation has considerable assets, largely endowed funds. The majority of the funds are restricted to the endowment.

Although the selected topics approach included resources as an area of focus, the Self-Study does not contain any budget projections. The Strategic Plan calls for significant increase in expenditures associated with the change in student-teacher ratio, for example. There is no translation of this most worthy objective to a dollar cost. This same pattern is present with most of the other objectives in the Strategic Plan. It would be most helpful to fully cost-out the plan on the expense side. A new law school may generate some net revenue after start-up. Other programs are expected to have enrollment growth. Projections of tuition and related state support could be projected. While the assumptions would need to be clearly stated, they would provide a road map of expectations so that when the inevitable changes occur, the university would have a starting point from which to measure the impact.

Also, there does not appear to be much discussion of the other funds available on campus. While it may be close to a zero sum game, can the university allocate additional costs to these activities? While tuition policy is under review in Albany, can "user" fees be charged for new services, or services provided beyond some value e.g., charges after the first X pages of printing in computer center? As the Self-Study does not discuss revenue, it is not clear if the university has undertaken such analytical reviews recently. The university reported that it planned to use the reserves in the last two years when it set the budget.

In the same vein, there is very limited discussion of the use of the proceeds of either the completed or proposed capital campaigns. The overall amount and several potential uses are mentioned. However, the Self-Study contains no details as to how this may directly support the Strategic Plan. For example, if \$X is raised for scholarships or fellowships, how many of the projected new graduate students could be supported? What is the impact of changes to the spending policy for the endowment? How is that factored into the revenue picture? In discussions with University and Foundation personnel, they report that the current policy permits 4-5% spending, based on the trailing five years' performance.

The University should be commended for the well developed program that clearly links the budget and the Strategic Plan, as laid out in the Self-Study and confirmed in discussions with faculty and administrators. The new Strategic Plan sets some very ambitious targets for the University and will require additional resources to implement the Plan. By contrast, there is little discussion of revenues in the Self-Study.

- It is suggested that the University consider applying more rigor to the costing of the new Plan and the identification of resources to implement the Plan. It is understood that the current economic conditions as well as the Presidential transition make these projections more difficult at this time. However, documenting the revenue and expense projections in a more formal process should assist the University in tracking the inevitable changes that will occur.

**Standard 7: Institutional Assessment**

The university meets this standard.

As noted in relation to Standards 1 through 3, Binghamton University employs a systematic approach to planning, allocating resources, and assessing progress using an array of qualitative and quantitative evidence. The use of assessment has been consistent and the processes and level of sophistication continually refined through four multi-year strategic plans since 1992. The University's systematic approach has also been embedded within the strategic plan that will guide development over the next five years.

The University's commitment to assessment is well-documented and permeates the organization through all academic and administrative programs. All administrative and academic units develop goals and objectives commensurate with the strategic objectives. Budget allocation is guided by the alignment of priorities within this broad framework, and progress toward objectives is monitored through both program- and institution-level assessment. Dashboard metrics have been used recently to chart progress and annual reports require all units to be accountable to accomplishments related to stated objectives and to plan for future activities within this common framework.

At the core of Binghamton University's institutional assessment efforts is a well-designed and well-managed student learning outcomes assessment program. The program engages faculty in meaningful ways around the assessment of both general education and major learning outcomes. Assessment includes systematic review of programs and general education courses using a range of quantitative and qualitative approaches, including common rubrics (aligned with SUNY-wide efforts) and portfolios that are evaluated by faculty teams. Faculty meet regularly to review assessment results and discuss their implications for improving programs, curricula, and courses. There are many examples of changes and innovations that have emerged from these discussions. The learning outcomes assessment program has been developing at a reasonable rate of progress and those advances have been tracked using a rubric-based framework. Aspects of institutional assessment related more specifically to learning outcomes assessment are further addressed under Standard 14.

Institutional assessment at Binghamton University appears to be pervasive and to meet the essential requirements of Middle States Standard 7. The processes, guidelines and timelines appear to be clear and realistic. There is well documented use of assessment throughout planning, budgeting and accountability activities.

The following suggestions are offered to assist Binghamton University faculty and staff with refining further their assessment efforts:

- Place more emphasis on performance measures that relate to the outcomes and impacts of programs and activities. Current institutional assessment measures include many that focus on the completion of planned activities or counts of human and fiscal resources available for use. More emphasis can be placed on measures of impact, that is, how those activities or increased resources have affected the quality of the educational experience for students (e.g., learning gains), the development of new ideas, products or services (e.g., citation impacts and technology transfer), or the quality of life among local, national and international communities (e.g., quality of patient services, contributions to the community by students in service learning classes)
- One of Binghamton University's core values is the quality of its undergraduate program. This is currently recognized through traditional measures of selectivity (e.g., percent of applicants selected, SAT scores and associated high retention and completion rates), rather than by more direct measures related to the quality of teaching and learning. The college choice preferences of top students will be influenced positively by institutions that can develop compelling evidence of program and course quality. Given concurrent aspirations to expand further Binghamton's research intensity, it will be especially important to develop and communicate assessment evidence that demonstrates how strong research and graduate programs can enhance the quality and impact of undergraduate programs.
- Rather than using peer groups as generic comparators for a variety of purposes, consider using sets of aspirational institutions to provide focus and develop more substantive meaning for each of the strategic objectives (e.g., institutions that are educationally exemplary ...; institutions that are innovative ...; institutions that are collaborative ...; and so on). A qualitative benchmarking approach can be used to simultaneously identify appropriate institutions as well as the types of programs and strategies that Binghamton University can adapt to advance its strategic objectives.
- As The University's staff further develops dashboard monitoring systems and other business analytic tools, faculty and staff teams should explore emerging effective practices in the visual display of information and effective use of business intelligence techniques within higher education institutions. The work of John Rome at Arizona State University is a leading example of the application of such models in higher education, as is the more general scholarship and consulting work of Stephen Few of the University of California, Berkeley.
- We suggest the University develop more systematic and integrated program evaluation capacities, focusing especially on key business and academic processes related to strategic goals. Faculty with expertise in program evaluation can be useful resources for defining requirements and practical uses for such capacities and could even be included as part of teams that deploy these capacities in service to the strategic objectives. This can also be linked with the suggestion made under Standard 6 regarding risk assessment.

### **C. Standards Reviewed via Documentation**

Based on the review of documentation, the team has determined that the institution meets the following standards:

#### **Standard 4: Leadership and Governance**

The documentation provided in support of this standard is extensive and provides an overview of the governance structure both within the university and in the SUNY system.

#### **Standard 5: Administration**

The university is currently in a period of transition, with interim appointees in key positions, including the President and Provost. Aside from this finding, there is ample evidence that current administrators are highly qualified for their positions and that, under the former President, there was a strong administrative structure, with decision-making driven by clearly articulated institutional priorities. There is no reason to doubt that this will continue.

#### **Standard 6: Integrity**

The University Bulletin sets forth a Student Academic Honesty Code, and several other documents strongly support the university's fulfillment of this standard. In the recent past, the university experienced violations of integrity and ethics that occurred within the men's basketball program. Several corrective actions have been taken, some of which are still in progress or pending approval. The university is reporting to the Commission on these matters in a separate document that is not part of this review.

- We suggest the development of a more systematic and integrated program of risk assessment and management focusing especially on key business and academic processes related to strategic goals.

#### **Standard 8: Student Admissions and Retention**

The institution generally admits students with the strong preparation and credentials to be successful at the university. Students at risk for academic difficulty are targeted for special programs and services, and the University provides ample support for the success of all students.

#### **Standard 9: Student Support Services**

The institution provides the necessary support to allow its students to attain the goals the institution sets for them.

#### **Standard 10: Faculty**

The university's faculty have excellent academic credentials, with a large majority having doctoral degrees and professional training from first-rate public and private institutions in the United States and around the world. The Faculty Senate plays an important role in governance, particularly in curriculum and program development, and there is evidence of faculty input in matters affecting them at the unit level, as well as in the appointment of chairs, program directors, and administrators. The online Faculty Handbook contains extensive information about policies and procedures, including those that concern personnel actions. There is also ample evidence of supports for professional development.

#### **Standard 11: Educational Offerings**

The university's curriculum provides an academic rigor appropriate to its mission.

#### **Standard 12: General Education**

The university has a well-defined general education program that has articulated learning outcomes, which have been assessed in varying degrees, with both direct and indirect indicators of student learning outcomes. Academic programs have identified specific courses that address the general education objectives and the degree to which they do so. There is also a summary of the kinds of indicators used for assessment, many of which are indirect and based on student and alumni surveys.

#### **Standard 13: Related Educational Activities**

Documentation has been provided for all of the fundamental elements of this standard, insofar as they are applicable.

#### **Standard 14: Assessment of Student Learning**

Assessment reports reveal in particular that direct measures of learning (e.g., authentic performance assessments evaluated using rubrics and exams linked closely to learning goals) provide the most effective basis for identifying areas for curricular and pedagogical improvements.

- We suggest that Binghamton University's faculty and staff should continue to emphasize the development and use of direct assessments to link assessment more closely with exemplary education.

### **VI. Summary Recommendations Requiring Follow-Up Action and Requirements**

The accreditation team has no recommendations for follow-up actions or requirements.

# Appendix 2.3.1

## **Construction Projects, Renovations and Strategic Initiatives**

### **Appendix 2.3.1**

1. Admissions Center: Student Services offices including admissions, student accounts, financial aid and registrar
2. Nelson Rockefeller Renovations: Critical maintenance/HVAC renovation
3. East Drive Reconstruction: New gas line, walkways, speed tables, road surface and plantings to improve safety
4. 48 Corliss Avenue: Initial planning study for use of building adjacent to site of new School of Pharmacy and Pharmaceutical Sciences building
5. Smart Energy building: Research and administrative offices for Chemistry and Physics
6. Lecture Hall Student Wing Renovation: Project to create 20 new state-of-the-art classrooms and provide updated facilities for the Cinema department
7. Old O'Connor and Old Johnson Renovations: Office space for Division of Advancement, Counseling, Geography Department and classrooms
8. Old Champlain Renovation: Facilities for Harpur Advising, Globalization Center, Korean Center and departments serving international students
9. Old Whitney Renovation: Classrooms, facilities and offices for the Math Department
10. Library Renovations: Classrooms and Cinema Department facilities
11. Science II Teach Lab Upgrades
12. Engineering Building A-Pod Renovations: Research
13. Recreation Turf Field: Facility for club and intramural sports
14. School of Pharmacy and Pharmaceutical Sciences: New building for new school and research
15. Southern Tier High Technology Incubator: Research
16. East Campus Housing Gas Line/Boiler Installations
17. Old Digman Renovations: Student housing
18. Sidewalk Safety Improvement Projects
19. Central heating Plant Upgrades: Critical maintenance and pollution controls
20. Emergency Generator Replacements
21. Rafuse and Digman Renovations: Classrooms
22. Classroom upgrades throughout the campus
23. Engineering and Science Buildings: Research and Administration Offices
24. Center of Excellence: Research
25. Student Services Wing; University Union North
26. Marketplace dining area; University Union North
27. East Gym: Student recreation
28. Harpur Quad: Infrastructure upgrade
29. Science V: Research facilities upgrade and expansion

# Appendix 2.8.1

### Tenure-Track Contributions to Mission

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Lab/ Activity SCH	Book, eBook	Book Chapter	Book Review	Journal Article	Conference Pub, Encyclopedia Entry, Creative Composition, Translation	Editor of a Book or Book Chapter	Conference/Poster Presentation or Technical Report	Individual Lecture, Reading	Keynote, Exhibition, Performance, Curator	Release Time [salary + fringe]	Research Expenditures	Total Credit Hours
Psychology	2014-2015	Faculty Member 1	P	Yes		2.00	2.00	980	7	68					4			13	3			133,088	1,055
Psychology	2014-2015	Faculty Member 2	aP	Yes		2.00	2.00	96	8	33	102							8	1			40,929	239
Psychology	2014-2015	Faculty Member 3	P	Yes		2.00	2.00	34	5	27					18			3				31,304	66
Psychology	2014-2015	Faculty Member 4	P	Yes		2.00	2.50	138	4	18	170							2					330
Psychology	2014-2015	Faculty Member 5	P	Yes		2.00	2.00	992	14	18					7			10				756,706	1,024
Psychology	2014-2015	Faculty Member 6	aP	Yes		2.00	2.00	172	1	4					1			3					176
Psychology	2014-2015	Faculty Member 7	P	Yes		2.00	2.50	597	7	45					2			5				603,175	649
Psychology	2014-2015	Faculty Member 8	P	Yes		2.00	3.00	356		24								2					380
Psychology	2014-2015	Faculty Member 9	AP	No		2.00	4.00	1,404															1,404
Psychology	2014-2015	Faculty Member 10	P	Yes	Chair	2.00	1.00	24	11	44					2			4				14,691	79
Psychology	2014-2015	Faculty Member 11	P	Yes		1.00	1.00	48	14	46					9			21	2			12,004	108
Psychology	2014-2015	Faculty Member 12	AP	Yes		2.00	3.00	118	1	14	166				2			2	2			4,683	299
Psychology	2014-2015	Faculty Member 13	P	Yes		2.00	1.00	100	12	27	199				1			2					338
Psychology	2014-2015	Faculty Member 14	P	Yes		2.00	2.00	912	26	53					2			2				32,214	991
Psychology	2014-2015	Faculty Member 15	AP	Yes		2.00	1.00	56	10	15					1			2					81
Psychology	2014-2015	Faculty Member 16	AP	Yes		2.00	2.00	594	11	67					4			1					672
Psychology	2014-2015	Faculty Member 17	aP	Yes		2.00	3.00	880	9	60	202				1			11	1			230,164	672
Psychology	2014-2015	Faculty Member 18	DP	Yes		2.00	2.00	1,072	11	14					5			2				102,574	1,151
Psychology	2014-2015	Faculty Member 19	P	No		2.00	0.00		3	106					1			2					1,097
Psychology	2014-2015	Faculty Member 21	DP	Yes		2.00	4.00	641	55	56					9			3					109
Psychology	2014-2015	Faculty Member 22	AP	Yes		2.00	2.00	66	1	47					8			2		1			752
Psychology	2014-2015	Faculty Member 23	DP	Yes		2.00	3.00	590	2	18					4			8	2				114
Psychology	2014-2015	Faculty Member 24	aP	Yes		2.00	2.00	500	1	44					5				1				610
Psychology	2014-2015	Faculty Member 25	I	Yes		2.00	3.00	3,876		101									4				545
Psychology	2014-2015	Faculty Member 26	DSP	Yes		2.00	4.00	202	3	8	166				4			2				3,008,375	3,977
Psychology	2014-2015	Faculty Member 27	AP	No		2.00	3.00	500		93													593
Psychology	2014-2015	Faculty Member 29	P	Yes		2.00	3.50	43	2	50					1			2				11,995	95
Psychology	2014-2015	Faculty Member 30	DP	Yes		2.00	0.00		19	39					14			8	3			23,972	58
Psychology	2014-2015	Faculty Member 32	aP	Yes		2.00	1.00	548	19	56								20	1			801,601	623
Psychology	2014-2015	Faculty Member 33	P	Yes		2.00	3.00	548							4			1		1		172,924	548
Psychology	2014-2015	Faculty Member 34	aP	Yes		2.00	3.00	776	26	14					2			4					816
Psychology	2014-2015	Faculty Member 35	AP	Yes		2.00	2.00	912	2	36					2			1					950
						63.00	71.50	17,775	283	1,245	1,005	0	13	0	105	19	2	142	23	3	161,429	#####	20,308

Potential # of Courses @ 2+2: 126  
 Actual # of Courses: 71.50  
 % of Potential: 57%  
 Total Credits/Semesters Available: 282

i.e. the average number of credits an average person teaches in a semester

### Tenure-Track Contributions to Mission

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Lab/ Activity SCH	Book, eBook	Book Chapter	Book Review	Journal Article	Conference Pub, Encyclopaedia Entry, Creative Composition, Translation	Editor of a Book or Book Chapter	Conference/Poster Presentation or Technical Report	Individual Lecture, Reading	Keynote, Exhibition, Performance, Curator	Release Time [salary + fringe]	Research Expenditures	Total Credit Hours
Psychology	2013-2014	Faculty Member 1	AP	Yes		2.00	2.00	1,048	20	55					4			8	2		32,001	161,745	1,123
Psychology	2013-2014	Faculty Member 2	aP	Yes		2.00	3.00	680	15	51	90	1						9					836
Psychology	2013-2014	Faculty Member 3	AP	Yes		2.00	2.00	1,218	7	52					5			10				7,484	1,277
Psychology	2013-2014	Faculty Member 4	P	Yes		2.00	2.50	50	14	43	134				2			2					241
Psychology	2013-2014	Faculty Member 5	AP	Yes		2.00	2.00	54	14	10		1			3			9				272,616	78
Psychology	2013-2014	Faculty Member 6	P	Yes		2.00	2.50	595	30	30					1		1	4				426,747	655
Psychology	2013-2014	Faculty Member 8	P	Yes	S Sabb	1.00	2.00	332	14	51					3			1				53,573	397
Psychology	2013-2014	Faculty Member 9	AP	No		2.00	4.00	1,508														54,931	1,508
Psychology	2013-2014	Faculty Member 10	P	Yes	Chair	1.00	0.00		20	46					2			2					66
Psychology	2013-2014	Faculty Member 11	P	Yes		2.00	1.00	12	26	35					7			18			11,997	934,609	73
Psychology	2013-2014	Faculty Member 12	AP	Yes		2.00	4.50	156	30	20	244				3			4					420
Psychology	2013-2014	Faculty Member 13	P	Yes		2.00	2.00	122	6	17	201				2			3					346
Psychology	2013-2014	Faculty Member 14	P	Yes		2.00	2.00	876	18	86					3			2					980
Psychology	2013-2014	Faculty Member 15	aP	Yes		2.00	1.00	44	2	29					1			1					75
Psychology	2013-2014	Faculty Member 16	AP	Yes		2.00	2.00	724	16	62					3			6			12,002	216,366	802
Psychology	2013-2014	Faculty Member 17	aP	Yes	F Dn Res	1.00	1.00	892	6	68	138				2			7				128,182	1,104
Psychology	2013-2014	Faculty Member 18	DP	Yes		2.00	2.00	940	9	14					8			4					963
Psychology	2013-2014	Faculty Member 19	P	Yes		2.00	2.00	920	6	116					1			4					1,042
Psychology	2013-2014	Faculty Member 20	DTP	Yes		2.00	2.00	912	12	4					4			4				46,232	928
Psychology	2013-2014	Faculty Member 21	DP	Yes		2.00	3.00	639	29	76		2			6			3					744
Psychology	2013-2014	Faculty Member 22	AP	Yes		2.00	2.00	56		28					1			1					84
Psychology	2013-2014	Faculty Member 23	DP	Yes		2.00	1.00	32	4	5					11			6					41
Psychology	2013-2014	Faculty Member 24	aP	Yes	S Hire	1.00	1.00	96							2			1					96
Psychology	2013-2014	Faculty Member 25	I	Yes		2.00	7.00	4,008		65													4,073
Psychology	2013-2014	Faculty Member 26	DSP	Yes	F Sabb	1.00	2.50	124	3	2	80							2			12,701	2,714,864	209
Psychology	2013-2014	Faculty Member 27	AP	No		2.00	3.00	568		67													635
Psychology	2013-2014	Faculty Member 29	P	Yes		2.00	3.50	46	33	58	194				2			2				177,133	331
Psychology	2013-2014	Faculty Member 30	DP	Yes		2.00	0.00		19	46					17			12			49,668	683,525	65
Psychology	2013-2014	Faculty Member 31	DP	Yes		2.00	0.00			12					7			4					
Psychology	2013-2014	Faculty Member 32	aP	Yes		2.00	0.00		3	23					2			1			91,458	149,526	26
Psychology	2013-2014	Faculty Member 33	P	Yes		2.00	4.00	355	2	7					1			2					364
Psychology	2013-2014	Faculty Member 34	aP	Yes		2.00	2.00	128	11	30					4			13				508	169
Psychology	2013-2014	Faculty Member 35	AP	Yes		2.00	2.00	892	13	24					2			1					929
						61.00	70.50	18,026	352	1,232	1,081	5	5	1	107	9	2	141	15	4	209,827	#####	20,691

Potential # of Courses @ 2+2: 122  
 Actual # of Courses: 70.50  
 % of Potential: 58%  
 Total Credits/Semesters Available: 296

i.e. the average number of credits an average person teaches in a semester

### Tenure-Track Contributions to Mission

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Lab/ Activity SCH	Book, eBook	Book Chapter	Book Review	Journal Article	Conference Pub, Encyclopedia Entry, Creative Composition, Translation	Editor of a Book or Book Chapter	Conference/Poster Presentation or Technical Report	Individual Lecture, Reading	Keynote, Exhibition, Performance, Curator	Release Time [salary + fringe]	Research Expenditures	Total Credit Hours
Psychology	2012-2013	Faculty Member 1	AP	Yes	F Sabb	1.00	1.00	964	17	60					4			12	1		12,000	285,496	1,041
Psychology	2012-2013	Faculty Member 2	aP	Yes		2.00	2.00	122	26	37	36				4	1		8					221
Psychology	2012-2013	Faculty Member 3	AP	Yes		2.00	2.00	156	24	18					1			3				5,885	198
Psychology	2012-2013	Faculty Member 4	P	Yes		2.00	2.00	180	4	45	118				2			4					347
Psychology	2012-2013	Faculty Member 5	AP	Yes	Exec Assn position	0.80	0.00	461	4	14					2			7					18
Psychology	2012-2013	Faculty Member 7	P	Yes		2.00	2.50	160	14	11					2			6			2,001	390,767	486
Psychology	2012-2013	Faculty Member 8	P	Yes		2.00	3.00	160	14	89					3			7	3			112,027	263
Psychology	2012-2013	Faculty Member 9	AP	No		2.00	4.00	1,388	13													2,764	1,401
Psychology	2012-2013	Faculty Member 10	AP	Yes	Chair	1.00	3.00	687	12	42					5			6				59,249	741
Psychology	2012-2013	Faculty Member 11	AP	Yes		2.00	1.00	68	20	81					4			14		2	11,997	768,283	169
Psychology	2012-2013	Faculty Member 12	AP	Yes	S Hire	1.00	1.00	34			78				2			4					112
Psychology	2012-2013	Faculty Member 13	P	Yes		2.00	2.00	70	2	30	189				3							500	291
Psychology	2012-2013	Faculty Member 14	AP	Yes		2.00	2.00	908	6	35					2			4	1	1			949
Psychology	2012-2013	Faculty Member 15	AP	Yes		2.00	1.00	68	2	10								2					80
Psychology	2012-2013	Faculty Member 16	AP	Yes		2.00	2.00	724	6	61					1	1		3			12,003	113,565	785
Psychology	2012-2013	Faculty Member 17	aP	Yes		2.00	2.00	100	2	60	108							2				3,906	270
Psychology	2012-2013	Faculty Member 18	DP	Yes		2.00	2.00	740	9	20					6			1					769
Psychology	2012-2013	Faculty Member 19	P	No		2.00	1.00	92	4	120													216
Psychology	2012-2013	Faculty Member 20	DTP	Yes	Sabb	1.00	0.00	74	6						2			4					6
Psychology	2012-2013	Faculty Member 21	DP	Yes		2.00	3.00	74	12	78					1			7				620	164
Psychology	2012-2013	Faculty Member 22	AP	Yes	S Hire	1.00	1.00	20							1								20
Psychology	2012-2013	Faculty Member 23	DP	Yes		2.00	1.00	64	4						8			11		1			68
Psychology	2012-2013	Faculty Member 25	L	Yes		2.00	4.00	1,936		40													1,976
Psychology	2012-2013	Faculty Member 26	DSP	Yes		2.00	5.00	182	18	8	178							3				2,716,651	386
Psychology	2012-2013	Faculty Member 27	AP	No		2.00	6.00	708		54													762
Psychology	2012-2013	Faculty Member 28	aP	Yes		2.00	0.00	129	16	43								2		1	10,115	242,568	97
Psychology	2012-2013	Faculty Member 29	P	Yes		2.00	3.50	129	17	54	218				13			11		1	64,692	1,035,116	406
Psychology	2012-2013	Faculty Member 30	DP	Yes		2.00	0.00	17	54						1			7		2		667,807	47
Psychology	2012-2013	Faculty Member 31	DP	Yes		2.00	0.00		2	45					8			2					78
Psychology	2012-2013	Faculty Member 33	P	Yes		2.00	3.00	74	2	2					1			2	1			5,408	78
Psychology	2012-2013	Faculty Member 34	aP	Yes		2.00	3.00	806	5	49					1			5				55,750	862
Psychology	2012-2013	Faculty Member 35	AP	Yes		2.00	2.00	994	8	40								2					1,042
						57.80	65.00	11,911	250	1,256	925	0	8	83	5	0	0	139	8	8	112,808	#####	14,342

Potential # of Courses @ 2+2: 115.6  
 Actual # of Courses: 65.00  
 % of Potential: 56%  
 Total Credits/Semesters Available: 206

i.e. the average number of credits an average person teaches in a semester

### Tenure-Track Contributions to Mission

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Lab/ Activity SCH	Book, eBook	Book Chapter	Book Review	Journal Article	Conference Pub, Encyclopedia Entry, Creative Composition, Translation	Editor of a Book or Book Chapter	Conference/Poster Presentation or Technical Report	Individual Lecture, Reading	Keynote, Exhibition, Performance, Curator	Release Time [salary + fringe]	Research Expenditures	Total Credit Hours
Psychology	2011-2012	Faculty Member 1	AP	Yes		2.00	2.00	1,048	31	62					4			11	7		11,000	346,289	1,141
Psychology	2011-2012	Faculty Member 2	aP	Yes	S Dn Res	1.00	1.00	28	11	43	30				2			2	4				112
Psychology	2011-2012	Faculty Member 3	AP	Yes		2.00	2.00	964	15	34					3			8	1			65,628	1,013
Psychology	2011-2012	Faculty Member 4	P	Yes		2.00	2.00	108		44	110				1			2					262
Psychology	2011-2012	Faculty Member 5	AP	Yes	Exec Assn position	0.80	0.00								7			6				209,711	0
Psychology	2011-2012	Faculty Member 7	P	Yes		2.00	2.00	348	7	17					1			2	3			329,143	372
Psychology	2011-2012	Faculty Member 8	P	Yes		2.00	3.00	296	14	119					1			10				134,643	429
Psychology	2011-2012	Faculty Member 9	AP	No		2.00	4.00	1,432															1,432
Psychology	2011-2012	Faculty Member 10	AP	Yes		2.00	4.00	263	8	54								3				46,603	325
Psychology	2011-2012	Faculty Member 11	AP	Yes		2.00	1.00	84	10	58					7			15	2		11,002	743,501	152
Psychology	2011-2012	Faculty Member 13	P	Yes		2.00	2.00	124	2	28	192				2			2	2				346
Psychology	2011-2012	Faculty Member 14	AP	Yes		2.00	2.00	740	4	68					3			2	2				812
Psychology	2011-2012	Faculty Member 15	AP	Yes	Chair	1.00	1.00	80	4	24					2			1					108
Psychology	2011-2012	Faculty Member 16	AP	Yes		2.00	3.00	720	2	115								3					837
Psychology	2011-2012	Faculty Member 17	aP	Yes		2.00	1.00	48		45	76				3			1	2				169
Psychology	2011-2012	Faculty Member 18	DP	Yes		2.00	2.00	540	8	20					1			6	1				568
Psychology	2011-2012	Faculty Member 19	P	No	S Sabb	1.00	2.00	696	12	98					1								806
Psychology	2011-2012	Faculty Member 20	DTP	Yes		2.00	2.00	586	4	154					1			4				27,793	744
Psychology	2011-2012	Faculty Member 21	DP	Yes		2.00	4.00	549	26	97					6			4	3	1			672
Psychology	2011-2012	Faculty Member 23	DP	Yes		2.00	2.00	500	27						1			17				28,430	527
Psychology	2011-2012	Faculty Member 25	L	Yes		2.00	6.00	4,944		63	182				10								5,189
Psychology	2011-2012	Faculty Member 26	DSP	Yes		2.00	7.00	204	32	8	268				5			6		2	30,710	2,803,541	512
Psychology	2011-2012	Faculty Member 27	AP	No		2.00	4.00	526		2													528
Psychology	2011-2012	Faculty Member 28	aP	Yes		2.00	1.00	64		45											63,569	214,811	109
Psychology	2011-2012	Faculty Member 29	P	Yes		2.00	3.00	109	9	17	218				5			3	1			86,276	353
Psychology	2011-2012	Faculty Member 30	DP	Yes		2.00	0.00		26	69					15			17	2		192,518	1,457,365	95
Psychology	2011-2012	Faculty Member 31	DP	Yes		2.00	0.00		2	24					10			6				842,076	26
Psychology	2011-2012	Faculty Member 33	P	Yes		2.00	3.00	374	16	7					2							88,681	397
Psychology	2011-2012	Faculty Member 34	aP	Yes		2.00	1.00	540	12	25					2			3	1		85,064	35,487	577
Psychology	2011-2012	Faculty Member 35	AP	Yes		2.00	2.00	656	16	38					1			2					710
						55.80	69.00	16,571	298	1,378	1,076	0	6	0	95	6	0	136	33	3	393,863	#####	19,323

Potential # of Courses @ 2+2: 111.6  
 Actual # of Courses: 69.00  
 % of Potential: 62%  
 Total Credits/Semesters Available: 297

i.e. the average number of credits an average person teaches in a semester

**Tenure-Track Contributions to Mission  
By Faculty**

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Book, eBook	Book Chapter	Journal Article	Conference Pub, Encyclopedia Entry, Creative Composition, Translation	Editor of a Book or Book Chapter	Research Expenditures
Psychology	2014-2015	Faculty Member 1	P	Yes		2.00	2.00	980	7	68			4			133,088
Psychology	2013-2014	Faculty Member 1	AP	Yes		2.00	2.00	1,048	20	55			4			161,745
Psychology	2012-2013	Faculty Member 1	AP	Yes	F Sabb	1.00	1.00	964	17	60			4			285,496
Psychology	2011-2012	Faculty Member 1	AP	Yes		2.00	2.00	1,048	31	62		1	4			346,289
<b>Faculty Member 1</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2</b>	<b>1010</b>			<b>0</b>	<b>1</b>	<b>16</b>	<b>0</b>	<b>0</b>	<b>926,617</b>
Psychology	2014-2015	Faculty Member 2	aP	Yes		2.00	2.00	96	8	33						40,929
Psychology	2013-2014	Faculty Member 2	aP	Yes		2.00	2.00	680	15	51	1					
Psychology	2012-2013	Faculty Member 2	aP	Yes		2.00	2.00	122	26	37			4	1		
Psychology	2011-2012	Faculty Member 2	aP	Yes	S Dn Res	1.00	1.00	28	11	43			2			
<b>Faculty Member 2</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2</b>	<b>232</b>			<b>1</b>	<b>0</b>	<b>6</b>	<b>1</b>	<b>0</b>	<b>40,929</b>
Psychology	2014-2015	Faculty Member 3	P	Yes		2.00	2.00	34	5	27			18			31,304
Psychology	2013-2014	Faculty Member 3	AP	Yes		2.00	3.00	1,218	7	52			5			7,484
Psychology	2012-2013	Faculty Member 3	AP	Yes		2.00	2.00	156	24	18			1			5,885
Psychology	2011-2012	Faculty Member 3	AP	Yes		2.00	2.00	964	15	34			3			65,628
<b>Faculty Member 3</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2</b>	<b>593</b>			<b>0</b>	<b>0</b>	<b>27</b>	<b>0</b>	<b>0</b>	<b>110,301</b>
Psychology	2014-2015	Faculty Member 4	P	Yes		2.00	2.50	138	4	18						
Psychology	2013-2014	Faculty Member 4	P	Yes		2.00	2.50	50	14	43			2			
Psychology	2012-2013	Faculty Member 4	P	Yes		2.00	2.00	180	4	45			2			
Psychology	2011-2012	Faculty Member 4	P	Yes		2.00	2.00	108		44			1			
<b>Faculty Member 4</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2</b>	<b>119</b>			<b>0</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>
Psychology	2014-2015	Faculty Member 5	P	Yes		2.00	2.00	992	14	18			7			756,706
Psychology	2013-2014	Faculty Member 5	AP	Yes		2.00	2.00	54	14	10	1		3			272,616
Psychology	2012-2013	Faculty Member 5	AP	Yes	Exec Asst position	0.80	0.00		4	14			2			
Psychology	2011-2012	Faculty Member 5	AP	Yes	Exec Asst position	0.80	0.00						7			209,711
<b>Faculty Member 5</b>		<b>Average section credit hours per year</b>				<b>1</b>	<b>1</b>	<b>523</b>			<b>1</b>	<b>1</b>	<b>19</b>	<b>0</b>	<b>0</b>	<b>1,239,033</b>

**Tenure-Track Contributions to Mission  
By Faculty**

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Book, eBook	Book Chapter	Journal Article	Conference Pub, Encyclopedia Entry, Translation	Editor of a Book or Book Chapter	Research Expenditures
Psychology	2014-2015	Faculty Member 7	P	Yes		2.00	2.50	597	7	45			2			603,175
Psychology	2013-2014	Faculty Member 7	P	Yes		2.00	2.50	595	30	30	2	1	1		1	426,747
Psychology	2012-2013	Faculty Member 7	P	Yes		2.00	2.50	461	14	11	2	2	2			390,767
Psychology	2011-2012	Faculty Member 7	P	Yes		2.00	2.00	348	7	17	0	4	6	0	1	329,143
<b>Faculty Member 7</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>500</b>				<b>0</b>	<b>4</b>	<b>6</b>	<b>0</b>	<b>1</b>	<b>1,749,833</b>
Psychology	2014-2015	Faculty Member 6	aP	Yes		2.00	2.00	172		4	0	0	1	0	0	0
<b>Faculty Member 6</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>172</b>				<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>
Psychology	2014-2015	Faculty Member 8	P	Yes		2.00	3.00	356		24						
Psychology	2013-2014	Faculty Member 8	P	Yes	S Sabb	1.00	2.00	332	14	51			3			53,573
Psychology	2012-2013	Faculty Member 8	P	Yes		2.00	3.00	160	14	89			3			112,027
Psychology	2011-2012	Faculty Member 8	P	Yes		2.00	3.00	296	14	119	0	0	7	0	0	134,643
<b>Faculty Member 8</b>		<b>Average section credit hours per year</b>				<b>3</b>	<b>286</b>				<b>0</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>300,242</b>
Psychology	2014-2015	Faculty Member 9	AP	No		2.00	4.00	1,404								
Psychology	2013-2014	Faculty Member 9	AP	No		2.00	4.00	1,508								54,931
Psychology	2012-2013	Faculty Member 9	AP	No		2.00	4.00	1,388		13						2,764
Psychology	2011-2012	Faculty Member 9	AP	No		2.00	4.00	1,432			0	0	0	0	0	57,694
<b>Faculty Member 9</b>		<b>Average section credit hours per year</b>				<b>4</b>	<b>1433</b>				<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>57,694</b>
Psychology	2014-2015	Faculty Member 10	P	Yes	Chair	1.00	1.00	24	11	44			2	1		14,691
Psychology	2013-2014	Faculty Member 10	P	Yes	Chair	1.00	0.00		20	46			2			
Psychology	2012-2013	Faculty Member 10	AP	Yes	Chair	1.00	3.00	687	12	42			5			59,249
Psychology	2011-2012	Faculty Member 10	AP	Yes		2.00	4.00	263	8	54	0	0	9	1	0	46,603
<b>Faculty Member 10</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>325</b>				<b>0</b>	<b>0</b>	<b>9</b>	<b>1</b>	<b>0</b>	<b>120,542</b>

**Tenure-Track Contributions to Mission  
By Faculty**

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Book, eBook	Book Chapter	Journal Article	Conference Pub, Encyclopedia Entry, Translation	Editor of a Book or Book Chapter	Research Expenditures
Psychology	2014-2015	Faculty Member 11	P	Yes		2.00	1.00	48	14	46	1	9				1,079,088
Psychology	2013-2014	Faculty Member 11	P	Yes		2.00	1.00	12	26	35		7				934,609
Psychology	2012-2013	Faculty Member 11	AP	Yes		2.00	1.00	68	20	81		4				768,283
Psychology	2011-2012	Faculty Member 11	AP	Yes		2.00	1.00	84	10	58		7				743,501
<b>Faculty Member 11</b>		<b>Average section credit hours per year</b>				<b>1</b>	<b>2.83</b>	<b>53</b>			<b>0</b>	<b>1</b>	<b>27</b>	<b>0</b>	<b>0</b>	<b>3,525,481</b>
Psychology	2014-2015	Faculty Member 12	AP	Yes		2.00	3.00	118	1	14		2				
Psychology	2013-2014	Faculty Member 12	AP	Yes		2.00	4.50	156		20		3				
Psychology	2012-2013	Faculty Member 12	AP	Yes	S Hire	1.00	1.00	34				2				
<b>Faculty Member 12</b>		<b>Average section credit hours per year</b>				<b>2.83</b>	<b>2.83</b>	<b>103</b>			<b>0</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>0</b>
Psychology	2014-2015	Faculty Member 13	P	Yes		2.00	1.00	100	12	27		1				
Psychology	2013-2014	Faculty Member 13	P	Yes		2.00	2.00	122	6	17		2				
Psychology	2012-2013	Faculty Member 13	P	Yes		2.00	2.00	70	2	30		3				500
Psychology	2011-2012	Faculty Member 13	P	Yes		2.00	2.00	124	2	28		2				
<b>Faculty Member 13</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2.00</b>	<b>104</b>			<b>0</b>	<b>0</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>500</b>
Psychology	2014-2015	Faculty Member 14	P	Yes		2.00	2.00	912	26	53		1	2	1		32,214
Psychology	2013-2014	Faculty Member 14	P	Yes		2.00	2.00	876	18	86		3	1			
Psychology	2012-2013	Faculty Member 14	AP	Yes		2.00	2.00	908	6	35		2				
Psychology	2011-2012	Faculty Member 14	AP	Yes		2.00	2.00	740	4	68		3				
<b>Faculty Member 14</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2.00</b>	<b>859</b>			<b>0</b>	<b>1</b>	<b>10</b>	<b>2</b>	<b>0</b>	<b>32,214</b>
Psychology	2014-2015	Faculty Member 15	AP	Yes		2.00	1.00	56	10	15		1				
Psychology	2013-2014	Faculty Member 15	AP	Yes		2.00	1.00	44	2	29		1				
Psychology	2012-2013	Faculty Member 15	AP	Yes		2.00	1.00	68	2	10						
Psychology	2011-2012	Faculty Member 15	AP	Yes	Chair	1.00	1.00	80	4	24		2				
<b>Faculty Member 15</b>		<b>Average section credit hours per year</b>				<b>1</b>	<b>1.00</b>	<b>62</b>			<b>0</b>	<b>0</b>	<b>4</b>	<b>0</b>	<b>0</b>	<b>0</b>

**Tenure-Track Contributions to Mission  
By Faculty**

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Book, eBook	Book Chapter	Journal Article	Conference Pub, Encyclopedia Entry, Translation	Editor of a Book or Book Chapter	Research Expenditures
Psychology	2014-2015	Faculty Member 16	AP	Yes		2.00	2.00	594	11	67			4			230,164
Psychology	2013-2014	Faculty Member 16	AP	Yes		2.00	2.00	724	16	62			3	2		216,356
Psychology	2012-2013	Faculty Member 16	AP	Yes		2.00	2.00	724		61			1	1		113,565
Psychology	2011-2012	Faculty Member 16	AP	Yes		2.00	3.00	720	2	115						
<b>Faculty Member 16</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2</b>	<b>691</b>			<b>0</b>	<b>0</b>	<b>8</b>	<b>3</b>	<b>0</b>	<b>560,085</b>
Psychology	2014-2015	Faculty Member 17	aP	Yes		2.00	2.00	880	9	60			1	10		102,574
Psychology	2013-2014	Faculty Member 17	aP	Yes	F Dn Res	1.00	1.00	892	6	68			2	2		128,182
Psychology	2012-2013	Faculty Member 17	aP	Yes		2.00	2.00	100	2	60						3,906
Psychology	2011-2012	Faculty Member 17	aP	Yes		2.00	1.00	48		45			3	2		
<b>Faculty Member 17</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2</b>	<b>480</b>			<b>0</b>	<b>0</b>	<b>6</b>	<b>14</b>	<b>0</b>	<b>234,661</b>
Psychology	2014-2015	Faculty Member 18	DP	Yes		2.00	3.00	1,072	11	14			1	5		
Psychology	2013-2014	Faculty Member 18	DP	Yes		2.00	2.00	940	9	14			1	8		
Psychology	2012-2013	Faculty Member 18	DP	Yes		2.00	2.00	740	9	20			6			
Psychology	2011-2012	Faculty Member 18	DP	Yes		2.00	2.00	540	8	20			1	2		
<b>Faculty Member 18</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>2</b>	<b>823</b>			<b>0</b>	<b>3</b>	<b>21</b>	<b>0</b>	<b>0</b>	<b>0</b>
Psychology	2014-2015	Faculty Member 19	P	No		2.00	0.00									
Psychology	2013-2014	Faculty Member 19	P	Yes		2.00	2.00	920	6	116						
Psychology	2012-2013	Faculty Member 19	P	No		2.00	1.00	92	4	120						
Psychology	2011-2012	Faculty Member 19	P	No	S Sabb	1.00	2.00	696	12	98			1			
<b>Faculty Member 19</b>		<b>Average section credit hours per year</b>				<b>1</b>	<b>1</b>	<b>569</b>			<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
Psychology	2013-2014	Faculty Member 20	DTP	Yes		2.00	2.00	912	12	4			4			46,232
Psychology	2012-2013	Faculty Member 20	DTP	Yes	Sabb	1.00	0.00		6				2			
Psychology	2011-2012	Faculty Member 20	DTP	Yes		2.00	2.00	586	4	154			1			27,793
<b>Faculty Member 20</b>		<b>Average section credit hours per year</b>				<b>1.33</b>	<b>1.33</b>	<b>749</b>			<b>0</b>	<b>0</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>74,025</b>



**Tenure-Track Contributions to Mission  
By Faculty**

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Book, eBook	Book Chapter	Journal Article	Conference Pub, Encyclopedia Entry, Translation	Editor of a Book or Book Chapter	Research Expenditures
Psychology	2014-2015	Faculty Member 26	DSP	Yes		2.00	4.00	202	3	8	1	4				3,008,375
Psychology	2013-2014	Faculty Member 26	DSP	Yes	F Sabb	1.00	2.50	124	3	2						2,714,854
Psychology	2012-2013	Faculty Member 26	DSP	Yes		2.00	5.00	182	18	8				1		2,716,651
Psychology	2011-2012	Faculty Member 26	DSP	Yes		2.00	7.00	204	32	8	1	5				2,803,541
<b>Faculty Member 26</b>		<b>Average section credit hours per year</b>				<b>5</b>	<b>178</b>				<b>0</b>	<b>2</b>	<b>9</b>	<b>1</b>	<b>0</b>	<b>11,243,420</b>
Psychology	2014-2015	Faculty Member 27	AP	No		2.00	3.00	500		93						
Psychology	2013-2014	Faculty Member 27	AP	No		2.00	3.00	568		67						
Psychology	2012-2013	Faculty Member 27	AP	No		2.00	6.00	708		54						
Psychology	2011-2012	Faculty Member 27	AP	No		2.00	4.00	526		2						
<b>Faculty Member 27</b>		<b>Average section credit hours per year</b>				<b>4</b>	<b>576</b>				<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
Psychology	2012-2013	Faculty Member 28	aP	Yes		2.00	0.00			97				1		242,568
Psychology	2011-2012	Faculty Member 28	aP	Yes		2.00	1.00	64		45						214,811
<b>Faculty Member 28</b>		<b>Average section credit hours per year</b>				<b>1</b>	<b>64</b>				<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>457,379</b>
Psychology	2014-2015	Faculty Member 29	P	Yes		2.00	3.50	43	2	50	1	1				783,321
Psychology	2013-2014	Faculty Member 29	P	Yes		2.00	3.50	46	33	58		2				177,133
Psychology	2012-2013	Faculty Member 29	P	Yes		2.00	3.50	129	16	43						143,747
Psychology	2011-2012	Faculty Member 29	P	Yes		2.00	3.00	109	9	17		5				86,276
<b>Faculty Member 29</b>		<b>Average section credit hours per year</b>				<b>3</b>	<b>82</b>				<b>0</b>	<b>1</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>1,190,478</b>
Psychology	2014-2015	Faculty Member 30	DP	Yes		2.00	0.00		19	39		14				801,601
Psychology	2013-2014	Faculty Member 30	DP	Yes		2.00	0.00		19	46		17				683,525
Psychology	2012-2013	Faculty Member 30	DP	Yes		2.00	0.00		17	54	1	13				1,035,116
Psychology	2011-2012	Faculty Member 30	DP	Yes		2.00	0.00		26	69	0	1	59	2	0	1,457,365
<b>Faculty Member 30</b>		<b>Average section credit hours per year</b>				<b>0</b>	<b>#DIV/0!</b>				<b>0</b>	<b>1</b>	<b>59</b>	<b>2</b>	<b>0</b>	<b>3,977,607</b>

**Tenure-Track Contributions to Mission  
By Faculty**

Department	Year	Name*	Title	Report	Comment	FTE Semesters Available	Sections Taught	Section SCH	MS & PhD Thesis SCH	Independent Study SCH	Book, eBook	Book Chapter	Journal Article	Conference Pub, Encyclopedia Entry, Creative Composition, Translation	Editor of a Book or Book Chapter	Research Expenditures
Psychology	2013-2014	Faculty Member 31	DP	Yes		2.00	0.00			12	1	1	7		1	339,468
Psychology	2012-2013	Faculty Member 31	DP	Yes		2.00	0.00		2	45			8			657,807
Psychology	2011-2012	Faculty Member 31	DP	Yes		2.00	0.00		2	24			10			842,076
<b>Faculty Member 31</b>		<b>Average section credit hours per year</b>				<b>0.00</b>	<b>#DIV/0!</b>				<b>1</b>	<b>1</b>	<b>25</b>	<b>0</b>	<b>1</b>	<b>1,839,351</b>
Psychology	2014-2015	Faculty Member 32	aP	Yes		2.00	1.00	548	19	56						172,924
Psychology	2013-2014	Faculty Member 32	aP	Yes		2.00	0.00		3	23	1	1	2			149,526
<b>Faculty Member 32</b>		<b>Average section credit hours per year</b>				<b>1</b>	<b>548</b>				<b>0</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>322,449</b>
Psychology	2014-2015	Faculty Member 33	P	Yes		2.00	3.00	548					4			
Psychology	2013-2014	Faculty Member 33	P	Yes		2.00	4.00	355	2	7			1			
Psychology	2012-2013	Faculty Member 33	P	Yes		2.00	3.00	74	2	2	1	1	1			5,408
Psychology	2011-2012	Faculty Member 33	P	Yes		2.00	3.00	374	16	7	0	1	2			88,681
<b>Faculty Member 33</b>		<b>Average section credit hours per year</b>				<b>3</b>	<b>338</b>				<b>0</b>	<b>1</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>94,089</b>
Psychology	2014-2015	Faculty Member 34	aP	Yes		2.00	3.00	776	26	14			2			
Psychology	2013-2014	Faculty Member 34	aP	Yes		2.00	2.00	128	11	30			4			508
Psychology	2012-2013	Faculty Member 34	aP	Yes		2.00	3.00	808	5	49			1			55,750
Psychology	2011-2012	Faculty Member 34	aP	Yes		2.00	1.00	540	12	25	0	0	2			35,487
<b>Faculty Member 34</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>563</b>				<b>0</b>	<b>0</b>	<b>9</b>	<b>0</b>	<b>0</b>	<b>91,746</b>
Psychology	2014-2015	Faculty Member 35	AP	Yes		2.00	2.00	912	2	36			2			
Psychology	2013-2014	Faculty Member 35	AP	Yes		2.00	2.00	892	13	24			2			
Psychology	2012-2013	Faculty Member 35	AP	Yes		2.00	2.00	994	8	40						
Psychology	2011-2012	Faculty Member 35	AP	Yes		2.00	2.00	656	16	38	0	0	1			
<b>Faculty Member 35</b>		<b>Average section credit hours per year</b>				<b>2</b>	<b>864</b>				<b>0</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>

\*Names provided on request to Middle States

## Appendix 2.8.2

# Delaware Study of Instructional Costs and Productivity, 2009 – 2013



**Binghamton University**  
**Departmental Productivity**  
**40.05 Chemistry**

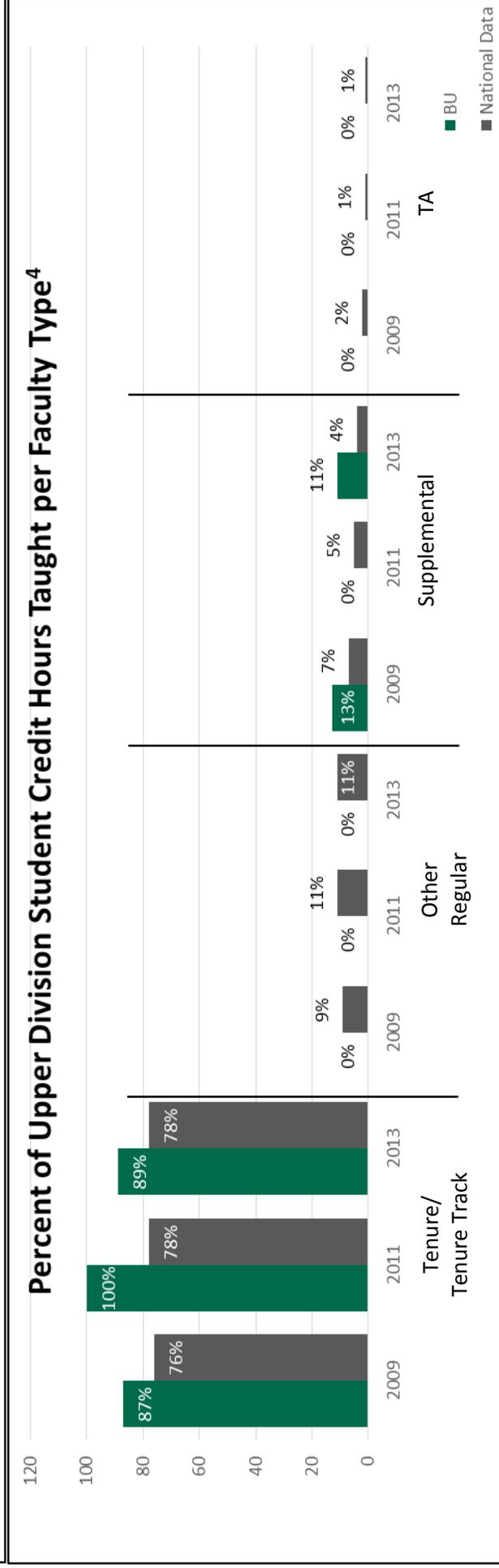
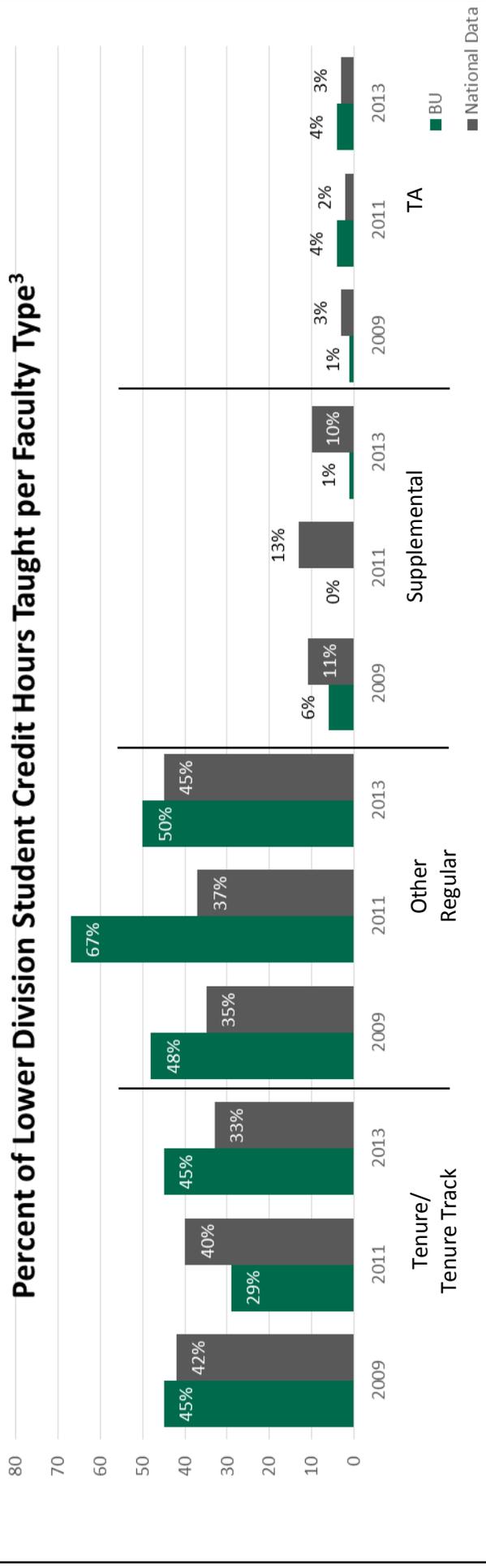


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Percent of Upper Division Student Credit Hours Taught per Faculty Type	3
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Percent of GD Student Credit Hours Taught per Faculty Type	4
Total UG/GD Student Credit Hours Taught per Faculty Type	5
Number of UG/GD Organized Class Sections per Faculty Type	5
Direct Instructional Cost per SCH	6
Public Service Expenditure per FTE T/TT Faculty	6
Research Expenditure per FTE T/TT Faculty	6
Total Expenditure per FTE T/TT Faculty	6
Endnotes	7

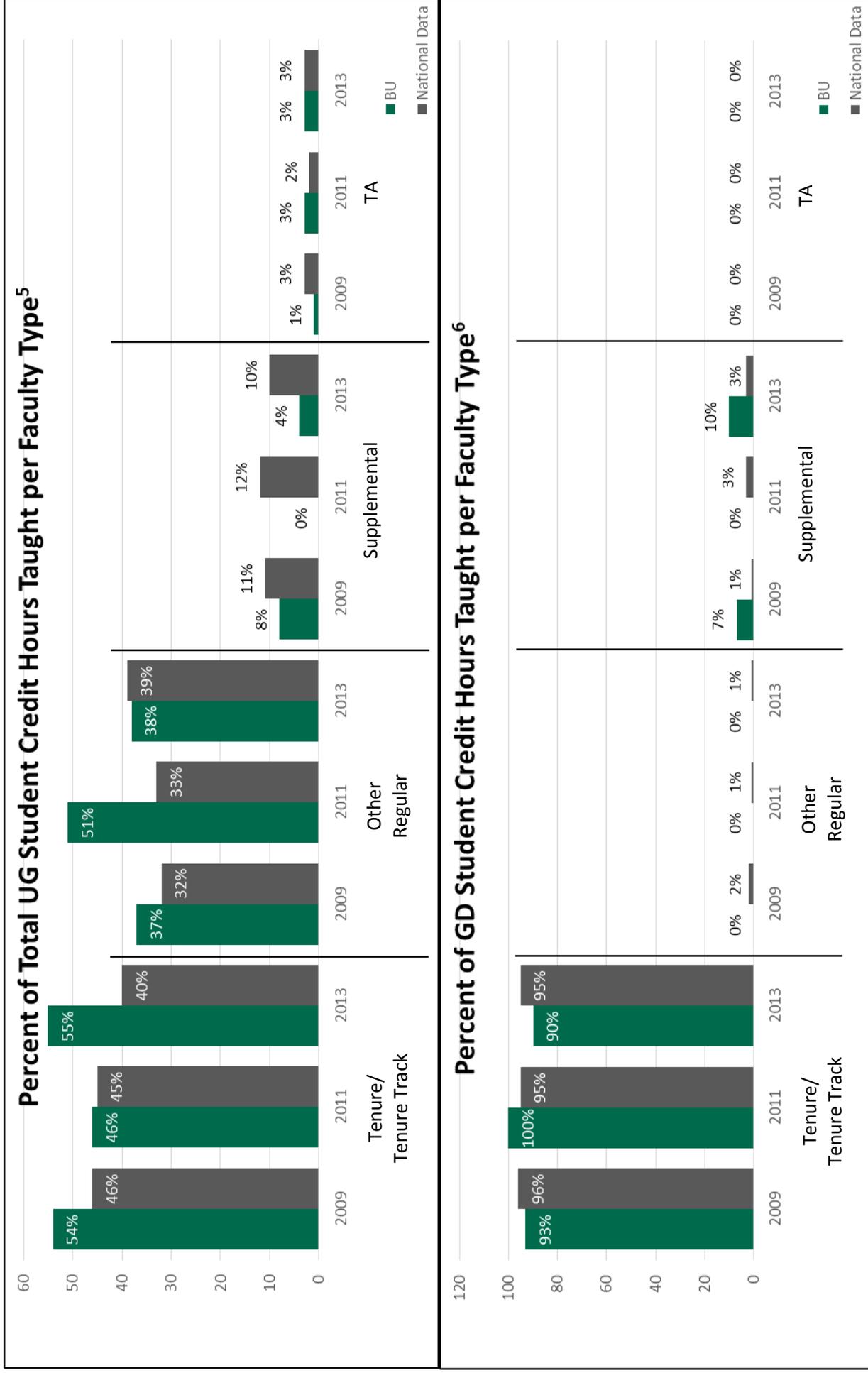
# Departmental Productivity Summary, 2009-2013<sup>1,2</sup>

## Chemistry



# Departmental Productivity Summary, 2009-2013

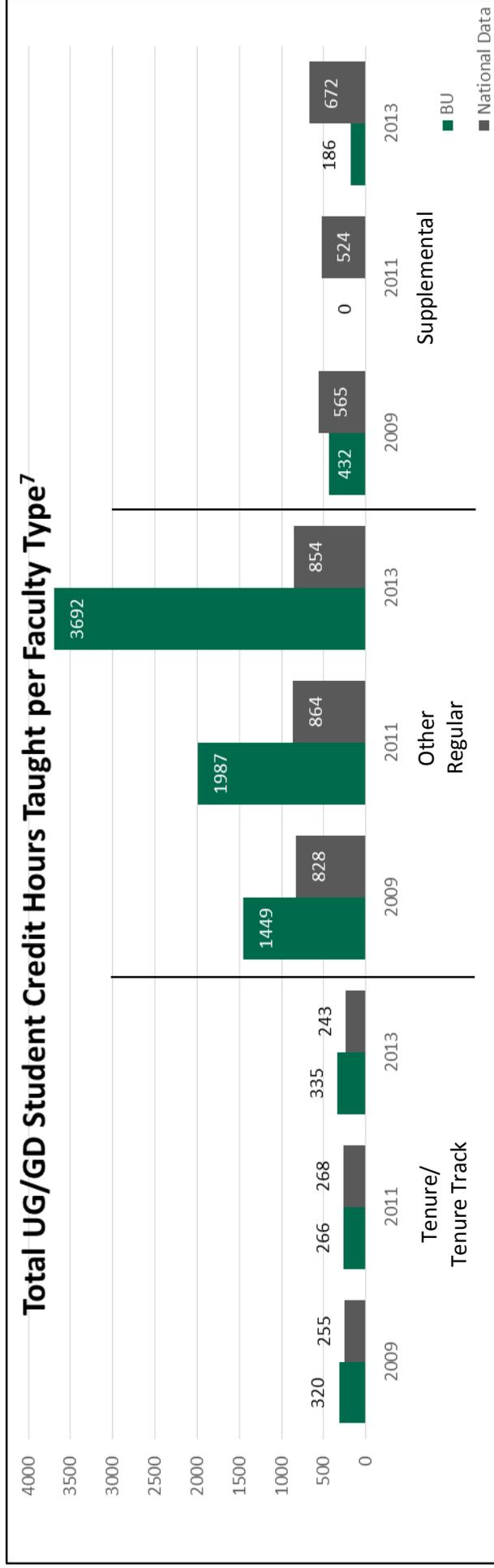
## Chemistry



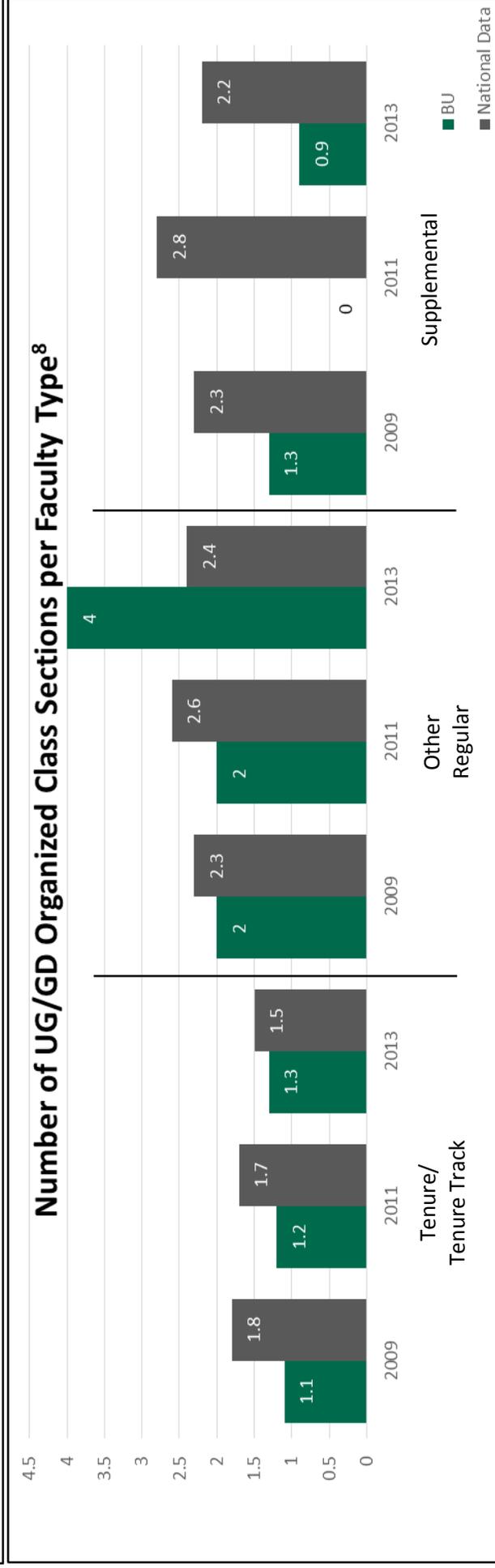
# Departmental Productivity Summary, 2009-2013

## Chemistry

**Total UG/GD Student Credit Hours Taught per Faculty Type<sup>7</sup>**

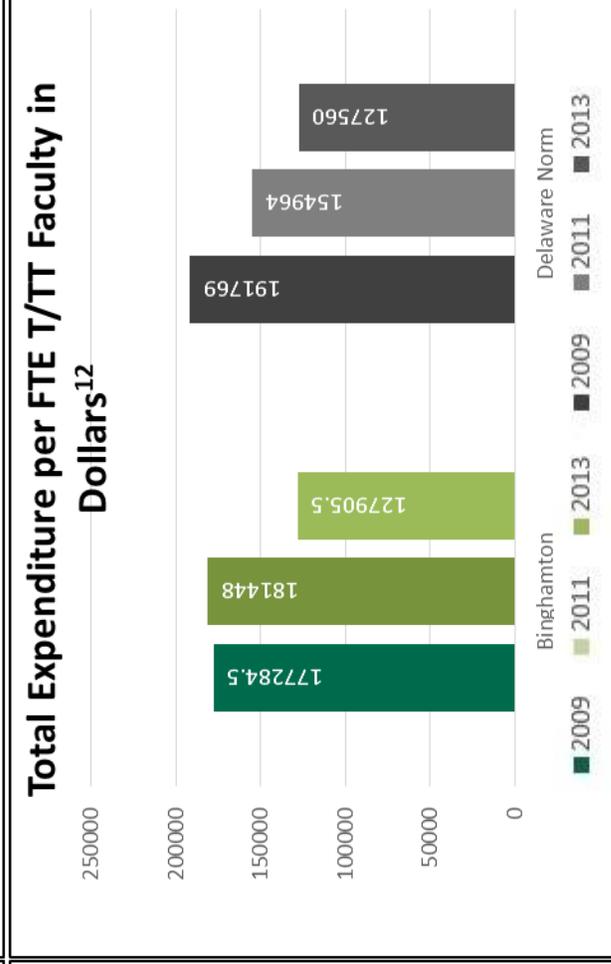
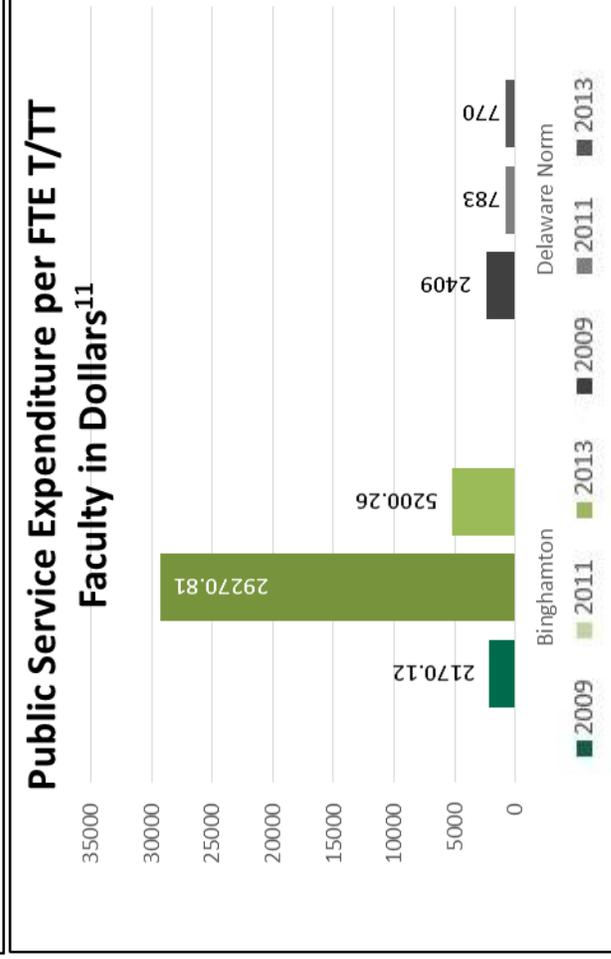
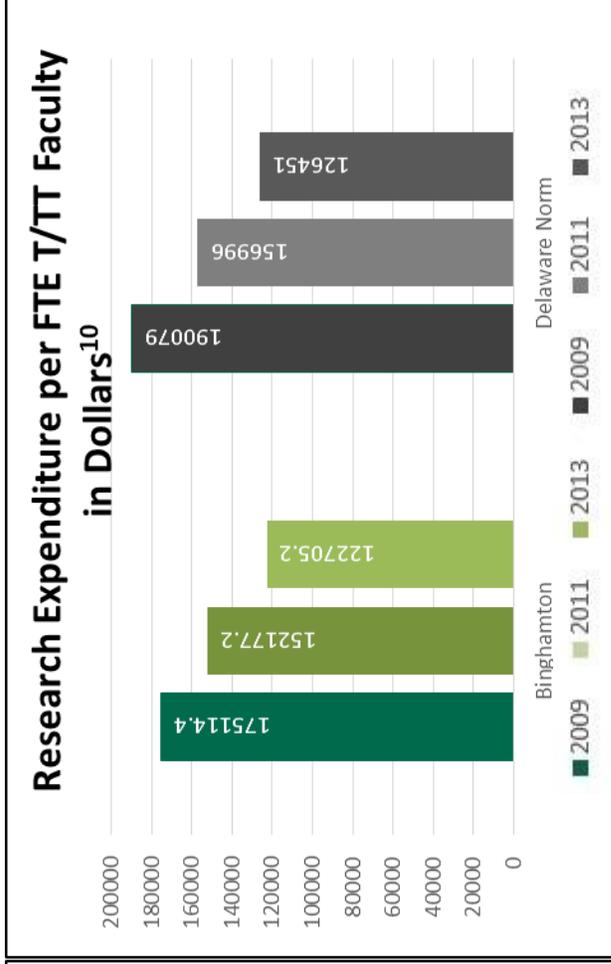
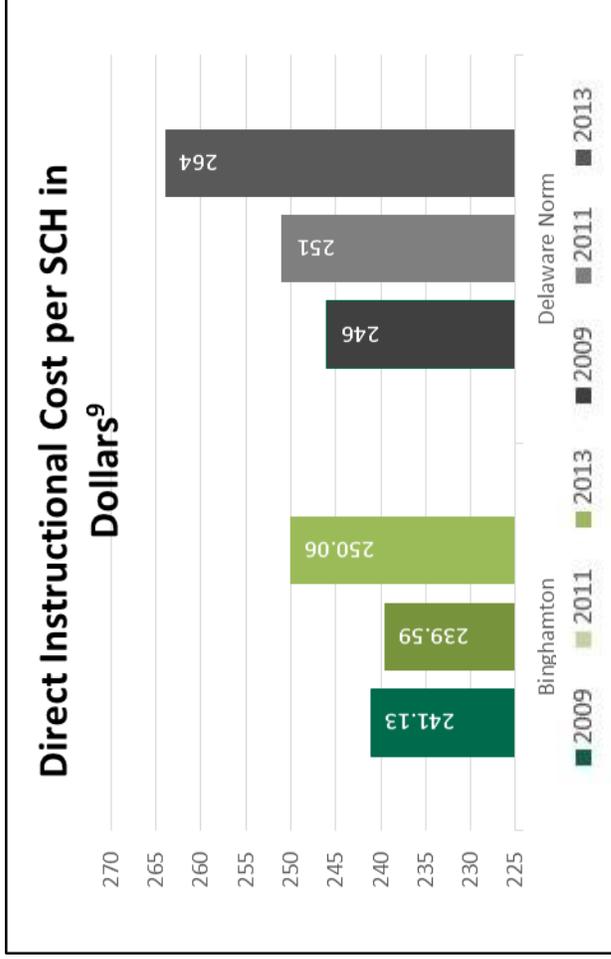


**Number of UG/GD Organized Class Sections per Faculty Type<sup>8</sup>**



# Departmental Productivity Summary, 2009-2013

## Chemistry



## Endnotes

<sup>1</sup>Source: The National Study of Instructional Costs and Productivity (The Delaware Cost Study).

<sup>2</sup>Benchmark Institutions: 2009: 56

2011: 56

2013: 65

<sup>3</sup>Percent of Lower Division Student Credit Hours Taught Per Faculty type: The percent of student credit hours for courses typically associated with the first and second year of college study, per faculty type.

<sup>4</sup>Percent of Upper Division Student Credit Hours Taught Per Faculty type: The percent of student credit hours for courses typically associated with the third and fourth year of college study, per faculty type.

<sup>5</sup>Percent of Total UG Student Credit Hours Taught By Faculty type: The percent of student credit hours for all undergraduate courses per faculty type.

<sup>6</sup>Percent of GD Student Credit Hours Taught By Faculty type: The percent of student credit hours for all graduate courses per faculty type.

<sup>7</sup>Total UG/GD Student Credit Hours Taught By FTE Faculty type: The grand total of student credit hours per full time faculty type within the department.

<sup>8</sup>Number of UG/GD Organized Class Sections per Faculty type: The total number of credit bearing Organized Class Sections (excluding lab sections) per faculty type.

<sup>9</sup>Direct Instructional Expenditures Per SCH: The total academic year direct instructional expenditures (costs incurred for personnel compensation, supplies, and services needed to provide instruction) divided by the total academic year student credit hours taught.

<sup>10</sup>Research Expenditure FTE T/TT Faculty: The amount of direct funds expended for activities specifically organized to produce research outcomes and commissioned by an agency either external to the institution or separately budgeted by an organizational unit within the institution.

<sup>11</sup>Public Service Expenditure per FTE T/TT Faculty: The amount of direct funds expended for public service and for activities established primarily to provide non-instructional services beneficial to groups external to the institution

<sup>12</sup>Total Expenditure per FTE T/TT Faculty: The total amount of direct funds expended, as a function of research and public service.

## Appendix 2.8.3

# Departmental Profile

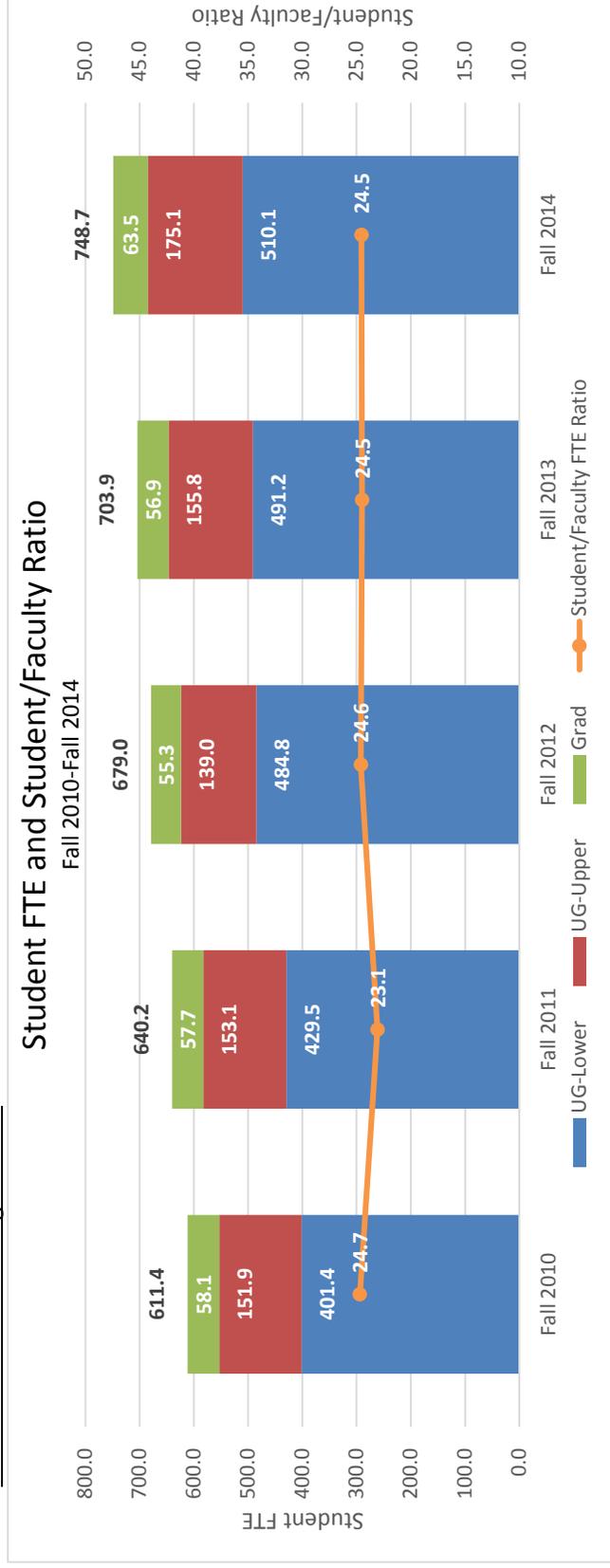
Chemistry Department  
Harpur College of Arts and Sciences  
*2015 Edition*



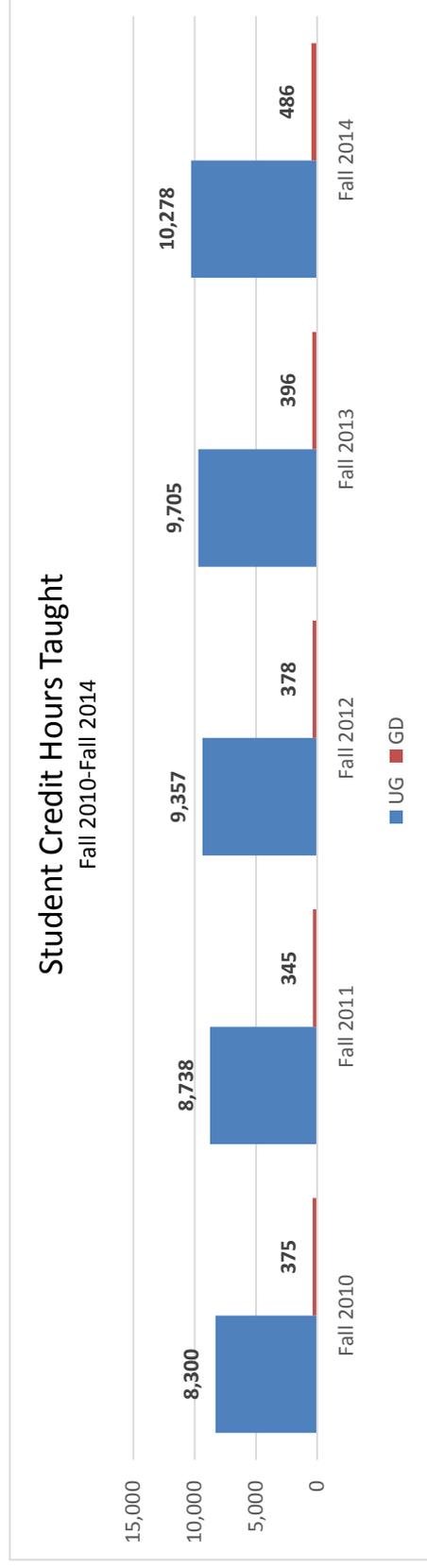
**BINGHAMTON**  
**UNIVERSITY**  
STATE UNIVERSITY OF NEW YORK

Office of Institutional  
Research & Assessment

**1** Contribution to Teaching Mission:

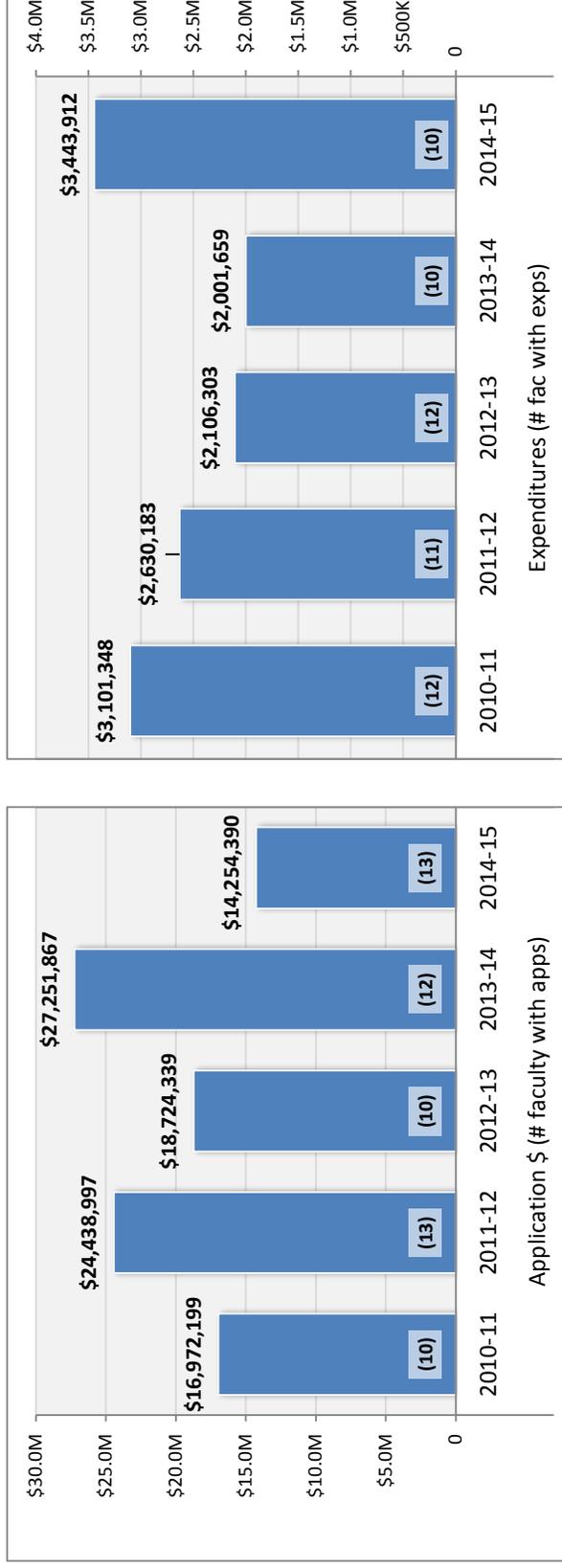


**2** Contribution to Teaching Mission:

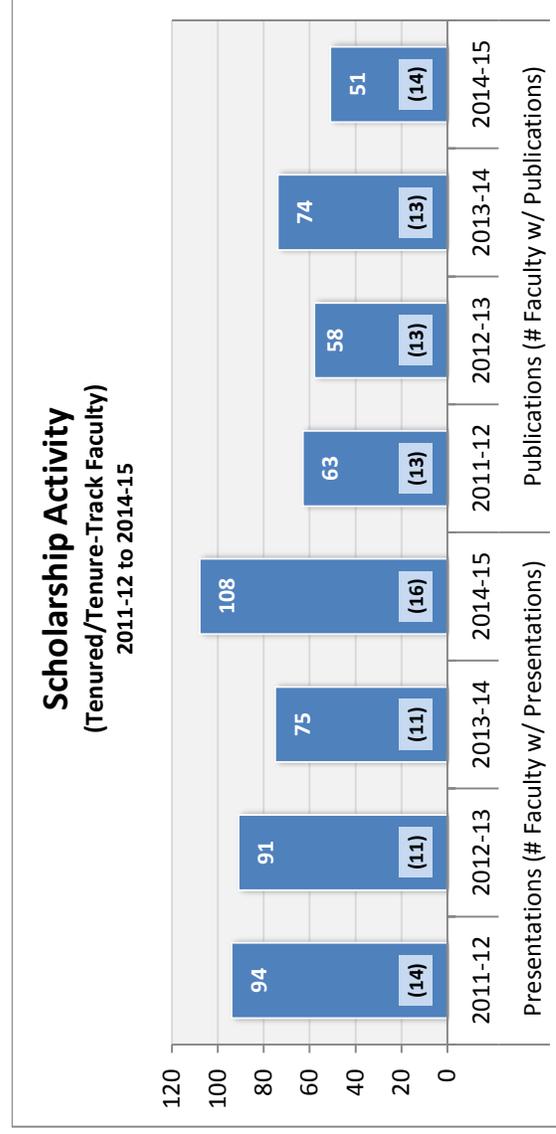


Contributions to Scholarship and Outreach Mission:

**3 Total Sponsored Funds Activity (Tenured/Tenure-Track Faculty)  
2010-11 to 2014-15**

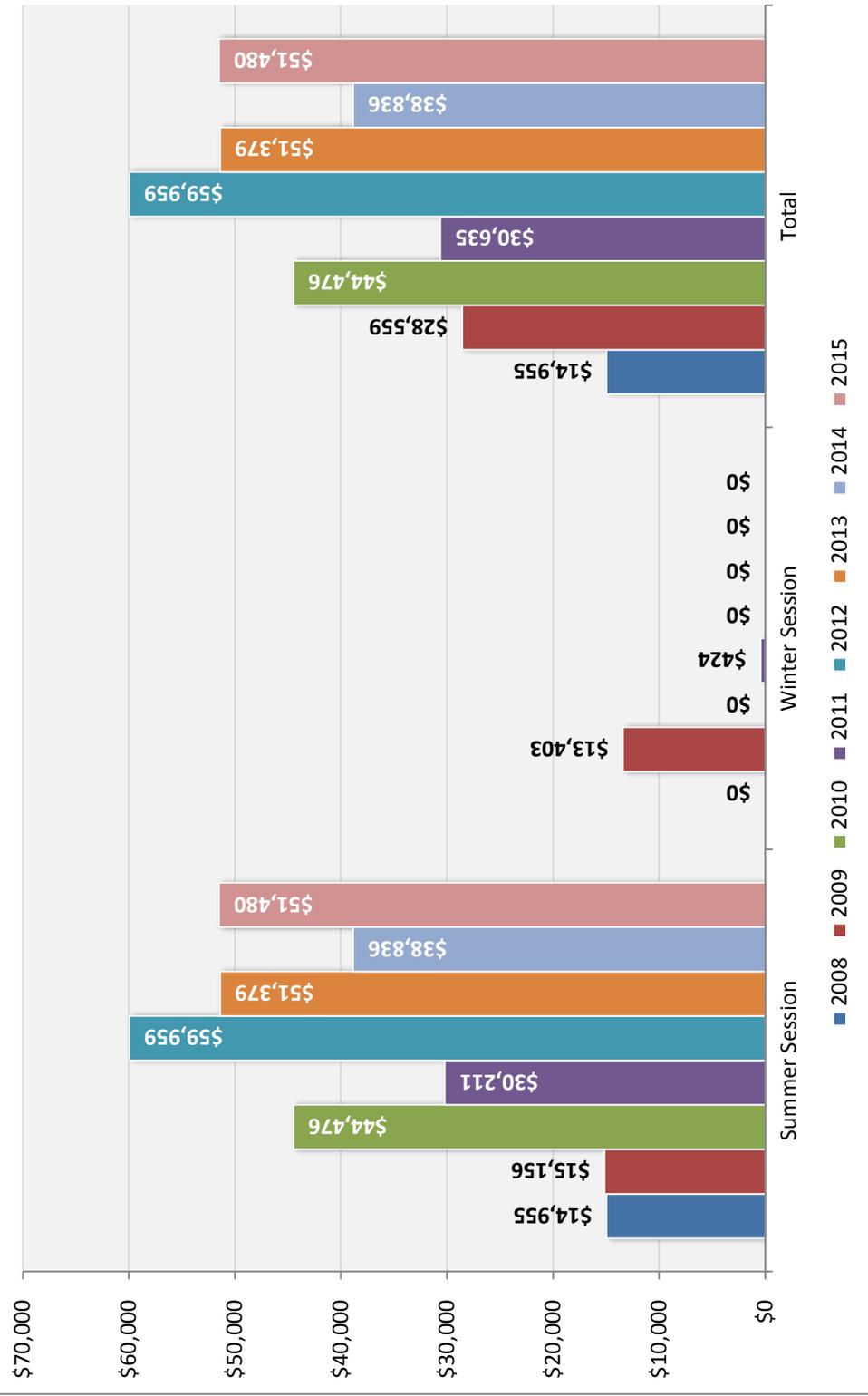


**4**

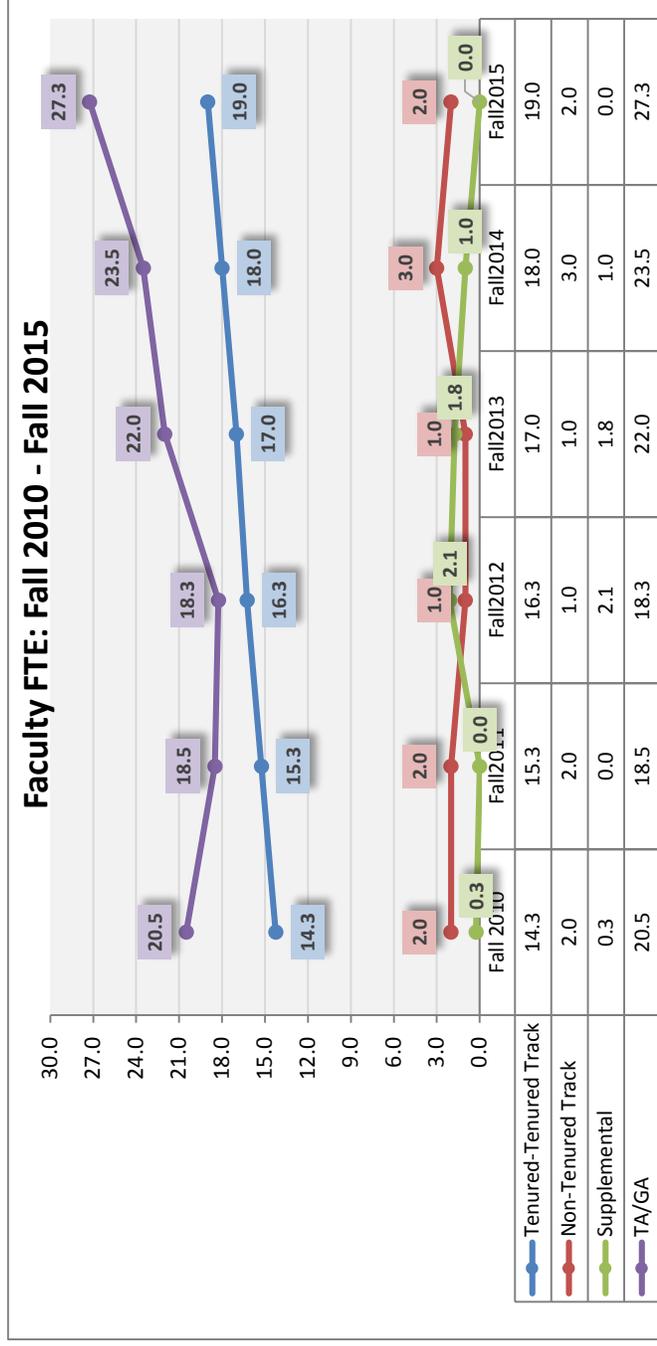


5

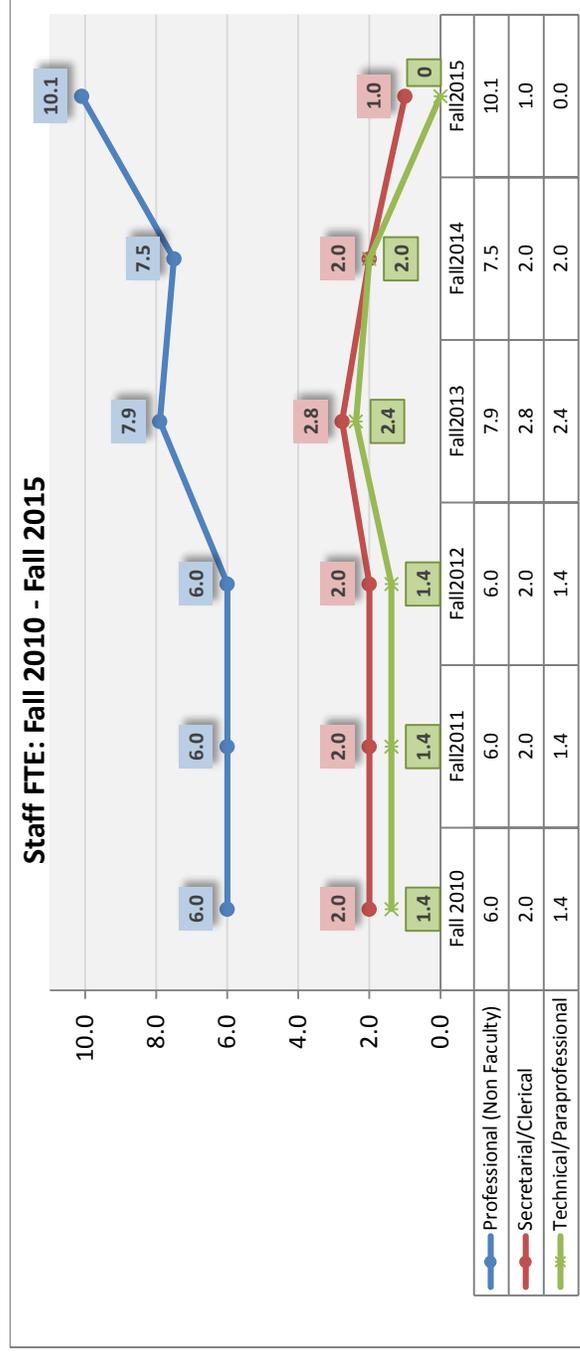
### Summer/Winter Session Revenues 2008 - 2015



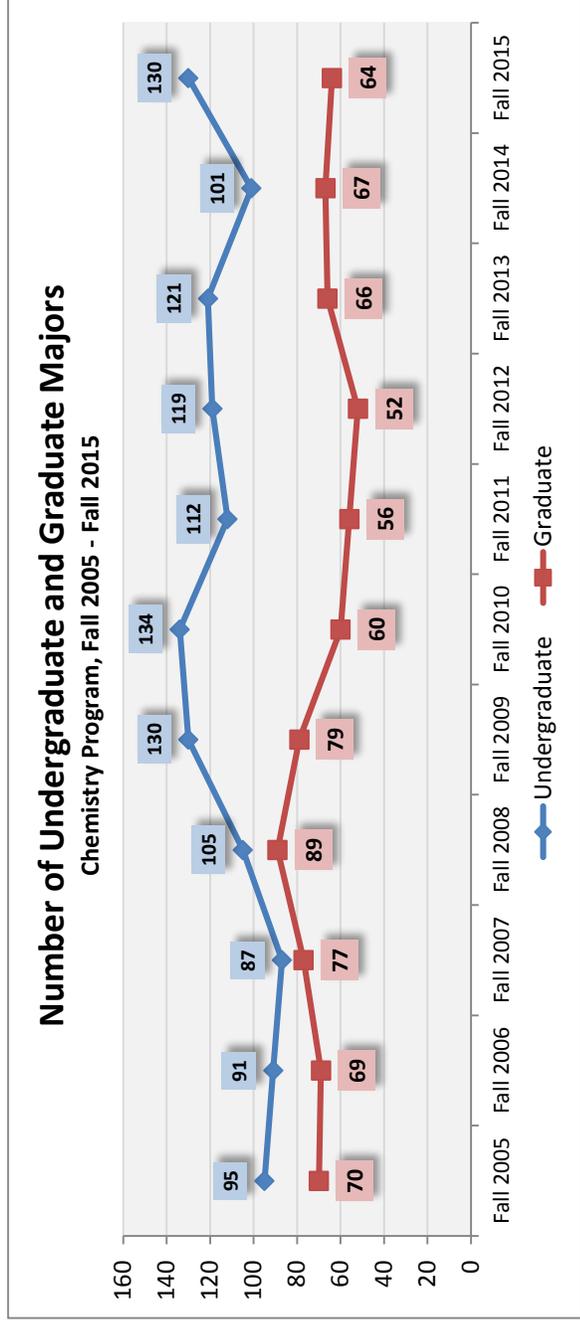
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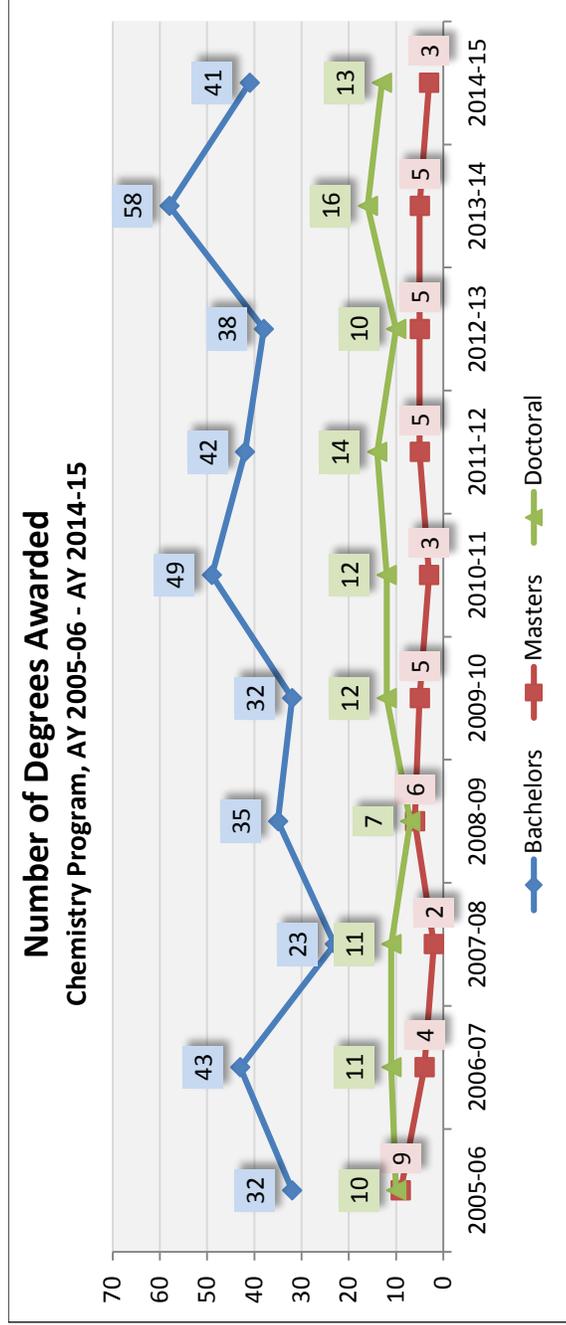
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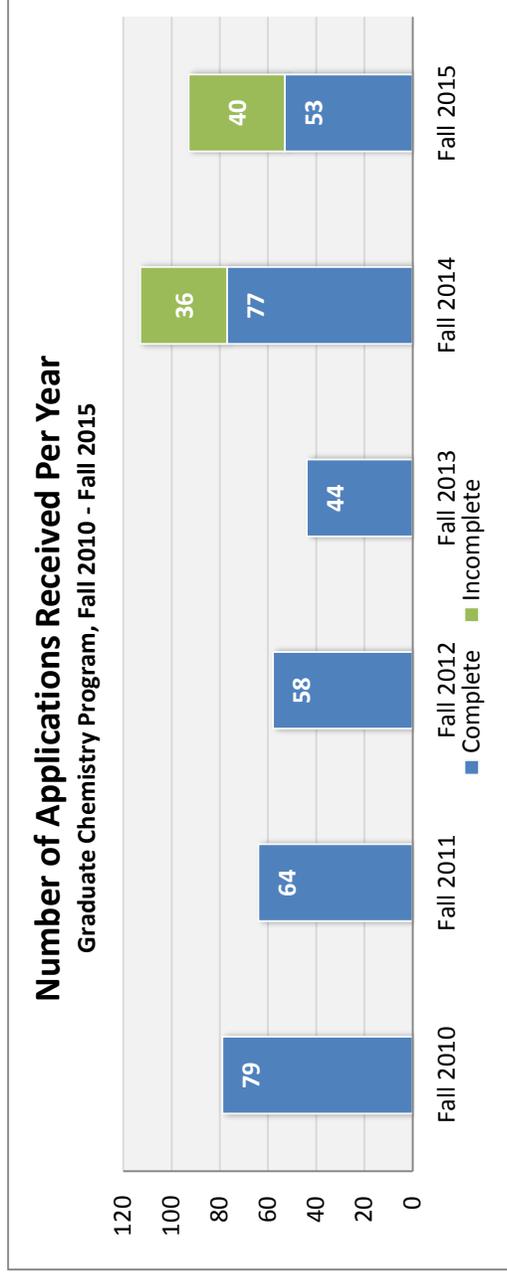
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9

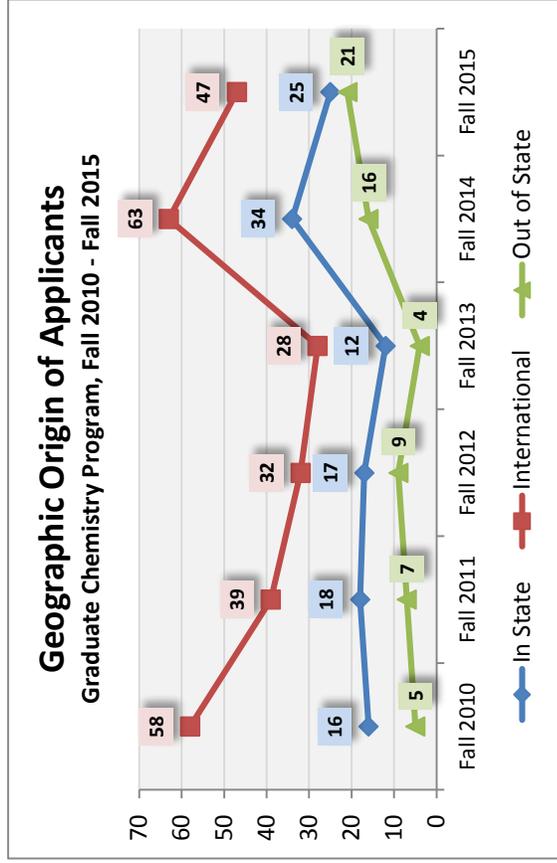


10

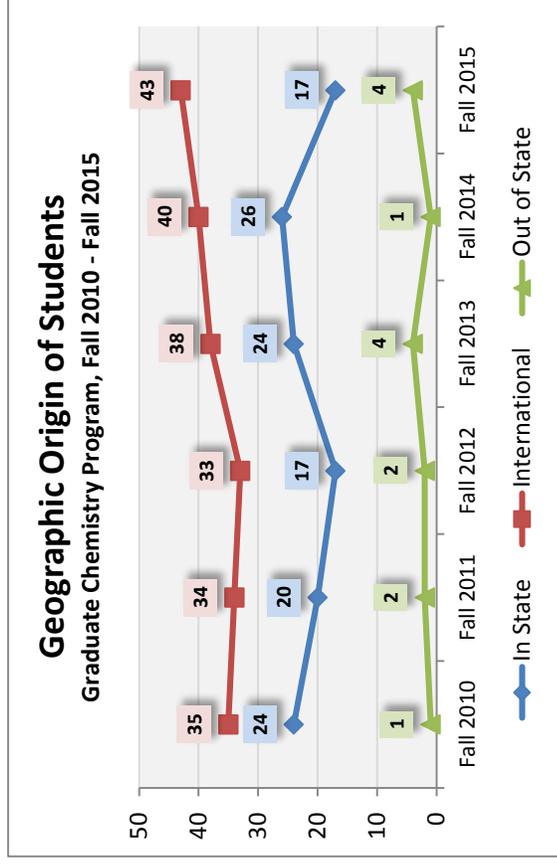


\*Due to a change in the graduate admissions data system, only completed applications are included in fall 2013, however fall 2014 & fall 2015 data include incomplete applications also, so figures are not comparable.

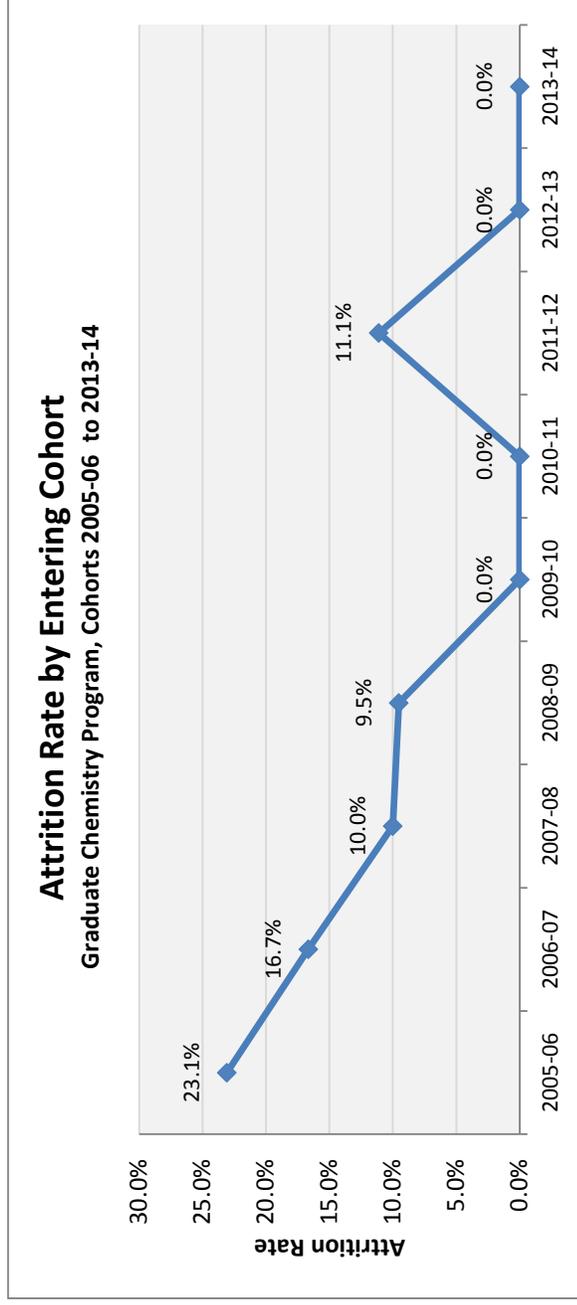
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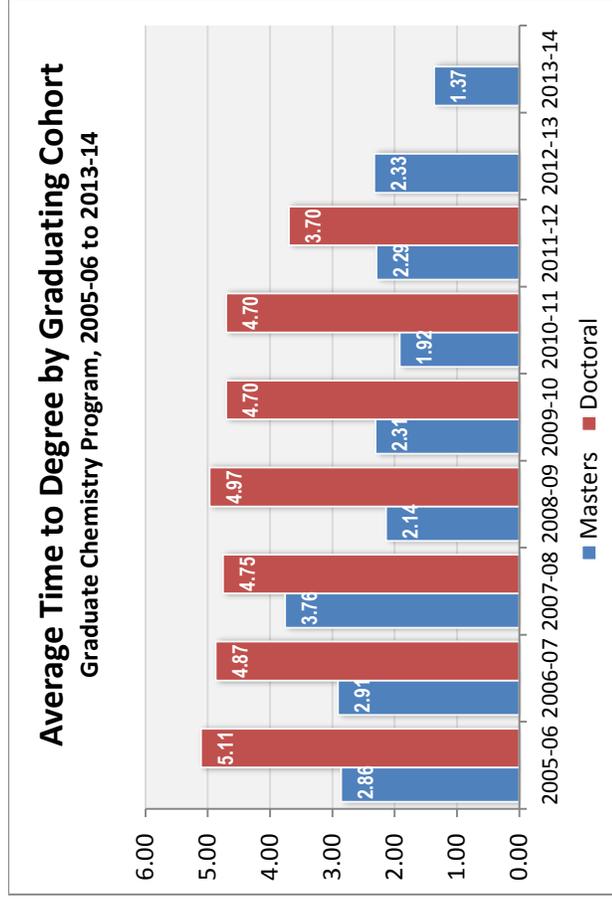
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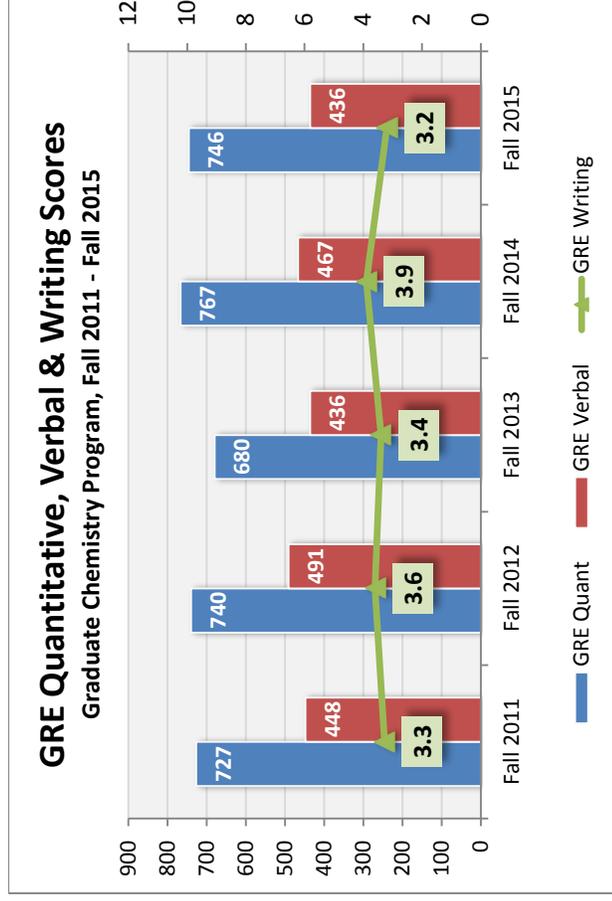
13



14



15



Number of students reporting GRE scores:  
 Fall 2011: 9 | Fall 2012: 9 | Fall 2013: 7 | Fall 2014: 10 | Fall 2015: 13

## Endnotes

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- <sup>1</sup> Student FTE and Student/Faculty Ratio: Student FTE uses SUNY calculation (UG: total student credit hours attempted/15, GD: total student credit hours attempted/12) is credited to the origin of the instructor of the course. Faculty FTE is based on HR records for the individual faculty in the department.
- <sup>2</sup> Student FTE and Student/Faculty Ratio: Student FTE uses SUNY calculation (UG: total student credit hours attempted/15, GD: total student credit hours attempted/12) is credited to the origin of the instructor of the course. Faculty FTE is based on HR records for the individual faculty in the department.
- <sup>3</sup> Sponsored Funds Activity: The total (direct and indirect) dollar amounts of sponsored funds applied for and sponsored funds expended by the department in a fiscal year. Also, included in the charts are the number of faculty who submitted applications or expended funds. Source: BU Research Foundation (Applications), Annual BU Contributions to Mission Faculty Reports (Expenditures)
- <sup>4</sup> Scholarship Activity: The total number of publications (journal articles, conference publications, books, book chapters, book reviews or book editing) and presentations (conference or poster presentations, keynote speaking, exhibitions, performances, curating, individual lectures) by the tenured-tenure track faculty in the department, as self-reported on the Provost's Office Contribution to Mission website. Source: Annual BU Contributions to Mission Faculty Reports
- <sup>5</sup> Summer and Winter Session Revenue Generated: Revenue generated by the department from summer and winter term courses. Source: Center for Innovative and Continuing Education
- <sup>6</sup> Faculty FTE: The total FTE for all filled positions assigned to a department, for selected job categories. Source: OIRA Employee Database (from BU HR and Budget files)
- <sup>7</sup> Staff FTE: The total FTE for all filled positions assigned to a department, for selected job categories. Source: OIRA Employee Database (from BU HR and Budget files)
- <sup>8</sup> Source: OIRA Official Student Database but Fall 2015 is preliminary.
- <sup>9</sup> Source: Official Degree History Database
- <sup>10</sup> Source: Due to a change in the graduate admissions data system, only completed applications are included in fall 2013 (from BU ODS), however fall 2014 & fall 2015 data include incomplete applications also (from Embark admissions software). So, figures are not comparable..
- <sup>11</sup> Source: Due to a change in the graduate admissions data system, only completed applications are included in fall 2013 (from BU ODS), however fall 2014 & fall 2015 data include incomplete applications also (from Embark admissions software). So, figures are not comparable.
- <sup>12</sup> Source: OIRA Official Student Database but Fall 2015 is unofficial.
- <sup>13</sup> Source: OIRA Official Student Database
- <sup>14</sup> Source: Calculated from OIRA Official Student Database. A graduation year consists of a summer, fall, winter and spring term.
- <sup>15</sup> Source: Calculated from OIRA Official Student Database. Concordance information from [www.ets.org](http://www.ets.org) was used to compare the prior score scales (200-800) with the current score scales (130-170).

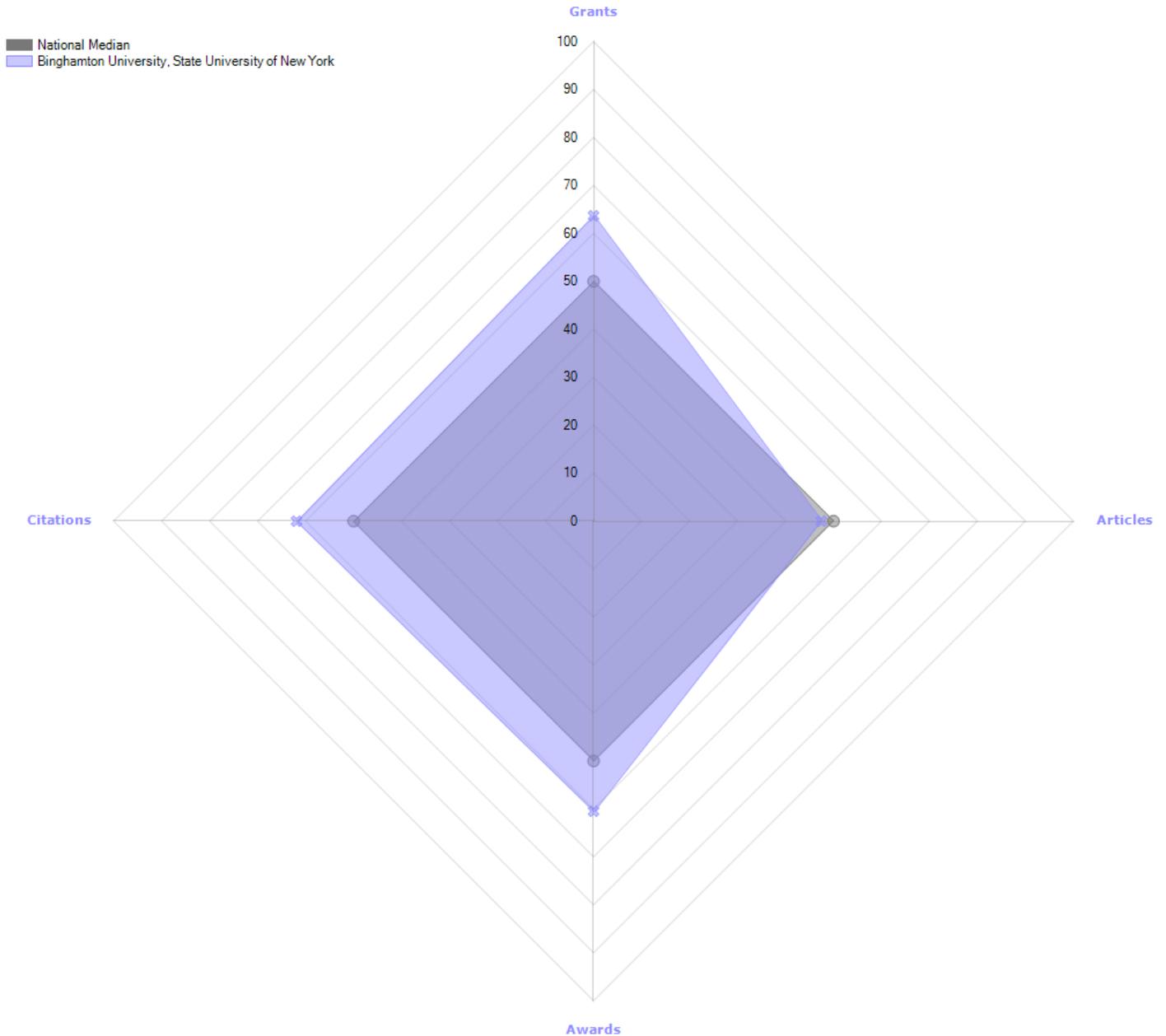
## Appendix 2.8.4



# Productivity Radar

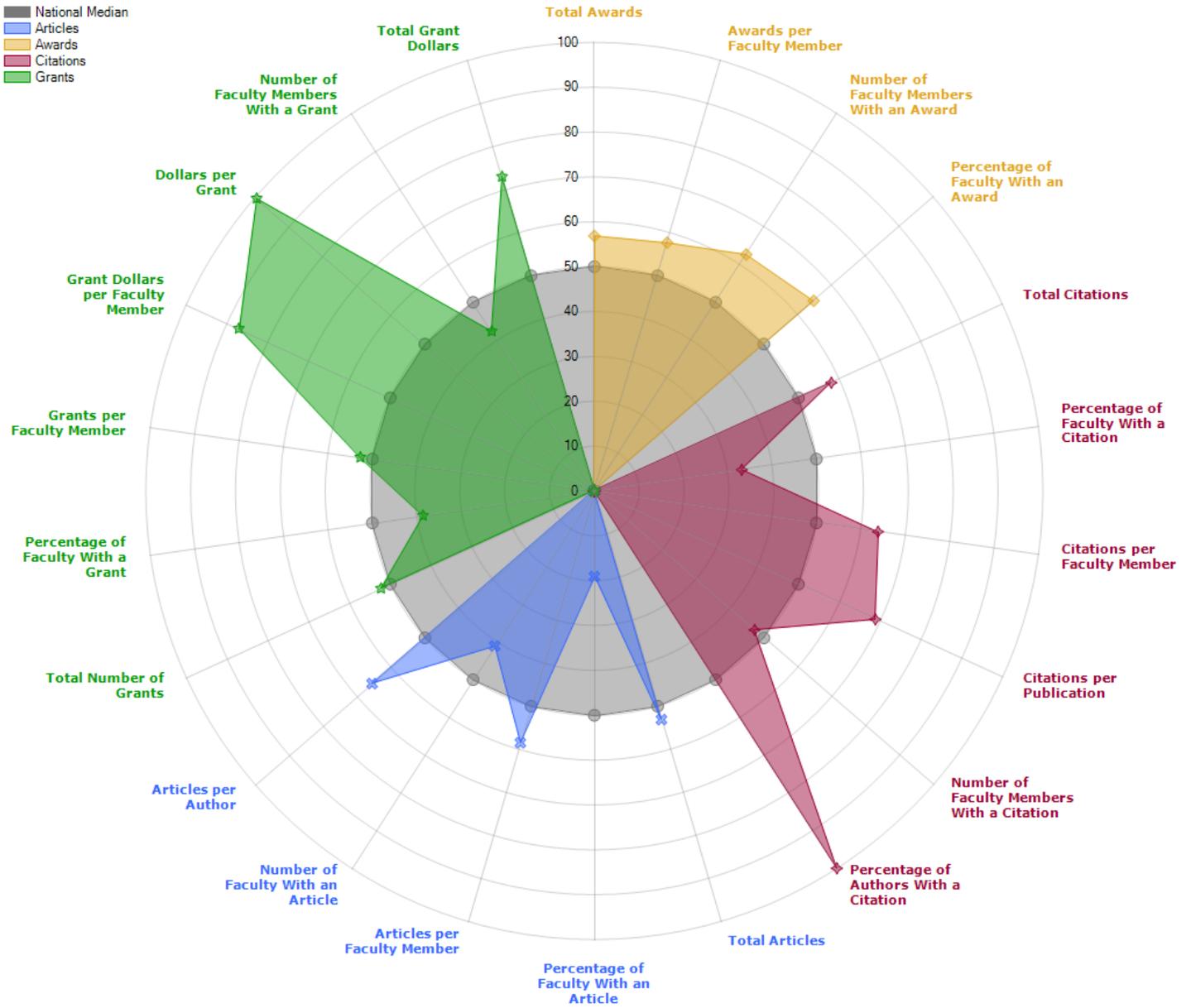
## Chemistry, Department of | Chemistry (240 Departments) Department Radar - All Variables Summary

Binghamton University, State University of New York | Chemistry, Department of



# Department Radar - All Variables

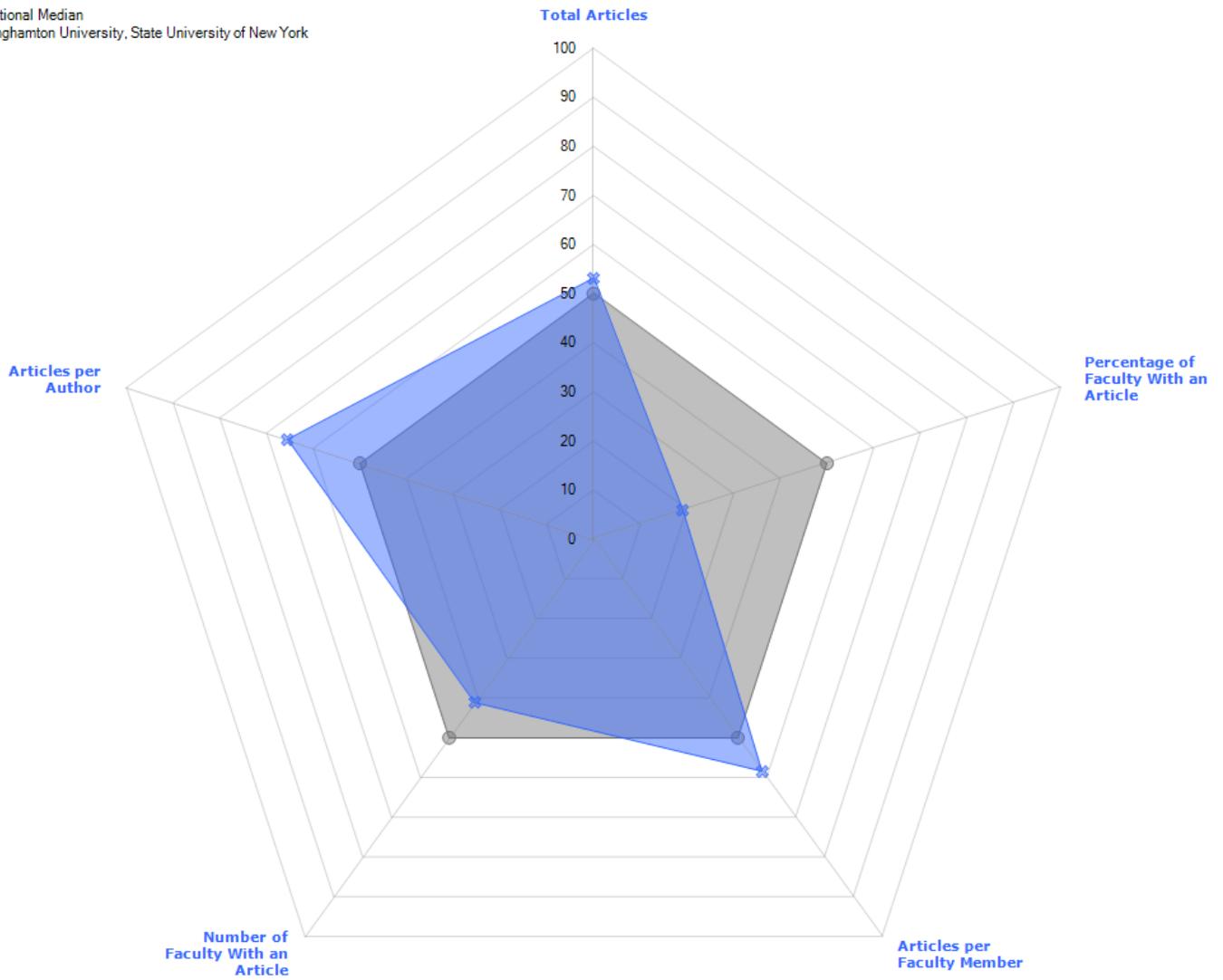
Binghamton University, State University of New York | Chemistry, Department of



# Department Radar - Articles

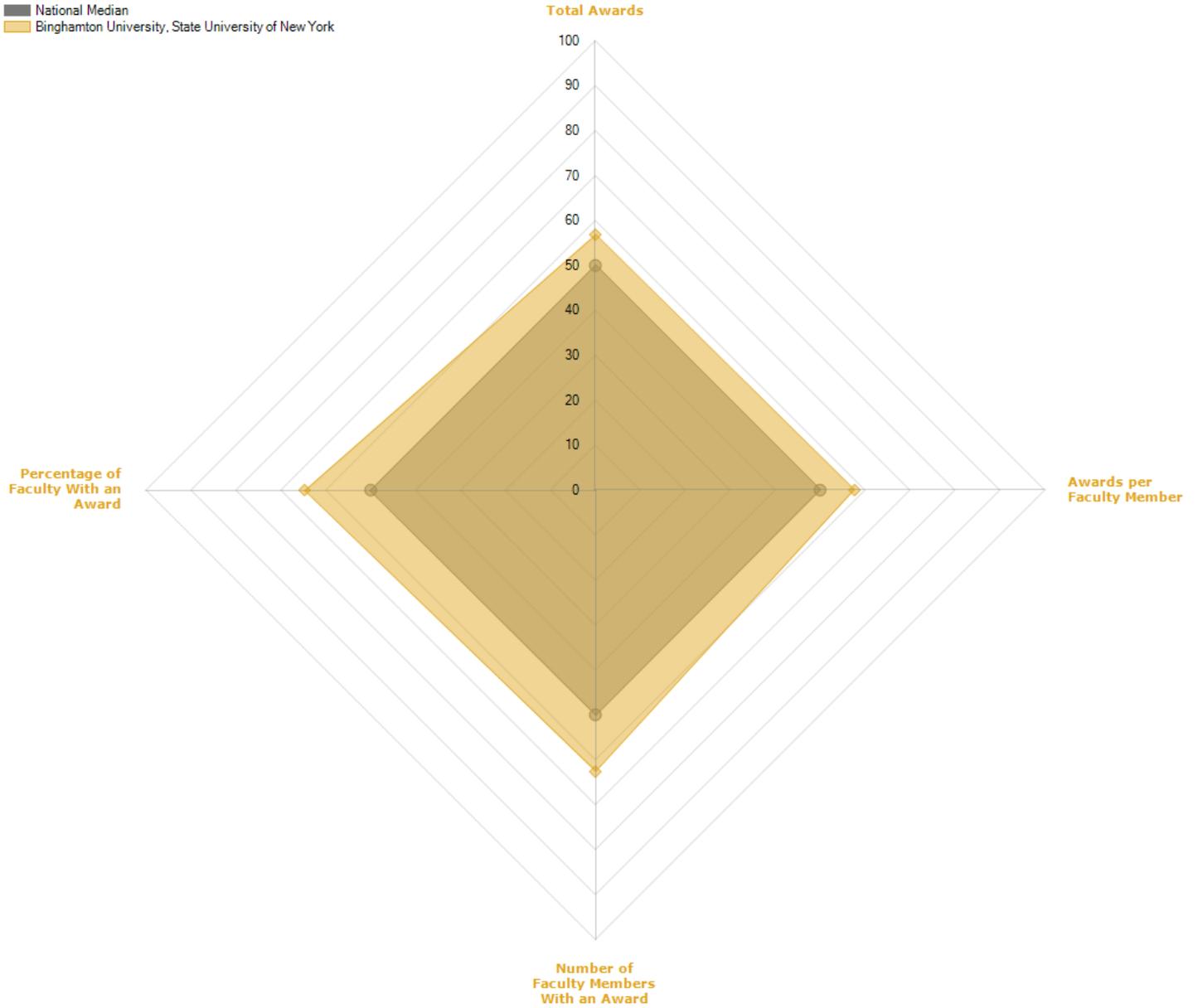
Binghamton University, State University of New York | Chemistry, Department of

■ National Median  
■ Binghamton University, State University of New York



# Department Radar - Awards

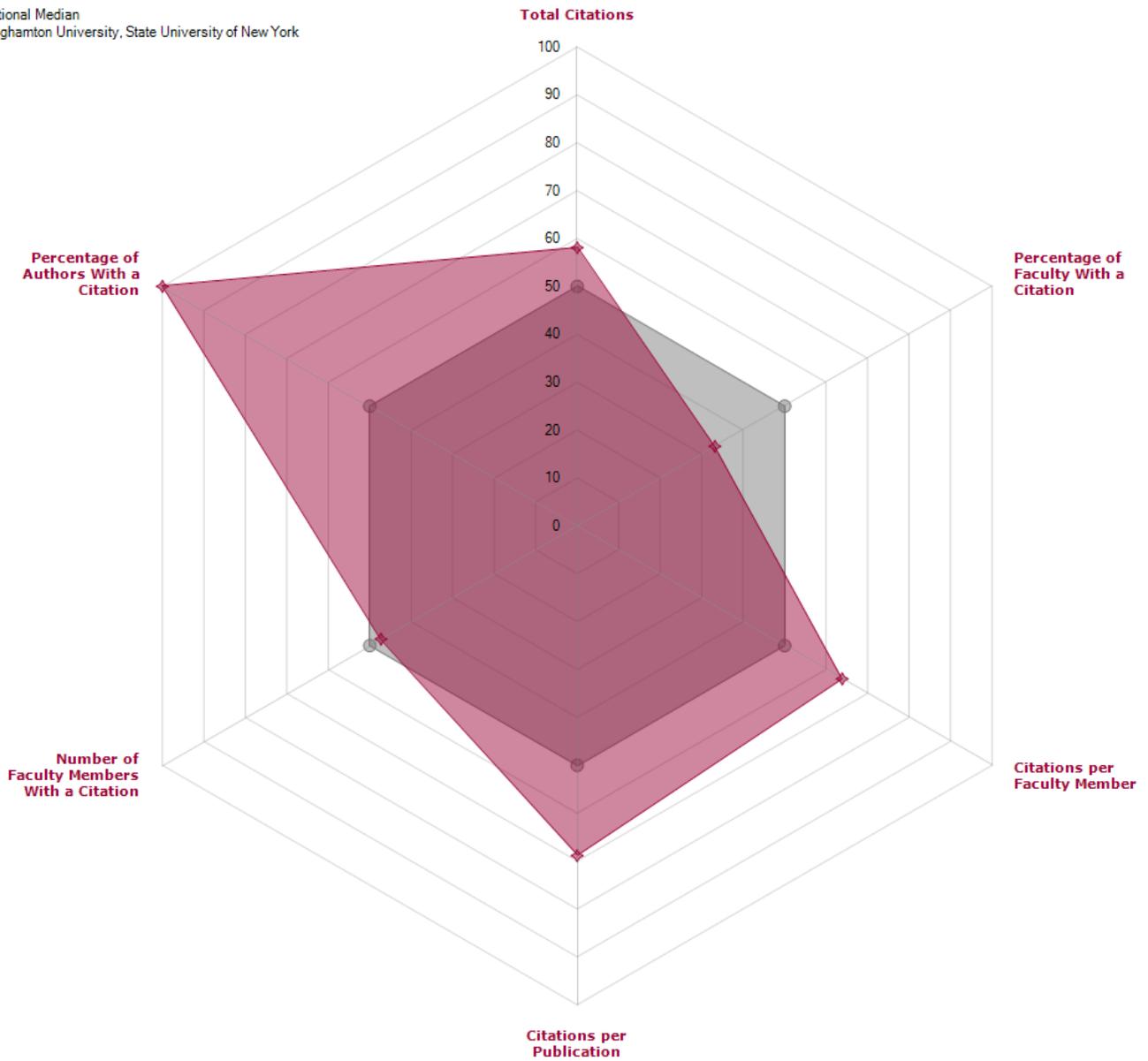
Binghamton University, State University of New York | Chemistry, Department of



# Department Radar - Citations

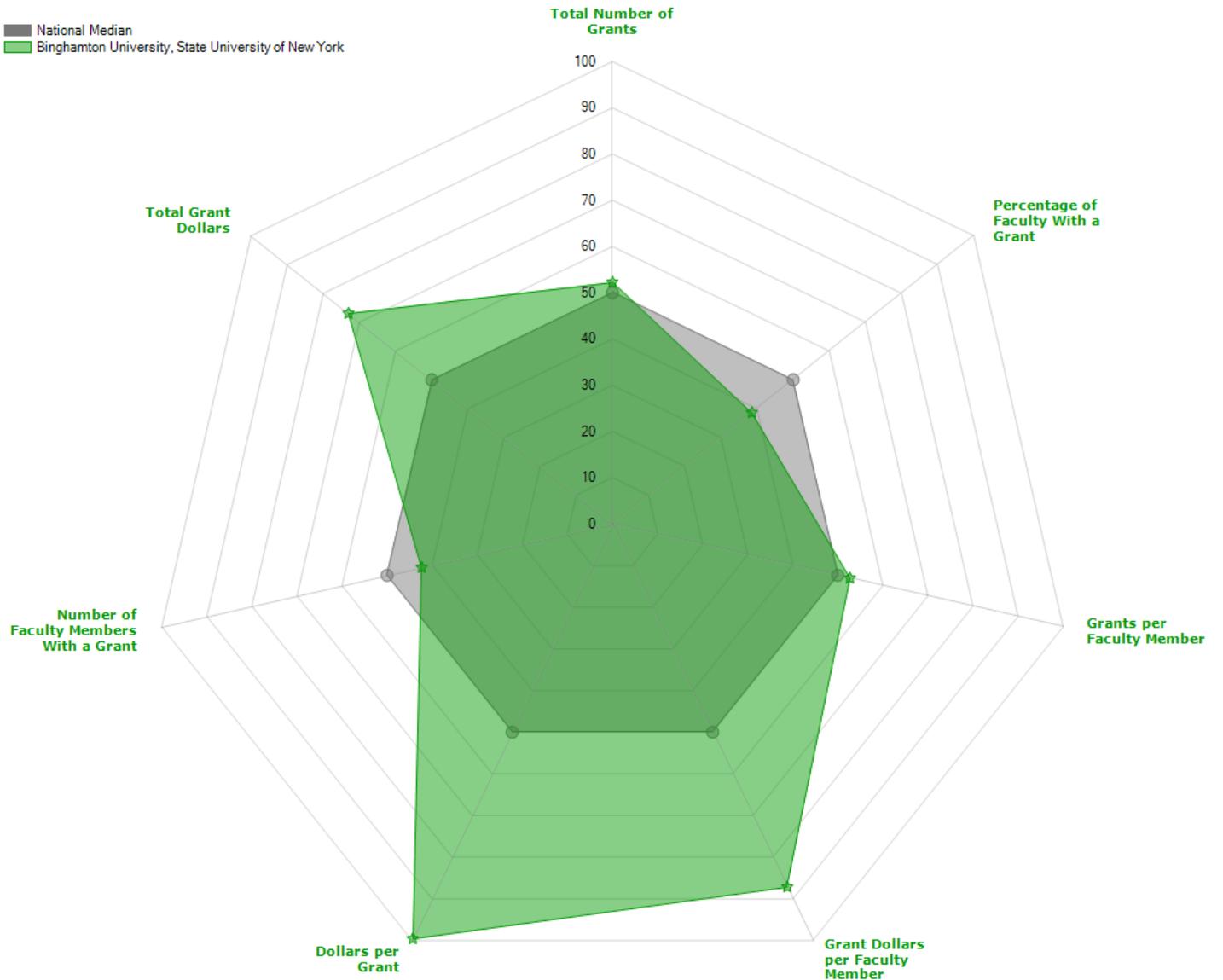
Binghamton University, State University of New York | Chemistry, Department of

■ National Median  
■ Binghamton University, State University of New York



# Department Radar - Grants

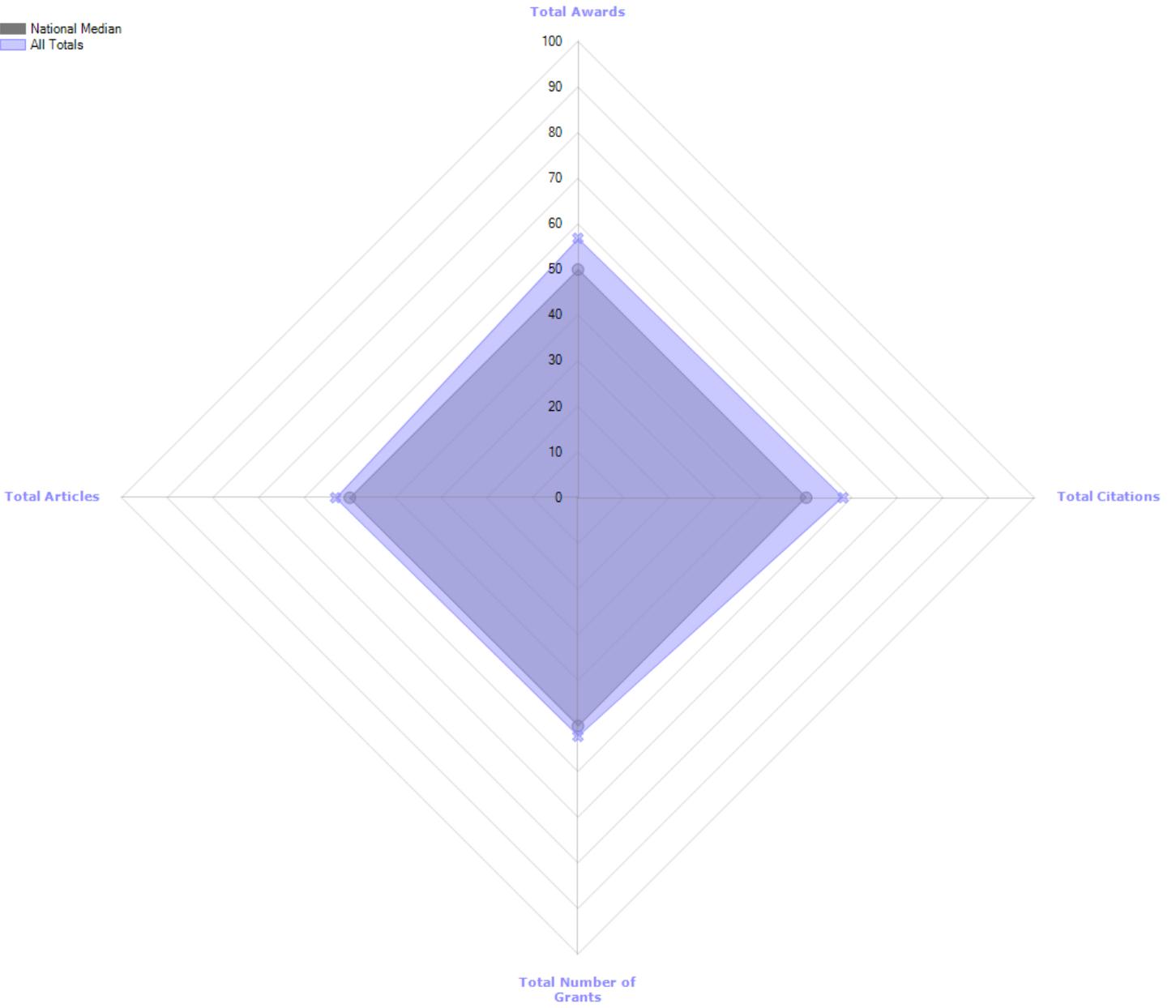
Binghamton University, State University of New York | Chemistry, Department of



# Department Radar - Totals

Binghamton University, State University of New York | Chemistry, Department of

■ National Median  
■ All Totals



## Department Radar - Books

Binghamton University, State University of New York | Chemistry, Department of

No data

# Department Radar - Conference Proceedings

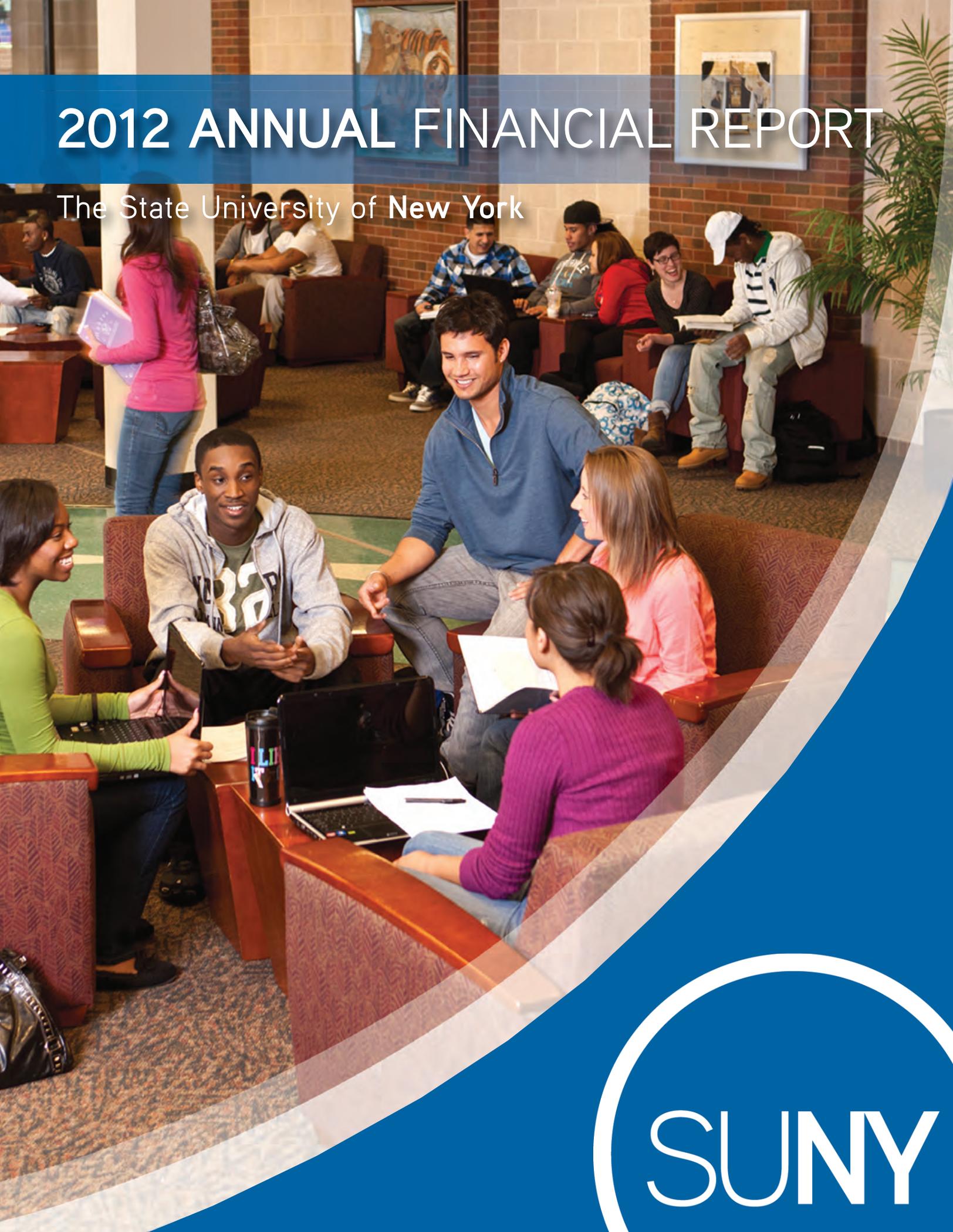
Binghamton University, State University of New York | Chemistry, Department of

No data

# Appendix 4.1

# 2012 ANNUAL FINANCIAL REPORT

The State University of New York



SUNY

## Board of Trustees

H. Carl McCall, *Chairman*  
Joseph Belluck  
Henrik Dullea  
Ronald Ehrenberg  
Angelo Fatta  
Tina Good (Community Colleges)  
Stephen J. Hunt  
Eunice A. Lewin  
Marshall Lichtman  
John L. Murad, Jr.  
Kenneth P. O'Brien (Faculty Senate)  
Kevin Rea (Student Trustee)  
Linda S. Sanford  
Richard Socarides  
Carl Spielvogel  
Cary Staller  
Gerri Warren-Merrick

## Chancellor

Nancy L. Zimpher

## Chancellor's Cabinet

---

David K. Lavallee  
*Executive Vice Chancellor  
for Academic Affairs and Provost*

Johanna Duncan-Poitier  
*Senior Vice Chancellor for  
Community Colleges and the  
Education Pipeline*

William F. Howard  
*Senior Vice Chancellor,  
General Counsel and  
Secretary of the University*

---

Elizabeth L. Bringsjord  
*Vice Chancellor for Academic  
Programs & Planning and  
Vice Provost*

Robert Haelen  
*Vice Chancellor for Capital Facilities  
and General Manager of the  
Construction Fund*

Brian Hutzley  
*Vice Chancellor for Financial Services  
and Chief Financial Officer*

Timothy Killeen  
*Vice Chancellor for Research &  
President of the Research Foundation*

Mitch Leventhal  
*Vice Chancellor for Global Affairs*

Curtis L. Lloyd  
*Vice Chancellor for Human Resources*

Carlos Medina  
*Associate Provost and  
Associate Vice Chancellor for  
Diversity, Equity and Inclusion*

Kathleen Preston  
*Associate Vice Chancellor for  
Health Affairs*

Kaitlin Gambrell  
*Assistant Vice Chancellor for  
Strategic Planning and University  
Advancement*

Stacey Hengsterman  
*Assistant Vice Chancellor for  
Government Relations*

Jennifer LoTurco  
*Assistant Vice Chancellor for  
External Affairs*

David Doyle  
*Director of Communications*

---

Kevin Rea  
*President, Student Assembly*

Kenneth P. O'Brien  
*President, University Faculty Senate*

Tina Good  
*President, Faculty Council of  
Community Colleges*

## Message from the Chancellor

I am pleased to present the Annual Financial Report of the State University of New York, providing an overview of SUNY's finances and operating results for the year ending June 30, 2012.

In accordance with our strategic plan – *The Power of SUNY* – our university system now serves as an economic engine for every region and the state as a whole while also improving the quality of life for all New Yorkers.

As outlined in the pages of this report, SUNY continues to make meaningful gains toward its mission to enhance educational excellence, affordability, and accessibility. The passage of our rational tuition plan in 2011 is among SUNY's greatest accomplishments in decades and continues to allow our students and their families to plan for the cost of their higher education in its entirety.

As our students invest more in us, we have also promised to invest more in them. In the first year of our shared services initiative, in fact, we have redirected more than \$6 million to academic instruction and student services through the elimination of duplicative administrative services and increased collaboration among our campuses for business, finance, and procurement operations. Increased opportunities for our campuses to share best practices have led to enhanced program offerings and academic advances statewide.

Student enrollment, retention and graduation rates, and sponsored research all remain at record levels—and as we uphold our promises of transparency and accountability, these numbers can easily be tracked in the annual SUNY Report Card.

SUNY research continues to be strong as well. In the 2011-12 fiscal year, The Research Foundation for the State University of New York received 284 invention disclosures, filed 238 patent applications, was awarded 50 U.S. patents, executed 65 licenses, and received \$10.9 million in royalties. These achievements were the products of more than 7,300 projects that supported over 16,500 employees statewide.

SUNY is an outstanding investment for students and a critical resource for New York State. We take very seriously our responsibility to be good stewards of public dollars and will continue to strive to be as efficient and creative as possible in managing our resources.



Nancy L. Zimpher  
Chancellor

# Independent Auditor's Report



**KPMG LLP**  
515 Broadway  
Albany, NY 12207-2974

To The Board of Trustees  
State University of New York

We have audited the accompanying balance sheets and statements of revenues, expenses, and change in net position, and cash flows of the business-type activities and the balance sheets and statement of activities of the aggregate discretely presented component units of the State University of New York, (the University), as of and for the years ended June 30, 2012 and 2011, which collectively comprise the University's basic financial statements. These financial statements are the responsibility of the University's management. Our responsibility is to express opinions on these financial statements based on our audit. We did not audit the financial statements of certain discretely presented component units, the auxiliary service corporations, the Downstate at LICH Holding Company, Inc., Upstate Properties Development, Inc., the Alfred University College of Ceramics and the Cornell Statutory Colleges which represent 57% of the total assets and 76% of the total revenues of the aggregate discretely presented component units and 14% of the total assets and 12% of the total revenues of the University's business-type activities. Those financial statements were audited by other auditors whose reports thereon have been furnished to us and, our opinions, insofar as they relate to the amounts and disclosures included for those component units, the auxiliary service corporations, the Downstate at LICH Holding Company, Inc., the Alfred University College of Ceramics and the Cornell Statutory Colleges, are based solely on the reports 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. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. The financial statements of the discretely presented component units, the auxiliary service corporations, the Downstate at LICH Holding Company, Inc., and Upstate Properties Development, Inc., were not audited in accordance with *Government Auditing Standards*. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit and the reports of other auditors provide a reasonable basis for our opinions.

As discussed in Note 1, the accompanying financial statements present only the business-type activities and aggregate discretely presented component units of the University and do not purport to, and do not, present fairly the financial position of the State of New York, the changes in its financial position, or, where applicable, its cash flows for the year then ended in conformity with U.S. generally accepted accounting principles.

In our opinion, based on our audit and the reports of other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the aggregate discretely presented component units of the University, as of June 30, 2012 and 2011, and the respective changes in financial position, and where applicable, cash flows thereof for the years then ended in conformity with U.S. generally accepted accounting principles.

In accordance with *Government Auditing Standards*, we have also issued our report dated October 31, 2012 on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

U.S. generally accepted accounting principles require that the management's discussion and analysis on pages 3 to 11 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to management's discussion and analysis in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

October 31, 2012

KPMG LLP is a Delaware limited liability partnership,  
the U.S. member firm of KPMG International Cooperative  
("KPMG International"), a Swiss entity.

## Management's Discussion and Analysis

Management's discussion and analysis (MD&A) provides a broad overview of the State University of New York's (State University) financial condition as of June 30, 2012 and 2011, the results of its operations for the years then ended, and significant changes from the previous years. Management has prepared the financial statements and related footnote disclosures along with this MD&A. The MD&A should be read in conjunction with the audited financial statements and related footnotes of the State University which directly follows the MD&A.

For financial reporting purposes, the State University's reporting entity consists of all sectors of the State University including the university centers, health science centers (including hospitals), colleges of arts and sciences, colleges of technology and agriculture, specialized colleges, statutory colleges (located at the campuses of Cornell and Alfred Universities), and central services, but excluding community colleges. The financial statements also include the financial activity of The Research Foundation for the State University of New York (Research Foundation), which administers the sponsored program activity of the State University, the State University Construction Fund (Construction Fund), which administers the capital program of the State University, the auxiliary services corporations and foundations located on its campuses.

The foundations meet the criteria under the Governmental Accounting Standards Board (GASB) accounting and financial reporting requirements for inclusion in the State University's financial statements. For financial statement presentation purposes, the combined totals of the foundations are not included in the reported amounts of the State University, but are discretely presented on separate pages in the State University's financial statements, in accordance with display requirements prescribed by the Financial Accounting Standards Board (FASB) for not-for-profit organizations.

In July 2011, the State University acquired substantially all of the assets of Community General Hospital of Greater Syracuse (CGH) through the assumption of certain liabilities pursuant to an asset purchase agreement. In May 2011, the State University acquired Long Island College Hospital (LICH) and received substantially all the assets and assumed substantial liabilities under that acquisition.

The focus of the MD&A is on the State University financial information contained in the balance sheets, the statements of revenues, expenses, and changes in net position, and the statements of cash flows, which exclude the foundations. Foundation financial statement information is presented separately on pages 16 and 17 of the State University's financial statements.

### Financial Highlights

At June 30, 2012 and 2011, total assets reported by the State University were \$14.78 billion and \$13.46 billion and total liabilities were \$14.92 billion and \$13.23 billion, respectively. The net position was (\$139) million and \$236 million at June 30, 2012 and 2011, and experienced a decrease of \$375 million in 2012 and a decrease of \$497 million in 2011. The net position at June 30, 2012, 2011, and 2010 are summarized in the following categories (in thousands):

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Net Position:			
Net investment in			
capital assets	\$ 1,143,489	874,723	805,576
Restricted - nonexpendable	308,851	288,807	267,384
Restricted - expendable	450,038	495,515	363,186
Unrestricted	(2,041,338)	(1,423,222)	(703,738)
Total net position	\$ <u>(138,960)</u>	<u>235,823</u>	<u>732,408</u>

The decrease in net position during 2012 and 2011 was driven by accrued postemployment and post-retirement benefit expenses of \$547 million and \$593 million, respectively. Also contributing to the decrease in 2011 was a \$166 million loss related to the State University's acquisition of Long Island College Hospital. Revenues, expenses, and the change in net position for the 2012, 2011, and 2010 fiscal years are summarized as follows (in thousands):

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Operating revenues	\$ 5,961,037	5,415,882	5,163,190
Nonoperating revenues	3,543,293	3,683,666	3,643,405
Other revenues	81,222	113,334	92,881
Total revenues	<u>9,585,552</u>	<u>9,212,882</u>	<u>8,899,476</u>
Operating expenses	9,562,852	9,209,971	8,722,596
Nonoperating expenses	397,483	499,496	341,675
Total expenses	<u>9,960,335</u>	<u>9,709,467</u>	<u>9,064,271</u>
Change in net position	\$ <u>(374,783)</u>	<u>(496,585)</u>	<u>(164,795)</u>

## Management's Discussion and Analysis

Total revenues reported in 2012, 2011, and 2010 were \$9.59 billion, \$9.21 billion, and \$8.90 billion, respectively. Total revenue in 2012 and 2011 increased \$373 million and \$313 million compared to the previous years. The revenue increase in 2012 was driven by increases of \$448 million in hospital and clinic revenue, net tuition revenues of \$76 million, and \$37 million in auxiliary enterprises. These increases were offset by decreases of \$115 million in investment gains, \$31 million in capital gifts and grants, and \$36 million in federal, state, and local grants and contracts.

Total expenses for 2012, 2011, and 2010 were \$9.96 billion, \$9.71 billion, and \$9.06 billion, respectively. Total expense in 2012 and 2011 increased \$251 million and \$645 million compared to the previous years. Expense growth in 2012 compared to the prior year was primarily due to an increase of \$351 million in hospital expenses due to the acquisition of LICH and CGH.

### Overview of the Financial Statements

The financial statements of the State University have been prepared in accordance with U.S. generally accepted accounting principles as prescribed by the GASB. The financial statement presentation consists of comparative balance sheets, statements of revenues, expenses, and changes in net position, statements of cash flows, and accompanying notes for the June 30, 2012 and 2011 fiscal years. These statements provide information on the financial position of the State University and the financial activity and results of its operations during the years presented. A description of these statements follows:

The *Balance Sheets* present information on all of the State University's assets and liabilities, with the difference between the two reported as net position. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of the State University is improving or deteriorating.

The *Statements of Revenues, Expenses, and Changes in Net Position* present information showing the change in the State University's net position during each fiscal year. All changes in net position are reported as soon as the underlying event giving rise

to the change occurs, regardless of the timing of related cash flows. Thus, revenues and expenses reported in these statements include items that will result in cash received or disbursed in future fiscal periods (e.g., the receipt of amounts due from students and others for services rendered, or the amount accrued for postemployment benefits earned).

The *Statements of Cash Flows* provides information on the major sources and uses of cash during the year. The cash flow statements portray net cash provided or used from operating, investing, capital, and noncapital financing activities.

### Balance Sheets

The balance sheets present the financial position of the State University at the end of its fiscal years. The State University's total assets increased \$1.32 billion and \$1.58 billion in 2012 and 2011, respectively. Total liabilities during 2012 and 2011 increased \$1.69 billion and \$2.08 billion, respectively. The following table reflects the financial position at June 30, 2012, 2011, and 2010 (in thousands):

	<b>2012</b>	<b>2011</b>	<b>2010</b>
Current assets	\$ 3,499,122	3,395,737	3,017,319
Capital assets, net	9,087,539	7,964,994	7,090,396
Other noncurrent assets	2,193,545	2,102,297	1,773,139
Total assets	<u>14,780,206</u>	<u>13,463,028</u>	<u>11,880,854</u>
Current liabilities	2,404,560	2,097,892	1,804,039
Noncurrent liabilities	12,514,606	11,129,313	9,344,407
Total liabilities	<u>14,919,166</u>	<u>13,227,205</u>	<u>11,148,446</u>
Net position	<u>\$ (138,960)</u>	<u>235,823</u>	<u>732,408</u>

### Current Assets

Current assets at June 30, 2012 increased \$103 million and current liabilities increased \$307 million, compared to the previous year. In general, current assets are those assets that are available to satisfy current liabilities (i.e., those that will be paid within one year).

## Management's Discussion and Analysis

Current assets at June 30, 2012 and 2011 consist primarily of cash and cash equivalents of \$1.38 billion and \$1.44 billion, deposits with trustees of \$264 million and \$160 million, short-term investments of \$315 million and \$328 million, and receivables (accounts, interest, appropriations, and grants) of \$1.44 billion and \$1.35 billion, respectively. During 2012, receivable balances increased \$90 million offset by a decrease in cash and cash equivalents of \$62 million.

### Current Liabilities

Current liabilities at June 30, 2012 and 2011 consist principally of accounts payable and accrued expenses of \$1.17 billion and \$846 million, interest on debt of \$76 million and \$91 million, deferred revenue of \$301 million and \$330 million, and the current portion of long-term liabilities of \$688 million and \$656 million, respectively. The increase in current liabilities at June 30, 2012 was driven principally by an increase in accounts payable and accrued expenses of \$329 million due to a \$135 million payable for the Gyrodyne lawsuit and increases in hospital and construction payables primarily driven by increases in volume and activity.

### Capital Assets, net

The State University's capital assets are substantially comprised of State-operated campus educational, residential, and hospital facilities. Personal Income Tax (PIT) revenue bonds support funding for construction and critical maintenance projects on SUNY educational and hospital facilities. The State University has entered into capital lease arrangements for residence hall facilities.

During the 2012 and 2011 fiscal years, capital assets (net of depreciation) increased \$1.12 billion and \$875 million, respectively. The majority of the increase occurred at the State University campuses due to new building construction, renovations, and rehabilitation totaling \$485 million and \$648 million for the 2012 and 2011 fiscal years, respectively. Equipment additions during 2012 and 2011 of \$182 million and \$167 million, respectively, also contributed to the increase.

Significant projects completed and capitalized during the 2012 fiscal year included construction of

the High Tech Incubator at the College at Fredonia, an engineering building at the University at Buffalo, a new field house at SUNY IT, a child care center at the College at Delhi, rehabilitation of Golding Hall at the College at Oneonta, the expansion of the School of Art and Design at Alfred State College, additions to Wheeler Lab at the College at Cobleskill and to a science wing at Binghamton University.

A summary of capital assets, by major classification, and related accumulated depreciation for the 2012, 2011, and 2010 fiscal years is as follows (in thousands):

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Land	\$ 504,486	381,617	360,168
Infrastructure and land improvements	826,030	773,067	738,908
Buildings	8,395,023	7,943,270	7,331,241
Equipment, library books and other	2,827,253	2,655,212	2,545,649
Construction in progress	2,496,810	1,798,500	1,378,639
Total capital assets	<u>15,049,602</u>	<u>13,551,666</u>	<u>12,354,605</u>
Less accumulated depreciation:			
Infrastructure and land improvements	406,162	383,860	365,610
Buildings	3,443,474	3,243,416	3,074,299
Equipment, library books and other	2,112,427	1,959,396	1,824,300
Total accumulated depreciation	<u>5,962,063</u>	<u>5,586,672</u>	<u>5,264,209</u>
Capital assets, net	<u>\$ 9,087,539</u>	<u>7,964,994</u>	<u>7,090,396</u>

### Other Noncurrent Assets

Other noncurrent assets exclusive of capital assets were \$2.19 billion and \$2.10 billion at June 30, 2012 and 2011, respectively. Noncurrent assets at June 30, 2012 and 2011 include long-term investments of \$715 million and \$736 million, deposits with trustees of \$646 million and \$624 million, restricted cash of \$110 million and \$115 million, and the noncurrent portion of receivables and deferred financing costs and other assets of \$722 million and \$628 million, respectively.

Long-term investments at June 30, 2012 and 2011 of \$715 million and \$736 million include the Cornell statutory colleges of \$635 million and

## Management's Discussion and Analysis

\$619 million, auxiliary services corporations of \$28 million and \$27 million, Research Foundation of \$27 million and \$65 million, and State University campuses of \$6 million and \$5 million, respectively. The statutory College of Ceramics at Alfred University had \$19 million for both years. Long-term investments decreased \$21 million in 2012 compared to 2011 primarily due to investment losses of \$14 million.

During fiscal year 2012, the noncurrent portion of deposits with trustees, which generally represent funds available from the issuance of bonds by the Dormitory Authority of the State of New York (DASNY) used to finance capital projects and maintain debt service reserves for the State University's facilities, increased \$22 million.

Restricted cash and cash equivalents represent unspent funds under various capital financing arrangements, cash held for others, and cash restricted for loan programs. At June 30, 2012 restricted cash balances decreased \$4 million compared to 2011. The noncurrent portion of receivables reported at June 30, 2012 and 2011 consisted of accounts, notes, and loan receivables of \$111 million for both years and appropriation receivables of \$458 million and \$399 million, respectively.

### *Noncurrent Liabilities*

Noncurrent liabilities at June 30, 2012 and 2011 of \$12.51 billion and \$11.13 billion, respectively, are largely comprised of debt on State University facilities, other long-term liabilities accrued for postemployment and post-retirement benefits, compensated absences, and litigation. The State University capital funding levels and bonding authority are subject to operating and capital appropriations of the State. Funding for capital construction and rehabilitation of educational and residence hall facilities of the State University is provided principally through the issuance of bonds by DASNY. The debt service for the educational facilities is paid by, or provided through a direct

appropriation from, the State. The debt service on residence hall bonds is funded primarily from room rents. A summary of non-current long-term liabilities at June 30, 2012, 2011, and 2010 is as follows (in thousands):

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Educational facilities	\$ 6,296,313	5,973,236	5,242,937
Residence hall facilities	1,322,010	1,104,250	1,011,580
Postemployment and post-retirement obligations and compensated absences	3,363,586	2,822,590	2,225,754
Litigation	457,880	398,739	315,918
Other obligations	855,596	620,903	348,871
Long-term liabilities	<u>\$ 12,295,385</u>	<u>10,919,718</u>	<u>9,145,060</u>

During the year, PIT bonds were issued for the purpose of financing capital construction and major rehabilitation for educational facilities in the amount of \$797.8 million. Also, during the year educational facility bonds were issued totaling \$838.1 million in order to refund \$978.6 million of the State University's existing educational facilities obligations. The State University also entered into agreements with DASNY during fiscal year 2012 to issue residence hall facility obligations totaling \$260 million for the purpose of financing capital construction and major rehabilitation for residential hall facilities.

The State University's credit ratings for educational and residence hall bonds were unchanged in 2012. The credit ratings at June 30, 2012 are as follows:

	<u>PIT Bonds</u>	<u>Educational Facilities</u>	<u>Residence Halls</u>
Moody's			
Investors Service	Aa2	Aa3	Aa2
Standard & Poor's	AAA	AA-	AA-
Fitch	AA	AA-	AA-

## Management's Discussion and Analysis

Principal payments on educational and residence hall facilities obligations made during 2012 totaled \$1.28 billion (including \$979 million in refunded debt) and \$36 million, in 2011 totaled \$324 million and \$32 million, and in 2010 totaled \$594 million and \$31 million, respectively.

During fiscal years 2012 and 2011, the long-term portion of postemployment and post-retirement benefit obligations and compensated absences liabilities increased \$541 million and \$597 million, respectively. The State, on behalf of the State University, provides health insurance coverage for eligible retired State University employees and their qualifying dependents as part of the New York State Health Insurance Plan (NYSHIP). The State administers NYSHIP and has the authority to establish and amend benefit provisions offered. The State University, as a participant in the plan, recognizes these other postemployment benefits (OPEB) on an accrual basis. The State University's OPEB plan is financed annually on a pay-as-you-go basis. There are no assets set aside to fund the plan.

The Research Foundation sponsors a separate defined benefit OPEB plan and has established a Voluntary Employee Benefit Association (VEBA) trust. Legal title to all the assets in the trust is

vested for the benefit of the participants. Contributions are made by the Research Foundation pursuant to a funding policy established by its Board of Directors.

A schedule of funding progress for these plans is below.

The State University has recorded a long-term litigation liability and a corresponding appropriation receivable of \$458 million and \$399 million at June 30, 2012 and 2011, respectively (almost entirely related to hospitals and clinics) for unfavorable judgments, both anticipated and awarded but not yet paid. The medical malpractice liability includes incurred but not reported (IBNR) loss estimates which are actuarially determined based on historical experience using a discounted present value of estimated future cash payments.

Refundable government loan funds at June 30, 2012 and 2011 totaled \$141.5 million and \$141.7 million, respectively. These revolving loan funds are principally those of the federal Perkins and Nursing Loan Programs established with an initial and, when available, continued federal capital contribution. Repayments of principal and interest and new contributions are deposited into a revolving loan fund for continual disbursement to students.

### *Schedule of Funding Progress Other Postemployment Benefits* (Amounts in millions)

Actuarial Valuation Date	Actuarial Value of Assets (a)	Actuarial Accrued Liability (AAL) (b)	Unfunded AAL (UAAL) (b-a)	Funded Ratio (a/b)	Covered Payroll (c)	UAAL as a Percentage Covered Payroll ((b-a)/c)
State University Plan:						
April 1, 2010	\$ -	12,200	12,200	0%	3,037	402%
April 1, 2008	-	9,560	9,560	0%	3,008	318%
April 1, 2006	-	8,261	8,261	0%	2,527	327%
Research Foundation Plan:						
June 30, 2012	107	298	191	36%	245	78%
June 30, 2011	101	279	177	36%	241	74%
June 30, 2010	80	290	210	28%	238	88%

## Management's Discussion and Analysis

### Statements of Revenues, Expenses, and Changes in Net Position

The statements of revenues, expenses, and changes in net position present the State University's results of operations. Total operating revenues of the State University were \$5.96 billion in 2012, \$5.42 billion in 2011, and \$5.16 billion in 2010. Nonoperating and other revenues, which includes State appropriations, totaled \$3.62 billion, \$3.80 billion, and \$3.74 billion, for fiscal years 2012, 2011, and 2010, respectively. Total expenses for 2012, 2011, and 2010 were \$9.96 billion, \$9.71 billion, and \$9.06 billion, respectively.

#### Revenue Overview

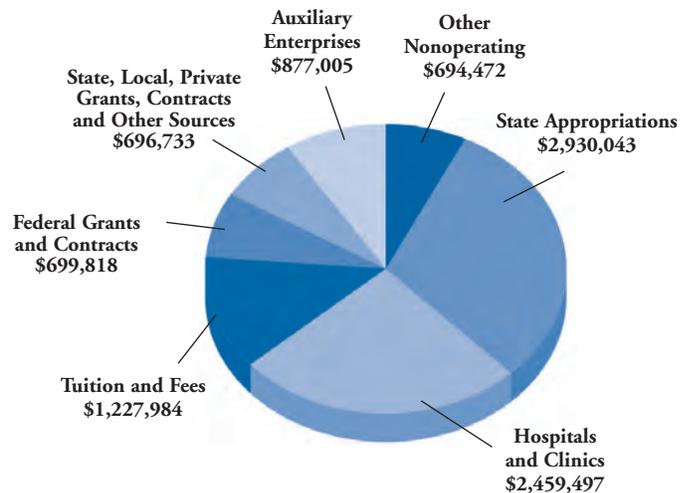
#### Revenues (in thousands):

	2012	2011	2010
Tuition and fees, net	\$ 1,227,984	1,151,523	1,107,313
Hospitals and clinics	2,459,497	2,011,711	1,876,918
Federal grants and contracts	699,818	722,156	710,642
State, local, private grants and contracts, and other sources	696,733	690,401	649,772
Auxiliary enterprises	877,005	840,091	818,545
Operating revenues	<u>5,961,037</u>	<u>5,415,882</u>	<u>5,163,190</u>
State appropriations	2,930,043	2,921,704	2,965,719
Other nonoperating	694,472	875,296	770,567
Nonoperating and other revenues	<u>3,624,515</u>	<u>3,797,000</u>	<u>3,736,286</u>
Total revenues	<u>\$ 9,585,552</u>	<u>9,212,882</u>	<u>8,899,476</u>

#### Tuition and Fees, Net

Tuition and fee revenue for the 2012, 2011, and 2010 fiscal years, net of scholarship allowances, was \$1.23 billion, \$1.15 billion, and \$1.11 billion, an increase of \$76 million and \$44 million in 2012 and 2011, respectively. These increases were mainly driven by a \$300 tuition rate increase for resident undergraduates in 2012 and increases in professional and nonresident tuition rates in 2012 and 2011. Annual average full-time equivalent students, including undergraduate and graduate, were approximately 193,700, 195,300, and 193,000 for the fiscal years ended June 30, 2012, 2011, and 2010, respectively.

#### 2012 Revenues (in thousands)



#### Hospitals and Clinics

The State University has three hospitals (each with academic medical centers) under its jurisdiction – the State University hospitals at Brooklyn, Stony Brook, and Syracuse.

Hospital and clinic revenue for the 2012, 2011, and 2010 fiscal years were \$2.46 billion, \$2.01 billion, and \$1.88 billion, respectively. During the 2012 fiscal year, hospital and clinic revenues increased \$448 million compared to the previous year primarily due to an increase in inpatient and outpatient volume due to the acquisition of LICH and CGH.

#### Sponsored Research, Grant and Contract Revenue

During fiscal year 2012, the State University experienced a decline in its volume of sponsored program activity. Total revenue from federal, state, local, private and capital grants and contracts administered by the Research Foundation was \$882 million, \$946 million, and \$893 million for the fiscal years ended June 30, 2012, 2011, and 2010, respectively. Facilities and administrative recoveries earned on grants and contracts administered by the Research Foundation were \$146 million, \$146 million, and \$145 million for the fiscal periods ending June 30, 2012, 2011, and 2010, respectively.

The volume of research and other sponsored programs reported for 2012 and 2011 by the statutory colleges at Cornell University was \$176.8

## Management's Discussion and Analysis

million and \$168 million, and Alfred University was \$2.4 million and \$4 million, respectively.

Revenue from projects sponsored by the federal government (including federal flow-through funds) and administered by the Research Foundation totaled \$548 million and \$578 million during 2012 and 2011, respectively. Of these federally-sponsored projects the Department of Health and Human Services was the largest sponsor for both fiscal years. Revenue from non-federal sponsors administered by the Research Foundation totaled \$334 million and \$368 million during 2012 and 2011, respectively. In fiscal years 2012 and 2011, the largest non-federal support of sponsored research programs was received from the Empire State Development Corporation.

Amounts received under the State's Tuition Assistance Program increased \$4 million from the prior year. Federal grants under the Pell and other federal student aid programs decreased \$25 million from the previous year.

### *Auxiliary Enterprises*

The State University's auxiliary enterprise activity is comprised of sales and services for residence halls, food services, campus store operations, intercollegiate athletics, student health services, parking, and other activities. The residence halls are generally owned, operated and managed by the State University and its campuses. Generally, food services, campus store operations and other services are operated and managed by separately incorporated not-for-profit organizations, commonly referred to as auxiliary services corporations.

The residence hall operations and capital programs are financially self-sufficient. Each campus is responsible for the operation of its residence halls program including setting room rates and covering operating, maintenance, capital and debt service costs. Any excess funds generated by residence halls operating activities are separately maintained for improvements and maintenance of the residence halls. Revenue producing occupancy at the residence halls was 73,183 for the fall of 2011, an increase of 431 students compared to the previous year. The overall utilization rate for the fall of 2011 was reported at 96.2 percent.

Auxiliary enterprise sales and services revenue totaled \$877 million, \$840 million, and \$819 million in the 2012, 2011, and 2010 fiscal years, respectively. Of these amounts, residence halls operating revenue totaled \$396 million, \$378 million, and \$370 million for 2012, 2011, and 2010, respectively. Increases in revenue were largely due to modest increases in room rates and occupancy levels.

Food service operations and other auxiliary services each generated \$481 million, \$462 million, and \$449 million in revenue for fiscal years 2012, 2011, and 2010, respectively.

### *State Appropriations*

The State University's single largest source of revenues are State appropriations, which for financial reporting purposes is classified as non-operating revenues. State appropriations totaled \$2.93 billion, \$2.92 billion, and \$2.97 billion and represented approximately 31 percent, 32 percent, and 33 percent of total revenues for fiscal year 2012, 2011, and 2010, respectively. State support (both direct support for operations and indirect support for debt service, litigation, and fringe benefits) for State University campus operations, statutory colleges, and hospitals and clinics increased \$8 million in 2012 and decreased \$44 million in 2011, compared to the prior year. In 2012, State support for operating expenses decreased \$146 million, indirect State support for litigation and fringe benefits decreased \$44 million and \$1 million, while indirect support for debt service increased \$199 million, respectively, compared to 2011.

### *Nonoperating and Other Revenue*

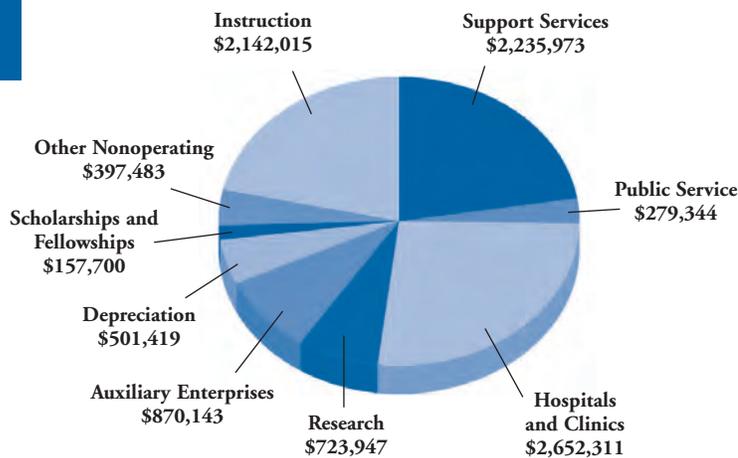
Nonoperating and other revenue excluding State appropriations were \$694 million and \$875 million for the 2012 and 2011 fiscal years, respectively. This decrease was primarily due to decreases of \$115 million in investment gains and \$31 million in capital gifts and grants.

## Management's Discussion and Analysis

### Expense Overview

Expenses (in thousands):	2012	2011	2010
Instruction	\$ 2,142,015	2,200,938	2,041,660
Research	723,947	747,664	663,353
Public service	279,344	305,633	294,999
Support services	2,235,973	2,207,911	2,099,496
Scholarships and fellowships	157,700	167,656	172,150
Hospitals and clinics	2,652,311	2,301,319	2,227,162
Auxiliary enterprises	870,143	838,991	791,733
Depreciation and amortization	501,419	439,859	432,043
Other nonoperating	397,483	499,496	341,675
Total expenses	\$ 9,960,335	9,709,467	9,064,271

2012 Expenses (in thousands)



During the 2012 fiscal year, instruction expenses decreased \$59 million predominately from a decrease in postemployment benefit costs and a decrease in fringe benefit expenses due to a decrease in the State fringe benefit rate. Instruction expenses increased \$159 million during 2011 compared to 2010. Research and public service expenses also decreased \$50 million during 2012 compared to 2011 primarily due to a decrease in sponsored program activity. Research and public service expenses increased \$95 million in 2011 compared to 2010.

Support services, which includes expenses for academic support, student services, institutional support, and operation and maintenance of plant,

remained relatively flat between fiscal years 2012 and 2011. Support services increased \$108 million between 2011 compared to 2010 primarily due to an increase in postemployment benefit expenses and fringe benefit costs.

In the State University's financial statements, scholarships used to satisfy student tuition and fees (residence hall, food service, etc.) are reported as an allowance (offset) to the respective revenue classification up to the amount of the student charges. The amount reported as expense represents amounts provided to the student in excess of State University charges.

Total scholarships and fellowships, including federal and state grant programs, were \$785 million and \$781 million for the fiscal years ended June 30, 2012 and 2011, respectively. Of this amount, \$627 million and \$613 million were classified as scholarship allowances and \$158 million and \$168 million were reported as scholarship expense for fiscal years 2012 and 2011, respectively. Major scholarships and grants received include the State Tuition Assistance Program of \$191 million and \$187 million, and the federal Pell Program of \$270 million and \$275 million during fiscal years 2012 and 2011, respectively.

Expenses at the State University's hospitals and clinics increased \$351 million and \$74 million during 2012 and 2011. The large increase in 2012 primarily relates to the acquisition of the LICH and CGH.

During fiscal years 2012 and 2011, auxiliary enterprise expenses increased \$31 million and \$47 million, respectively. Residence halls expenses increased \$7 million and \$17 million, and food service expenses increased \$13 million and \$11 million, for the 2012 and 2011 fiscal years respectively, primarily due to an increase in occupancy and rates. Other auxiliary enterprise expenses for the years ended June 30, 2012 and 2011 increased \$11 million and \$19 million, respectively.

Depreciation and amortization expense recognized in fiscal years 2012 and 2011 totaled \$501 million and \$440 million, respectively. Other nonoperating expenses were \$397 million and \$499 million for the years ended June 30, 2012 and 2011, respectively. The decrease in nonoperating expenses during fiscal year 2012 compared to 2011

## Management's Discussion and Analysis

was mainly due to the loss recorded in 2011 related to the acquisition of LICH offset by an increase in interest expense on capital related debt in 2012.

### Economic Factors That Will Affect the Future

The State University is one of the largest public universities in the nation, with headcount enrollment of approximately 220,000 in the fall 2012, on twenty-nine State-operated campuses and five contract/statutory colleges. The State University's student population is directly influenced by State demographics as the majority of students attending the State University are New York residents. The enrollment outlook remains strong for the State University based on its continued ability to attract quality students for its academic programs. Full-time equivalent (FTE) enrollment, excluding community colleges, for the fiscal year ended June 30, 2012, is approximately 193,700, a slight decrease compared to June 30, 2011.

New York State appropriations remain the largest single source of revenues. The State University's continued operational viability is substantially dependent upon a consistent and proportionate level of ongoing State support. For the most recent fiscal year, State appropriations totaled \$2.93 billion which represented 31 percent of the total revenues of the State University. State appropriations consisted of direct support (\$1.04 billion), debt service on educational facility and PIT bonds (\$691 million), fringe benefits for State University employees (\$1.15 billion), and litigation (\$52 million). Debt service on educational facilities is paid by the State in an amount sufficient to cover annual debt service requirements; pursuant to annual statutory provisions, each of the University's three teaching hospitals must reimburse the State for their share of debt service costs to finance their capital projects. To maintain budgetary equilibrium in an era of fiscal uncertainty the State University is taking appropriate measures to identify operational efficiencies through shared services and is implementing cost containment measures on discretionary spending for non-personal service costs.

Beginning with the 2011-12 fiscal year, legislation was passed called the NY-SUNY 2020 Challenge Grant Program Act, which includes capital funds for investments in economic expansion and job creation at the four State University Centers, as well as a predictable and rational tuition plan. The rational tuition plan authorizes the State University trustees to increase resident undergraduate tuition by up to \$300 per year for five years. The five year plan expires at the end of the 2015-16 academic year. In addition, the State University trustees can also increase non-resident undergraduate tuition up to 10 percent as well as certain fees at the four University Centers after approval of their NY-SUNY 2020 Challenge grant plan.

The State University depends on the State to provide appropriations in support of its capital programs. The 2008-09 enacted State budget provided \$1.7 billion multi-year appropriation for strategic initiatives and \$550 million for the first of five anticipated annual appropriations dedicated to critical maintenance efforts targeted for preservation or rehabilitation of existing educational facilities. Subsequent annual critical maintenance appropriations of \$550 million have been provided through the enacted 2011-12 State budget. In total, the State University anticipates \$2.75 billion in multi-year critical maintenance appropriations over the five year period ending in 2012-13.

The State University hospitals, which are all part of larger State University Academic Health Centers at Brooklyn, Stony Brook and Syracuse, serve large numbers of Medicaid and uninsured patients and, as a result, their dependency on the Medicaid DSH Program revenue stream and Medicaid reimbursement is critical to their continued viability. The overall stagnant economic climate increases the risk that the federal government will be under pressure to reduce their overall spending and these spending reductions could result in significant cuts in Medicare and Medicaid programs and rates, having a negative impact on the hospitals' overall revenue. The hospitals' financial and operational capabilities will also continue to be challenged by declines in state support and inflationary and contractual cost increases.

# Balance Sheets

June 30, 2012 and 2011  
In thousands

<u>Assets</u>	<u>2012</u>	<u>2011</u>
Current Assets:		
Cash and cash equivalents	\$ 1,378,180	1,439,948
Deposits with trustees	264,412	159,588
Short-term investments	315,298	327,921
Accounts, notes, and loans receivable, net	861,073	758,330
Appropriations receivable	324,998	354,837
Grants receivable	250,367	233,703
Inventories	49,097	47,403
Other assets	55,697	74,007
Total current assets	<u>3,499,122</u>	<u>3,395,737</u>
Noncurrent Assets:		
Restricted cash and cash equivalents	110,365	114,635
Deposits with trustees	646,425	623,957
Accounts, notes, and loans receivable, net	111,030	110,706
Appropriations receivable	457,881	398,739
Deferred financing costs	110,560	102,884
Long-term investments	715,123	735,655
Other noncurrent assets	42,161	15,721
Capital assets, net	9,087,539	7,964,994
Total noncurrent assets	<u>11,281,084</u>	<u>10,067,291</u>
<b>Total assets</b>	<b><u>\$ 14,780,206</u></b>	<b><u>13,463,028</u></b>
<b><u>Liabilities and Net Position</u></b>		
Current Liabilities:		
Accounts payable and accrued liabilities	1,174,849	845,915
Interest payable	75,552	90,927
Student deposits	11,106	13,592
Deposits held in custody for others	70,122	80,148
Deferred revenue	301,011	330,014
Long-term liabilities - current portion	687,924	656,202
Other liabilities	83,996	81,094
Total current liabilities	<u>2,404,560</u>	<u>2,097,892</u>
Noncurrent Liabilities:		
Long-term liabilities	12,295,385	10,919,718
Refundable government loan funds	141,450	141,675
Other noncurrent liabilities	77,771	67,920
Total noncurrent liabilities	<u>12,514,606</u>	<u>11,129,313</u>
<b>Total liabilities</b>	<b><u>14,919,166</u></b>	<b><u>13,227,205</u></b>
Net Position:		
Net investment in capital assets	1,143,489	874,723
Restricted - nonexpendable:		
Instruction and departmental research	108,083	100,212
Scholarships and fellowships	87,519	83,318
General operations and other	113,249	105,277
Restricted - expendable:		
Instruction and departmental research	161,157	186,783
Scholarships and fellowships	53,725	59,093
Capital projects	370	255
Loans	16,008	16,280
General operations and other	218,778	233,104
Unrestricted	<u>(2,041,338)</u>	<u>(1,423,222)</u>
<b>Total net position</b>	<b><u>(138,960)</u></b>	<b><u>235,823</u></b>
<b>Total liabilities and net position</b>	<b><u>\$ 14,780,206</u></b>	<b><u>13,463,028</u></b>

See accompanying notes to financial statements.

# Statements of Revenues, Expenses, and Changes in Net Position

For the Years Ended June 30, 2012 and 2011

In thousands

	<u>2012</u>	<u>2011</u>
<b>Operating revenues:</b>		
Tuition and fees	\$ 1,711,328	1,622,706
Less scholarship allowances	<u>(483,344)</u>	<u>(471,183)</u>
Net tuition and fees	1,227,984	1,151,523
Federal grants and contracts	699,818	722,156
State and local grants and contracts	181,353	195,352
Private grants and contracts	333,086	328,899
Hospitals and clinics	2,459,497	2,011,711
Sales and services of auxiliary enterprises:		
Residence halls, net	396,203	377,629
Food service, net	245,416	233,414
Other, net	235,386	229,048
Other sources	<u>182,294</u>	<u>166,150</u>
<b>Total operating revenues</b>	<b><u>5,961,037</u></b>	<b><u>5,415,882</u></b>
<b>Operating expenses:</b>		
Instruction	2,142,015	2,200,938
Research	723,947	747,664
Public service	279,344	305,633
Academic support	465,644	481,184
Student services	266,642	265,461
Institutional support	880,541	832,877
Operation and maintenance of plant	617,174	622,675
Scholarships and fellowships	157,700	167,656
Hospitals and clinics	2,652,311	2,301,319
Auxiliary enterprises:		
Residence halls	337,830	330,232
Food service	249,575	236,802
Other	282,738	271,957
Depreciation and amortization expense	501,419	439,859
Other operating expenses	<u>5,972</u>	<u>5,714</u>
<b>Total operating expenses</b>	<b><u>9,562,852</u></b>	<b><u>9,209,971</u></b>
<b>Operating loss</b>	<b><u>(3,601,815)</u></b>	<b><u>(3,794,089)</u></b>
<b>Nonoperating revenues (expenses):</b>		
State appropriations	2,930,043	2,921,704
Federal and state nonoperating grants	515,450	529,502
Investment income, net	18,238	22,919
Net realized and unrealized (losses) gains	(14,346)	115,126
Gifts	69,800	64,479
Interest expense on capital related debt	(361,732)	(324,314)
Loss on disposal of plant assets	(1,659)	(8,797)
Gain (loss) on acquisition	9,762	(166,385)
Other nonoperating (expenses) revenues, net	<u>(19,746)</u>	<u>29,936</u>
<b>Net nonoperating revenues</b>	<b><u>3,145,810</u></b>	<b><u>3,184,170</u></b>
<b>Loss before other revenues</b>	<b><u>(456,005)</u></b>	<b><u>(609,919)</u></b>
Capital appropriations	100	271
Capital gifts and grants	64,525	95,177
Additions to permanent endowments	<u>16,597</u>	<u>17,886</u>
<b>Decrease in net position</b>	<b><u>(374,783)</u></b>	<b><u>(496,585)</u></b>
<b>Net position at the beginning of year</b>	<b><u>235,823</u></b>	<b><u>732,408</u></b>
<b>Net position at the end of year</b>	<b><u>\$ (138,960)</u></b>	<b><u>235,823</u></b>

See accompanying notes to financial statements.

# Statements of Cash Flows

For the Years Ended June 30, 2012 and 2011

In thousands

	<u>2012</u>	<u>2011</u>
<b>Cash flows from operating activities:</b>		
Tuition and fees	\$ 1,235,015	1,150,899
Grants and contracts:		
Federal	670,199	732,019
State and local	171,727	249,718
Private	337,621	317,484
Hospital and clinics	2,313,896	1,911,724
Personal service payments	(3,941,631)	(3,791,435)
Other than personal service payments	(2,514,317)	(2,342,918)
Payments for fringe benefits	(517,723)	(513,353)
Payments for scholarships and fellowships	(94,117)	(149,042)
Loans issued to students	(23,424)	(20,832)
Collection of loans to students	22,890	23,377
Auxiliary enterprise charges:		
Residence halls	396,178	375,561
Food service	242,437	231,152
Other	229,708	224,352
Other receipts	118,930	72,535
<b>Net cash used by operating activities</b>	<b><u>(1,352,611)</u></b>	<b><u>(1,528,759)</u></b>
<b>Cash flows from noncapital financing activities:</b>		
State appropriations:		
Operations	1,032,232	1,216,834
Debt service	709,172	514,082
Federal and State nonoperating grants	515,452	528,539
Private gifts and grants	64,639	63,350
Proceeds from short-term loans	114,469	110,771
Repayment of short-term loans	(120,785)	(100,306)
Direct loan receipts	1,146,149	1,120,771
Direct loan disbursements	(1,146,149)	(1,120,771)
Other (payments) receipts	(8,431)	22,095
<b>Net cash provided by noncapital financing activities</b>	<b><u>2,306,748</u></b>	<b><u>2,355,365</u></b>
<b>Cash flows from capital and related financing activities:</b>		
Proceeds from capital debt	2,220,052	1,343,544
Capital appropriations	110	401
Capital grants and gifts received	40,517	135,005
Proceeds from sale of capital assets	115	44
Purchases of capital assets	(288,365)	(221,692)
Payments to contractors	(1,039,230)	(891,684)
Principal paid on capital debt and leases	(1,414,876)	(439,473)
Interest paid on capital debt and leases	(450,446)	(417,316)
Deposits with trustees	(127,898)	(200,815)
<b>Net cash used by capital and related financing activities</b>	<b><u>(1,060,021)</u></b>	<b><u>(691,986)</u></b>
<b>Cash flows from investing activities:</b>		
Proceeds from sales and maturities of investments	1,388,232	2,350,571
Interest, dividends, and realized gains on investments	26,927	59,163
Purchases of investments	(1,375,313)	(2,458,879)
<b>Net cash provided (used) by investing activities</b>	<b><u>39,846</u></b>	<b><u>(49,145)</u></b>
<b>Net change in cash</b>	<b><u>(66,038)</u></b>	<b><u>85,475</u></b>
Cash - beginning of year	<u>1,554,583</u>	<u>1,469,108</u>
Cash - end of year	<b><u>\$ 1,488,545</u></b>	<b><u>1,554,583</u></b>
<b>End of year cash comprised of:</b>		
Cash and cash equivalents	<b><u>\$ 1,378,180</u></b>	<b><u>1,439,948</u></b>
Restricted cash and cash equivalents	<b><u>\$ 110,365</u></b>	<b><u>114,635</u></b>

## Statements of Cash Flows (continued)

For the Years Ended June 30, 2012 and 2011

In thousands

	<u>2012</u>	<u>2011</u>
<b>Reconciliation of net operating loss to net cash used by operating activities:</b>		
Operating loss	\$ (3,601,815)	(3,794,089)
Adjustments to reconcile operating loss to net cash used by operating activities:		
Depreciation and amortization expense	501,419	439,859
Fringe benefits, litigation, and other noncash expenses	1,157,615	1,159,428
Change in assets and liabilities:		
Receivables, net	(119,941)	(134,014)
Inventories	(1,694)	1,438
Other assets	(13,120)	(37,537)
Accounts payable, accrued expenses, and other liabilities	763,632	695,818
Deferred revenue	(23,216)	139,605
Student deposits	(2,487)	1,550
Deposits held for others	(13,004)	(817)
<b>Net cash used by operating activities</b>	<b>\$ <u>(1,352,611)</u></b>	<b><u>(1,528,759)</u></b>
<b>Supplemental disclosures for noncash transactions:</b>		
New capital leases / debt agreements	\$ <u>2,220,052</u>	<u>1,475,076</u>
Fringe benefits provided by the State	\$ <u>1,145,475</u>	<u>1,142,419</u>
Litigation costs provided by the State	\$ <u>12,140</u>	<u>17,009</u>
Noncash gifts	\$ <u>4,867</u>	<u>33,190</u>
Assets from hospital acquisitions	\$ <u>29,173</u>	<u>142,712</u>
Liabilities from hospital acquisitions	\$ <u>19,411</u>	<u>309,097</u>

See accompanying notes to financial statements.

# State University of New York Foundations

## Balance Sheet

June 30, 2012 (with comparative financial information as of June 30, 2011)  
In thousands

<u>Assets</u>	<u>2012</u>	<u>2011</u>
Cash and cash equivalents	\$ 145,492	108,240
Accounts and notes receivable, net	38,222	14,968
Pledges receivable, net	207,574	126,389
Investments	1,494,452	1,387,019
Other assets	59,753	60,776
Capital assets, net	502,881	481,342
<b>Total assets</b>	<b>\$ 2,448,374</b>	<b>2,178,734</b>
<b><u>Liabilities and Net Assets</u></b>		
Liabilities:		
Accounts payable and accrued liabilities	55,567	36,638
Current portion of long-term debt	46,593	10,984
Deferred revenue	5,455	3,254
Deposits held in custody for others	79,457	56,590
Other liabilities	62,949	53,361
Long-term debt	410,923	427,170
<b>Total liabilities</b>	<b>660,944</b>	<b>587,997</b>
Net Assets:		
Unrestricted:		
Board designated for:		
Fixed assets	118,610	118,966
Campus programs	78,590	83,202
Investments	175,212	144,070
Other	10,316	4,368
Undesignated	27,946	27,566
Temporarily restricted:		
Scholarships and fellowships	122,574	130,078
Campus programs	337,870	320,422
Research	125,334	132,379
General operations and other	201,769	87,869
Permanently restricted:		
Scholarships and fellowships	273,688	251,345
Campus programs	234,322	218,915
Research	22,056	21,268
General operations and other	59,143	50,289
<b>Total net assets</b>	<b>1,787,430</b>	<b>1,590,737</b>
<b>Total liabilities and net assets</b>	<b>\$ 2,448,374</b>	<b>2,178,734</b>

See accompanying notes to financial statements.

# State University of New York Foundations

## Statement of Activities

*For the Year Ended June 30, 2012 (with summarized financial information for the year ended June 30, 2011)*  
*In thousands*

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>2012 Total</u>	<u>2011 Total</u>
<b>Revenues:</b>					
Contributions, gifts, and grants	\$ 36,560	226,449	44,890	307,899	161,112
Investment income, net	9,589	13,027	361	22,977	41,380
Net realized and unrealized (losses) gains	(144)	(9,272)	(79)	(9,495)	166,767
Rental income	68,218	336	-	68,554	53,291
Sales and services	41,438	105	-	41,543	17,046
Program income and special events	48,655	1,166	132	49,953	48,045
Change in value of split interest agreements	(72)	59	(2,029)	(2,042)	5,811
Other sources	4,894	1,864	394	7,152	6,146
Transfers of permanently restricted net assets	(629)	(1,008)	1,637	-	-
Endowment earnings transferred	-	320	(320)	-	-
Net assets released from restrictions	125,207	(125,207)	-	-	-
<b>Total revenues</b>	<u>333,716</u>	<u>107,839</u>	<u>44,986</u>	<u>486,541</u>	<u>499,598</u>
<b>Expenses:</b>					
Program expenses	143,925	-	-	143,925	132,516
Payments to the State University:					
Scholarships and fellowships	32,963	-	-	32,963	24,719
Other	31,228	-	-	31,228	18,439
Real estate expenses	22,760	-	-	22,760	21,151
Depreciation and amortization expense	17,181	-	-	17,181	16,836
Interest expense on capital-related debt	19,775	-	-	19,775	13,520
Management and general	29,794	-	-	29,794	21,855
Fundraising	19,705	-	-	19,705	17,233
Other expenses	5,223	-	-	5,223	4,791
<b>Total expenses</b>	<u>322,554</u>	<u>-</u>	<u>-</u>	<u>322,554</u>	<u>271,060</u>
<b>Change in net assets</b>	<b>11,162</b>	<b>107,839</b>	<b>44,986</b>	<b>163,987</b>	<b>228,538</b>
<b>Increase in net assets from acquisition</b>	<b>22,436</b>	<b>3,905</b>	<b>6,365</b>	<b>32,706</b>	<b>-</b>
<b>Net asset reclassifications</b>	<u>(1,096)</u>	<u>5,055</u>	<u>(3,959)</u>	<u>-</u>	<u>-</u>
<b>Total change in net assets</b>	<b>32,502</b>	<b>116,799</b>	<b>47,392</b>	<b>196,693</b>	<b>228,538</b>
<b>Net assets, beginning of year</b>	<u>378,172</u>	<u>670,748</u>	<u>541,817</u>	<u>1,590,737</u>	<u>1,362,199</u>
<b>Net assets, end of year</b>	<u>\$ 410,674</u>	<u>787,547</u>	<u>589,209</u>	<u>1,787,430</u>	<u>1,590,737</u>

See accompanying notes to financial statements.

# Notes to Financial Statements

*June 30, 2012 and 2011*

## 1. Summary of Significant Accounting Policies and Basis of Presentation

### **Reporting Entity**

For financial reporting purposes, the State University of New York (State University) consists of all sectors of the State University including the university centers, health science centers (including hospitals), colleges of arts and sciences, colleges of technology and agriculture, specialized colleges, and statutory colleges (located at the campuses of Cornell and Alfred Universities), central services and other affiliated entities determined to be includable in the State University's financial reporting entity.

Inclusion in the reporting entity is based primarily on the notion of financial accountability, defined in terms of a primary government (State University) that is financially accountable for the organizations that make up its legal entity. The reporting entity includes legally-separate organizations meeting certain financial accountability and fiscal dependency criteria of the State University. Separate legal entities meeting the criteria for inclusion in the blended totals of the State University reporting entity are described below. The State University is included in the financial statements of the State of New York (State) as an enterprise fund, as the State is the primary government of the State University.

Legally-separate, tax-exempt, affiliated organizations that receive or hold economic resources that are significant to, that are entirely or almost entirely for the direct benefit of, and that can be accessed by the primary government, its component units, or its constituents are required to be included in the reporting entity using discrete presentation requirements. As a result, the combined totals of the campus-related foundations and student housing corporations (all referred to as foundations) are separately presented as an aggregate component unit on financial statement pages 16 and 17 in the State University's financial statements in accordance with display requirements prescribed by the Financial Accounting Standards Board (FASB). The combined totals are also included in the financial statements of the State's discretely presented component unit combining statements.

The Research Foundation for the State University of New York (Research Foundation) is a separate, private, nonprofit educational corporation that administers the majority of the State University's sponsored programs. The programs include research, training, and public service activities of the State-operated campuses supported by sponsored funds other than State appropriations. The activity of the Research Foundation has been included in these financial statements using GASB measurements and recognition standards. The financial activity was primarily derived from audited financial statements of the Research Foundation for the years ended June 30, 2012 and 2011.

Almost all of the State University's campuses maintain auxiliary services corporations. These corporations are campus-based, nonprofit organizations which, as independent contractors, operate, manage, and promote educationally related services for the benefit of the campus community. Although separate and independent legal entities, these corporations carry out operations which are integrally related to the State University and, therefore, are included in the financial statements of the State University. In addition, two other legally separate single member corporations that provide and maintain campus facilities for use by, and for the benefit of, the State University meet the criteria for inclusion. All of the financial data for these corporations was derived from each entity's individual audited financial statements, the majority of which have a May 31 or June 30 fiscal year end.

The State University Construction Fund (Construction Fund) is a public benefit corporation that designs, constructs, reconstructs and rehabilitates facilities of the State University pursuant to an approved master plan. Although the Construction Fund is a separate legal entity, it carries out operations which are integrally related to the State University and, therefore, the financial activity related to the Construction Fund is included in the State University's financial statements as of the Construction Fund's fiscal years end of March 31, 2012 and 2011.

# Notes to Financial Statements

*June 30, 2012 and 2011*

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

The State statutory colleges at Cornell University and Alfred University are an integral part of, and are administered by, those universities. The statutory colleges are fiscally dependent on State appropriations through the State University. The financial statement information of the statutory colleges of Cornell University and Alfred University have been included in the accompanying financial statements.

On July 7, 2011, the State University acquired substantially all of the assets of Community General Hospital of Greater Syracuse (CGH) through the assumption of certain liabilities pursuant to an asset purchase agreement. The State University operates CGH under its existing authority as a second campus. On May 29, 2011, the State University acquired Long Island College Hospital (LICH) through an asset purchase agreement and received substantially all of the assets and assumed substantial liabilities of LICH, excluding discrete enumerated liabilities and assets required to fund those excluded liabilities. The State University conducts LICH's hospital operations at the LICH facilities.

The operations of certain related but independent organizations, i.e., clinical practice management plans, alumni associations and student associations, do not meet the criteria for inclusion, and are not included in the accompanying financial statements.

The State University administers State financial assistance to the community colleges in connection with its general oversight responsibilities pursuant to State Education Law. However, since these community colleges are sponsored by local governmental entities and are included in their financial statements, the community colleges are not considered part of the State University's financial reporting entity and, therefore, are not included in the accompanying financial statements.

The accompanying financial statements of the State University have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with U.S. generally accepted accounting principles as prescribed by the GASB.

The State University reports its financial statements as a special purpose government engaged in business-type activities, as defined by the GASB. Business-type activities are those that are financed in whole or in part by fees charged to external parties for goods or services. The financial statements of the State University consist of classified balance sheets; statements of revenues, expenses, and changes in net position, that distinguish between operating and nonoperating revenues and expenses; and statements of cash flows, using the direct method of presenting cash flows from operations and other sources.

The State University's policy for defining operating activities in the statement of revenues, expenses, and changes in net position are those that generally result from exchange transactions, i.e., the payments received for services and payments made for the purchase of goods and services. Certain other transactions are reported as nonoperating activities and include the State University's operating and capital appropriations from the State, federal and State financial aid grants (e.g., Pell and TAP), investment income gains and losses, gifts, and interest expense.

Resources are classified for accounting and financial reporting purposes into the following four net position categories:

### Net investment in capital assets

Capital assets, net of accumulated depreciation and amortization and outstanding principal balances of debt attributable to the acquisition, construction, repair or improvement of those assets.

### Restricted – nonexpendable

Net position component subject to externally imposed conditions that the State University is required to retain in perpetuity.

# Notes to Financial Statements

June 30, 2012 and 2011

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

### Restricted – expendable

Net position component whose use is subject to externally imposed conditions that can be fulfilled by the actions of the State University or by the passage of time.

### Unrestricted component of net position

The unrestricted component of net position includes amounts provided for specific use by the State University's colleges and universities, hospitals and clinics, and separate legal entities included in the State University's reporting entity that are designated for those entities and, therefore, not available for other purposes.

The State University has adopted a policy of generally utilizing restricted - expendable funds, when available, prior to unrestricted funds.

### **Revenues**

Revenues are recognized in the accounting period when earned. State appropriations are recognized when they are made legally available for expenditure. Revenues and expenditures arising from nonexchange transactions are recognized when all eligibility requirements, including time requirements, are met. Promises of private donations are recognized at fair value. Net patient service revenue for the hospitals is reported at the estimated net realizable amounts from patients, third party payors and others for services rendered, including estimated retroactive adjustments under reimbursement agreements with third party payors.

Tuition and fees and auxiliary sales and service revenues are reported net of scholarship discounts and allowances. Auxiliary sales and service revenue classifications for 2012 and 2011 were reported net of the following scholarship discount and allowance amounts (in thousands):

	<u>2012</u>	<u>2011</u>
Residence halls	\$ 75,842	74,349
Food service	34,945	34,434
Other auxiliary	33,328	33,802

### **Cash and Cash Equivalents**

Cash and cash equivalents are defined as current operating assets that include investments with original maturities of less than 90 days, except for cash and cash equivalents held in investment pools which are included in short-term and long-term investments on the accompanying balance sheets.

### **Restricted Cash and Cash Equivalents**

Restricted cash and cash equivalents represent unspent funds under various capital financing arrangements, cash held for others, and cash restricted for loan programs.

### **Investments**

Investments in marketable securities are stated at fair value based upon quoted market prices. Investment income is recorded on the accrual basis, and purchases and sales of investment securities are reflected on a trade date basis. Any net earnings not expended are included as increases in restricted - nonexpendable net position if the terms of the gift require that such earnings be added to the principal of a permanent endowment fund, or as increases in restricted - expendable net position as provided for under the terms of the gift, or as unrestricted. At June 30, 2012 and 2011, the State University had \$181 million and \$217 million available for authorization for expenditure, including \$91 million and \$109 million from restricted funds and \$90 million and \$108 million from unrestricted funds, respectively.

The Investment Committee of the Cornell Board of Trustees establishes the investment policy for the Cornell University as a whole, including investments that support the statutory colleges. Distributions from the pool are approved by the Cornell Board of Trustees and are provided for program support independent of the cash yield and appreciation of investments in that year. The Board applies the "prudent person" standard when making its decision whether to appropriate or accumulate endowment funds in compliance with the New York Prudent Management of Institutional Funds Act (NYPMIFA). Investments in the pool are stated at fair value and include limited use of derivative

# Notes to Financial Statements

June 30, 2012 and 2011

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

instruments including futures, forward, options and swap contracts designed to manage market exposure and to enhance the total return.

Alternative investments are valued using current estimates of fair value obtained from the investment manager in the absence of readily determinable public market values. The estimated fair value of these investments is based on the most recent valuations provided by the external investment managers. Because of the inherent uncertainty of valuation for these investments, the investment manager's estimate may differ from the values that would have been used had a ready market existed.

### *Capital Assets*

Capital assets are stated at cost, or in the case of gifts, fair value at the date of receipt. Building renovations and additions costing over \$100,000 and equipment items with a unit cost of \$5,000 or more are capitalized. Equipment under capital leases are stated at the present value of minimum lease payments at the inception of the lease. Generally, the net interest cost on debt during the construction period related to capital projects is capitalized and totaled \$54.5 million and \$47.7 million in the 2012 and 2011 fiscal years, respectively. Intangible assets for internally generated computer software of \$1,000,000 or more and \$100,000 for all other intangible assets are capitalized. Library materials are capitalized and amortized over a ten-year period. Works of art or historical treasures that are held for public exhibition, education, or research in furtherance of public service are capitalized. Capital assets, with the exception of land, construction in progress, and inexhaustible works of art or intangible assets, are depreciated on a straight-line basis over their estimated useful lives, using historical and industry experience, ranging from 3 to 50 years.

### *Deferred Financing Costs*

Deferred financing costs represent costs incurred for the issuance of bonds that are capitalized and amortized over the life of the related debt.

### *Inventories*

Inventories held by the State University are primarily stated at the lower of cost or market value on a first-in, first-out basis.

### *Compensated Absences*

Employees accrue annual leave based primarily on the number of years employed up to a maximum rate of 21 days per year up to a maximum of 40 days.

### *Fringe Benefits*

Employee fringe benefit costs (e.g., health insurance, workers' compensation, and pension and post-retirement benefits) are paid by the State on behalf of the State University (except for the State University hospitals, which pay their own fringe benefit costs) at a fringe benefit rate determined by the State. The State University records an expense and corresponding State appropriation revenue for fringe benefit costs based on the fringe benefit rate applied to total eligible personal service costs incurred.

### *Postemployment Benefits*

Postemployment benefits other than pensions are recognized on an actuarially determined basis as employees earn benefits that are expected to be used in the future. The amounts earned include employee sick leave credits expected to be used to pay for a share of post-retirement health insurance.

### *Tax Status*

The State University and the Construction Fund are political subdivisions of the State and are, therefore, generally exempt from federal and state income taxes under applicable federal and state statutes and regulations.

The Research Foundation and campus auxiliary services corporations are nonprofit organizations as described in Section 501(c)(3) of the Internal Revenue Code and are tax-exempt on related income, pursuant to Section 501(a) of the Code.

### *Reclassifications*

Certain amounts displayed in the 2011 financial statements have been reclassified to conform to the 2012 presentation.

# Notes to Financial Statements

June 30, 2012 and 2011

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

### Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amount of revenues and expenses during the reporting period. Actual results could differ from those estimates.

## 2. Cash and Cash Equivalents

Cash and cash equivalents represent State University funds held in the State treasury, in the short-term investment pool (STIP), or local depositories, and cash held by affiliated organizations. Cash held in the State treasury beyond immediate need is pooled with other State funds for short-term investment purposes.

The pooled balances are limited to legally-stipulated investments which include obligations of, or are guaranteed by, the United States; obligations of the State and its political subdivisions; and repurchase agreements. These investments are reported at cost (which approximates fair value) and are held by the State's agent in its name on behalf of the State University.

The New York State *Comprehensive Annual Financial Report* contains the GASB Statement No. 40 risk disclosures for deposits held in the State treasury. Deposits not held in the State treasury that are not covered by depository insurance and are (a) uncollateralized; (b) collateralized with securities held by a pledging financial institution; or (c) collateralized with securities held by a pledging financial institution's trust department or agency, but not in the State University or affiliates' name at June 30, 2012 and 2011, are as follows (in thousands):

	Category a	Category b	Category c
2012	\$ 67,399	27,735	17,007
2011	47,201	25,450	17,082

## 3. Deposits with Trustees

Deposits with trustees primarily represent Dormitory Authority of the State of New York (DASNY) bond proceeds needed to finance capital projects and to establish required building and equipment replacement and debt service reserves. Pursuant to financing agreements with DASNY, bond proceeds, including interest income, are restricted for capital projects or debt service. Also included are non-bond proceeds which have been designated for capital projects and equipment.

The State University's cash and investments which comprise deposits with trustees are registered in the State University's name and held by an agent or in trust accounts in the State University's name. Cash and short-term investments held in the State treasury and money market accounts were approximately \$68 million and \$59 million at June 30, 2012 and 2011, respectively. The market value of investments held and maturity period are displayed in the table following (in thousands):

### Fiscal Year 2012

Type of Investments	Fair Value	Less than 1 year	1-5 years	More than 5 years
US Treasury notes/bonds	\$ 142,206	137,919	4,287	-
US Treasury bills	255,468	255,468	-	-
US Treasury strips	314,461	314,461	-	-
Investment agreement	10,110	-	-	10,110
Federal Home Loan Mortgage Corp.*	78,151	78,151	-	-
Federal National Mortgage Assoc.*	1,670	1,670	-	-
Federal Home Loan Bank*	41,044	41,044	-	-
Total	\$ 843,110	828,713	4,287	10,110

### Fiscal Year 2011

Type of Investments	Fair Value	Less than 1 year	1-5 years	More than 5 years
US Treasury notes/bonds	\$ 50,905	47,113	3,792	-
US Treasury bills	471,602	471,602	-	-
US Treasury strips	160	160	-	-
Federal Home Loan Bank*	201,919	201,919	-	-
Total	\$ 724,586	720,794	3,792	-

\*Rating on investment was AAA

## Notes to Financial Statements

June 30, 2012 and 2011

### 4. Investments

Investments of the State University are recorded at fair value. Investment income is reported net of investment fees of approximately \$1 million for both fiscal years. Investments are comprised of the statutory colleges at Cornell University and Alfred University (Alfred Ceramics), the Research Foundation, the Construction Fund, the auxiliary services corporations, and State University campuses.

Investments of the endowment and similar funds of the Cornell statutory colleges, except for separately invested funds with a fair value of \$37 million and \$29 million at June 30, 2012 and 2011, respectively, are pooled on a fair value basis in Cornell's long-term investment pool and living trust fund. Individual funds enter or withdraw from the pool based on each fund's share of the fair value of the pool's investments.

The Research Foundation maintains a diverse investment portfolio and follows an investment policy and asset guidelines approved and monitored by its board of directors. The portfolio is mainly comprised of mutual funds, exchange-traded funds and alternative investments of high quality and liquidity. Investments are held with the investment custodian in the Research Foundation's name.

Investments of the Construction Fund are made in accordance with the applicable provisions of the laws of the State and the Construction Fund's investment policy and consist primarily of obligations of the United States government and its agencies. These investments are held by the State's agent in the State University Construction Fund's name.

Investments of the auxiliary services corporations and Alfred Ceramics were derived from each entity's individual financial statements.

The State University's financial position may be impacted through its market risk positions and by changes in economic conditions.

The composition of investments at June 30, 2012 and 2011 is as follows (in thousands):

	<u>2012</u>	<u>2011</u>
Cash and money market funds	\$ 147,946	127,801
Non-equities	187,899	240,706
Domestic and international equities	162,910	153,477
Equity partnerships	270,844	264,917
Hedge funds	222,312	230,518
Other investments	38,510	46,157
Total investments	\$ <u>1,030,421</u>	<u>1,063,576</u>
Short-term	\$ <u>315,298</u>	<u>327,921</u>
	<u>2012</u>	<u>2011</u>
State University Campuses	5,908	5,346
Cornell Statutory Colleges	680,908	691,240
Alfred Ceramics	18,891	19,160
Research Foundation	238,585	265,268
Auxiliary Services Corporations	55,030	51,420
State University Construction Fund	31,099	31,142
Total investments	\$ <u>1,030,421</u>	<u>1,063,576</u>

## Notes to Financial Statements

June 30, 2012 and 2011

At June 30, 2012 and 2011, the State University had the following non-equity investments and maturities as summarized in Table A.

Credit quality ratings of the State University's investments in debt securities, as described by Moody's, S&P, and Fitch as of June 30, 2012 and 2011 are summarized in Table B.

Table A (in thousands)

Investment Type	Fiscal Year 2012					Fiscal Year 2011				
	Market Value	Less than 1 yr	1-5 yrs	6-10 yrs	More than 10 yrs	Market Value	Less than 1 yr	1-5 yrs	6-10 yrs	More than 10 yrs
US treasury bills	\$ 10,894	10,894	-	-	-	3,265	3,265	-	-	-
US treasury notes/bonds	19,933	519	17,676	1,458	280	19,463	2,380	16,964	38	81
US treasury strips	2,677	2,677	-	-	-	10,872	10,872	-	-	-
Asset-backed securities	4,004	-	319	2,024	1,661	4,590	1	308	2,630	1,651
Municipals	3,290	4	326	231	2,729	3,687	241	652	316	2,478
Repurchase agreements	2,094	2,094	-	-	-	632	632	-	-	-
Corporate bonds	47,865	12,081	30,909	2,212	2,663	61,072	14,748	40,677	4,934	713
Commercial Paper	298	298	-	-	-	310	310	-	-	-
Mutual funds – non-equities	35,923	4,351	7,164	10,763	13,645	56,661	822	1,891	53,774	174
International – non-equities	22,406	2,194	13,336	3,727	3,149	27,834	5,741	16,302	2,569	3,222
US government TIPS	4,663	-	17	1,090	3,556	3,358	-	596	-	2,762
US government agencies	33,852	4,545	25,390	1,362	2,555	48,962	30,436	17,204	137	1,185
Total investments	\$ 187,899	39,657	95,137	22,867	30,238	240,706	69,448	94,594	64,398	12,266

Table B (in thousands)

Credit Rating	AAA	AA	A	BBB	BB	B	Other Rating	Not Rated
<b>Investment Type - 2012</b>								
Asset-backed securities	\$ 651	68	107	637	11	250	784	1,496
Municipal bonds	121	1,422	810	7	-	643	73	214
Repurchase agreements	-	-	-	-	-	-	-	2,094
Corporate bonds	233	8,947	18,230	14,030	649	2,206	1,081	2,489
Commercial Paper	-	-	148	-	-	-	-	150
Mutual funds - non-equities*	12,115	1,233	2,621	184	3,192	11	-	16,567
International - non-equities	2,698	1,785	9,711	2,119	1,847	800	-	3,446
US government agencies	-	31,127	-	-	-	177	-	2,548
Total	\$ 15,818	44,582	31,627	16,977	5,699	4,087	1,938	29,004
<b>Investment Type - 2011</b>								
Asset-backed securities	\$ 823	39	147	599	341	304	318	2,018
Municipal bonds	445	913	1,119	557	236	-	-	417
Repurchase agreements	-	-	-	-	-	-	-	632
Corporate bonds	9,611	3,286	25,773	13,241	1,230	3,197	1,531	3,204
Commercial Paper	-	81	229	-	-	-	-	-
Mutual funds - non-equities*	44,231	3,668	-	39	17	17	-	8,690
International - non-equities	5,308	4,734	10,744	2,084	731	225	-	4,006
US government agencies	7,996	-	105	-	-	-	-	40,862
Total	\$ 68,414	12,721	38,117	16,520	2,555	3,743	1,849	59,829

\*based on average credit quality of holdings

# Notes to Financial Statements

June 30, 2012 and 2011

## 4. Investments (continued)

The investment guidelines provide for discretion to investment managers specializing in securities whose prices are denominated in foreign currencies to adjust foreign currency exposure of their investment portfolio as part of the State University's overall diversification strategy.

The State University's exposure to foreign currency risk for investments held at June 30, 2012 and 2011 was as follows (fair value in thousands):

Currency Denomination	2012	2011
British pound	\$ 7,089	5,139
Euro	5,889	10,063
Japanese yen	5,211	6,738
Hong Kong dollar	4,223	4,687
South Korean won	4,070	3,344
Taiwan dollar	2,011	2,329
Thailand baht	1,718	821
Brazil real cruzeiro	1,621	1,936
Turkish lira	909	636
Swiss franc	898	718
Mexican Nuevo Peso	828	624
Singapore dollar	693	915
Malaysian ringgit	681	792
So. African rand	495	683
Swedish krona	491	748
Australian dollar	407	356
Polish zloty	407	991
Norwegian krone	277	289
Canadian dollar	244	316
Other	2,825	2,058
Total	\$ <u>40,987</u>	<u>44,183</u>

## 5. Accounts, Notes, and Loans Receivable

At June 30, accounts, notes, and loans receivable were summarized as follows (in thousands) for years 2012 and 2011, respectively:

	2012	2011
Tuition and fees	\$ 69,585	58,667
Allowance for uncollectible	(10,020)	(9,094)
Net tuition and fees	<u>59,565</u>	<u>49,573</u>
Room rent	9,511	9,012
Allowance for uncollectible	(2,230)	(2,100)
Net room rent	<u>7,281</u>	<u>6,912</u>
Patient fees, net of contractual allowances	824,294	677,630
Allowance for uncollectible	(289,623)	(192,778)
Net patient fees	<u>534,671</u>	<u>484,852</u>
Other, net	<u>239,612</u>	<u>195,861</u>
Total accounts and notes receivable	<u>841,129</u>	<u>737,198</u>
Student loans	154,720	155,062
Allowance for uncollectible	(23,746)	(23,224)
Total student loans receivable	<u>130,974</u>	<u>131,838</u>
Total, net	\$ <u>972,103</u>	<u>869,036</u>

## 6. Capital Assets

Capital assets, net of accumulated depreciation, totaled \$9.09 billion and \$7.96 billion at fiscal year end 2012 and 2011, respectively. Capital asset activity for fiscal years 2012 and 2011 is reflected in Table C. In the table, closed projects and retirements represent capital assets retired and assets transferred from construction in progress for projects completed and the related capital assets placed in service.

Table C (in thousands)

	June 30, 2010	Additions	Closed Projects & Retirements	June 30, 2011	Additions	Closed Projects & Retirements	June 30, 2012
Land	\$ 360,168	21,467	18	381,617	122,881	12	504,486
Infrastructure and land improvements	738,908	44,665	10,506	773,067	62,394	9,431	826,030
Buildings	7,331,241	647,811	35,782	7,943,270	484,851	33,098	8,395,023
Equipment, library books and other	2,545,649	183,213	73,650	2,655,212	250,981	78,940	2,827,253
Construction in progress	<u>1,378,639</u>	<u>1,083,012</u>	<u>663,151</u>	<u>1,798,500</u>	<u>1,311,833</u>	<u>613,523</u>	<u>2,496,810</u>
Total capital assets	<u>12,354,605</u>	<u>1,980,168</u>	<u>783,107</u>	<u>13,551,666</u>	<u>2,232,940</u>	<u>735,004</u>	<u>15,049,602</u>
Less accumulated depreciation:							
Infrastructure and land improvements	365,610	27,900	9,650	383,860	30,485	8,183	406,162
Buildings	3,074,299	202,801	33,684	3,243,416	227,335	27,277	3,443,474
Equipment, library books and other	<u>1,824,300</u>	<u>202,565</u>	<u>67,469</u>	<u>1,959,396</u>	<u>221,303</u>	<u>68,272</u>	<u>2,112,427</u>
Total accumulated depreciation	<u>5,264,209</u>	<u>433,266</u>	<u>110,803</u>	<u>5,586,672</u>	<u>479,123</u>	<u>103,732</u>	<u>5,962,063</u>
Capital assets, net	\$ <u>7,090,396</u>	<u>1,546,902</u>	<u>672,304</u>	<u>7,964,994</u>	<u>1,753,817</u>	<u>631,272</u>	<u>9,087,539</u>

# Notes to Financial Statements

June 30, 2012 and 2011

## 7. Long-term Liabilities

The State University has entered into capital leases and other financing agreements with DASNY to finance most of its capital facilities. The State University has also entered into financing arrangements with the New York Power Authority under the statewide energy services program. Equipment purchases are also made through DASNY's Tax-exempt Equipment Leasing Program (TELP), various state sponsored equipment leasing programs, and private financing arrangements.

At June 30, 2012 and 2011, other than facilities obligations, which are included as of March 31, 2012 and 2011, total obligations are summarized in Table D.

### Educational Facilities

The State University, through DASNY, has entered into financing agreements to finance various educational facilities which have a maximum 30-year life. Athletic facility debt is aggregated with educational facility debt. Debt service is paid by, or from specific appropriations of, the State.

During the year, Personal Income Tax Revenue Bonds were issued for the purpose of financing capital construction and major rehabilitation for

educational facilities in the amount of \$797.8 million. Also, during the year educational facility bonds were issued totaling \$838.1 million in order to refund \$978.6 million of the State University's existing educational facilities obligations. The result will produce an estimated savings of \$65.8 million in future cash flow, with an estimated present value gain of \$50.8 million.

### Residence Hall Facilities

The State University has entered into capital lease agreements for residence hall facilities. DASNY bonds for most of the residence hall facilities, which have a maximum 30-year life, are repaid from room rentals and other residence hall revenues. Upon repayment of the bonds, including interest thereon, and the satisfaction of all other obligations under the lease agreements, DASNY shall convey to the State University all rights, title, and interest in the assets financed by the capital lease agreements. Residence hall facilities revenue realized during the year from facilities from which there are bonds outstanding is pledged as a security for debt service and is assigned to DASNY to the extent required for debt service purposes. Any excess funds pledged to DASNY are available for residence hall capital and operating purposes.

**Table D** (in thousands)

<i>For the 2012 Fiscal Year</i>	July 1, 2011	Additions	Reductions	June 30, 2012	Current Portion
Long-term debt:					
Educational facilities	\$ 6,261,160	1,635,888	1,284,536	6,612,512	316,199
Residence hall facilities	1,139,920	260,000	35,670	1,364,250	42,240
Capital lease arrangements	195,847	61,590	62,541	194,896	51,380
Other long-term debt	162,970	79,566	24,342	218,194	35,655
Total long-term debt	<u>7,759,897</u>	<u>2,037,044</u>	<u>1,407,089</u>	<u>8,389,852</u>	<u>445,474</u>
Other long-term liabilities:					
Postemployment and post-retirement obligations and compensated absences	2,987,355	936,852	402,259	3,521,948	158,362
Loan from State	52,457	52	8,318	44,191	17,244
Litigation	462,575	51,122	11,217	502,480	44,600
Other long-term liabilities	313,636	234,143	22,941	524,838	22,244
Total other long-term liabilities	<u>3,816,023</u>	<u>1,222,169</u>	<u>444,735</u>	<u>4,593,457</u>	<u>242,450</u>
Total long-term liabilities	<u>\$ 11,575,920</u>	<u>3,259,213</u>	<u>1,851,824</u>	<u>12,983,309</u>	<u>687,924</u>

# Notes to Financial Statements

June 30, 2012 and 2011

**Table D, continued** (in thousands)

<i>For the 2011 Fiscal Year</i>	July 1, 2010	Additions	Reductions	June 30, 2011	Current Portion
Long-term debt:					
Educational facilities	\$ 5,456,489	1,128,976	324,305	6,261,160	287,924
Residence hall facilities	1,043,710	128,340	32,130	1,139,920	35,670
Capital lease arrangements	183,905	76,587	64,645	195,847	52,649
Other long-term debt	44,456	132,774	14,260	162,970	22,982
Total long-term debt	<u>6,728,560</u>	<u>1,466,677</u>	<u>435,340</u>	<u>7,759,897</u>	<u>399,225</u>
Other long-term liabilities:					
Postemployment and post-retirement obligations and compensated absences	2,389,555	992,259	394,459	2,987,355	164,765
Loan from State	60,645	130	8,318	52,457	17,244
Litigation	383,815	89,134	10,374	462,575	63,836
Other long-term liabilities	143,001	189,642	19,007	313,636	11,132
Total other long-term liabilities	<u>2,977,016</u>	<u>1,271,165</u>	<u>432,158</u>	<u>3,816,023</u>	<u>256,977</u>
Total long-term liabilities	<u>\$ 9,705,576</u>	<u>2,737,842</u>	<u>867,498</u>	<u>11,575,920</u>	<u>656,202</u>

## 7. Long-term Liabilities (continued)

During the year, the State University entered into agreements with DASNY to issue residential hall facility obligations totaling \$260 million for the purpose of financing capital construction and major rehabilitation for residential hall facilities.

In prior years, the State University defeased various obligations, whereby proceeds of new obligations were placed in an irrevocable trust to provide for all future debt service payments on the defeased obligations. Accordingly, the trust account

assets and liabilities for the defeased obligations are not included in the State University's financial statements. As of March 31, 2012, \$1.3 billion and \$119.4 million of outstanding educational and residence hall facility obligations, respectively, were considered defeased.

### Capital Lease Arrangements

The State University leases equipment under DASNY TELP, New York State Personal Income Tax Revenue Bonds, certificates of participation

Requirements of the long-term debt obligations as of June 30, 2012 are as follows (in thousands):

Fiscal year(s)	Educational Facilities		Residential Facilities		Other		Total	
	Principal	Interest	Principal	Interest	Principal	Interest	Principal	Interest
2013	\$ 316,199	322,292	42,240	65,564	87,035	16,275	445,474	404,131
2014	319,534	317,729	48,410	63,615	71,443	14,072	439,387	395,416
2015	297,139	300,934	51,135	61,353	47,177	12,176	395,451	374,463
2016	231,086	288,531	51,775	58,968	36,295	10,540	319,156	358,039
2017	199,869	277,113	53,090	56,611	22,852	9,282	275,811	343,006
2018-22	1,242,876	1,205,288	277,805	243,500	87,959	28,765	1,608,640	1,477,553
2023-27	1,453,838	887,110	276,335	173,968	28,169	12,196	1,758,342	1,073,274
2028-32	1,166,006	536,349	254,820	107,924	15,175	5,408	1,436,001	649,681
2033-37	972,395	260,324	194,005	51,213	7,580	3,459	1,173,980	314,996
2038-41	413,570	45,365	114,635	11,865	9,405	1,286	537,610	58,516
Total	<u>\$ 6,612,512</u>	<u>4,441,035</u>	<u>1,364,250</u>	<u>894,581</u>	<u>413,090</u>	<u>113,459</u>	<u>8,389,852</u>	<u>5,449,075</u>
	Interest rates range from 3.5% to 7.5%		Interest rates range from 1.62% to 5.75%		Interest rates range from .88% to 9.1%			

# Notes to Financial Statements

*June 30, 2012 and 2011*

## 7. Long-term Liabilities (continued)

(COPs), vendor financing, or through statewide lease purchase agreements. The State University is responsible for lease debt service payments sufficient to cover the interest and principal amounts due under these arrangements.

### *Loan From State*

In prior years, the State University experienced operating cash-flow deficits precipitated by cash-flow difficulties experienced by its hospitals. In connection with these cash-flow deficits, as authorized by State Finance Law, the State University borrowed funds with interest from the short-term investment pool of the State. The amount outstanding under this borrowing from the State at June 30, 2012 was \$44.2 million. During the year, \$8.3 million was paid on these loans.

## 8. Retirement Plans

### *Retirement Benefits*

There are three major retirement plans for State University employees: the New York State and Local Employees' Retirement System (ERS), the New York State Teachers' Retirement System (TRS), and the Teachers Insurance and Annuity Association - College Retirement Equities Fund (TIAA-CREF). ERS is a cost-sharing, multiple-employer, defined benefit public plan administered by the State Comptroller. TRS is a cost-sharing, multiple-employer, defined benefit public plan separately administered by a nine-member board. TIAA-CREF is a multiple-employer, defined contribution plan administered by separate boards of trustees. Substantially all full-time employees participate in the plans.

Obligations of employers and employees to contribute, and related benefits, are governed by the New York State Retirement and Social Security Law (NYSRSSL) and Education Law. These plans offer a wide range of programs and benefits. ERS and TRS benefits are related to years of credited service and final average salary, vesting of retirement benefits,

death and disability benefits, and optional methods of benefit payments. TIAA-CREF is a State University Optional Retirement Program (ORP) and offers benefits through annuity contracts.

**ERS** and **TRS** provide retirement benefits as well as death and disability benefits. Benefits generally vest after five years of credited service. The NYSRSSL provides that all participants in ERS and TRS are jointly and severally liable for any actuarial unfunded amounts. Such amounts are collected through annual billings to all participating employers. Employees who joined ERS and TRS after July 27, 1976, and have less than ten years of service or membership are required to contribute 3 percent of their salary. Employee contributions are deducted from their salaries and remitted on a current basis to ERS and TRS. Employer contributions are actuarially determined for ERS and TRS.

**TIAA-CREF** provides benefits through annuity contracts and provides retirement and death benefits to those employees who elected to participate in the ORP. Benefits are determined by the amount of individual accumulations and the retirement income option selected. All benefits generally vest after the completion of one year of service if the employee is retained thereafter. Employees who joined TIAA-CREF after July 27, 1976, and have less than ten years of service or membership are required to contribute 3 percent of their salary. Employer contributions range from 8 percent to 15 percent depending upon when the employee was hired. Employee contributions are deducted from their salaries and remitted on a current basis to TIAA-CREF.

The State University's total retirement-related payroll was \$3.14 billion and \$3.04 billion for the June 30, 2012 and 2011 fiscal years, respectively. The payroll for 2012 and 2011 for State University employees covered by TIAA-CREF was \$1.81 billion for both years, ERS was \$1.19 billion and \$1.09 billion, and TRS was \$133 million and \$135 million, respectively. Employer and employee contributions under each of the plans were as follows for years 2012, 2011, and 2010, respectively (in millions):

## Notes to Financial Statements

June 30, 2012 and 2011

### 8. Retirement Plans (continued)

	2012	2011	2010
Employer contributions:			
TIAA-CREF	\$ 202.3	207.8	206.5
ERS	93.4	66.8	42.8
TRS	10.7	8.4	8.4
Employee contributions:			
TIAA-CREF	\$ 21.2	21.4	31.8
ERS	17.4	16.2	15.6
TRS	1.3	1.3	1.3

The employer contributions are equal to 100 percent of the required contributions under each of the respective plans.

Each retirement system issues a publicly available financial report that includes financial statements and supplementary information. The reports may be obtained by writing to:

New York State and Local Employees'  
Retirement System  
110 State Street  
Albany, New York 12244

New York State Teachers' Retirement System  
10 Corporate Woods Drive  
Albany, New York 12211

Teachers Insurance and Annuity Association/  
College Retirement Equities Fund  
730 Third Avenue  
New York, New York 10017

As part of the CGH acquisition, the State University assumed the assets and liabilities of a single employer defined benefit plan (Plan) for certain CGH retirees and those employees that elected to stay in the Plan. For those that opted out of the Plan, their benefit accruals were frozen. No new participants can enter this plan. The Plan issues stand alone financial statements on a calendar year (i.e., December 31). The annual required contribution (ARC) was determined as part of the actuarial valuation using the projected unit credit actuarial cost method. The funding policy is to contribute enough to the Plan to satisfy the ARC and the employer contributions for the year were \$1.2 million. Employees do not contribute to the Plan. The actuarial accrued liability at December 31, 2011 was \$81.7 million and Plan assets were

\$71 million. At June 30, 2012 the State University has a net pension obligation of \$10.7 million.

The Research Foundation maintains a separate non-contributory plan through TIAA-CREF for substantially all nonstudent employees. Contributions are based on a percentage of earnings and range from 8% to 15%, depending on date of hire. Employees become fully vested after completing one year of service. Contributions are allocated to individual employee accounts. The payroll for Research Foundation employees covered by TIAA-CREF for its fiscal years ended June 30, 2012 and 2011 was \$372 million and \$361 million, respectively. The Research Foundation pension contributions for fiscal years 2012 and 2011 were \$32 million and \$31 million, respectively. These contributions are equal to 100 percent of the required contributions for each year.

### Postemployment and Post-retirement Benefits

The State, on behalf of the State University, provides health insurance coverage for eligible retired State University employees and their spouses as part of the New York State Health Insurance Plan (NYSHIP). NYSHIP offers comprehensive benefits through various providers consisting of hospital, medical, mental health, substance abuse and prescription drug programs. The State administers NYSHIP and has the authority to establish and amend the benefit provisions offered. NYSHIP is considered an agent multiple-employer defined benefit plan, is not a separate entity or trust, and does not issue stand-alone financial statements. The State University, as a participant in the plan, recognizes these other postemployment benefit (OPEB) expenses on an accrual basis.

Employee and retiree contribution rates for NYSHIP are established by the State and are generally 12 percent, and range from 10 to 16 percent for enrollee coverage. The dependent coverage rate is 27 percent and range from 25 to 31 percent. NYSHIP premiums are being financed on a pay-as-you-go basis. During the fiscal year, the State, on behalf of the State University, paid health insurance premiums of \$236.7 million. The State University's OPEB obligation and funded status of the plan for the years ended June 30, 2012, 2011, and 2010 were as follows (in thousands):

## Notes to Financial Statements

June 30, 2012 and 2011

### 8. Retirement Plans (continued)

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Annual OPEB cost	\$ 783,713	814,059	638,847
Benefits paid	(236,745)	(220,690)	(209,847)
Increase in OPEB Obligation	546,968	593,369	429,000
Net obligation at beginning of year	<u>2,531,987</u>	<u>1,938,618</u>	<u>1,509,618</u>
Net obligation at end of year	<u>\$ 3,078,955</u>	<u>2,531,987</u>	<u>1,938,618</u>
Funded Status:			
Actuarial accrued liability (AAL)	12,200,313	12,200,313	9,559,575
Actuarial value of OPEB plan assets	-	-	-
Unfunded AAL (UAAL)	<u>\$ 12,200,313</u>	<u>12,200,313</u>	<u>9,559,575</u>
Actuarial valuation date	4/1/10	4/1/10	4/1/08
Funded ratio	-	-	-
Covered payroll	3,140,693	3,036,860	3,007,791
UAAL as a % of covered payroll	388%	402%	318%

The components of the State University's OPEB obligation include the total annual required contribution (ARC) of \$778.5 million (comprised of service costs of \$310.7 million, amortization of unfunded actuarial liability of \$439.1 million, and interest costs of \$28.7 million), ARC reduction of \$91.7 million, and interest costs of \$97 million.

The initial unfunded accrued actuarial liability is being amortized over an open period of thirty years using the level percentage of projected payroll amortization method.

The actuarial valuation utilizes a frozen entry age actuarial cost method. The actuarial assumptions include a 3.8 percent discount rate, payroll growth rate of 3.5 percent, and an annual healthcare cost trend rate for medical coverage of 10 percent initially, reduced by decrements to a rate of 5 percent after 7 years.

Projections of benefits are based on the plan and include the types of benefits provided at the time of each valuation. Actuarial valuations involve estimates of the value of reported amounts and assumptions about the probability of future events, and actual results are considered for future valuations. The actuarial methods and assumptions used are designed to reduce short-term volatility in reported amounts and reflect a long-term perspective.

The Research Foundation sponsors a separate single employer defined benefit post-retirement plan that covers substantially all nonstudent employees. The plan provides post-retirement medical benefits and is contributory for employees hired after 1985. In November 2010 the Research Foundation board of directors approved a plan amendment increasing monthly participant (employee) contributions for all future retirees hired after 1985, and not eligible to retire as of January 1, 2012. Participants who are retired or eligible to retire as of January 1, 2012 or were hired prior to January 1, 1986 are grandfathered under the pre-January 1, 2012 contribution percentages. Pre-January 1, 2012 contribution percentages for participants hired after 1985 are 10 percent of the individual coverage premium and for dependents 25 percent of the difference between individual and couple coverage premiums. Participant percentages are higher for employees not eligible to retire as of January 1, 2012 and are dependent upon hire date and years of service.

Contributions by the Research Foundation are made pursuant to a funding policy established by its Board of Directors. Assets are held in a Voluntary Employee Benefit Association (VEBA) trust and are considered plan assets in determining the funded status or funding progress of the plan under GASB reporting and measurement standards. The plan issued stand-alone financial statements for the 2011 calendar year.

The Research Foundation's OPEB obligation and funded status of the plan for the years ended June 30, 2012, 2011, and 2010, respectively, were as follows (in thousands):

# Notes to Financial Statements

June 30, 2012 and 2011

## 8. Retirement Plans (continued)

	<u>2012</u>	<u>2011</u>	<u>2010</u>
Annual OPEB cost	\$ (14,726)	18,727	37,843
Benefits paid	(9,638)	(7,276)	(6,341)
Contribution to plan	<u>(6,816)</u>	<u>(8,829)</u>	<u>(9,241)</u>
Change in OPEB Obligation	(31,180)	2,622	22,261
Net obligation at beginning of year	<u>213,660</u>	<u>211,038</u>	<u>188,777</u>
Net obligation at end of year	<u>\$ 182,480</u>	<u>213,660</u>	<u>211,038</u>
Funded Status:			
Actuarial accrued liability (AAL)	298,166	278,695	290,340
Actuarial value of OPEB plan assets	<u>106,602</u>	<u>101,424</u>	<u>80,446</u>
Unfunded AAL (UAAL)	<u>\$ 191,564</u>	<u>177,271</u>	<u>209,894</u>
Actuarial valuation date	6/30/12	6/30/11	6/30/10
Funded ratio	36%	36%	28%
Covered payroll	245,039	241,069	237,838
UAAL as a % of covered payroll	78%	74%	88%

The components of the Research Foundation OPEB obligation at June 30, 2012 include the total annual required contribution (ARC) of \$198.9 million (comprised of service costs of \$9.2 million and amortization of unfunded actuarial accrued liability of \$189.7 million), ARC reduction of \$228.6 million, and interest costs of \$15.0 million. The unfunded actuarial accrued liability is amortized over one year. The cost of the benefits provided under this plan is recognized on an actuarially determined basis using the projected unit cost method. Under this method, actuarial assumptions are made based on employee demographics and medical trend rates to calculate the accrued benefit cost. The actuarial assumptions include a 7 percent discount rate, and an initial healthcare cost trend rate range of 6.5 to 7.5 percent grading down to 5 percent in 2018 and later.

A blended discount rate was utilized using the expected investment return on investments of the plan and investments held in the operational pool expected to be used to fund future OPEB obligations.

## 9. Commitments

The State University has entered into contracts for the construction and improvement of various projects. At June 30, 2012, these outstanding contract commitments totaled approximately \$1.9 billion.

The State University is also committed under numerous operating leases covering real property and equipment. The Research Foundation also contracts with various entities to lease space as part of its mission to support the State University research and university-industry-government partnerships. Rental expenditures reported for the years ended June 30, 2012 and 2011 under such operating leases were \$59.4 million and \$52.9 million, respectively. The following is a summary of the future minimum rental commitments under non-cancelable real property and equipment leases with terms exceeding one year (in thousands):

Year ending June 30:

2013	\$ 72,492
2014	83,956
2015	79,135
2016	71,830
2017	65,963
2018-22	229,092
2023-27	47,113
2028-98	<u>58,341</u>
Total	<u>\$ 707,922</u>

## 10. Contingencies

The State is contingently liable in connection with claims and other legal actions involving the State University, including those currently in litigation arising in the normal course of State University activities. The State University does not carry malpractice insurance and, instead, administers these types of cases in the same manner as all other claims

# Notes to Financial Statements

*June 30, 2012 and 2011*

## 10. Contingencies (continued)

against the State involving State University activities in that any settlements of judgments and claims are paid by the State from an account established for this purpose. With respect to pending and threatened litigation, the medical malpractice liability includes incurred but not reported (IBNR) loss estimates. The estimate of IBNR losses is actuarially determined based on historical experience using a discounted present value of estimated future cash payments. The State University has recorded a liability and a corresponding appropriation receivable of approximately \$502 million and \$463 million at June 30, 2012 and 2011, respectively (almost entirely related to hospitals and clinics).

The State University is exposed to various risks of loss related to damage and destruction of assets, injuries to employees, damage to the environment or noncompliance with environmental requirements, and natural and other unforeseen disasters. The State University has insurance coverage for its residence hall facilities. However, in general, the State University does not insure its educational buildings, contents or related risks and does not insure its vehicles and equipment for claims and assessments arising from bodily injury, property damages, and other perils. Unfavorable judgments, claims, or losses incurred by the State University are covered by the State on a self-insured basis. The State does have fidelity insurance on State employees.

## 11. Related Parties

The State University's single largest source of revenue is State appropriations. State appropriations take the form of direct assistance, debt service on educational facility and PIT bonds, fringe benefits for State University employees, and litigation expenses for which the State is responsible. State appropriations totaled \$2.93 billion and \$2.92 billion and represented approximately 31 percent and 32 percent of total revenues for the 2012 and 2011 fiscal years, respectively. The State University's continued operational viability is substantially dependent upon a consistent and proportionate level of ongoing State support.

## 12. Federal Grants and Contracts and Third-Party Reimbursement

Substantially all federal grants and contracts are subject to financial and compliance audits by the grantor agencies of the federal government. Disallowances, if any, as a result of these audits may become liabilities of the State University. State University management believes that no material disallowances will result from audits by the grantor agencies.

The State University hospitals have agreements with third-party payors, which provide for reimbursement to the hospitals at amounts different from their established charges. Contractual service allowances and discounts (reflected through State University hospitals and clinics sales and services) represent the difference between the hospitals established rates and amounts reimbursed by third-party payors. The State University has made provision in the accompanying financial statements for estimated retroactive adjustments relating to third-party payors cost reimbursement items.

## 13. Subsequent Events

The State University was a defendant in litigation to resolve a dispute over the price paid for land in an eminent domain action. The New York Court of Claims issued an opinion awarding the plaintiff what it was seeking plus interest. In July, 2012, the plaintiff was paid \$167.5 million, which was recorded as a liability at June 30, 2012.

In September 2012, the State University entered into agreements with DASNY to issue obligations totaling \$235 million for the purpose of financing capital construction and major rehabilitation for residential hall facilities and to refinance the State University's existing residential hall obligations.

Personal Income Tax Revenue Bonds were also issued in October 2012 for the purpose of financing capital construction and major rehabilitation for educational facilities and to refinance the State University's existing educational facility obligations in the amount of \$495 million.

## Notes to Financial Statements

*June 30, 2012 and 2011*

### 13. Subsequent Events (continued)

In September 2012, the State University provided a loan of \$75 million to the SUNY Health Science Center at Brooklyn pursuant to an approved SUNY Board of Trustees resolution. Funds were made available for the loan from State University unrestricted reserves. The term of the loan is not to exceed 10 years after repayment of the loan begins.

### 14. Foundations

Discretely presented component unit information is comprised principally of the campus-related foundations. These foundations are nonprofit organizations responsible for the fiscal administration of revenues and support received for the promotion, development and advancement of the welfare of campuses, the State University and its students, faculty, staff and alumni. The foundations receive the majority of their support and revenues through contributions, gifts and grants and provide benefits to their campus, students, faculty, staff and alumni. In addition, the reported amounts include foundation student housing corporations, nonprofit organizations that operate and administer certain housing and related services for students. All the foundations are exempt from federal income taxes on related income pursuant to Section 501(a) of the Internal Revenue Code. All of the financial data for these organizations was derived from each entity's individual audited financial statements, reported in accordance with generally accepted accounting principles promulgated by FASB, the majority of which have a June 30 fiscal year end.

In May 2011, the State University acquired Long Island College Hospital (LICH) through an asset purchase agreement. As part of this agreement, the Health Science Center at Brooklyn Foundation, Inc. (HSCB) recognized \$32.7 million in assets from this acquisition. In addition, a separate corporation, Staffco of Brooklyn, LLC (Staffco) was created. Staffco is a single member corporation of HSCB and was established to provide professional and non-professional staffing to the SUNY Health Science Center at Brooklyn.

During the years ended June 30, 2012 and 2011, the foundations distributed \$64.2 million and \$43.2 million, respectively, to the State University, principally for scholarships and support of campus program activities.

Separately issued financial statements of the foundations and other related entities may be obtained by writing to:

The State University of New York  
Office of the University Controller  
State University Plaza, N-514  
Albany, New York 12246

### *Net Asset Classifications*

Unrestricted net assets represent resources whose uses are not restricted by donor-imposed stipulations and are generally available for the support of the State University campus and foundation programs and activities. Temporarily restricted net assets represent resources whose use is limited by donor-imposed stipulations that either expire by the passage of time or are removed by specific actions. Permanently restricted net assets represent resources that donors have stipulated must be maintained permanently. The income derived from the permanently restricted net assets is permitted to be spent in part or in whole, restricted only by the donors' wishes.

NYPMIFA has been adopted by all of the foundations. Under the accounting standards, the portion of a donor-restricted endowment fund that is not classified as permanently restricted net assets is classified as temporarily restricted net assets until appropriated for expenditure. This requirement resulted in a reclassification from unrestricted net assets to temporarily restricted net assets. This represented the unappropriated portion of permanently restricted endowments whose earnings are designated by donors for the unrestricted use of the foundations.

# Notes to Financial Statements

June 30, 2012 and 2011

## 14. Foundations (continued)

### Investments

All investments with readily determinable fair values have been reported in the financial statements at fair value. Realized and unrealized gains and losses are recognized in the statement of activities. Gains or losses on investments are recognized as increases or decreases in unrestricted net assets unless their use is temporarily or permanently restricted by explicit donor stipulations or by law. Investments of the State University foundations were \$1.5 billion and \$1.4 billion as of June 30, 2012 and 2011, respectively.

The composition of investments is as follows (in thousands):

	<u>2012</u>	<u>2011</u>
Equities - domestic	\$ 464,931	430,246
Equities - international	227,848	243,350
Non-equities	381,602	315,194
Hedge funds	155,101	145,176
Multi-strategy funds	99,758	99,084
Equity partnerships	98,293	84,501
Real assets	56,825	58,584
Other investments	10,094	10,884
Total investments	<u>\$ 1,494,452</u>	<u>1,387,019</u>

### Capital Assets

Capital assets are stated at cost, if purchased, or fair value at date of receipt, if acquired by gift. Land improvements, buildings, and equipment are depreciated over their estimated useful lives using the straight-line method. Capital assets, net of accumulated depreciation, totaled \$502.9 million and \$481.3 million at fiscal year end 2012 and 2011, respectively. Capital asset classifications are summarized as follows (in thousands):

	<u>2012</u>	<u>2011</u>
Land and land improvements	\$ 38,567	32,935
Buildings	548,345	390,746
Equipment	28,007	23,814
Artwork and library books	23,502	22,932
Construction in progress	2,719	129,510
Total capital assets	<u>641,140</u>	<u>599,937</u>
Less accumulated depreciation	<u>138,259</u>	<u>118,595</u>
Capital assets, net	<u>\$ 502,881</u>	<u>481,342</u>

### Long-term Debt

The foundations have entered into various financing arrangements, principally through the issuance of Industrial Development Agency bonds and Housing Authority bonds, for the construction of student residence hall facilities. The following is a summary of the future minimum annual debt service requirements for the next five years and thereafter (in thousands):

Year ending June 30:

2013	\$ 46,593
2014	10,719
2015	10,410
2016	10,623
2017	11,244
Thereafter	<u>367,927</u>
	<u>\$ 457,516</u>



## **ANNUAL FINANCIAL REPORT 2012**

The State University of New York  
State University Plaza  
Albany, NY 12246  
[www.suny.edu](http://www.suny.edu)

# Appendix 4.2

2013

The State University  
of New York

ANNUAL  
FINANCIAL  
REPORT



SUNY

## Board of Trustees

H. Carl McCall, Chairman  
Joseph Belluck  
Eric Corngold  
Henrik Dullea  
Ronald Ehrenberg  
Angelo Fatta  
Tina Good (Community Colleges)  
Stephen J. Hunt  
Peter Knuepfer (Faculty Senate)  
Eunice A. Lewin  
Marshall Lichtman  
John L. Murad, Jr.  
Tremayne Price (Student Trustee)  
Linda S. Sanford  
Richard Socarides  
Carl Spielvogel  
Cary Staller  
Gerri Warren-Merrick

## Chancellor

Nancy L. Zimpher

## Chancellor's Cabinet

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### Executive Committee

Elizabeth L. Bringsjord  
*Interim Provost and Vice Chancellor*

Johanna Duncan-Poitier  
*Senior Vice Chancellor for Community Colleges and the Education Pipeline*

William F. Howard  
*Senior Vice Chancellor & General Counsel, Secretary of the University*

James J. Malatras  
*Vice Chancellor for Policy & Chief of Staff*

Robert Haelen  
*Interim Chief Financial Officer, Vice Chancellor for Capital Facilities, & General Manager of the Construction Fund*

Brian Hutzley  
*Vice Chancellor for Shared Services and Regional Economic Development*

Timothy Killeen  
*Vice Chancellor for Research & President of the Research Foundation*

Stacey Hengsterman  
*Associate Vice Chancellor for Government Relations*

Kaitlin Gambrill  
*Associate Vice Chancellor for Strategic Planning and University Advancement*

Jennifer LoTurco  
*Assistant Vice Chancellor for External Affairs*

### Senior Staff

Mitch Leventhal  
*Vice Chancellor for Global Affairs*

Curtis L. Lloyd  
*Vice Chancellor for Human Resources*

Jason Lane  
*Associate Vice Chancellor for Academic Programs & Planning and Associate Provost for Graduate Education & Research*

Carlos Medina  
*Associate Provost and Associate Vice Chancellor for Diversity, Equity and Inclusion*

Lora Lefebvre  
*Associate Vice Chancellor for Health Affairs*

Hao Wang  
*Chief Information Officer*

David Doyle  
*Director of Communications*

### Shared Governance Leaders

Tremayne Price  
*President, Student Assembly*

Peter Knuepfer  
*President, University Faculty Senate*

Tina Good  
*President, Faculty Council of Community Colleges*

## Message from the Chancellor

I am pleased to present the Annual Financial Report of The State University of New York, providing an overview of SUNY's finances and operating results for the year ending June 30, 2013.

As outlined in the pages of this report, SUNY continues to make meaningful gains toward its mission to enhance educational excellence, affordability, and accessibility, and to serve as an economic engine in every region of New York State.

The preliminary enrollment headcount for fall 2013 is 458,975, which represents a slight decline of .7 percent from last fall. Preliminary enrollment at the state-operated campuses is 220,175, up .6 percent over last fall, while preliminary enrollment at the community colleges is 238,800, down 1.8 percent. Early indications are that SUNY's overall enrollment will remain relatively flat this year, though with the development of Open SUNY, it is our expectation that within the next three years the University will add approximately 100,000 students who will enroll in our vastly expanding array of online courses.

SUNY research continues to be strong. In the 2012-13 fiscal year, The Research Foundation for The State University of New York received 233 invention disclosures, filed 218 patent applications, was awarded 59 U.S. patents, executed 46 licenses, and received \$8.8 million in royalties. These achievements were the products of more than 6,980 projects that supported 16,330 employees statewide.

This spring, in partnership with Governor Andrew M. Cuomo, SUNY announced the creation of START-UP NY. Simply put, in size, scale, and scope there is nothing else, anywhere, like this plan in terms of making the most of the powerful relationships between SUNY and other New York State universities and industry. The initiative is in the early stages of getting underway, and we look forward to new developments and the benefits communities throughout the state will reap moving forward.

In June, in Round II of the NYSUNY 2020 Challenge Grant Program, Governor Cuomo awarded \$60 million to four innovative projects (\$15 million to each) that were developed and submitted by collaborations among 19 SUNY universities and community colleges. Each of the projects is designed to create good jobs for New Yorkers and greatly enhance and contribute to research, education, and workforce training programs.

SUNY continues to pursue operational efficiencies through shared services, strategic sourcing, and other collaborative efforts. This includes a variety of projects that are expected to provide significant savings in the areas of procurement, information technology, and service delivery. SUNY continues to encourage collaboration between campuses, resulting in savings, improved efficiency, and increased value to our students and taxpayers.

SUNY continues to be an outstanding investment for students and a critical resource for New York State. We take very seriously our responsibility as stewards of public dollars and will continue to strive to be as efficient and creative as possible in managing our resources.



Nancy L. Zimpher  
Chancellor

# Independent Auditors' Report



KPMG LLP  
515 Broadway  
Albany, NY 12207-2974

To The Board of Trustees  
State University of New York:

## Report on the Financial Statements

We have audited the accompanying balance sheets and statements of revenues, expenses, and changes in net position, and cash flows of the business-type activities of the State University of New York (the University), as of and for the years ended June 30, 2013 and 2012, and the balance sheet and statement of activities of the aggregate discretely presented component units of the University as of and for the year ended June 30, 2013, and the related notes to the financial statements, which collectively comprise the University's basic 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 U.S. generally accepted accounting principles; 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.

### *Auditors' Responsibility*

Our responsibility is to express opinions on these financial statements based on our audit. We did not audit certain discretely presented component units, which represents 63 percent of the total assets and 68 percent of the total revenues of the aggregate discretely presented component units. The financial statements of those entities were audited by other auditors whose reports have been furnished to us, and our opinions, insofar as they relate to the amounts included for those certain discretely presented component units are based solely on the reports 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. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement. The financial statements of certain discretely presented component units identified in Note 16 of the financial statements were not audited in accordance with *Government Auditing Standards*.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' 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 entity'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 entity'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 opinions.

### *Opinions*

In our opinion, based on our audit and the reports of the other auditors, the financial statements referred to above present fairly, in all material respects, the financial position of the business-type activities of the State University of New York, as of June 30, 2013 and 2012, and the changes in financial position and cash flows thereof for the years then ended and the financial position of the aggregate discretely presented component units of the State University of New York, as of June 30, 2013, and the changes in their net assets for the year then ended in accordance with U.S. generally accepted accounting principles.

**Emphasis of Matters***Financial Presentation of the University*

As discussed in Note 1, the financial statements of the University, are intended to present the financial position, the changes in financial position, the changes in net assets, and, where applicable, cash flows of only that portion of the State of New York that is attributable to the transactions of the University and its aggregate discretely presented component units. They do not purport to, and do not, present fairly the financial position of the State of New York as of June 30, 2013 or 2012, the changes in its financial position and, where applicable, its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. Our opinions are not modified with respect to this matter.

*Adoption of New Accounting Pronouncements*

As discussed in Notes 14 and 16 to the financial statements, in 2013, the University adopted Governmental Accounting Standards Board (GASB) Statement No. 61, *The Financial Reporting Entity: Omnibus, an amendment to GASB Statements Nos. 14 and 34* and GASB Statement No. 65, *Reporting Items Previously Recognized as Assets and Liabilities* as of July 1, 2011. Our opinions are not modified with respect to these matters.

**Report on Summarized Comparative Information**

We have previously audited the University's 2012 financial statements and, based on our audit and the reports of the other auditors, we expressed unmodified audit opinions on those audited financial statements in our report dated October 31, 2012. In our opinion, based on our audit and the reports of the other auditors, the summarized comparative information related to the aggregate discretely presented component units and presented herein as of and for the year ended June 30, 2012 is consistent, in all material respects, with the audited financial statements from which it has been derived.

**Other Matters***Required Supplementary Information*

U.S. generally accepted accounting principles require that the management's discussion and analysis on pages 5 to 13 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the management's discussion and analysis in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

*Other Information*

The transmittal letter on page 1 has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

**Other Reporting Required by Government Auditing Standards**

In accordance with *Government Auditing Standards*, we have also issued our report dated December 2, 2013 on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control over financial reporting and compliance.

December 2, 2013

Albany, NY

**KPMG LLP**

KPMG LLP is a Delaware limited liability partnership, the U.S. member firm of KPMG International Cooperative ("KPMG International"), a Swiss entity.

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## Management's Discussion and Analysis

Management's discussion and analysis (MD&A) provides a broad overview of the State University of New York's (State University) financial condition as of June 30, 2013 and 2012, the results of its operations for the years then ended, and significant changes from the previous years. Management has prepared the financial statements and related footnote disclosures along with this MD&A. The MD&A should be read in conjunction with the audited financial statements and related footnotes of the State University, which directly follow the MD&A.

For financial reporting purposes, the State University's reporting entity consists of all sectors of the State University including the university centers, health science centers (including hospitals), colleges of arts and sciences, colleges of technology and agriculture, specialized colleges, statutory colleges (located at the campuses of Cornell and Alfred Universities), and central services, but excluding community colleges. The financial statements also include the financial activity of The Research Foundation for the State University of New York (Research Foundation), which administers the sponsored program activity of the State University; the State University Construction Fund (Construction Fund), which administers the capital program of the State University; and the auxiliary services corporations, foundations, and student housing corporations located on its campuses.

In July 2011, the State University acquired Community General Hospital of Greater Syracuse (CGH) and in May 2011 acquired Long Island College Hospital (LICH).

The auxiliary services corporations, foundations, and student housing corporations meet the criteria of component units under the Governmental Accounting Standards Board (GASB) accounting and financial reporting requirements for inclusion in the State University's financial statements. For financial statement presentation purposes, these component units are not included in the reported amounts of the State University, but the combined totals of these component units are discretely presented on separate pages in the State University's financial statements, in accordance with display requirements prescribed by the Financial Accounting Standards Board (FASB) for not-for-profit organizations.

The focus of the MD&A is on the State University financial information contained in the balance sheets, the statements of revenues, expenses, and changes in net position, and the statements of cash flows, which exclude the auxiliary services corporations, foundations, and student housing corporations. Financial statement information for these component units is presented separately on pages 18 and 19 of the State University's financial statements.

### Financial Highlights

At June 30, 2013 and 2012, total assets and deferred outflows of resources reported by the State University were \$15.03 billion and \$14.37 billion and total liabilities were \$15.84 billion and \$14.76 billion, respectively. The net position was (\$803) million and (\$399) million at June 30, 2013 and 2012, and experienced a decrease of \$405 million in 2013 and a decrease of \$389 million in 2012. The net position at June 30, 2013, 2012, and 2011 is summarized in the following categories (in thousands):

	2013	2012	2011
Net Position:			
Net investment in			
capital assets	\$ 1,010,832	984,370	723,494
Restricted - nonexpendable	331,906	308,608	288,564
Restricted - expendable	506,022	449,816	495,291
Unrestricted	(2,651,943)	(2,141,435)	(1,516,504)
Total net position	\$ (803,183)	(398,641)	(9,155)

The decrease in net position during 2013 and 2012 was driven by an increase in accrued postemployment and post-retirement benefit expenses of \$472 million and \$547 million, respectively. Revenues, expenses, and the change in net position for the 2013, 2012, and 2011 fiscal years are summarized as follows (in thousands):

	2013	2012	2011
Operating revenues	\$ 6,013,227	5,672,461	5,137,803
Nonoperating revenues	3,521,261	3,542,501	3,679,488
Other revenues	135,483	81,222	113,334
Total revenues	<u>9,669,971</u>	<u>9,296,184</u>	<u>8,930,625</u>
Operating expenses	9,687,640	9,288,862	8,947,341
Nonoperating expenses	386,873	396,808	499,373
Total expenses	<u>10,074,513</u>	<u>9,685,670</u>	<u>9,446,714</u>
Change in net position	\$ (404,542)	(389,486)	(516,089)

## Management's Discussion and Analysis

Total revenues reported in 2013, 2012, and 2011 were \$9.67 billion, \$9.30 billion, and \$8.93 billion, respectively. Total revenues in 2013 and 2012 increased \$374 million and \$366 million compared to the previous years. The revenue increase in 2013 was driven by increases of \$127 million in private grants and contracts, net tuition revenues of \$88 million, \$79 million in hospital and clinic revenue, \$64 million in investment gains, \$50 million in capital appropriations and capital gifts and grants, and \$26 million in auxiliary enterprises. These increases were offset by a decrease of \$97 million in State appropriation revenue.

Total expenses for 2013, 2012, and 2011 were \$10.07 billion, \$9.69 billion, and \$9.45 billion, respectively. Total expenses in 2013 and 2012 increased \$389 million and \$239 million compared to the previous years. Expense growth in 2013 compared to the prior year was primarily due to increases of \$399 million in operating expenses.

### Overview of the Financial Statements

The financial statements of the State University have been prepared in accordance with U.S. generally accepted accounting principles as prescribed by the GASB. As disclosed in note 1 of the financial statements, the State University was required to adopt two new GASB pronouncements. The adoption of GASB Statement No. 61, *The Financial Reporting Entity: Omnibus—an amendment of GASB Statements No. 14 and No. 34*, resulted in the State University financial reporting entity financial statements being more relevant by improving guidance for including, presenting, and disclosing information about component units of the State University's financial reporting entity. GASB Statement No. 65, *Items Previously Reported as Assets and Liabilities*, established accounting and financial reporting standards that reclassify, as deferred outflows of resources or deferred inflows of resources, certain items that were previously reported as assets and liabilities and recognizes, as outflows of resources or inflows of resources, certain items that were previously reported as assets and liabilities. The adoption of these pronouncements required a restatement to the amounts previously reported in the financial statements and MD&A.

The financial statement presentation consists of comparative balance sheets, statements of revenues, expenses, and changes in net position, statements of cash flows, and accompanying notes for the June 30, 2013 and 2012 fiscal years. These statements

provide information on the financial position of the State University and the financial activity and results of its operations during the years presented. A description of these statements follows:

The *Balance Sheets* present information on all of the State University's assets and deferred outflows of resources, liabilities, and net position. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of the State University is improving or deteriorating.

The *Statements of Revenues, Expenses, and Changes in Net Position* present information showing the change in the State University's net position during each fiscal year. All changes in net position are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of related cash flows. Thus, revenues and expenses reported in these statements include items that will result in cash received or disbursed in future fiscal periods.

The *Statements of Cash Flows* provides information on the major sources and uses of cash during the year. The cash flow statements portray net cash provided or used from operating, investing, capital, and noncapital financing activities.

### Balance Sheets

The balance sheets present the financial position of the State University at the end of its fiscal years. The State University's total assets and deferred outflows of resources increased \$667 million and \$1.26 billion in 2013 and 2012, respectively. Total liabilities during 2013 and 2012 increased \$1.07 billion and \$1.65 billion, respectively. The following table reflects the financial position at June 30, 2013, 2012, and 2011 (in thousands):

	<b>2013</b>	<b>2012</b>	<b>2011</b>
Current assets	\$ 3,156,397	3,350,346	3,257,461
Capital assets, net	10,041,478	8,984,590	7,890,735
Other noncurrent assets	1,811,167	2,020,781	1,944,121
Total assets	<u>15,009,042</u>	<u>14,355,717</u>	<u>13,092,317</u>
Deferred outflows of resources	23,552	9,959	10,812
Total assets and deferred outflows of resources	<u>15,032,594</u>	<u>14,365,676</u>	<u>13,103,129</u>
Current liabilities	2,074,879	2,330,059	2,027,062
Noncurrent liabilities	13,760,898	12,434,258	11,085,222
Total liabilities	<u>15,835,777</u>	<u>14,764,317</u>	<u>13,112,284</u>
Net position	<u>\$ (803,183)</u>	<u>(398,641)</u>	<u>(9,155)</u>

## Management's Discussion and Analysis

### Current Assets

Current assets at June 30, 2013 decreased \$194 million compared to the previous year. In general, current assets are those assets that are available to satisfy current liabilities (i.e., those that will be paid within one year).

Current assets at June 30, 2013 and 2012 consist primarily of cash and cash equivalents of \$1.35 billion and \$1.29 billion, deposits with trustees of \$236 million and \$264 million, short-term investments of \$270 million and \$284 million, and receivables (accounts, interest, appropriations, and grants) of \$1.23 billion and \$1.42 billion, respectively. The decrease in current assets during 2013 is primarily due to a decrease of \$191 million in receivables.

### Current Liabilities

Current liabilities decreased \$255 million compared to the previous year. Current liabilities at June 30, 2013 and 2012 consist principally of accounts payable and accrued expenses of \$963 million and \$1.16 billion, interest on debt of \$94 million and \$75 million, unearned revenue of \$251 million and \$296 million, and the current portion of long-term liabilities of \$676 million and \$688 million, respectively. The decrease in current liabilities at June 30, 2013 was driven principally by a decrease in accounts payable and accrued expenses of \$194 million mainly due to a \$135 million payable in the prior year for the Gyrodyne lawsuit and a decrease in hospital payables.

### Capital Assets, net

The State University's capital assets are substantially comprised of State-operated campus educational, residence, and hospital facilities. Personal Income Tax (PIT) revenue bonds support funding for construction and critical maintenance projects on SUNY educational and hospital facilities. The State University has entered into capital lease financing arrangements for residence hall facilities.

During the 2013 and 2012 fiscal years, capital assets (net of depreciation) increased \$1.06 billion and \$1.09 billion, respectively. The majority of the increase occurred at the State University campuses due to new building construction, renovations, and rehabilitation totaling \$910 million and \$480 million for the 2013 and 2012 fiscal years,

respectively. Equipment additions during 2013 and 2012 of \$180 million and \$171 million, respectively, also contributed to the increase.

Significant projects completed and capitalized during the 2013 fiscal year included construction of the Advanced Energy Research and Technology Center at Stony Brook University, an academic building at the College at Old Westbury, an Equal Opportunity Center at the College at Brockport, a 500 bed facility at the University at Albany and a 600 bed residence hall at Stony Brook University. Other significant projects included a convocation, athletic and recreation center at the College at Canton, the renovation of a science building at Buffalo State College, the improvement of a dining facility at the University at Buffalo and the historic preservation of an academic building at the College at Oswego.

A summary of capital assets, by major classification, and related accumulated depreciation for the 2013, 2012, and 2011 fiscal years is as follows (in thousands):

	<b>2013</b>	<b>2012</b>	<b>2011</b>
Land	\$ 547,995	503,136	380,709
Infrastructure and land improvements	872,259	825,008	772,034
Buildings	9,155,561	8,303,401	7,855,203
Equipment, library books and other	2,898,865	2,750,286	2,585,622
Construction in progress	<u>2,787,928</u>	<u>2,464,534</u>	<u>1,794,687</u>
Total capital assets	<u>16,262,608</u>	<u>14,846,365</u>	<u>13,388,255</u>
Less accumulated depreciation:			
Infrastructure and land improvements	430,698	405,629	383,356
Buildings	3,594,964	3,398,048	3,202,270
Equipment, library books and other	<u>2,195,468</u>	<u>2,058,098</u>	<u>1,911,894</u>
Total accumulated depreciation	<u>6,221,130</u>	<u>5,861,775</u>	<u>5,497,520</u>
Capital assets, net	<u>\$ 10,041,478</u>	<u>8,984,590</u>	<u>7,890,735</u>

### Other Noncurrent Assets

Other noncurrent assets exclusive of capital assets were \$1.81 billion and \$2.02 billion at June 30, 2013 and 2012, respectively. Noncurrent assets at June 30, 2013 and 2012 include long-term investments of \$717 million and \$692 million, deposits with trustees of \$413 million and \$646

## Management's Discussion and Analysis

million, restricted cash of \$67 million and \$71 million, and the noncurrent portion of receivables and other assets of \$613 million and \$611 million, respectively.

Long-term investments at June 30, 2013 and 2012 of \$717 million and \$692 million include investments held by the Cornell statutory colleges of \$647 million and \$635 million, Research Foundation of \$43 million and \$32 million, statutory College of Ceramics at Alfred University of \$20 million and \$19 million and State University campuses of \$7 million and \$6 million, respectively. Long-term investments increased \$25 million in 2013 compared to 2012 primarily due to investment gains.

During fiscal year 2013, the noncurrent portion of deposits with trustees, which generally represent funds available from the issuance of bonds by the Dormitory Authority of the State of New York (DASNY) used to finance capital projects and maintain debt service reserves for the State University's facilities, decreased \$233 million.

Restricted cash and cash equivalents represent unspent funds under various capital financing arrangements, cash held for others, and cash restricted for loan programs. At June 30, 2013 restricted cash balances decreased \$4 million compared to 2012. The noncurrent portion of receivables reported at June 30, 2013 and 2012 consisted of accounts, notes, and loan receivables of \$112 million and \$111 million and appropriation receivables of \$444 million and \$458 million, respectively.

### *Noncurrent Liabilities*

Noncurrent liabilities at June 30, 2013 and 2012 of \$13.76 billion and \$12.43 billion, respectively, are largely comprised of debt on State University facilities, other long-term liabilities accrued for postemployment and post-retirement benefits, compensated absences, and litigation. The State University capital funding levels and bonding authority are subject to operating and capital appropriations of the State. Funding for capital construction and rehabilitation of educational and residence hall facilities of the State University is provided principally through the issuance of bonds

by DASNY. The debt service for the educational facilities is paid by, or provided through a direct appropriation from, the State. The debt service on residence hall bonds is funded primarily from room rents. A summary of noncurrent, long-term liabilities at June 30, 2013, 2012, and 2011 is as follows (in thousands):

	<u>2013</u>	<u>2012</u>	<u>2011</u>
Educational facilities	\$ 6,880,924	6,296,313	5,973,236
Residence hall facilities	1,496,800	1,322,010	1,104,250
Postemployment and post-retirement obligations and compensated absences	3,831,291	3,363,586	2,822,590
Litigation	442,796	457,880	398,739
Other obligations	879,671	822,714	620,903
Long-term liabilities	<u>\$ 13,531,482</u>	<u>12,262,503</u>	<u>10,919,718</u>

During the year, PIT bonds were issued for the purpose of financing capital construction and major rehabilitation for educational facilities in the amount of \$825.9 million. Also, during the year PIT bonds were issued totaling \$249.6 million in order to refund \$303.9 million of the State University's existing educational facilities obligations. The State University also entered into agreements with DASNY during fiscal year 2013 to issue residence hall facility obligations totaling \$234.7 million for the purpose of financing capital construction and major rehabilitation for residence hall facilities.

The State University's credit ratings for educational and residence hall bonds were unchanged in 2013. The credit ratings at June 30, 2013 are as follows:

	<u>PIT Bonds</u>	<u>Educational Facilities</u>	<u>Residence Halls</u>
Moody's			
Investors Service	Aa2	Aa3	Aa2
Standard & Poor's	AAA	AA-	AA-
Fitch	AA	AA-	AA-

## Management's Discussion and Analysis

Principal payments on educational and residence hall facilities obligations totaled \$479 million and \$53 million in 2013, \$1.28 billion (including \$979 million in refunded debt) and \$36 million in 2012, and \$324 million and \$32 million in 2011, respectively.

During fiscal years 2013 and 2012, the long-term portion of postemployment and post-retirement benefit obligations and compensated absences liabilities increased \$468 million and \$541 million, respectively. The State, on behalf of the State University, provides health insurance coverage for eligible retired State University employees and their qualifying dependents as part of the New York State Health Insurance Plan (NYSHIP). The State administers NYSHIP and has the authority to establish and amend benefit provisions offered. The State University, as a participant in the plan, recognizes these other postemployment benefits (OPEB) on an accrual basis. The State University's OPEB plan is financed annually on a pay-as-you-go basis. There are no assets set aside to fund the plan.

The Research Foundation sponsors a separate defined benefit OPEB plan and has established a Voluntary Employee Benefit Association (VEBA) trust. Legal title to all the assets in the trust is vested

for the benefit of the participants. Contributions are made by the Research Foundation pursuant to a funding policy established by its Board of Directors.

A schedule of funding progress for these plans is below.

The State University has recorded a long-term litigation liability and a corresponding appropriation receivable of \$443 million and \$458 million at June 30, 2013 and 2012, respectively (almost entirely related to hospitals and clinics) for unfavorable judgments, both anticipated and awarded but not yet paid. The medical malpractice liability includes incurred but not reported (IBNR) loss estimates which are actuarially determined based on historical experience using a discounted present value of estimated future cash payments.

Refundable government loan funds at June 30, 2013 and 2012 totaled \$141.4 million and \$141.5 million, respectively. These revolving loan funds are principally those of the federal Perkins and Nursing Loan Programs established with an initial and, when available, continued federal capital contribution. Repayments of principal and interest and new contributions are deposited into a revolving loan fund for continual disbursement to students.

### *Schedule of Funding Progress Other Postemployment and Post-retirement Benefits (Amounts in millions)*

Actuarial Valuation Date	Actuarial Value of Assets (a)	Actuarial Accrued Liability (AAL) (b)	Unfunded AAL (UAAL) (b-a)	Funded Ratio (a/b)	Covered Payroll (c)	UAAL as a Percentage Covered Payroll ((b-a)/c)
State University Plan:						
April 1, 2012	\$ -	13,933	13,933	0%	3,201	435%
April 1, 2010	-	12,200	12,200	0%	3,037	402%
April 1, 2008	-	9,560	9,560	0%	3,008	318%
Research Foundation Plan:						
June 30, 2013	125	303	178	41%	234	76%
June 30, 2012	107	298	191	36%	245	78%
June 30, 2011	101	279	178	36%	241	74%

## Management's Discussion and Analysis

### Statements of Revenues, Expenses, and Changes in Net Position

The statements of revenues, expenses, and changes in net position present the State University's results of operations. Total operating revenues of the State University were \$6.01 billion in 2013, \$5.67 billion in 2012, and \$5.14 billion in 2011. Nonoperating and other revenues, which include State appropriations, totaled \$3.66 billion, \$3.62 billion, and \$3.79 billion for fiscal years 2013, 2012, and 2011, respectively. Total expenses for 2013, 2012, and 2011 were \$10.07 billion, \$9.69 billion, and \$9.45 billion, respectively.

#### Revenue Overview

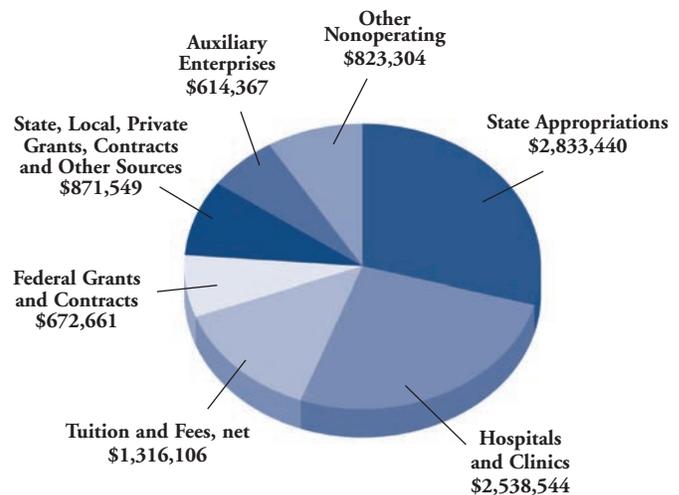
#### Revenues (in thousands):

	2013	2012	2011
Tuition and fees, net	\$ 1,316,106	1,227,984	1,151,523
Hospitals and clinics	2,538,544	2,459,497	2,011,711
Federal grants and contracts	672,661	699,818	722,156
State, local, private grants and contracts, and other sources	871,549	696,733	690,401
Auxiliary enterprises	614,367	588,429	562,012
Operating revenues	<u>6,013,227</u>	<u>5,672,461</u>	<u>5,137,803</u>
State appropriations	2,833,440	2,930,043	2,921,704
Other nonoperating	823,304	693,680	871,118
Nonoperating and other revenues	3,656,744	3,623,723	3,792,822
Total revenues	<u>\$ 9,669,971</u>	<u>9,296,184</u>	<u>8,930,625</u>

#### Tuition and Fees, Net

Tuition and fee revenue for the 2013, 2012, and 2011 fiscal years, net of scholarship allowances, was \$1.32 billion, \$1.23 billion, and \$1.15 billion, an increase of \$88 million and \$76 million in 2013 and 2012, respectively. These increases were mainly driven by a \$300 tuition rate increase for resident undergraduates and increases in professional and nonresident tuition rates in 2013 and 2012. Annual average full-time equivalent students, including undergraduate and graduate, were approximately 192,300, 193,700, and 195,300 for the fiscal years ended June 30, 2013, 2012, and 2011, respectively.

#### 2013 Revenues (in thousands)



#### Hospitals and Clinics

The State University has three hospitals (each with academic medical centers) under its jurisdiction – the State University hospitals at Brooklyn, Stony Brook, and Syracuse.

Hospital and clinic revenue for the 2013, 2012, and 2011 fiscal years was \$2.54 billion, \$2.46 billion, and \$2.01 billion, respectively. During the 2013 fiscal year, hospital and clinic revenues increased \$79 million compared to the previous year primarily due to an increase in inpatient and outpatient volume.

#### Sponsored Research, Grant and Contract Revenue

During fiscal year 2013, the State University increased its volume of sponsored program activity. Total revenue from federal, state, local, private and capital grants and contracts administered by the Research Foundation was \$1.01 billion, \$882 million, and \$946 million for the fiscal years ended June 30, 2013, 2012, and 2011, respectively. Facilities and administrative recoveries earned on grants and contracts administered by the Research Foundation were \$140 million, \$146 million, and \$146 million for the fiscal periods ending June 30, 2013, 2012, and 2011, respectively.

The volume of research and other sponsored programs reported for 2013 and 2012 by the statutory colleges at Cornell University was \$157.2 million and \$176.8 million, and Alfred University

## Management's Discussion and Analysis

was \$3.2 million and \$2.4 million, respectively.

Revenue from projects sponsored by the federal government (including federal flow-through funds) and administered by the Research Foundation totaled \$533 million and \$548 million during 2013 and 2012, respectively. Of these federally-sponsored projects, the Department of Health and Human Services was the largest sponsor for both fiscal years. Revenue from non-federal sponsors administered by the Research Foundation totaled \$473 million and \$334 million during 2013 and 2012, respectively. In fiscal years 2013 and 2012, the largest non-federal support of sponsored research programs were nanotechnology awards from the G450 Consortium as well as the Empire State Development Corporation.

Amounts received under the State's Tuition Assistance Program increased \$2 million from the prior year. Federal grants under the Pell and other federal student aid programs remained relatively flat from the previous year.

### *Auxiliary Enterprises*

The State University's auxiliary enterprise activity is comprised of sales and services for residence halls, food services, intercollegiate athletics, student health services, parking, and other activities. The residence halls are operated and managed by the State University and its campuses.

Auxiliary enterprise sales and services revenue totaled \$614 million, \$588 million, and \$562 million in the 2013, 2012, and 2011 fiscal years, respectively. Of these amounts, residence halls operating revenue totaled \$408 million, \$396 million, and \$378 million for 2013, 2012, and 2011, respectively. Increases in revenue were largely due to modest increases in room rates and occupancy levels.

The residence hall operations and capital programs are financially self-sufficient. Each campus is responsible for the operation of its residence halls program including setting room rates and covering operating, maintenance, capital and debt service costs. Any excess funds generated by residence halls operating activities are separately maintained for

improvements and maintenance of the residence halls. Revenue producing occupancy at the residence halls was 73,715 for the fall of 2012, an increase of 532 students compared to the previous year. The overall utilization rate for the fall of 2012 was reported at 96 percent.

Food service and other auxiliary services generated \$206 million, \$192 million, and \$184 million in revenue for fiscal years 2013, 2012, and 2011, respectively.

### *State Appropriations*

The State University's single largest source of revenues are State appropriations, which for financial reporting purposes are classified as non-operating revenues. State appropriations totaled \$2.83 billion, \$2.93 billion, and \$2.92 billion and represented approximately 29 percent, 31 percent, and 32 percent of total revenues for fiscal years 2013, 2012, and 2011, respectively. State support (both direct support for operations and indirect support for debt service, litigation, and fringe benefits) for State University campus operations, statutory colleges, and hospitals and clinics decreased \$97 million in 2013 and increased \$8 million in 2012, compared to the prior year. In 2013, State support for operating expenses decreased \$3 million and indirect State support for debt service and litigation decreased \$152 million and \$51 million, respectively, compared to the previous year. Indirect support for fringe benefits increased \$109 million compared to 2012.

### *Nonoperating and Other Revenue*

Nonoperating and other revenue excluding State appropriations was \$823 million and \$694 million for the 2013 and 2012 fiscal years, respectively. The increase was primarily due to increases of \$64 million in investment gains and \$50 million in capital appropriations and capital gifts and grants.

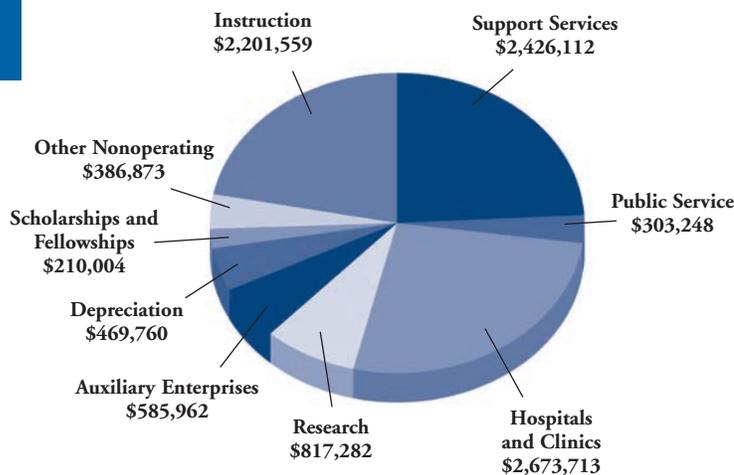
## Management's Discussion and Analysis

### Expense Overview

#### Expenses (in thousands):

	<u>2013</u>	<u>2012</u>	<u>2011</u>
Instruction	\$ 2,201,559	2,107,314	2,200,938
Research	817,282	725,173	747,664
Public service	303,248	312,809	305,633
Support services	2,426,112	2,261,210	2,216,961
Scholarships and fellowships	210,004	198,446	208,652
Hospitals and clinics	2,673,713	2,652,311	2,301,319
Auxiliary enterprises	585,962	559,478	543,877
Depreciation and amortization	469,760	472,121	422,297
Other nonoperating	386,873	396,808	499,373
Total expenses	<u>\$ 10,074,513</u>	<u>9,685,670</u>	<u>9,446,714</u>

2013 Expenses (in thousands)



During the 2013 fiscal year, instruction expenses increased \$94 million predominately from an increase in fringe benefit expenses due to an increase in the State fringe benefit rate. Research expense also increased \$92 million during 2013 compared to 2012 primarily due to an increase in sponsored program activity.

Support services, which include expenses for academic support, student services, institutional support, and operation and maintenance of plant, increased \$165 million between fiscal years 2013 and 2012. This increase was mainly due to an increase in fringe benefit costs as well as an increase

in Research Foundation expenses. Support services remained relatively flat between 2012 and 2011.

In the State University's financial statements, scholarships used to satisfy student tuition and fees (residence hall, food service, etc.) are reported as an allowance (offset) to the respective revenue classification up to the amount of the student charges. The amount reported as expense represents amounts provided to the student in excess of State University charges.

Total scholarships and fellowships, including federal and state grant programs, were \$846 million and \$785 million for the fiscal years ended June 30, 2013 and 2012, respectively. Of this amount, \$636 million and \$587 million were classified as scholarship allowances and \$210 million and \$198 million were reported as scholarship expense for fiscal years 2013 and 2012, respectively. Major scholarships and grants received include the State Tuition Assistance Program of \$193 million and \$191 million during fiscal years 2013 and 2012, respectively, and the federal Pell Program of \$270 million for both fiscal years.

Expenses at the State University's hospitals and clinics increased \$21 million and \$351 million during 2013 and 2012. The large increase in 2012 primarily relates to the acquisition of LICH and CGH.

During fiscal years 2013 and 2012, auxiliary enterprise expenses increased \$26 million and \$16 million, respectively. Residence halls expenses increased \$14 million and \$7 million for the 2013 and 2012 fiscal years, respectively, primarily due to increases in occupancy and rates. Food service and other auxiliary enterprise expenses for the years ended June 30, 2013 and 2012 increased \$12 million and \$9 million, respectively.

Depreciation and amortization expense recognized in fiscal years 2013 and 2012 totaled \$470 million and \$472 million, respectively. Other nonoperating expenses were \$387 million and \$397 million for the years ended June 30, 2013 and 2012, respectively. The decrease in nonoperating expenses during fiscal year 2013 compared to 2012 was mainly due to the \$14 million of investment losses recorded in 2012.

## Management's Discussion and Analysis

### Economic Factors That Will Affect the Future

The State University is one of the largest public universities in the nation, with headcount enrollment of approximately 220,000 for fall 2013, on twenty-nine State-operated campuses and five contract/statutory colleges. The State University's student population is directly influenced by State demographics, as the majority of students attending the State University are New York residents. The enrollment outlook remains strong for the State University based on its continued ability to attract quality students for its academic programs. Full-time equivalent (FTE) enrollment, excluding community colleges, for the fiscal year ended June 30, 2013 is approximately 192,300, a slight decrease compared to June 30, 2012.

New York State appropriations remain the largest single source of revenues. The State University's continued operational viability is substantially dependent upon a consistent and proportionate level of ongoing State support. For the most recent fiscal year, State appropriations totaled \$2.83 billion which represented 29 percent of the total revenues of the State University. State appropriations consisted of direct support (\$1.04 billion), debt service on educational facility and PIT bonds (\$539 million), fringe benefits for State University employees (\$1.26 billion), and litigation (\$1 million). Debt service on educational facilities is paid by the State in an amount sufficient to cover annual debt service requirements; pursuant to annual statutory provisions, each of the University's three teaching hospitals must reimburse the State for their share of debt service costs to finance their capital projects. To maintain budgetary equilibrium in an era of fiscal uncertainty, the State University is taking appropriate measures to identify operational efficiencies through shared services and is implementing cost containment measures on discretionary spending for non-personal service costs.

Beginning with the 2011-12 fiscal year, legislation was passed called the NY-SUNY 2020 Challenge Grant Program Act, which includes capital funds for

investments in economic expansion and job creation at the four State University Centers, as well as a predictable and rational tuition plan. The rational tuition plan authorizes the State University trustees to increase resident undergraduate tuition by up to \$300 per year for five years. The five year plan expires at the end of the 2015-16 academic year. In addition, the State University trustees can also increase non-resident undergraduate tuition up to 10 percent at all State-operated campuses as well as certain fees at the four University Centers after approval of their NY-SUNY 2020 Challenge grant plans.

The State University depends on the State to provide appropriations in support of its capital programs. The 2008-09 enacted State budget provided a \$1.7 billion multi-year appropriation for strategic initiatives and \$550 million for the first of five anticipated annual appropriations dedicated to critical maintenance efforts targeted for preservation or rehabilitation of existing educational facilities. Subsequent annual critical maintenance appropriations of \$550 million have been provided through the enacted 2012-13 State budget. In total, the State University has realized \$2.75 billion in multi-year critical maintenance appropriations over the five year period ending in 2012-13.

The State University hospitals, which are all part of larger State University Academic Health Centers at Brooklyn, Stony Brook and Syracuse, serve large numbers of Medicaid and uninsured patients and, as a result, their dependency on the Medicaid Disproportionate Share Hospital (DSH) Program revenue stream and Medicaid reimbursement is critical to their continued viability. The overall stagnant economic climate increases the risk that the federal government will be under pressure to reduce its overall spending, and these spending reductions could result in significant cuts in Medicare and Medicaid programs and rates, having a negative impact on the hospitals' overall revenue. The hospitals' financial and operational capabilities will also continue to be challenged by potential declines in State support and inflationary and contractual cost increases.

# Balance Sheets

June 30, 2013 and 2012

In thousands

	<u>2013</u>	<u>2012</u>
<b><u>Assets and Deferred Outflows of Resources</u></b>		
Current Assets:		
Cash and cash equivalents	\$ 1,347,112	1,292,327
Deposits with trustees	235,623	264,412
Short-term investments	269,635	283,517
Accounts, notes, and loans receivable, net	792,783	849,606
Appropriations receivable	197,339	324,998
Grants receivable	243,355	250,367
Other assets	70,550	85,119
Total current assets	<u>3,156,397</u>	<u>3,350,346</u>
Noncurrent Assets:		
Restricted cash and cash equivalents	67,292	71,410
Deposits with trustees	413,432	646,425
Accounts, notes, and loans receivable, net	112,297	111,030
Appropriations receivable	444,499	457,881
Long-term investments	717,408	691,874
Other noncurrent assets	56,239	42,161
Capital assets, net	10,041,478	8,984,590
Total noncurrent assets	<u>11,852,645</u>	<u>11,005,371</u>
<b>Total assets</b>	<b><u>15,009,042</u></b>	<b><u>14,355,717</u></b>
Deferred outflows of resources	23,552	9,959
<b>Total assets and deferred outflows of resources</b>	<b><u>\$ 15,032,594</u></b>	<b><u>14,365,676</u></b>
<b><u>Liabilities and Net Position</u></b>		
Current Liabilities:		
Accounts payable and accrued liabilities	963,159	1,156,940
Interest payable	93,698	75,419
Unearned revenue	251,093	296,120
Long-term liabilities - current portion	676,444	687,924
Other liabilities	90,485	113,656
Total current liabilities	<u>2,074,879</u>	<u>2,330,059</u>
Noncurrent Liabilities:		
Long-term liabilities	13,531,482	12,262,503
Refundable government loan funds	141,380	141,450
Other noncurrent liabilities	88,036	30,305
Total noncurrent liabilities	<u>13,760,898</u>	<u>12,434,258</u>
<b>Total liabilities</b>	<b><u>15,835,777</u></b>	<b><u>14,764,317</u></b>
Net Position:		
Net investment in capital assets	1,010,832	984,370
Restricted - nonexpendable:		
Instruction and departmental research	126,261	108,083
Scholarships and fellowships	91,033	87,519
General operations and other	114,612	113,006
Restricted - expendable:		
Instruction and departmental research	193,485	161,157
Scholarships and fellowships	60,684	53,725
General operations and other	251,853	234,934
Unrestricted	<u>(2,651,943)</u>	<u>(2,141,435)</u>
<b>Total net position</b>	<b><u>(803,183)</u></b>	<b><u>(398,641)</u></b>
<b>Total liabilities and net position</b>	<b><u>\$ 15,032,594</u></b>	<b><u>14,365,676</u></b>

See accompanying notes to financial statements.

# Statements of Revenues, Expenses, and Changes in Net Position

For the Years Ended June 30, 2013 and 2012

In thousands

	<u>2013</u>	<u>2012</u>
<b>Operating revenues:</b>		
Tuition and fees	\$ 1,846,529	1,711,328
Less scholarship allowances	<u>(530,423)</u>	<u>(483,344)</u>
Net tuition and fees	1,316,106	1,227,984
Federal grants and contracts	672,661	699,818
State and local grants and contracts	210,310	181,353
Private grants and contracts	460,117	333,086
Hospitals and clinics	2,538,544	2,459,497
Sales and services of auxiliary enterprises:		
Residence halls, net	408,172	396,203
Food service and other, net	206,195	192,226
Other sources	201,122	182,294
<b>Total operating revenues</b>	<b><u>6,013,227</u></b>	<b><u>5,672,461</u></b>
<b>Operating expenses:</b>		
Instruction	2,201,559	2,107,314
Research	817,282	725,173
Public service	303,248	312,809
Academic support	495,752	465,644
Student services	293,181	266,642
Institutional support	955,278	880,541
Operation and maintenance of plant	652,165	617,174
Scholarships and fellowships	210,004	198,446
Hospitals and clinics	2,673,713	2,652,311
Auxiliary enterprises:		
Residence halls	351,724	337,471
Food service and other	234,238	222,007
Depreciation and amortization expense	469,760	472,121
Other operating expenses	29,736	31,209
<b>Total operating expenses</b>	<b><u>9,687,640</u></b>	<b><u>9,288,862</u></b>
<b>Operating loss</b>	<b><u>(3,674,413)</u></b>	<b><u>(3,616,401)</u></b>
<b>Nonoperating revenues (expenses):</b>		
State appropriations	2,833,440	2,930,043
Federal and state nonoperating grants	517,604	515,450
Investment income, net	19,680	17,446
Net realized and unrealized gains (losses)	64,407	(13,893)
Gifts	86,130	69,800
Interest expense on capital related debt	(362,232)	(361,732)
Loss on disposal of plant assets	(10,517)	(1,437)
Gain on acquisition	-	9,762
Other nonoperating expenses, net	(14,124)	(19,746)
<b>Net nonoperating revenues</b>	<b><u>3,134,388</u></b>	<b><u>3,145,693</u></b>
<b>Loss before other revenues and gains</b>	<b><u>(540,025)</u></b>	<b><u>(470,708)</u></b>
Capital appropriations	25,269	100
Capital gifts and grants	89,175	64,525
Additions to permanent endowments	21,039	16,597
<b>Decrease in net position</b>	<b><u>(404,542)</u></b>	<b><u>(389,486)</u></b>
<b>Net position at the beginning of year, as restated</b>	<b><u>(398,641)</u></b>	<b><u>(9,155)</u></b>
<b>Net position at the end of year</b>	<b><u>\$ (803,183)</u></b>	<b><u>(398,641)</u></b>

See accompanying notes to financial statements.

## Statements of Cash Flows

For the Years Ended June 30, 2013 and 2012

In thousands

	<u>2013</u>	<u>2012</u>
<b>Cash flows from operating activities:</b>		
Tuition and fees	\$ 1,325,401	1,235,015
Grants and contracts:		
Federal	684,353	670,199
State and local	163,540	171,727
Private	481,205	337,621
Hospital and clinics	2,519,732	2,313,896
Personal service payments	(3,922,050)	(3,871,685)
Other than personal service payments	(2,746,618)	(2,318,340)
Payments for fringe benefits	(499,573)	(490,816)
Payments for scholarships and fellowships	(197,285)	(134,853)
Loans issued to students	(24,935)	(23,424)
Collection of loans to students	21,983	22,890
Auxiliary enterprise charges:		
Residence halls	405,540	396,178
Food service and other	208,693	192,443
Other receipts	73,087	101,314
<b>Net cash used by operating activities</b>	<b><u>(1,506,927)</u></b>	<b><u>(1,397,835)</u></b>
<b>Cash flows from noncapital financing activities:</b>		
State appropriations:		
Operations	1,178,914	1,032,232
Debt service	522,664	709,172
Federal and State nonoperating grants	517,604	515,452
Private gifts and grants	78,120	64,639
Proceeds from short-term loans	39,341	107,712
Repayment of short-term loans	(50,738)	(117,053)
Direct loan receipts	1,130,660	1,146,149
Direct loan disbursements	(1,130,660)	(1,146,149)
Other (payments) receipts	(120,435)	16,079
<b>Net cash provided by noncapital financing activities</b>	<b><u>2,165,470</u></b>	<b><u>2,328,233</u></b>
<b>Cash flows from capital and related financing activities:</b>		
Proceeds from capital debt	1,584,740	2,187,170
Capital appropriations	25,269	110
Capital grants and gifts received	61,617	40,517
Proceeds from sale of capital assets	5,789	(182)
Purchases of capital assets	(196,670)	(255,322)
Payments to contractors	(1,265,691)	(1,039,230)
Principal paid on capital debt and leases	(735,731)	(1,408,906)
Interest paid on capital debt and leases	(410,910)	(450,074)
Deposits with trustees	251,950	(127,898)
<b>Net cash used by capital and related financing activities</b>	<b><u>(679,637)</u></b>	<b><u>(1,053,815)</u></b>
<b>Cash flows from investing activities:</b>		
Proceeds from sales and maturities of investments	1,237,354	1,376,782
Interest, dividends, and realized gains on investments	33,190	25,815
Purchases of investments	(1,198,783)	(1,361,461)
<b>Net cash provided by investing activities</b>	<b><u>71,761</u></b>	<b><u>41,136</u></b>
<b>Net change in cash</b>	<b><u>50,667</u></b>	<b><u>(82,281)</u></b>
<b>Cash - beginning of year, as restated</b>	<b><u>1,363,737</u></b>	<b><u>1,446,018</u></b>
<b>Cash - end of year</b>	<b><u>\$ 1,414,404</u></b>	<b><u>1,363,737</u></b>
<b>End of year cash comprised of:</b>		
<b>Cash and cash equivalents</b>	<b><u>\$ 1,347,112</u></b>	<b><u>1,292,327</u></b>
<b>Restricted cash and cash equivalents</b>	<b><u>\$ 67,292</u></b>	<b><u>71,410</u></b>

## Statements of Cash Flows (continued)

For the Years Ended June 30, 2013 and 2012

In thousands

	<u>2013</u>	<u>2012</u>
<b>Reconciliation of net operating loss to net cash used by operating activities:</b>		
Operating loss	\$ (3,674,413)	(3,616,401)
Adjustments to reconcile operating loss to net cash used by operating activities:		
Depreciation and amortization expense	469,760	472,121
Fringe benefits, litigation, and other noncash expenses	1,274,307	1,157,615
Change in assets and liabilities:		
Receivables, net	84,019	(118,301)
Other assets	15,051	(13,873)
Accounts payable and accrued liabilities	(79,781)	193,608
Unearned revenue	(6,051)	(22,487)
Other liabilities	410,181	549,883
<b>Net cash used by operating activities</b>	<b>\$ <u>(1,506,927)</u></b>	<b><u>(1,397,835)</u></b>
<b>Supplemental disclosures for noncash transactions:</b>		
New capital leases / debt agreements	\$ <u>1,584,740</u>	<u>2,187,170</u>
Fringe benefits provided by the State	\$ <u>1,250,741</u>	<u>1,145,475</u>
Litigation costs provided by the State	\$ <u>23,566</u>	<u>12,140</u>
Noncash gifts	\$ <u>25,217</u>	<u>4,867</u>
Unrealized gains (losses) on investments	\$ <u>41,095</u>	<u>(44,501)</u>

See accompanying notes to financial statements.

# State University of New York Component Units Balance Sheet

June 30, 2013 (with comparative financial information as of June 30, 2012)  
In thousands

<u>Assets</u>	<u>2013</u>	<u>2012</u>
Cash and cash equivalents	\$ 252,343	231,345
Accounts and notes receivable, net	35,930	49,696
Pledges receivable, net	196,361	207,574
Investments	1,677,573	1,549,483
Assets held for others	32,291	38,954
Other assets	77,738	80,110
Capital assets, net	628,604	605,831
<b>Total assets</b>	<b>\$ 2,900,840</b>	<b>2,762,993</b>
<b><u>Liabilities and Net Assets</u></b>		
Liabilities:		
Accounts payable and accrued liabilities	69,100	73,475
Current portion of long-term debt	17,078	50,635
Deferred revenue	12,286	10,346
Deposits held in custody for others	105,066	116,819
Other liabilities	82,977	98,748
Long-term debt	461,345	465,769
<b>Total liabilities</b>	<b>747,852</b>	<b>815,792</b>
Net Assets:		
Unrestricted:		
Board designated for:		
Fixed assets	193,684	177,819
Campus programs	84,691	78,590
Investments	181,533	175,212
Other	46,562	45,756
Undesignated	110,943	92,603
Temporarily restricted:		
Scholarships and fellowships	155,630	122,574
Campus programs	379,829	337,870
Research	136,724	125,334
General operations and other	214,010	201,991
Permanently restricted:		
Scholarships and fellowships	292,945	273,688
Campus programs	275,058	234,322
Research	26,117	22,056
General operations and other	55,262	59,386
<b>Total net assets</b>	<b>2,152,988</b>	<b>1,947,201</b>
<b>Total liabilities and net assets</b>	<b>\$ 2,900,840</b>	<b>2,762,993</b>

See accompanying notes to financial statements.

# State University of New York Component Units

## Statement of Activities

*For the Year Ended June 30, 2013 (with summarized financial information for the year ended June 30, 2012)*  
*In thousands*

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>2013 Total</u>	<u>2012 Total</u>
<b>Revenues:</b>					
Contributions, gifts, and grants	\$ 28,128	102,464	56,859	187,451	308,720
Investment income, net	13,062	23,392	301	36,755	23,770
Net realized and unrealized gains (losses)	43,648	89,401	239	133,288	(9,947)
Food service	255,794	-	-	255,794	245,908
Other auxiliary services	78,343	-	-	78,343	79,896
Rental income	75,378	311	-	75,689	68,554
Sales and services	182,408	1,941	-	184,349	41,543
Program income and special events	49,913	1,376	409	51,698	49,953
Other sources	7,599	4,517	4,140	16,256	7,374
Gain from acquisition	-	-	-	-	32,706
Transfers of permanently restricted net assets	(2)	(176)	178	-	-
Endowment earnings transferred	-	56	(56)	-	-
Net assets released from restrictions	126,449	(126,449)	-	-	-
<b>Total revenues</b>	<b><u>860,720</u></b>	<b><u>96,833</u></b>	<b><u>62,070</u></b>	<b><u>1,019,623</u></b>	<b><u>848,477</u></b>
<b>Expenses:</b>					
Food service	209,375	-	-	209,375	201,343
Other auxiliary services	63,466	-	-	63,466	64,336
Program expenses	114,090	-	-	114,090	126,482
Health care services	170,008	-	-	170,008	28,353
Payments to the State University:					
Scholarships and fellowships	42,223	-	-	42,223	32,963
Other	38,914	-	-	38,914	31,228
Real estate expenses	22,739	-	-	22,739	22,881
Depreciation and amortization expense	34,001	-	-	34,001	29,081
Interest expense on capital-related debt	21,141	-	-	21,141	19,958
Management and general	52,475	-	-	52,475	57,121
Fundraising	21,281	-	-	21,281	19,705
Other expenses	24,123	-	-	24,123	11,468
<b>Total expenses</b>	<b><u>813,836</u></b>	<b><u>-</u></b>	<b><u>-</u></b>	<b><u>813,836</u></b>	<b><u>644,919</u></b>
<b>Change in net assets</b>	<b>46,884</b>	<b>96,833</b>	<b>62,070</b>	<b>205,787</b>	<b>203,558</b>
<b>Net asset reclassification</b>	<b><u>549</u></b>	<b><u>1,592</u></b>	<b><u>(2,141)</u></b>	<b><u>-</u></b>	<b><u>-</u></b>
<b>Total change in net assets</b>	<b>47,433</b>	<b>98,425</b>	<b>59,929</b>	<b>205,787</b>	<b>203,558</b>
<b>Net assets at the beginning of year, as restated</b>	<b><u>569,980</u></b>	<b><u>787,768</u></b>	<b><u>589,453</u></b>	<b><u>1,947,201</u></b>	<b><u>1,743,643</u></b>
<b>Net assets at the end of year</b>	<b><u>\$ 617,413</u></b>	<b><u>886,193</u></b>	<b><u>649,382</u></b>	<b><u>2,152,988</u></b>	<b><u>1,947,201</u></b>

See accompanying notes to financial statements.

# Notes to Financial Statements

*June 30, 2013 and 2012*

## 1. Summary of Significant Accounting Policies and Basis of Presentation

### *Reporting Entity*

For financial reporting purposes, the State University of New York (State University) consists of all sectors of the State University including the university centers, health science centers (including hospitals), colleges of arts and sciences, colleges of technology and agriculture, specialized colleges, statutory colleges (located at the campuses of Cornell and Alfred Universities), central services and other affiliated entities determined to be includable in the State University's financial reporting entity.

Inclusion in the reporting entity is based primarily on the notion of financial accountability, defined in terms of a primary government (State University) that is financially accountable for the organizations that make up its legal entity. Separate legal entities meeting the criteria for inclusion in the blended totals of the State University reporting entity are described below. The State University is included in the financial statements of the State of New York (State) as an enterprise fund, as the State is the primary government of the State University.

The Research Foundation for the State University of New York (Research Foundation) is a separate, private, nonprofit educational corporation that administers the majority of the State University's sponsored programs. These programs are for the exclusive benefit of the State University and include research, training, and public service activities of the State-operated campuses supported by sponsored funds other than State appropriations. The Research Foundation provides sponsored programs administration and innovation support services to State University faculty performing research in life sciences and medicine; engineering and technology; physical sciences and energy; social sciences; and computer and information services. The activity of the Research Foundation has been included in these financial statements using GASB measurements and recognition standards. The financial activity was primarily derived from audited financial statements of the Research Foundation for the years ended June 30, 2013 and 2012.

The State University Construction Fund (Construction Fund) is a public benefit corporation that designs, constructs, reconstructs and rehabilitates facilities of the State University pursuant to an approved master plan. Although the Construction Fund is a separate legal entity, it carries out operations which are integrally related to and for the exclusive benefit of the State University and, therefore, the financial activity related to the Construction Fund is included in the State University's financial statements as of the Construction Fund's fiscal years end of March 31, 2013 and 2012.

The State statutory colleges at Cornell University and Alfred University are an integral part of, and are administered by, those universities. The statutory colleges are fiscally dependent on State appropriations through the State University. The financial statement information of the statutory colleges of Cornell University and Alfred University has been included in the accompanying financial statements.

Most of the State University's campuses maintain auxiliary services corporations and some campuses maintain student housing corporations. These corporations are legally separate, nonprofit organizations which, as independent contractors, operate, manage, and promote educationally related services for the benefit of the campus community. Almost all of the State University campuses also maintain foundations, which are legally separate, nonprofit, affiliated organizations that receive and hold economic resources that are significant to, and that are entirely for the State University, and are required to be included in the reporting entity using discrete presentation requirements. As a result, the combined totals of the campus-related auxiliary service corporations, student housing corporations and foundations are separately presented as an aggregate component unit on financial statement pages 18 and 19 in the State University's financial statements in accordance with display requirements prescribed by the Financial Accounting Standards Board (FASB). All of the financial data for these organizations was derived from each entity's individual audited financial statements, the majority of which have a May 31 or June 30 fiscal year end. The combined totals are also included in the financial statements of the State's discretely

# Notes to Financial Statements

June 30, 2013 and 2012

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

presented component unit combining statements.

The operations of certain related but independent organizations, i.e., clinical practice management plans, alumni associations and student associations, do not meet the criteria for inclusion, and are not included in the accompanying financial statements.

The State University administers State financial assistance to the community colleges in connection with its general oversight responsibilities pursuant to New York State Education Law. However, since these community colleges are sponsored by local governmental entities and are included in their financial statements, the community colleges are not considered part of the State University's financial reporting entity and, therefore, are not included in the accompanying financial statements.

The accompanying financial statements of the State University have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with U.S. generally accepted accounting principles as prescribed by the GASB. The State University reports its financial statements as a special purpose government engaged in business-type activities, as defined by the GASB. Business-type activities are those that are financed in whole or in part by fees charged to external parties for goods or services. The financial statements of the State University consist of classified balance sheets, which separately classify deferred outflows of resources and deferred inflows of resources; statements of revenues, expenses, and changes in net position, which distinguish between operating and nonoperating revenues and expenses; and statements of cash flows, using the direct method of presenting cash flows from operations and other sources.

The State University's policy for defining operating activities in the statement of revenues, expenses, and changes in net position are those that generally result from exchange transactions, i.e., the payments received for services and payments made for the purchase of goods and services. Certain other transactions are reported as nonoperating activities and include the State University's operating and capital appropriations from the State, federal and State financial aid grants (e.g., Pell and TAP), investment income gains and losses, gifts, and interest expense.

During 2013, the State University adopted GASB Statement No. 61, *The Financial Reporting Entity: Omnibus—an amendment of GASB Statements No. 14 and No. 34*. This Statement modifies certain requirements for inclusion of component units in the financial reporting entity. This Statement also amends the criteria for reporting component units that were blended and included in the consolidated State University reporting entity in certain circumstances. The amendments to the criteria for blending improve the focus of a financial reporting entity on the primary government by ensuring that the primary government includes only those component units that are so intertwined with the primary government that they are essentially the same as the primary government, and by clarifying which component units have that characteristic. This pronouncement required a restatement to the State University's financial statements as of July 1, 2011 as certain component units previously included in the State University reporting entity meet the criteria for discrete presentation.

The State University also adopted GASB Statement No. 65, *Items Previously Reported as Assets and Liabilities*. This Statement establishes accounting and financial reporting standards that reclassify, as deferred outflows of resources or deferred inflows of resources, certain items that were previously reported as assets and liabilities and recognizes, as outflows of resources or inflows of resources, certain items that were previously reported as assets and liabilities. This pronouncement required a restatement to the State University's financial statements as of July 1, 2011, as deferred financing costs that were previously classified as assets will now be expensed. As required, under this standard, any gains or losses resulting from a refunding of debt will be reported as a deferred inflow of resources or deferred outflow of resources, respectively.

### Net Position

Resources are classified for accounting and financial reporting purposes into the following four net position categories:

#### Net investment in capital assets

Capital assets, net of accumulated depreciation and amortization and outstanding principal balances of debt attributable to the acquisition, construction, repair or improvement of those assets.

# Notes to Financial Statements

June 30, 2013 and 2012

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

### Restricted – nonexpendable

Net position component subject to externally imposed conditions that the State University is required to retain in perpetuity.

### Restricted – expendable

Net position component whose use is subject to externally imposed conditions that can be fulfilled by the actions of the State University or by the passage of time.

### Unrestricted component of net position

The unrestricted component of net position includes amounts provided for specific use by the State University's colleges and universities, hospitals and clinics, and separate legal entities included in the State University's reporting entity that are designated for those entities and, therefore, not available for other purposes.

The State University has adopted a policy of generally utilizing restricted - expendable funds, when available, prior to unrestricted funds.

### **Revenues**

Revenues are recognized in the period earned. State appropriations are recognized when they are made legally available for expenditure. Revenues and expenses arising from nonexchange transactions are recognized when all eligibility requirements, including time requirements, are met. Promises of private donations are recognized at fair value. Net patient service revenue for the hospitals is reported at the estimated net realizable amounts from patients, third party payors and others for services rendered, including estimated retroactive adjustments under reimbursement agreements with third party payors.

Tuition and fees and auxiliary sales and service revenues are reported net of scholarship discounts and allowances. Auxiliary sales and service revenue classifications for 2013 and 2012 were reported net of the following scholarship discount and allowance amounts (in thousands):

	2013	2012
Residence halls	\$ 83,219	75,842
Food service and other	22,593	27,538

### **Cash and Cash Equivalents**

Cash and cash equivalents are defined as current operating assets and include investments with original maturities of less than 90 days, except for cash and cash equivalents held in investment pools which are included in short-term and long-term investments on the accompanying balance sheets.

### **Restricted Cash and Cash Equivalents**

Restricted cash and cash equivalents represent unspent funds under various capital financing arrangements, cash held for others, and cash restricted for loan programs.

### **Investments**

Investments in marketable securities are stated at fair value based upon quoted market prices. Investment income is recorded on the accrual basis, and purchases and sales of investment securities are reflected on a trade date basis. Any net earnings not expended are included as increases in restricted – nonexpendable net position if the terms of the gift require that such earnings be added to the principal of a permanent endowment fund, or as increases in restricted – expendable net position as provided for under the terms of the gift, or as unrestricted. At June 30, 2013 and 2012, the State University had \$218 million and \$181 million available for authorization for expenditure, including \$108 million and \$91 million from restricted funds and \$110 million and \$90 million from unrestricted funds, respectively.

The Investment Committee of the Cornell Board of Trustees establishes the investment policy for Cornell University as a whole, including investments that support the statutory colleges. Distributions from the pool are approved by the Cornell Board of Trustees and are provided for program support independent of the cash yield and appreciation of investments in that year. The Board applies the "prudent person" standard when making its decision whether to appropriate or accumulate endowment funds in compliance with the New York Prudent Management of Institutional Funds Act (NYPMIFA). Investments in the pool are stated at fair value and include limited use of derivative instruments including futures, forward, options and swap contracts designed to manage market exposure and to enhance the total return.

# Notes to Financial Statements

June 30, 2013 and 2012

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

Alternative investments are valued using current estimates of fair value obtained from the investment manager in the absence of readily determinable public market values. The estimated fair value of these investments is based on the most recent valuations provided by the external investment managers. Because of the inherent uncertainty of valuation for these investments, the investment manager's estimate may differ from the values that would have been used had a ready market existed.

### Capital Assets

Capital assets are stated at cost, or in the case of gifts, fair value at the date of receipt. Building renovations and additions costing over \$100,000 and equipment items with a unit cost of \$5,000 or more are capitalized. Equipment under capital leases is stated at the present value of minimum lease payments at the inception of the lease. Generally, the net interest cost on debt during the construction period related to capital projects is capitalized. Capital interest totaled \$40.1 million and \$54.5 million in the 2013 and 2012 fiscal years, respectively. Intangible assets for internally generated computer software of \$1,000,000 or more and \$100,000 for all other intangible assets are capitalized. Library materials are capitalized and amortized over a ten-year period. Works of art or historical treasures that are held for public exhibition, education, or research in furtherance of public service are capitalized. Capital assets, with the exception of land, construction in progress, and inexhaustible works of art or intangible assets, are depreciated on a straight-line basis over their estimated useful lives, using historical and industry experience, ranging from 2 to 50 years.

### Deferred Outflows of Resources

Deferred outflows of resources resulting from a loss in the refinancing of debt represents the difference between the reacquisition price and the net carrying amount of the old debt and is amortized over the life of the related debt.

### Compensated Absences

Employees accrue annual leave based primarily on the number of years employed up to a maximum rate of 21 days per year up to a maximum of 40 days.

### Fringe Benefits

Employee fringe benefit costs (e.g., health insurance, workers' compensation, and pension and post-retirement benefits) for State University and statutory employees are paid by the State on behalf of the State University (except for the State University hospitals and Research Foundation, which pay their own fringe benefit costs) at a fringe benefit rate determined by the State. The State University records an expense and corresponding State appropriation revenue for fringe benefit costs based on the fringe benefit rate applied to total eligible personal service costs incurred.

### Postemployment and Post-retirement Benefits

Postemployment benefits other than pensions are recognized on an actuarially determined basis as employees earn benefits that are expected to be used in the future. The amounts earned include employee sick leave credits expected to be used to pay for a share of post-retirement health insurance.

### Tax Status

The State University and the Construction Fund are political subdivisions of the State and are, therefore, generally exempt from federal and state income taxes under applicable federal and state statutes and regulations.

The Research Foundation is a nonprofit organization as described in Section 501(c)(3) of the Internal Revenue Code and is tax-exempt on related income, pursuant to Section 501(a) of the Code.

### Reclassifications

Certain amounts displayed in the 2012 financial statements have been reclassified to conform to the 2013 presentation.

# Notes to Financial Statements

June 30, 2013 and 2012

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

### Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amount of revenues and expenses during the reporting period. Actual results could differ from those estimates.

## 2. Cash and Cash Equivalents

Cash and cash equivalents represent State University funds held in the State treasury, in the short-term investment pool (STIP), or local depositories, and cash held by affiliated organizations. Cash held in the State treasury beyond immediate need is pooled with other State funds for short-term investment purposes.

The pooled balances are limited to legally-stipulated investments which include obligations of, or are guaranteed by, the United States; obligations of the State and its political subdivisions; and repurchase agreements. These investments are reported at cost (which approximates fair value) and are held by the State's agent in its name on behalf of the State University.

The New York State Comprehensive Annual Financial Report contains the GASB Statement No. 40 risk disclosures for deposits held in the State treasury. Deposits not held in the State treasury that are not covered by depository insurance and are (a) uncollateralized; (b) collateralized with securities held by a pledging financial institution; or (c) collateralized with securities held by a pledging financial institution's trust department or agency, but not in the State University or affiliate's name at June 30, 2013 and 2012, are as follows (in thousands):

	Category a	Category b	Category c
2013	\$ 2,090	15,788	-
2012	4,204	9,141	-

## 3. Deposits with Trustees

Deposits with trustees primarily represent Dormitory Authority of the State of New York (DASNY) bond proceeds needed to finance capital projects and to establish required building and equipment replacement and debt service reserves. Pursuant to financing agreements with DASNY, bond proceeds, including interest income, are restricted for capital projects or debt service. Also included are non-bond proceeds which have been designated for capital projects and equipment.

The State University's cash and investments which includes deposits with trustees are registered in the State University's name and held by an agent or in trust accounts in the State University's name. Cash and short-term investments held in the State treasury and money market accounts were approximately \$19 million and \$68 million at June 30, 2013 and 2012, respectively. The market value of investments held and maturity period are displayed in the following table (in thousands):

Fiscal Year 2013				
Type of Investments	Fair Value	Less than 1 year	1-5 years	More than 5 years
US Treasury notes/bonds	\$ 127,504	118,404	9,100	-
US Treasury bills	253,012	253,012	-	-
US Treasury strips	240,771	240,771	-	-
Federal Home Loan Mortgage Corp.*	2,215	2,215	-	-
Federal National Mortgage Assoc.*	4,117	4,117	-	-
Federal Home Loan Bank*	2,200	2,200	-	-
Total	\$ 629,819	620,719	9,100	-
Fiscal Year 2012				
Type of Investments	Fair Value	Less than 1 year	1-5 years	More than 5 years
US Treasury notes/bonds	\$ 142,206	137,919	4,287	-
US Treasury bills	255,468	255,468	-	-
US Treasury strips	314,461	314,461	-	-
Investment agreement	10,110	-	-	10,110
Federal Home Loan Mortgage Corp.*	78,151	78,151	-	-
Federal National Mortgage Assoc.*	1,670	1,670	-	-
Federal Home Loan Bank*	41,044	41,044	-	-
Total	\$ 843,110	828,713	4,287	10,110

\*Rating on investment was AAA

## Notes to Financial Statements

*June 30, 2013 and 2012*

### 4. Investments

Investments of the State University are recorded at fair value. Investment income is reported net of investment fees of approximately \$1 million for both fiscal years. Investments include those held by the statutory colleges at Cornell University and Alfred University (Alfred Ceramics), the Research Foundation, the Construction Fund, and State University campuses.

Investments of the endowment and similar funds of the Cornell statutory colleges, except for separately invested funds with a fair value of \$41 million and \$37 million at June 30, 2013 and 2012, respectively, are pooled on a fair value basis in Cornell's long-term investment pool and living trust fund. Individual funds enter or withdraw from the pool based on each fund's share of the fair value of the pool's investments.

The Research Foundation maintains a diverse investment portfolio and follows an investment policy and asset guidelines approved and monitored by its board of directors. The portfolio is mainly comprised of mutual funds, exchange-traded funds and alternative investments of high quality and liquidity. Investments are held with the investment custodian in the Research Foundation's name.

Investments of the Construction Fund are made in accordance with the applicable provisions of the laws of the State and the Construction Fund's investment policy and consist primarily of obligations of the United States government and its agencies. These investments are held by the State's agent in the State University Construction Fund's name.

Investments of Alfred Ceramics were derived from its individual financial statements.

The State University's financial position may be impacted through its market risk positions and by changes in economic conditions.

The composition of investments at June 30, 2013 and 2012 is as follows (in thousands):

	<b>2013</b>	<b>2012</b>
Cash and money market funds	\$ 70,585	130,935
Non-equities	178,489	179,191
Domestic and international equities	177,732	143,210
Equity partnerships	295,996	270,844
Hedge funds	235,665	222,312
Other investments	28,576	28,899
Total investments	<u>\$ 987,043</u>	<u>975,391</u>
Short-term	<u>\$ 269,635</u>	<u>283,517</u>
	<b>2013</b>	<b>2012</b>
State University Campuses	6,881	5,909
Cornell Statutory Colleges	743,331	680,907
Alfred Ceramics	20,319	18,891
Research Foundation	185,347	238,585
State University Construction Fund	31,165	31,099
Total investments	<u>\$ 987,043</u>	<u>975,391</u>

## Notes to Financial Statements

June 30, 2013 and 2012

## 4. Investments (continued)

At June 30, 2013 and 2012, the State University had the following non-equity investments and maturities as summarized in Table A.

Credit quality ratings of the State University's investments in debt securities, as described by Moody's, S&P, and Fitch as of June 30, 2013 and 2012 are summarized in Table B.

Table A (in thousands)

Investment Type	Market Value	Fiscal Year 2013					Fiscal Year 2012				
		Less than 1 yr	1-5 yrs	6-10 yrs	More than 10 yrs	Less than 1 yr	1-5 yrs	6-10 yrs	More than 10 yrs		
US treasury bills	\$ 14,154	14,154	-	-	-	10,894	10,894	-	-	-	
US treasury notes/bonds	33,568	24,813	7,323	1,306	126	18,289	367	16,238	1,458	226	
US treasury strips	-	-	-	-	-	2,677	2,677	-	-	-	
Asset-backed securities	4,802	-	373	2,372	2,057	4,004	-	319	2,024	1,661	
Municipals	4,181	92	304	99	3,686	3,290	4	326	231	2,729	
Repurchase agreements	1,981	1,981	-	-	-	2,094	2,094	-	-	-	
Corporate bonds	37,685	27,522	5,024	2,309	2,830	46,524	11,980	29,999	2,043	2,502	
Commercial Paper	869	869	-	-	-	298	298	-	-	-	
Mutual funds – non-equities	29,242	644	5,642	14,502	8,454	30,608	695	6,252	10,016	13,645	
International – non-equities	25,559	9,728	8,243	3,933	3,655	22,406	2,194	13,336	3,727	3,149	
US government TIPS	4,682	-	-	1,472	3,210	4,663	-	17	1,090	3,556	
US government agencies	21,766	6,478	8,983	3,921	2,384	33,444	4,519	25,036	1,362	2,527	
Total investments	\$ 178,489	86,281	35,892	29,914	26,402	179,191	35,722	91,523	21,951	29,995	

Table B (in thousands)

Credit Rating	AAA	AA	A	BBB	BB	B	Other Rating	Not Rated
<b>Investment Type - 2013</b>								
Asset-backed securities	\$ 717	282	257	633	278	33	945	1,657
Municipals	164	1,449	300	-	324	1,046	665	233
Repurchase agreements	-	-	-	-	-	-	-	1,981
Corporate bonds	535	1,074	18,803	12,493	451	1,641	1,955	733
Commercial Paper	-	-	517	82	-	-	-	270
Mutual funds - non-equities*	3,836	1,228	1,925	49	3,089	-	-	19,115
International - non-equities	3,642	2,524	8,903	2,665	1,635	671	707	4,812
US government agencies	16,856	3,182	-	-	-	-	-	1,728
Total	\$ 25,750	9,739	30,705	15,922	5,777	3,391	4,272	30,529
<b>Investment Type - 2012</b>								
Asset-backed securities	\$ 651	68	107	637	11	250	784	1,496
Municipals	121	1,422	810	7	-	643	73	214
Repurchase agreements	-	-	-	-	-	-	-	2,094
Corporate bonds	233	8,947	18,230	14,030	649	2,206	1,081	1,148
Commercial Paper	-	-	148	-	-	-	-	150
Mutual funds - non-equities*	12,115	1,233	2,621	184	3,192	11	-	11,252
International - non-equities	2,698	1,785	9,711	2,119	1,847	800	-	3,446
US government agencies	-	31,127	-	-	-	177	-	2,140
Total	\$ 15,818	44,582	31,627	16,977	5,699	4,087	1,938	21,940

\*based on average credit quality of holdings

# Notes to Financial Statements

June 30, 2013 and 2012

## 4. Investments (continued)

The investment guidelines provide discretion for investment managers specializing in securities whose prices are denominated in foreign currencies to adjust foreign currency exposure of their investment portfolio as part of the State University's overall diversification strategy.

The State University's exposure to foreign currency risk for investments held at June 30, 2013 and 2012 was as follows (fair value in thousands):

Currency Denomination	2013	2012
Euro	\$ 6,413	5,889
British pound	5,507	7,089
South Korean won	4,991	4,070
Japanese yen	4,011	5,211
Hong Kong dollar	3,309	4,223
Taiwan dollar	2,960	2,011
Thailand baht	2,176	1,718
Turkish lira	2,123	909
Mexican Nuevo Peso	1,544	828
Swiss franc	1,471	898
Indonesian rupiah	1,366	725
Indian rupee	1,330	1,493
Brazil real cruzeiro	1,315	1,621
Australian dollar	1,139	407
Malaysian ringgit	655	681
So. African rand	628	495
Swedish krona	407	491
Norwegian krone	357	277
Canadian dollar	238	244
Polish zloty	229	407
Singapore dollar	105	693
Other	493	607
Total	\$ <u>42,767</u>	<u>40,987</u>

## 5. Accounts, Notes, and Loans Receivable

At June 30, accounts, notes, and loans receivable were summarized as follows (in thousands) for years 2013 and 2012, respectively:

	2013	2012
Tuition and fees	\$ 82,587	69,585
Allowance for uncollectible	(9,218)	(10,020)
Net tuition and fees	<u>73,369</u>	<u>59,565</u>
Room rent	10,483	9,511
Allowance for uncollectible	(2,356)	(2,230)
Net room rent	<u>8,127</u>	<u>7,281</u>
Patient fees, net of contractual allowances	853,112	824,294
Allowance for uncollectible	(382,943)	(289,623)
Net patient fees	<u>470,169</u>	<u>534,671</u>
Other, net	<u>220,559</u>	<u>228,145</u>
Total accounts and notes receivable	<u>772,224</u>	<u>829,662</u>
Student loans	156,497	154,720
Allowance for uncollectible	(23,641)	(23,746)
Total student loans receivable	<u>132,856</u>	<u>130,974</u>
Total, net	\$ <u>905,080</u>	<u>960,636</u>

## 6. Capital Assets

Capital assets, net of accumulated depreciation, totaled \$10.04 billion and \$8.98 billion at fiscal year end 2013 and 2012, respectively. Capital asset activity for fiscal years 2013 and 2012 is reflected in Table C. In the table, closed projects and retirements represent capital assets retired and assets transferred from construction in progress for projects completed and added to the related capital assets category.

Table C (in thousands)

	June 30, 2011	Additions	Closed Projects & Retirements	June 30, 2012	Additions	Closed Projects & Retirements	June 30, 2013
Land	\$ 380,710	122,426	-	503,136	44,944	85	547,995
Infrastructure and land improvements	772,034	62,383	9,409	825,008	56,518	9,267	872,259
Buildings	7,855,203	480,210	32,012	8,303,401	909,615	57,455	9,155,561
Equipment, library books and other	2,585,622	239,948	75,284	2,750,286	228,805	80,226	2,898,865
Construction in progress	<u>1,794,686</u>	<u>1,280,364</u>	<u>610,516</u>	<u>2,464,534</u>	<u>1,358,845</u>	<u>1,035,451</u>	<u>2,787,928</u>
Total capital assets	<u>13,388,255</u>	<u>2,185,331</u>	<u>727,221</u>	<u>14,846,365</u>	<u>2,598,727</u>	<u>1,182,484</u>	<u>16,262,608</u>
Less accumulated depreciation:							
Infrastructure and land improvements	383,356	30,438	8,165	405,629	33,342	8,273	430,698
Buildings	3,202,270	222,182	26,404	3,398,048	243,794	46,878	3,594,964
Equipment, library books and other	<u>1,911,894</u>	<u>211,228</u>	<u>65,024</u>	<u>2,058,098</u>	<u>191,704</u>	<u>54,334</u>	<u>2,195,468</u>
Total accumulated depreciation	<u>5,497,520</u>	<u>463,848</u>	<u>99,593</u>	<u>5,861,775</u>	<u>468,840</u>	<u>109,485</u>	<u>6,221,130</u>
Capital assets, net	\$ <u>7,890,735</u>	<u>1,721,483</u>	<u>627,628</u>	<u>8,984,590</u>	<u>2,129,887</u>	<u>1,072,999</u>	<u>10,041,478</u>

# Notes to Financial Statements

June 30, 2013 and 2012

## 7. Long-term Liabilities

The State University has entered into capital leases and other financing agreements with DASNY to finance most of its capital facilities. The State University has also entered into financing arrangements with the New York Power Authority under the statewide energy services program. Equipment purchases are also made through DASNY's Tax-exempt Equipment Leasing Program (TELP), various state sponsored equipment leasing programs, and private financing arrangements.

Total obligations as of June 30, 2013 and 2012, other than facilities obligations, which are included as of March 31, 2013 and 2012, are summarized in Table D.

### Educational Facilities

The State University, through DASNY, has entered into financing agreements to finance various educational facilities which have a maximum 30-year life. Athletic facility debt is aggregated with educational facility debt. Debt service is paid by, or from specific appropriations of, the State.

During the year, Personal Income Tax Revenue Bonds were issued in the amount of \$825.9 million for the purpose of financing capital construction

and major rehabilitation for educational facilities. Also, during the year PIT bonds were issued totaling \$249.6 million in order to refund \$303.9 million of the State University's existing educational facilities obligations. The result will produce an estimated savings of \$53.9 million in future cash flow, with an estimated present value gain of \$49.6 million.

### Residence Hall Facilities

The State University has entered into capital lease agreements for residence hall facilities. DASNY bonds for most of the residence hall facilities, which have a maximum 30-year life, are repaid from room rentals and other residence hall revenues. Upon repayment of the bonds, including interest thereon, and the satisfaction of all other obligations under the lease agreements, DASNY shall convey to the State University all rights, title, and interest in the assets financed by the capital lease agreements. Residence hall facilities revenue realized during the year from facilities from which there are bonds outstanding is pledged as a security for debt service and is assigned to DASNY to the extent required for debt service purposes. Any excess funds pledged to DASNY are available for residence hall capital and operating purposes.

**Table D** (in thousands)

<i>For the 2013 Fiscal Year</i>	July 1, 2012	Additions	Reductions	June 30, 2013	Current Portion
Long-term debt:					
Educational facilities	\$ 6,612,512	1,075,420	478,914	7,209,018	328,094
Residence hall facilities	1,364,250	234,720	52,655	1,546,315	49,515
Capital lease arrangements	194,896	37,224	50,114	182,006	51,142
Other long-term debt	186,194	8,491	149,971	44,714	7,202
Total long-term debt	<u>8,357,852</u>	<u>1,355,855</u>	<u>731,654</u>	<u>8,982,053</u>	<u>435,953</u>
Other long-term liabilities:					
Postemployment and post-retirement obligations and compensated absences	3,521,948	874,191	407,767	3,988,372	157,081
Loan from State	44,191	89	8,318	35,962	17,244
Litigation	502,480	-	22,497	479,983	37,187
Other long-term liabilities	523,956	226,255	28,655	721,556	28,979
Total other long-term liabilities	<u>4,592,575</u>	<u>1,100,535</u>	<u>467,237</u>	<u>5,225,873</u>	<u>240,491</u>
Total long-term liabilities	<u>\$ 12,950,427</u>	<u>2,456,390</u>	<u>1,198,891</u>	<u>14,207,926</u>	<u>676,444</u>

# Notes to Financial Statements

June 30, 2013 and 2012

## 7. Long-term Liabilities (continued)

**Table D, continued** (in thousands)

<i>For the 2012 Fiscal Year</i>	July 1, 2011	Additions	Reductions	June 30, 2012	Current Portion
Long-term debt:					
Educational facilities	\$ 6,261,160	1,635,888	1,284,536	6,612,512	316,199
Residence hall facilities	1,139,920	260,000	35,670	1,364,250	42,240
Capital lease arrangements	195,847	61,590	62,541	194,896	51,380
Other long-term debt	162,970	47,566	24,342	186,194	35,655
Total long-term debt	7,759,897	2,005,044	1,407,089	8,357,852	445,474
Other long-term liabilities:					
Postemployment and post-retirement obligations and compensated absences	2,987,355	936,852	402,259	3,521,948	158,362
Loan from State	52,457	52	8,318	44,191	17,244
Litigation	462,575	51,122	11,217	502,480	44,600
Other long-term liabilities	313,636	233,261	22,941	523,956	22,244
Total other long-term liabilities	3,816,023	1,221,287	444,735	4,592,575	242,450
Total long-term liabilities	\$ 11,575,920	3,226,331	1,851,824	12,950,427	687,924

During the year, the State University entered into agreements with DASNY to issue residence hall facility obligations totaling \$234.7 million for the purpose of financing capital construction and major rehabilitation for residence hall facilities.

In prior years, the State University defeased various obligations, whereby proceeds of new obligations were placed in an irrevocable trust to provide for all future debt service payments on the defeased obligations. Accordingly, the trust account assets and liabilities for the defeased obligations

are not included in the State University's financial statements. As of March 31, 2013, \$92.9 million of outstanding educational facilities obligations were considered defeased.

### Capital Lease Arrangements

The State University leases equipment under DASNY TELP, New York State Personal Income Tax Revenue Bonds, certificates of participation (COPs), vendor financing, or through statewide lease purchase agreements. The State University is

Requirements of the long-term debt obligations as of June 30, 2013 are as follows (in thousands):

Fiscal year(s)	Educational Facilities		Residential Facilities		Other		Total	
	Principal	Interest	Principal	Interest	Principal	Interest	Principal	Interest
2014	\$ 328,094	367,291	49,515	74,359	58,344	4,510	435,953	446,160
2015	299,554	344,672	54,000	72,155	47,971	3,132	401,525	419,959
2016	242,066	332,070	56,495	69,635	36,355	2,169	334,916	403,874
2017	210,874	320,230	57,995	67,088	22,700	1,652	291,569	388,970
2018	333,094	306,977	58,620	64,370	13,533	1,334	405,247	372,681
2019-23	1,400,542	1,352,412	310,285	277,006	35,228	3,294	1,746,055	1,632,712
2024-28	1,549,347	967,868	308,810	199,603	7,124	863	1,865,281	1,168,334
2029-33	1,258,892	598,779	284,895	125,434	5,465	1,663	1,549,252	725,876
2034-38	1,125,370	288,292	226,315	62,285	-	-	1,351,685	350,577
2039-43	461,185	48,831	139,385	14,459	-	-	600,570	63,290
Total	\$ 7,209,018	4,927,422	1,546,315	1,026,394	226,720	18,617	8,982,053	5,972,433
	Interest rates range from 0.5% to 7.5%		Interest rates range from 2.0% to 5.25%		Interest rates range from 0.3% to 5.8%			

# Notes to Financial Statements

*June 30, 2013 and 2012*

## 7. Long-term Liabilities (continued)

responsible for lease debt service payments sufficient to cover the interest and principal amounts due under these arrangements.

### **Loan From State**

In prior years, the State University experienced operating cash-flow deficits precipitated by cash-flow difficulties experienced by its hospitals. In connection with these cash-flow deficits, as authorized by State Finance Law, the State University borrowed funds with interest from the short-term investment pool of the State. The amount outstanding under this borrowing from the State at June 30, 2013 and 2012 was \$36 million and \$44 million, respectively. A total of \$8.3 million was paid on these loans for both fiscal years.

## 8. Retirement Plans

### **Retirement Benefits**

There are three major retirement plans for State University employees: the New York State and Local Employees' Retirement System (ERS), the New York State Teachers' Retirement System (TRS), and the Teachers Insurance and Annuity Association – College Retirement Equities Fund (TIAA-CREF). ERS is a cost-sharing, multiple-employer, defined benefit public plan administered by the State Comptroller. TRS is a cost-sharing, multiple-employer, defined benefit public plan separately administered by a nine-member board. TIAA-CREF is a multiple-employer, defined contribution plan administered by separate boards of trustees. Substantially all full-time employees participate in the plans.

Obligations of employers and employees to contribute, and related benefits, are governed by the New York State Retirement and Social Security Law (NYSRSSL) and Education Law. These plans offer a wide range of programs and benefits. ERS and TRS benefits are related to years of credited service and final average salary, vesting of retirement benefits, death and disability benefits, and optional methods of benefit payments. TIAA-CREF is a State University Optional Retirement Program (ORP) and offers benefits through annuity contracts.

ERS and TRS provide retirement benefits as well as death and disability benefits. Benefits generally vest after five years of credited service. For those joining after January 1, 2010, benefits generally vest after 10 years of credited service. The NYSRSSL provides that all participants in ERS and TRS are jointly and severally liable for any actuarial unfunded amounts. Such amounts are collected through annual billings to all participating employers. Employees who joined ERS and TRS after July 27, 1976 and before January 1, 2010, and have less than ten years of service or membership are required to contribute 3 percent of their salary. Those joining on or after January 1, 2010 and before April 1, 2012 are required to contribute 3.5 percent of their annual salary for their entire working career. Those joining on or after April 1, 2012 are required to contribute between 3 percent and 6 percent, dependent upon their salary, for their entire working career. Employee contributions are deducted from their salaries and remitted on current basis to ERS and TRS. Employer contributions are actuarially determined for ERS and TRS.

TIAA-CREF provides benefits through annuity contracts and provides retirement and death benefits to those employees who elected to participate in the ORP. Benefits are determined by the amount of individual accumulations and the retirement income option selected. All benefits generally vest after the completion of one year of service if the employee is retained thereafter. Employees who joined TIAA-CREF after July 27, 1976, and have less than ten years of service or membership are required to contribute 3 percent of their salary. Those joining on or after April 1, 2012 are required to contribute between 3 percent and 6 percent, dependent upon their salary, for their entire working career. Employer contributions range from 8 percent to 15 percent depending upon when the employee was hired. Employee contributions are deducted from their salaries and remitted on a current basis to TIAA-CREF.

The State University's total retirement-related payroll was \$3.20 billion and \$3.14 billion for the June 30, 2013 and 2012 fiscal years, respectively. The payroll for 2013 and 2012 for State University employees covered by TIAA-CREF was \$1.83 billion and \$1.81 billion, ERS was \$1.23 billion and \$1.19 billion, and TRS was \$135 million and \$133

## Notes to Financial Statements

June 30, 2013 and 2012

### 8. Retirement Plans (continued)

million, respectively. Employer and employee contributions under each of the plans were as follows for years 2013, 2012, and 2011, respectively (in millions):

	<u>2013</u>	<u>2012</u>	<u>2011</u>
Employer contributions:			
TIAA-CREF	\$ 206.4	202.3	207.8
ERS	116.1	93.4	66.8
TRS	12.0	10.7	8.4
Employee contributions:			
TIAA-CREF	\$ 19.0	21.2	21.4
ERS	18.1	17.4	16.2
TRS	1.4	1.3	1.3

The employer contributions are equal to 100 percent of the required contributions under each of the respective plans.

Each retirement system issues a publicly available financial report that includes financial statements and supplementary information. The reports may be obtained by writing to:

New York State and Local Employees'  
Retirement System  
110 State Street  
Albany, New York 12244

New York State Teachers' Retirement System  
10 Corporate Woods Drive  
Albany, New York 12211

Teachers Insurance and Annuity Association/  
College Retirement Equities Fund  
730 Third Avenue  
New York, New York 10017

As part of the CGH acquisition, the State University assumed the assets and liabilities of a single employer defined benefit plan (Plan) for certain CGH retirees and those employees that elected to stay in the Plan. For those who opted out of the Plan, benefit accruals were frozen. No new participants can enter this plan. The Plan issues stand-alone financial statements on a calendar year basis (i.e., December 31). The annual required contribution (ARC) was determined as part of the actuarial valuation using the projected unit credit actuarial cost method. The funding policy is to contribute enough to the Plan to satisfy the ARC and the employer contributions. For the calendar years ended December 31, 2013 and 2012 employer

contributions were \$1.2 million for both years. Employees do not contribute to the Plan. The actuarial accrued liabilities at December 31, 2013 and 2012 were \$84.8 million and \$81.7 million and Plan assets were \$70.2 million and \$71.0 million, respectively. At June 30, 2013 the State University has a net pension obligation for the plan of \$10.3 million.

The Research Foundation maintains a separate non-contributory plan through TIAA-CREF for substantially all nonstudent employees. Contributions are based on a percentage of earnings and range from 8 percent to 15 percent, depending on date of hire. Employees become fully vested after completing one year of service. Contributions are allocated to individual employee accounts. The payroll for Research Foundation employees covered by TIAA-CREF for its fiscal years ended June 30, 2013 and 2012 was \$355 million and \$372 million, respectively. The Research Foundation pension contributions for fiscal years 2013 and 2012 were \$30 million and \$32 million, respectively. These contributions are equal to 100 percent of the required contributions for each year.

### ***Postemployment and Post-retirement Benefits***

The State, on behalf of the State University, provides health insurance coverage for eligible retired State University employees and their spouses as part of the New York State Health Insurance Plan (NYSHIP). NYSHIP offers comprehensive benefits through various providers consisting of hospital, medical, mental health, substance abuse and prescription drug programs. The State administers NYSHIP and has the authority to establish and amend the benefit provisions offered. NYSHIP is considered an agent multiple-employer defined benefit plan, is not a separate entity or trust, and does not issue stand-alone financial statements. The State University, as a participant in the plan, recognizes these other postemployment benefit (OPEB) expenses on an accrual basis.

Employee and retiree contribution rates for NYSHIP are established by the State and are generally 12 percent, and range from 10 to 16 percent for enrollee coverage. The dependent coverage rate is 27 percent and ranges from 25 to 31 percent. NYSHIP premiums are being financed on a pay-as-you-go basis. During the fiscal year, the State, on behalf of the State University, paid

## Notes to Financial Statements

June 30, 2013 and 2012

### 8. Retirement Plans (continued)

health insurance premiums of \$243.4 million. The State University's OPEB obligation and funded status of the plan for the years ended June 30, 2013, 2012, and 2011 were as follows (in thousands):

	<u>2013</u>	<u>2012</u>	<u>2011</u>
Annual OPEB cost	\$ 715,910	783,713	814,059
Benefits paid	(243,446)	(236,745)	(220,690)
Increase in OPEB Obligation	472,464	546,968	593,369
Net obligation at beginning of year	<u>3,078,955</u>	<u>2,531,987</u>	<u>1,938,618</u>
Net obligation at end of year	<u>\$ 3,551,419</u>	<u>3,078,955</u>	<u>2,531,987</u>
Funded Status:			
Actuarial accrued liability (AAL)	13,932,707	12,200,313	12,200,313
Actuarial value of OPEB plan assets	-	-	-
Unfunded AAL (UAAL)	<u>\$ 13,932,707</u>	<u>12,200,313</u>	<u>12,200,313</u>
Actuarial valuation date	4/1/12	4/1/10	4/1/10
Funded ratio	-	-	-
Covered payroll	3,200,930	3,140,693	3,036,860
UAAL as a % of covered payroll	435%	388%	402%

The components of the State University's OPEB obligation include the total annual required contribution (ARC) of \$727.6 million (comprised of service costs of \$293.3 million, amortization of unfunded actuarial liability of \$412.3 million, and interest costs of \$22 million), ARC reduction of \$107.5 million, and interest costs of \$95.8 million.

The initial unfunded accrued actuarial liability is being amortized over an open period of thirty years using the level percentage of projected payroll amortization method.

The actuarial valuation utilizes a frozen entry age actuarial cost method. The actuarial assumptions include a 3.1 percent discount rate, payroll growth rate of 3.0 percent, and an annual healthcare cost trend rate for medical coverage of 9 percent initially, reduced by decrements to a rate of 4.75 percent after 7 years.

Projections of benefits are based on the plan and include the types of benefits provided at the time of each valuation. Actuarial valuations involve estimates of the value of reported amounts and assumptions about the probability of future events, and actual results are considered for future valuations. The actuarial methods and assumptions used are designed to reduce short-term volatility in reported amounts and reflect a long-term perspective.

The Research Foundation sponsors a separate single employer defined benefit post-retirement plan that covers substantially all nonstudent employees. The plan provides post-retirement medical benefits and is contributory for employees hired after 1985. In fiscal years 2011 and 2013, the Research Foundation amended the plan to increase the participant contribution rates for those hired after 1985 with the specific rates to be determined based on an employee's years of service.

Contributions by the Research Foundation are made pursuant to a funding policy established by its Board of Directors. Assets are held in a Voluntary Employee Benefit Association (VEBA) trust and are considered plan assets in determining the funded status or funding progress of the plan under GASB reporting and measurement standards. The plan issued stand-alone financial statements for the 2012 calendar year.

## Notes to Financial Statements

June 30, 2013 and 2012

### 8. Retirement Plans (continued)

The Research Foundation's OPEB obligation and funded status of the plan for the years ended June 30, 2013, 2012, and 2011, respectively, were as follows (in thousands):

	<u>2013</u>	<u>2012</u>	<u>2011</u>
Annual OPEB cost	\$ 15,805	(14,726)	18,727
Benefits paid	(9,493)	(9,638)	(7,276)
Contribution to plan	<u>(7,956)</u>	<u>(6,816)</u>	<u>(8,829)</u>
Change in OPEB Obligation	(1,644)	(31,180)	2,622
Net obligation at beginning of year	<u>182,480</u>	<u>213,660</u>	<u>211,038</u>
Net obligation at end of year	<u>\$ 180,836</u>	<u>182,480</u>	<u>213,660</u>
Funded Status:			
Actuarial accrued liability (AAL)	302,530	298,166	278,695
Actuarial value of OPEB plan assets	<u>124,829</u>	<u>106,602</u>	<u>101,424</u>
Unfunded AAL (UAAL)	<u>\$ 177,701</u>	<u>191,564</u>	<u>177,271</u>
Actuarial valuation date	6/30/13	6/30/12	6/30/11
Funded ratio	41%	36%	36%
Covered payroll	234,009	245,039	241,069
UAAL as a % of covered payroll	76%	78%	74%

The components of the Research Foundation OPEB obligation at June 30, 2013 include the total annual required contribution (ARC) of \$198.3 million (comprised of service costs of \$11.3 million and amortization of unfunded actuarial accrued liability of \$187 million), ARC reduction of \$195.3 million, and interest costs of \$12.8 million. The unfunded actuarial accrued liability is amortized over one year. The cost of the benefits provided under this plan is recognized on an actuarially determined basis using the projected unit cost

method. Under this method, actuarial assumptions are made based on employee demographics and medical trend rates to calculate the accrued benefit cost. The actuarial assumptions include a 7 percent discount rate, and an initial healthcare cost trend rate range of 7.5 percent to 9.0 percent grading down to 5 percent in 2021 and later. A blended discount rate was utilized using the expected investment return on investments of the plan and investments held in the operational pool expected to be used to fund future OPEB obligations.

### 9. Commitments

The State University has entered into contracts for the construction and improvement of various projects. At June 30, 2013, these outstanding contract commitments totaled approximately \$1.3 billion.

The State University is also committed under numerous operating leases covering real property and equipment. The Research Foundation also contracts with various entities to lease space as part of its mission to support the State University research and university-industry-government partnerships. Rental expenditures reported for the years ended June 30, 2013 and 2012 under such operating leases were \$77.4 million and \$59.4 million, respectively. The following is a summary of the future minimum rental commitments under non-cancelable real property and equipment leases with terms exceeding one year (in thousands):

Year ending June 30:

2014	\$ 87,848
2015	83,013
2016	76,071
2017	68,462
2018	62,084
2019-23	193,213
2024-28	45,920
2029-98	<u>51,884</u>
Total	<u>\$ 668,495</u>

# Notes to Financial Statements

*June 30, 2013 and 2012*

## 10. Contingencies

The State is contingently liable in connection with claims and other legal actions involving the State University, including those currently in litigation, arising in the normal course of State University activities. The State University does not carry malpractice insurance and, instead, administers these types of cases in the same manner as all other claims against the State involving State University activities in that any settlements of judgments and claims are paid by the State from an account established for this purpose. With respect to pending and threatened litigation, the medical malpractice liability includes incurred but not reported (IBNR) loss estimates. The estimate of IBNR losses is actuarially determined based on historical experience using a discounted present value of estimated future cash payments. The State University has recorded a liability and a corresponding appropriation receivable of approximately \$480 million and \$502 million at June 30, 2013 and 2012, respectively (almost entirely related to hospitals and clinics).

The State University is exposed to various risks of loss related to damage and destruction of assets, injuries to employees, damage to the environment or noncompliance with environmental requirements, and natural and other unforeseen disasters. The State University has insurance coverage for its residence hall facilities. However, in general, the State University does not insure its educational buildings, contents or related risks and does not insure its vehicles and equipment for claims and assessments arising from bodily injury, property damages, and other perils. Unfavorable judgments, claims, or losses incurred by the State University are covered by the State on a self-insured basis. The State does have fidelity insurance on State employees.

## 11. Related Parties

The State University's single largest source of revenue is State appropriations. State appropriations take the form of direct assistance, debt service on educational facility and PIT bonds, fringe benefits for State University employees, and litigation expenses for which the State is responsible. State appropriations totaled \$2.83 billion and \$2.93 billion and represented approximately 29 percent and 31 percent of total revenues for the 2013 and 2012 fiscal years, respectively. The State University's continued operational viability is substantially dependent upon a consistent and proportionate level of ongoing State support.

## 12. Federal Grants and Contracts and Third-Party Reimbursement

Substantially all federal grants and contracts are subject to financial and compliance audits by the grantor agencies of the federal government. Disallowances, if any, as a result of these audits may become liabilities of the State University. State University management believes that no material disallowances will result from audits by the grantor agencies.

The State University hospitals have agreements with third-party payors, which provide for reimbursement to the hospitals at amounts different from the hospitals' established charges. Contractual service allowances and discounts (reflected through State University hospitals and clinics sales and services) represent the difference between the hospitals' established rates and amounts reimbursed by third-party payors. The State University has made provision in the accompanying financial statements for estimated retroactive adjustments relating to third-party payor cost reimbursement items.

# Notes to Financial Statements

June 30, 2013 and 2012

### 13. Condensed financial statement information of the Research Foundation

The condensed financial statement information of the Research Foundation, contained in the combined totals of the State University reporting entity in accordance with GASB accounting and reporting requirements, is shown below (in thousands):

#### Condensed Balance Sheet

	2013	2012
<u>Assets</u>		
Current assets	\$ 376,552	447,954
Capital assets	147,521	76,227
Receivable from SUNY	9,518	10,000
Other assets	59,899	42,722
Total assets	<u>593,490</u>	<u>576,903</u>
<u>Liabilities</u>		
Total current liabilities	300,892	350,863
Total noncurrent liabilities	261,680	216,274
Total liabilities	<u>562,572</u>	<u>567,137</u>
<u>Net position</u>		
Invested in capital assets, net	120,419	42,097
Unrestricted	(89,501)	(32,331)
Total net position	<u>30,918</u>	<u>9,766</u>
Total liabilities and net position	\$ <u>593,490</u>	<u>576,903</u>

#### Condensed Statement of Revenues, Expenses, and Changes in Net Position

	2013	2012
<u>Operating revenues</u>		
Federal grants and contracts	\$ 532,581	548,261
State grants and contracts	180,436	145,904
Private grants and contracts	289,646	179,393
Other operating revenues	65,350	59,423
Total operating revenues	<u>1,068,013</u>	<u>932,981</u>
<u>Operating expenses</u>		
Instruction	72,024	67,226
Research	601,933	501,685
Public service	126,780	144,202
Institutional support	187,191	136,792
Other operating expenses	50,992	54,688
Depreciation and amortization expense	27,741	15,562
Total operating expenses	<u>1,066,661</u>	<u>920,155</u>
Operating Income	<u>1,352</u>	<u>12,826</u>
Net nonoperating revenues	19,800	34,076
Increase in net position	<u>21,152</u>	<u>46,902</u>
Net position at the beginning of the year	<u>9,766</u>	<u>(37,136)</u>
Net position at the end of the year	\$ <u>30,918</u>	<u>9,766</u>

#### Condensed Statement of Cash Flows

	2013	2012
Cash flows from operating activities	\$ (13,698)	(33,006)
Cash flows from noncapital financing activities	(3,079)	(1,024)
Cash flows from capital and related financing activities	(47,697)	2,110
Cash flows from investing activities	64,450	31,759
Net change in cash	(24)	(161)
Cash - beginning of year	916	1,077
Cash - end of year	\$ <u>892</u>	<u>916</u>

### 14. Restatement of beginning of the year net position

The provisions of GASB Statements No. 61 and No. 65 have been applied to the beginning of the 2012 fiscal year net position. The following is a reconciliation of the total net position as previously reported at July 1, 2011 to the total restated net position (in thousands):

Total net position as previously reported at July 1, 2011	\$ 235,823
Change due to adoption of GASB 61	(152,906)
Change due to adoption of GASB 65	(92,072)
Total net position at July 1, 2011 (restated)	\$ <u>(9,155)</u>

As the result of adopting GASB Statement No. 61, auxiliary service corporations, which were previously blended in the consolidated financial reporting entity of the State University, are now reported in the totals of the discretely presented component units. In addition, with the adoption of GASB Statement No. 65, deferred financing costs that were previously classified as assets are now expensed. The resulting effect of adopting these pronouncements was a reduction in net position of \$245 million.

# Notes to Financial Statements

*June 30, 2013 and 2012*

## 15. Subsequent Events

In July 2013, Personal Income Tax Revenue Bonds were issued totaling \$231 million for the purpose of financing capital construction and major rehabilitation for educational facilities.

In August 2013, the State University entered into agreements with DASNY to issue obligations totaling \$440 million for the purpose of financing capital construction and major rehabilitation for residence hall facilities and to refinance the State University's existing residence hall obligations. This financing was issued under a self-supporting program to finance SUNY Dormitory facilities under a new DASNY Dormitory Facilities Revenue Bond resolution in accordance with enacted legislation. Under this bond program, bonds are not considered state-supported debt and do not carry a State University general obligation pledge.

## 16. Component Units

Due to the adoption of GASB Statement No. 61, auxiliary services corporations, which were previously blended in the consolidated financial reporting entity of the State University, are now reported in the totals of the discretely presented component units. These corporations are campus-based, legally separate, nonprofit organizations which, as independent contractors, operate, manage, and promote educationally related services for the benefit of the campus community. Discretely presented component unit information also includes the campus-related foundations. These foundations are nonprofit organizations responsible for the fiscal administration of revenues and support received for the promotion, development and advancement of the welfare of campuses, the State University and its students, faculty, staff and alumni. The foundations receive the majority of their support and revenues through contributions, gifts and grants and provide benefits to their campus, students, faculty, staff and alumni. In addition, the reported amounts include student housing corporations, nonprofit organizations that operate and administer certain housing and related services for students.

All these organizations are exempt from federal income taxes on related income pursuant to Section 501(a) of the Internal Revenue Code. All of the financial data for these organizations was derived from each entity's individual audited financial statements, reported in accordance with generally accepted accounting principles promulgated by FASB, the majority of which have a May 31 or June 30 fiscal year end. The financial statements of the discretely presented component units were not audited in accordance with Government Auditing Standards.

Separately issued financial statements of the component unit entities may be obtained by writing to:

The State University of New York  
Office of the University Controller  
State University Plaza, N-514  
Albany, New York 12246

## *Net Asset Classifications*

Unrestricted net assets represent resources whose uses are not restricted by donor-imposed stipulations and are generally available for the support of the State University campus and affiliated entity programs and activities. Temporarily restricted net assets represent resources whose use is limited by donor-imposed stipulations that either expire by the passage of time or are removed by specific actions. Permanently restricted net assets represent resources that donors have stipulated must be maintained permanently. The income derived from the permanently restricted net assets is permitted to be spent in part or in whole, restricted only by the donors' wishes.

## *Investments*

All investments with readily determinable fair values have been reported in the financial statements at fair value. Realized and unrealized gains and losses are recognized in the statement of activities. Gains or losses on investments are recognized as increases or decreases in unrestricted net assets unless their use is temporarily or permanently restricted by explicit donor stipulations or by law. Investments of the State University discretely presented component units were \$1.68 billion and \$1.55 billion as of June 30, 2013 and 2012, respectively.

# Notes to Financial Statements

June 30, 2013 and 2012

## Investments (continued)

The composition of investments is as follows (in thousands):

	<u>2013</u>	<u>2012</u>
Equities - domestic	\$ 548,842	477,284
Equities - international	254,680	229,147
Non-equities	395,118	418,260
Hedge funds	172,207	155,101
Multi-strategy funds	111,345	99,758
Equity partnerships	97,043	98,293
Real assets	72,078	56,855
Other investments	26,260	14,785
Total investments	<u>\$ 1,677,573</u>	<u>1,549,483</u>

## Capital Assets

Capital assets are stated at cost, if purchased, or fair value at date of receipt, if acquired by gift. Land improvements, buildings, and equipment are depreciated over their estimated useful lives using the straight-line method. Capital assets, net of accumulated depreciation, totaled \$628.6 million and \$605.8 million at fiscal year-end 2013 and 2012, respectively. Capital asset classifications are summarized as follows (in thousands):

	<u>2013</u>	<u>2012</u>
Land and land improvements	\$ 40,402	40,939
Buildings	681,640	639,966
Equipment	108,488	101,599
Artwork and library books	25,678	23,502
Construction in progress	23,423	34,997
Total capital assets	<u>879,631</u>	<u>841,003</u>
Less accumulated depreciation	251,027	235,172
Capital assets, net	<u>\$ 628,604</u>	<u>605,831</u>

## Long-term Debt

The component units have entered into various financing arrangements, principally through the issuance of Industrial Development Agency, Local Development Corporation, and Housing Authority bonds, for the construction of student residence hall facilities. The following is a summary of the future minimum annual debt service requirements for the next five years and thereafter (in thousands):

Year ending June 30:

2014	\$ 17,078
2015	14,772
2016	14,942
2017	15,222
2018	14,847
Thereafter	<u>401,562</u>
	<u>\$ 478,423</u>

## Restatement of beginning of the year net assets

The adoption of GASB No. 61 required a restatement of the discretely presented component unit financial statements as of July 1, 2011, as certain component units previously included in the State University reporting entity meet the criteria for discrete presentation. The following is a reconciliation of the total net assets as previously reported at July 1, 2011 to the total restated net assets (in thousands):

Total net assets as previously reported at July 1, 2011	\$ 1,590,737
Change due to adoption of GASB 61	<u>152,906</u>
Total net assets at July 1, 2011 (restated)	<u>\$ 1,743,643</u>

## Notes to Financial Statements

June 30, 2013 and 2012

## 16. Component Units (continued)

*Condensed financial statement information*

The table below displays the combined totals of the foundations (including student housing corporations) and auxiliary services corporations (ASCs) (in thousands):

Combined Balance Sheets

	2013			2012		
	<u>Foundations</u>	<u>ASCs</u>	<u>Total</u>	<u>Foundations</u>	<u>ASCs</u>	<u>Total</u>
Assets:						
Investments	\$ 1,618,680	58,893	1,677,573	1,494,452	55,031	1,549,483
Capital assets, net	531,294	97,310	628,604	528,042	77,789	605,831
Other assets	<u>451,121</u>	<u>143,542</u>	<u>594,663</u>	<u>459,996</u>	<u>147,683</u>	<u>607,679</u>
Total assets	<u>2,601,095</u>	<u>299,745</u>	<u>2,900,840</u>	<u>2,482,490</u>	<u>280,503</u>	<u>2,762,993</u>
Liabilities:						
Current liabilities	177,775	91,654	269,429	205,081	94,307	299,388
Long-term debt/notes	<u>444,843</u>	<u>33,580</u>	<u>478,423</u>	<u>489,516</u>	<u>26,888</u>	<u>516,404</u>
Total liabilities	<u>622,618</u>	<u>125,234</u>	<u>747,852</u>	<u>694,597</u>	<u>121,195</u>	<u>815,792</u>
Net Assets:						
Unrestricted	443,378	174,035	617,413	411,137	158,843	569,980
Temporarily restricted	885,960	233	886,193	787,547	222	787,769
Permanently restricted	<u>649,139</u>	<u>243</u>	<u>649,382</u>	<u>589,209</u>	<u>243</u>	<u>589,452</u>
Total net assets	<u>1,978,477</u>	<u>174,511</u>	<u>2,152,988</u>	<u>1,787,893</u>	<u>159,308</u>	<u>1,947,201</u>
Total Liabilities and Net Assets	\$ <u>2,601,095</u>	<u>299,745</u>	<u>2,900,840</u>	<u>2,482,490</u>	<u>280,503</u>	<u>2,762,993</u>

Combined Statement of Activities

Revenues:						
Contributions, gifts and grants	\$ 187,451	-	187,451	308,720	-	308,720
Food and auxiliary services	-	334,137	334,137	-	325,804	325,804
Sales and services	184,349	-	184,349	41,543	-	41,543
Other revenue	<u>306,076</u>	<u>7,610</u>	<u>313,686</u>	<u>169,807</u>	<u>2,603</u>	<u>172,410</u>
Total revenues	<u>677,876</u>	<u>341,747</u>	<u>1,019,623</u>	<u>520,070</u>	<u>328,407</u>	<u>848,477</u>
Expenses:						
Food and auxiliary services	-	272,841	272,841	-	265,679	265,679
Program expenses	104,070	10,020	114,090	115,792	10,690	126,482
Health care services	170,008	-	170,008	28,353	-	28,353
Other expenses	<u>213,214</u>	<u>43,683</u>	<u>256,897</u>	<u>178,769</u>	<u>45,636</u>	<u>224,405</u>
Total expenses	<u>487,292</u>	<u>326,544</u>	<u>813,836</u>	<u>322,914</u>	<u>322,005</u>	<u>644,919</u>
Total change in net assets	190,584	15,203	205,787	197,156	6,402	203,558
Net assets at the beginning of year	<u>1,787,893</u>	<u>159,308</u>	<u>1,947,201</u>	<u>1,590,737</u>	<u>152,906</u>	<u>1,743,643</u>
Net assets at the end of year	\$ <u>1,978,477</u>	<u>174,511</u>	<u>2,152,988</u>	<u>1,787,893</u>	<u>159,308</u>	<u>1,947,201</u>



## **ANNUAL FINANCIAL REPORT 2013**

The State University of New York  
State University Plaza  
Albany, NY 12246  
[www.suny.edu](http://www.suny.edu)

# Appendix 4.3

THE STATE UNIVERSITY OF NEW YORK  
ANNUAL FINANCIAL REPORT 2014



The State University  
of New York

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## Chancellor

Nancy L. Zimpher

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External Affairs*

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Vice Provost for Enrollment  
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*President, Student Assembly*

Joel Pierre-Louis  
*Secretary of the University*

## A Message from the Chancellor

I am pleased to present the Annual Financial Report of The State University of New York, providing an overview of the State University's finances and operating results for the year ending June 30, 2014. With over \$10 billion in revenues, the State University is a major economic driver in the State of New York.

This year, the State University is doubling down on its commitment to expand college access, completion, and success for all New York State students, knowing that an educated and trained citizenry is essential to building a vibrant twenty-first-century economy. To that end, we have begun taking stock of the progress that the State University has made toward the goals set out five years ago in our strategic plan, *The Power of SUNY*, to enhance educational excellence and affordability, and to serve as an economic engine in every region of New York State.

Now at the end of our initial five years of following *The Power of SUNY* plan, we are engaging in a series of discussions about the priorities that will guide the State University over the next five years, bringing us to 2020. After broad consultation within the University community—including presidents, chief academic officers, faculty, students—in a series of what we called “Power of SUNY Refresh” meetings across the state, five areas of focus have been identified that will comprise *The Power of SUNY 2020*.

In reaching this point, more than two hundred possible measures have been identified that we could focus on and track. However, we knew that to make the most meaningful impact, the State University would need to create sharper, more specific targets. Our five areas of focus then are Access, Completion, Success, Research, and Engagement.

**Access.** As laid out in the State University's statutory mission, access is at the core of the State University's identity. To that end, we are fine-tuning our efforts to increase and measure enrollment, system and campus capacity, diversity, and affordability.

The preliminary enrollment headcount for fall 2014 is 454,152, which represents a decline of 1.2 percent from last fall. Preliminary enrollment at the state-operated campuses is 220,931, up .5 percent over last fall, while preliminary enrollment at the community colleges is 233,221, down 2.7 percent. With the continued development of our successful Open SUNY initiative, it is expected that within the next three years the State University will add approximately 100,000 students who will enroll in our vastly expanding array of online programs and courses.

**Completion.** The State University is striving to enable all those we serve to achieve their goals. We will continue to improve all efforts toward improving on-time degree completion and non-degree completion and services, and ensuring seamless transfer.

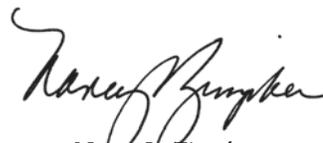
**Success.** The State University will double down in the next five years on continuing to create a robust system and campus support for student success through which its students will be prepared for the most successful possible launch into further education, career, and citizenship. This includes expanding and tracking the success of applied learning opportunities and multi-cultural experiences, tracking and measuring State University graduate employment and earnings, and creating groundbreaking financial literacy programming.

**Research.** The State University's statutory mission stipulates that the institution “*encourages and facilitates basic and applied research for the purpose of the creation and dissemination of knowledge vital for continued human, scientific, technological and economic advancement.*” To better fulfill that mission, the State University is developing new ways to enhance and measure research productivity, external investment, and philanthropic support, and training the State University system, campus, and faculty thought leaders in critical areas of advancement.

In the 2013-14 fiscal year, State University research continues to be strong, with key numbers up over last year. In the 2013-14 fiscal year, The Research Foundation for The State University of New York received 293 invention disclosures, filed 244 patent applications, was awarded 70 U.S. patents, executed 47 licenses, and received \$13.2 million in royalties. These achievements were the products of more than 6,927 projects that supported 15,795 employees statewide.

**Engagement.** The State University is stepping up its commitment to engagement—our economic, societal, and cultural impact on New York State, and beyond. Through workforce development, community service, cultural contributions, and START-UP NY, we are engaging and will continue to share the expertise of the State University with the business, agricultural, governmental, labor and nonprofit sectors of the state for the purpose of enhancing the well-being of New Yorkers and the health of local economies and quality of life.

With ongoing financial investment in these areas, the State University continues to be an outstanding investment for students and a critical resource for New York State. We take our responsibility as stewards of public dollars seriously and will continue to strive to be as efficient and creative as possible in managing our resources.



Nancy L. Zimpher  
Chancellor

# Independent Auditors' Report



KPMG LLP  
515 Broadway  
Albany, NY 12207-2974

The Board of Trustees  
State University of New York:

## Report on the Financial Statements

We have audited the accompanying financial statements of the business type activities of the State University of New York (the University), as of and for the years ended June 30, 2014 and 2013, and the financial statements of the aggregate discretely presented component units of the University as of and for the year ended June 30, 2014, and the related notes to the financial statements, which collectively comprise the University's basic 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 U.S. generally accepted accounting principles; 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.

### *Auditors' Responsibility*

Our responsibility is to express opinions on these financial statements based on our audit. We did not audit certain discretely presented component units, which represents 63% of the total assets and 77% of the total revenues of the aggregate discretely presented component units. The financial statements of those entities were audited by other auditors whose reports have been furnished to us, and our opinions, insofar as they relate to the amounts included for those certain discretely presented component units are based solely on the reports 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. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement. The financial statements of certain discretely presented component units identified in note 15 to the financial statements were not audited in accordance with *Government Auditing Standards*.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' 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 entity'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 entity'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 opinions.

### *Opinions*

In our opinion, based on our audit and the reports of the other auditors, the financial statements referred to above present fairly, in all material respects, the financial position of the business type activities of the State University of New York, as of June 30, 2014 and 2013, and the changes in financial position and cash flows thereof for the years then ended and the financial position of the aggregate discretely presented component units of the State University of New York, as of June 30, 2014, and the changes in their net assets for the year then ended in accordance with U.S. generally accepted accounting principles.

**Emphasis of Matters***Financial Presentation of the University*

As discussed in note 1, the financial statements of the University, are intended to present the financial position, the changes in financial position, the changes in net assets, and, where applicable, cash flows of only that portion of the State of New York that is attributable to the transactions of the University and its aggregate discretely presented component units. They do not purport to, and do not, present fairly the financial position of the State of New York as of June 30, 2014 or 2013, the changes in its financial position and, where applicable, its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. Our opinions are not modified with respect to this matter.

**Report on Summarized Comparative Information**

We have previously audited the University's 2013 financial statements and, based on our audit and the reports of the other auditors, we expressed unmodified audit opinions on those audited financial statements in our report dated December 2, 2013. In our opinion, based on our audit and the reports of the other auditors, the summarized comparative information related to the aggregate discretely presented component units and presented herein as of and for the year ended June 30, 2013 is consistent, in all material respects, with the audited financial statements from which it has been derived.

**Other Matters***Required Supplementary Information*

U.S. generally accepted accounting principles require that the management's discussion and analysis on pages 5 to 13 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the management's discussion and analysis in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

*Other Information*

The transmittal letter on page 1 is not a required part of the basic financial statements and has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

**Other Reporting Required by Government Auditing Standards**

In accordance with *Government Auditing Standards*, we have also issued our report dated November 5, 2014 on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control over financial reporting and compliance.

November 5, 2014  
Albany, New York

KPMG LLP

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## Management's Discussion and Analysis

Management's discussion and analysis (MD&A) provides a broad overview of the State University of New York's (State University) financial condition as of June 30, 2014 and 2013, the results of its operations for the years then ended, and significant changes from the previous years. Management has prepared the financial statements and related footnote disclosures along with this MD&A. The MD&A should be read in conjunction with the audited financial statements and related footnotes of the State University, which directly follow the MD&A.

For financial reporting purposes, the State University's reporting entity consists of all sectors of the State University including the university centers, health science centers (including hospitals), colleges of arts and sciences, colleges of technology and agriculture, specialized colleges, statutory colleges (located at the campuses of Cornell and Alfred Universities), and central services, but excluding community colleges. The financial statements also include the financial activity of The Research Foundation for the State University of New York (Research Foundation), which administers the sponsored program activity of the State University; the State University Construction Fund (Construction Fund), which administers the capital program of the State University; and the auxiliary services corporations, foundations, and student housing corporations located on its campuses.

The auxiliary services corporations, foundations, and student housing corporations meet the criteria for component units under the Governmental Accounting Standards Board (GASB) accounting and financial reporting requirements for inclusion in the State University's financial statements. For financial statement presentation purposes, these component units are not included in the reported amounts of the State University, but the combined totals of these component units are discretely presented on pages 18 and 19 of the State University's financial statements, in accordance with display requirements prescribed by the Financial Accounting Standards Board (FASB) for not-for-profit organizations.

The focus of the MD&A is on the State University financial information contained in the balance sheets, the statements of revenues, expenses, and changes in net position, and the statements of cash flows, which exclude the auxiliary services corporations, foundations, and student housing corporations.

### Overview of the Financial Statements

The financial statements of the State University have been prepared in accordance with U.S. generally accepted accounting principles as prescribed by the GASB.

The financial statement presentation consists of comparative balance sheets, statements of revenues, expenses, and changes in net position, statements of cash flows, and accompanying notes for the June 30, 2014 and 2013 fiscal years. These statements provide information on the financial position of the State University and the financial activity and results of its operations during the years presented. A description of these statements follows:

The *Balance Sheets* present information on all of the State University's assets and deferred outflows of resources, liabilities, and net position. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of the State University is improving or deteriorating.

The *Statements of Revenues, Expenses, and Changes in Net Position* present information showing the change in the State University's net position during each fiscal year. All changes in net position are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of related cash flows. Thus, revenues and expenses reported in these statements include items that will result in cash received or disbursed in future fiscal periods.

The *Statements of Cash Flows* provide information on the major sources and uses of cash during the year. The cash flow statements portray net cash provided or used from operating, investing, capital, and noncapital financing activities.

## Management's Discussion and Analysis

### Financial Highlights

The State University's net position of (\$1.03) billion is comprised of \$15.97 billion in total assets and deferred outflows of resources, less \$17.01 billion in total liabilities. The net position decreased \$232 million in 2014 driven by an increase in accrued postemployment benefit expenses of \$467 million. The State University's total revenues increased \$451 million and total expenses increased \$278 million in 2014 compared to 2013. The growth in revenues is primarily due to increases in net tuition and fees revenue of \$107 million and direct and indirect State appropriation revenue of \$252 million compared to the previous year. Expense growth was driven by an overall increase in operating expenses of \$249 million, or 2.6% compared to the prior year.

### Balance Sheets

The balance sheets present the financial position of the State University at the end of its fiscal years. The State University's net position was (\$1.03) billion and (\$803) million at June 30, 2014 and 2013, respectively, and experienced a decrease of \$232 million in 2014 and \$405 million in 2013. The State University's total assets and deferred outflows of resources increased \$939 million and \$667 million in 2014 and 2013, respectively. Total liabilities during 2014 and 2013 increased \$1.17 billion and \$1.07 billion, respectively. The following table reflects the financial position at June 30, 2014, 2013, and 2012 (in thousands):

	<u>2014</u>	<u>2013</u>	<u>2012</u>
Current assets	\$ 2,966,993	2,996,602	3,350,346
Capital assets, net	10,701,489	10,041,478	8,984,590
Other noncurrent assets	2,279,889	1,970,962	2,020,781
Deferred outflows of resources	23,707	23,552	9,959
Total assets and deferred outflows of resources	<u>15,972,078</u>	<u>15,032,594</u>	<u>14,365,676</u>
Current liabilities	2,076,995	2,077,079	2,330,059
Noncurrent liabilities	<u>14,929,843</u>	<u>13,758,698</u>	<u>12,434,258</u>
Total liabilities	<u>17,006,838</u>	<u>15,835,777</u>	<u>14,764,317</u>
Net investment in capital assets	1,090,418	940,031	984,370
Restricted - nonexpendable	357,733	331,906	308,608
Restricted - expendable	347,716	276,950	230,646
Unrestricted	<u>(2,830,627)</u>	<u>(2,352,070)</u>	<u>(1,922,265)</u>
Total net position	<u>\$ (1,034,760)</u>	<u>(803,183)</u>	<u>(398,641)</u>

### Current Assets

Current assets at June 30, 2014 decreased \$30 million compared to the previous year. In general, current assets are those assets that are available to satisfy current liabilities (i.e., those that will be paid within one year).

Current assets at June 30, 2014 and 2013 consist primarily of cash and cash equivalents of \$1.33 billion and \$1.35 billion and receivables of \$1.11 billion and \$1.13 billion, respectively. The decrease in current assets during 2014 is primarily due to a decrease of \$52 million in appropriations receivable.

### Current Liabilities

Current liabilities remained flat compared to the previous year. Current liabilities at June 30, 2014 and 2013 consist principally of accounts payable and accrued expenses of \$978 million and \$963 million and the current portion of long-term liabilities of \$665 million and \$679 million, respectively.

### Capital Assets, net

The State University's capital assets are substantially comprised of State-operated campus educational, residence, and hospital facilities. Personal Income Tax (PIT) revenue bonds support the majority of the funding for construction and critical maintenance projects on State University educational and hospital facilities. Prior to 2014, the State University entered into capital lease financing arrangements for residence hall facilities. During 2014, the State University established a new credit for funding for construction and critical maintenance projects for residence hall facilities as discussed further on page 9.

During the 2014 and 2013 fiscal years, capital assets (net of depreciation) increased \$660 million and \$1.06 billion, respectively. The majority of the increase occurred at the State University campuses due to the completion of new building construction, renovations, and rehabilitation totaling \$1.45 billion and \$910 million for the 2014 and 2013 fiscal years, respectively. Equipment additions during 2014 and 2013 of \$171 million and \$180 million, respectively, also contributed to the increase.

## Management's Discussion and Analysis

Significant projects completed and capitalized during the 2014 fiscal year included construction of a 900 bed facility amongst 8 new residence halls and a Collegiate Center at Binghamton University, a 220 bed residence hall at the College at Cortland, the expansion of the Institute for Human Performance building at Upstate Medical University, a Performing Arts Center at the College at Potsdam, a technology building at Buffalo State College, an academic building at the College at Oswego and a business school building at the University at Albany. Other significant projects included improvements to an academic building at Stony Brook University, renovations of the Basic Sciences Building at Downstate Medical Center, an expansion of Hudson Hall at the College at Plattsburgh and renovations to the Student Leadership Center at Alfred State College.

A summary of capital assets, by major classification, and related accumulated depreciation for the 2014, 2013, and 2012 fiscal years is as follows (in thousands):

	<b>2014</b>	<b>2013</b>	<b>2012</b>
Land	\$ 614,573	547,995	503,136
Infrastructure and land improvements	974,799	872,259	825,008
Buildings	10,521,128	9,155,561	8,303,401
Equipment, library books and other	3,008,558	2,898,865	2,750,286
Construction in progress	2,161,475	2,787,928	2,464,534
Total capital assets	<u>17,280,533</u>	<u>16,262,608</u>	<u>14,846,365</u>
Less accumulated depreciation:			
Infrastructure and land improvements	454,801	430,698	405,629
Buildings	3,804,024	3,594,964	3,398,048
Equipment, library books and other	<u>2,320,219</u>	<u>2,195,468</u>	<u>2,058,098</u>
Total accumulated depreciation	<u>6,579,044</u>	<u>6,221,130</u>	<u>5,861,775</u>
Capital assets, net	<u>\$ 10,701,489</u>	<u>10,041,478</u>	<u>8,984,590</u>

### Other Noncurrent Assets

Other noncurrent assets increased \$309 million compared to the previous year. Noncurrent assets at June 30, 2014 and 2013 include long-term investments of \$864 million and \$769 million, noncurrent portion of receivables of \$635 million and \$557 million, deposits with trustees of \$400

million and \$413 million, and restricted cash of \$156 million and \$67 million, respectively. The increase in noncurrent assets during 2014 is primarily due to an increase in long-term investments of \$94 million due to investment gains, an increase of \$88 million in restricted cash mainly due to an increase in residence hall cash reserves, and an increase of \$65 million in appropriation receivable related to litigation.

### Noncurrent Liabilities

Noncurrent liabilities at June 30, 2014 and 2013 of \$14.93 billion and \$13.76 billion, respectively, are largely comprised of debt on State University facilities, other long-term liabilities accrued for postemployment and post-retirement benefits, and litigation reserves. The State University capital funding levels and bonding authority are subject to operating and capital appropriations of the State. Funding for capital construction and rehabilitation of educational and residence hall facilities of the State University is provided principally through the issuance of bonds by the Dormitory Authority of New York State (DASNY). The debt service for the educational facilities is paid by, or provided through a direct appropriation from, the State. The debt service on residence hall bonds is funded primarily from room rents. A summary of noncurrent, long-term liabilities at June 30, 2014, 2013, and 2012 is as follows (in thousands):

	<b>2014</b>	<b>2013</b>	<b>2012</b>
Educational facilities	\$ 7,232,933	6,880,924	6,296,313
Unamortized bond premium - educational facilities	474,681	438,897	292,676
Residence hall facilities	1,164,255	1,496,800	1,322,010
Unamortized bond premium - residence hall facilities	72,999	75,970	42,742
Postemployment and post-retirement	4,170,783	3,732,255	3,261,435
Litigation	507,551	442,796	457,880
Collateralized borrowings	467,424	-	-
Other obligations	<u>486,515</u>	<u>463,840</u>	<u>589,447</u>
Long-term liabilities	<u>\$ 14,577,141</u>	<u>13,531,482</u>	<u>12,262,503</u>

## Management's Discussion and Analysis

During the year, Personal Income Tax (PIT) Revenue Bonds were issued in the amount of \$231 million and Sales Tax Revenue Bonds were issued totaling \$465 million for the purpose of financing capital construction and major rehabilitation for educational facilities. Also, during the year PIT bonds were issued totaling \$164 million in order to refund \$173 million of the State University's existing educational facilities obligations.

During fiscal year 2014, Moody's upgraded the credit ratings for PIT bonds (from Aa2 to Aa1) and educational bonds (from Aa3 to Aa2) compared to the previous year. Fitch also upgraded the credit ratings for PIT bonds (from AA to AA+) and educational bonds (from AA- to AA) and Standard & Poor's (S&P) upgraded the credit ratings for educational bonds (from AA- to AA). The State University's credit ratings for residence hall bonds were unchanged in 2014. The State University's credit ratings for PIT, educational and residence hall bonds were unchanged in 2013. The credit ratings at June 30, 2014 are as follows:

	<u>PIT Bonds</u>	<u>Educational Facilities</u>	<u>Residence Halls</u>
Moody's			
Investors Service	Aa1	Aa2	Aa2
Standard & Poor's	AAA	AA	AA-
Fitch	AA+	AA	AA-

During fiscal years 2014 and 2013, the long-term portion of postemployment and post-retirement benefit obligations increased \$439 million and \$471 million, respectively. The State, on behalf of the State University, provides health insurance coverage for eligible retired State University employees and their qualifying dependents as part of the New York State Health Insurance Plan (NYSHIP). The State University, as a participant in the plan, recognizes these other postemployment benefits (OPEB) on an accrual basis. The State University's OPEB plan is financed annually on a pay-as-you-go basis. There are no assets set aside to fund the plan.

The Research Foundation sponsors a separate defined benefit OPEB plan and has established a Voluntary Employee Benefit Association (VEBA) trust. Legal title to all the assets in the trust is vested for the benefit of the participants. Contributions are made by the Research Foundation pursuant to a funding policy established by its Board of Directors.

A schedule of funding progress for these plans is below.

### *Schedule of Funding Progress Other Postemployment and Post-retirement Benefits (Amounts in millions)*

<u>Actuarial Valuation Date</u>	<u>Actuarial Value of Assets (a)</u>	<u>Actuarial Accrued Liability (AAL) (b)</u>	<u>Unfunded AAL (UAAL) (b-a)</u>	<u>Funded Ratio (a/b)</u>	<u>Covered Payroll (c)</u>	<u>UAAL as a Percentage Covered Payroll ((b-a)/c)</u>
State University Plan:						
April 1, 2012	\$ -	13,933	13,933	0%	3,201	435%
April 1, 2010	-	12,200	12,200	0%	3,037	402%
April 1, 2008	-	9,560	9,560	0%	3,008	318%
Research Foundation Plan:						
June 30, 2014	149	295	146	50%	236	62%
June 30, 2013	125	303	178	41%	234	76%
June 30, 2012	107	298	191	36%	245	78%

## Management's Discussion and Analysis

The State University has recorded a long-term litigation liability and a corresponding appropriation receivable of \$508 million and \$443 million at June 30, 2014 and 2013, respectively (almost entirely related to hospitals and clinics) for unfavorable judgments, both anticipated and awarded but not yet paid.

In March 2013, the State enacted legislation amending the Public Authorities Law and Education Law of the State. The amendments, among other things, authorized the State University to assign to DASNY all of the State University's rights, title and interest in dormitory facilities revenues derived from payments made by students and others for use and occupancy of certain dormitory facilities. The amendments further authorize DASNY to issue State University of New York Dormitory Facilities Revenue Bonds payable from and secured by the dormitory facilities revenues assigned to it by the State University.

In August 2013, \$440 million in bonds were issued by DASNY under this new program for the construction and rehabilitation of residential facilities and to refinance the State University's existing residential facility obligations. These bonds are special obligations of DASNY payable solely from the dormitory facilities revenues collected by the State University as agent for DASNY. The outstanding obligations under these bonds is reported as collateralized borrowing in the State University's financial statements. The credit ratings assigned to these bonds were as follows: Moody's (Aa3), S & P (A+), and Fitch (A+).

### Statements of Revenues, Expenses, and Changes in Net Position

The statements of revenues, expenses, and changes in net position present the State University's results of operations. Revenues, expenses, and the change in net position for the 2014, 2013 and 2012 fiscal years are summarized as follows (in thousands):

	<u>2014</u>	<u>2013</u>	<u>2012</u>
Operating revenues	\$ 6,049,331	6,008,874	5,672,461
Nonoperating revenues	3,927,018	3,525,614	3,542,501
Other revenues	144,282	135,483	81,222
Total revenues	<u>10,120,631</u>	<u>9,669,971</u>	<u>9,296,184</u>
Operating expenses	9,936,282	9,687,640	9,288,862
Nonoperating expenses	415,926	386,873	396,808
Total expenses	<u>10,352,208</u>	<u>10,074,513</u>	<u>9,685,670</u>
Change in net position	<u>\$ (231,577)</u>	<u>(404,542)</u>	<u>(389,486)</u>

Total operating revenues of the State University increased \$40 million in 2014 and \$336 million in 2013. Nonoperating and other revenues, which include State appropriations, increased \$410 million and \$37 million for fiscal years 2014 and 2013, respectively. Total expenses for 2014 and 2013 increased \$278 million and \$389 million, respectively.

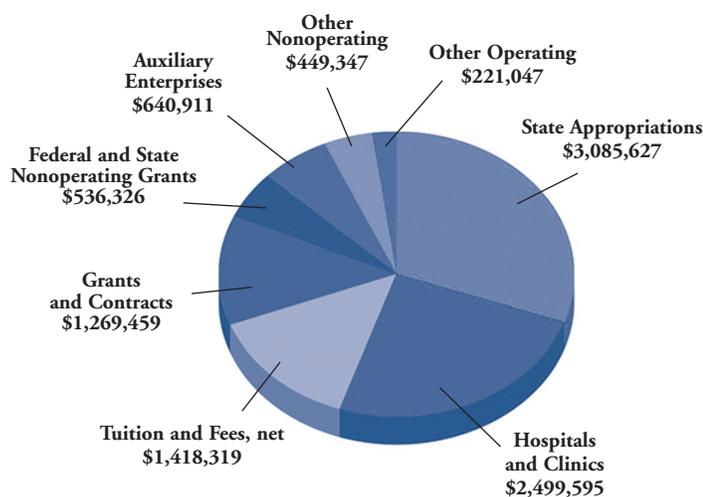
### Revenue Overview

#### Revenues (in thousands):

	<u>2014</u>	<u>2013</u>	<u>2012</u>
Tuition and fees, net	\$ 1,418,319	1,311,753	1,227,984
Hospitals and clinics	2,499,595	2,538,544	2,459,497
Grants and contracts	1,269,459	1,343,088	1,214,257
Auxiliary enterprises	640,911	614,367	588,429
Other operating	221,047	201,122	182,294
Operating revenues	<u>6,049,331</u>	<u>6,008,874</u>	<u>5,672,461</u>
State appropriations	3,085,627	2,833,440	2,930,043
Federal and State			
nonoperating grants	536,326	521,957	515,450
Other nonoperating	449,347	305,700	178,230
Nonoperating and other revenues	<u>4,071,300</u>	<u>3,661,097</u>	<u>3,623,723</u>
Total revenues	<u>\$ 10,120,631</u>	<u>9,669,971</u>	<u>9,296,184</u>

## Management's Discussion and Analysis

2014 Revenues (in thousands)



### *Tuition and Fees, Net*

Tuition and fee revenue, net of scholarship allowances increased \$107 million and \$84 million in 2014 and 2013, respectively. These increases were mainly driven by a \$300 tuition rate increase for resident undergraduates and increases in professional and nonresident tuition rates in 2014 and 2013. Annual average full-time equivalent students, including undergraduate and graduate, were approximately 195,400, 194,300, and 192,600 for the fiscal years ended June 30, 2014, 2013, and 2012, respectively.

### *Hospitals and Clinics*

The State University has three hospitals (each with academic medical centers) – the State University Hospitals at Brooklyn (UHB), Stony Brook, and Syracuse.

Hospital and clinic revenue decreased \$39 million in 2014 due to the reduction of patient revenues of \$232 million from the Long Island College Hospital (LICH) at UHB due to reduced services and patient volumes. This decrease was offset by \$89 million in HEAL grants provided to UHB. The hospitals experienced a \$38 million increase in Medicaid Disproportionate Share program revenue and Stony Brook and Syracuse patient revenue increased \$66 million due to increases in rates and volume. Hospital and clinic revenue increased \$79 million between 2013 and 2012.

### *Grants and Contracts Revenue*

Grants and contracts revenue decreased \$74 million in 2014 and increased \$129 million in 2013. A majority of the State University's grants and contracts are administered by the Research Foundation and totaled \$918 million, \$1.01 billion, and \$882 million for the fiscal years ended June 30, 2014, 2013, and 2012, respectively. The decrease in 2014 is due to decreases in federal grants and contracts of \$40 million and private grants and contracts of \$43 million.

### *Auxiliary Enterprises*

The State University's auxiliary enterprise activity is comprised of sales and services for residence halls, food services, intercollegiate athletics, student health services, parking, and other activities. The residence halls are operated and managed by the State University and its campuses.

Auxiliary enterprise sales and services revenue increased \$27 million and \$26 million for fiscal years 2014 and 2013, respectively. These increases were largely due to modest increases in room rates and occupancy levels.

The residence hall operations and capital programs are financially self-sufficient. Each campus is responsible for the operation of its residence halls program including setting room rates and covering operating, maintenance, capital and debt service costs. Any excess funds generated by residence halls operating activities are separately maintained for improvements and maintenance of the residence halls. Revenue producing occupancy at the residence halls was 77,626 for the fall of 2013, an increase of 809 students compared to the previous year. The overall utilization rate for the fall of 2013 was reported at 96 percent.

## Management's Discussion and Analysis

### State Appropriations

The State University's single largest source of revenues are State appropriations, which for financial reporting purposes are classified as nonoperating revenues. State appropriations totaled \$3.09 billion, \$2.83 billion, and \$2.93 billion and represented approximately 30 percent, 29 percent, and 31 percent of total revenues for fiscal years 2014, 2013, and 2012, respectively. State support (both direct support for operations and indirect support for fringe benefits, debt service, and litigation) for State University campus operations, statutory colleges, and hospitals and clinics increased \$252 million in 2014 and decreased \$97 million in 2013, compared to the prior year. In 2014, State support for operating expenses decreased \$19 million and indirect State support for fringe benefits, litigation, and debt service increased \$136 million, \$87 million, and \$48 million, respectively, compared to the previous year.

### Federal and State Nonoperating Grants

Major scholarships and grants received include the State Tuition Assistance Program of \$197 million and \$193 million and the federal Pell Program of \$279 million and \$270 million during fiscal years 2014 and 2013, respectively.

### Other Nonoperating Revenues

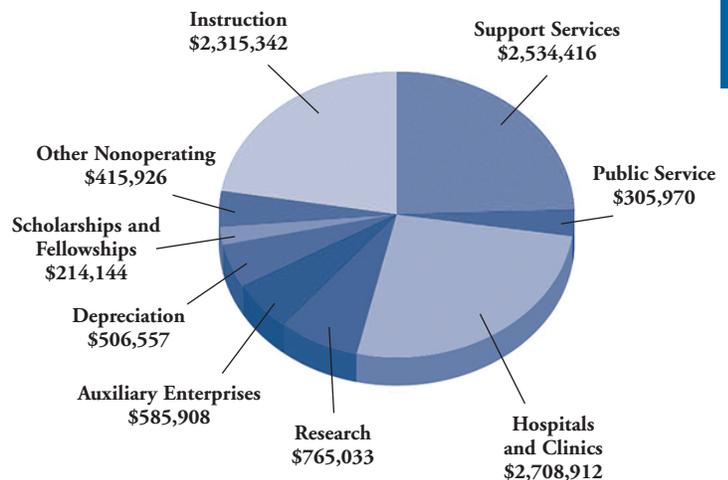
Other nonoperating revenues increased \$144 million and \$127 million in 2014 and 2013, respectively. The increases were primarily due to increases in gifts, investment income and gains, and capital gifts and grants.

### Expense Overview

#### Expenses (in thousands):

	<u>2014</u>	<u>2013</u>	<u>2012</u>
Instruction	\$ 2,315,342	2,201,559	2,107,314
Research	765,033	817,282	725,173
Public service	305,970	303,248	312,809
Support services	2,534,416	2,426,112	2,261,210
Scholarships and fellowships	214,144	210,004	198,446
Hospitals and clinics	2,708,912	2,673,713	2,652,311
Auxiliary enterprises	585,908	585,962	559,478
Depreciation and amortization	506,557	469,760	472,121
Other nonoperating	415,926	386,873	396,808
Total expenses	<u>\$ 10,352,208</u>	<u>10,074,513</u>	<u>9,685,670</u>

#### 2014 Expenses (in thousands)



During the 2014 fiscal year, instruction expenses increased \$114 million predominately from an increase of \$71 million in fringe benefit expenses due to an increase in the State fringe benefit rate as well as an increase in personal service costs of \$39 million. Research expense decreased \$52 million during 2014 compared to 2013 primarily due to a decrease in sponsored program activity.

Support services, which include expenses for academic support, student services, institutional support, and operation and maintenance of plant, increased \$108 million between fiscal years 2014

## Management's Discussion and Analysis

and 2013. This increase was mainly due to an increase in fringe benefit costs of \$42 million as well as an increase in utility costs of \$29 million. Support services increased \$165 million between 2013 and 2012.

In the State University's financial statements, scholarships used to satisfy student tuition and fees (residence hall, food service, etc.) are reported as an allowance (offset) to the respective revenue classification up to the amount of the student charges. The amount reported as expense represents amounts provided to the student in excess of State University charges.

Expenses at the State University's hospitals and clinics increased \$35 million and \$21 million during 2014 and 2013. The increase during 2014 was mainly due to an increase of \$89 million in litigation accruals offset by a decrease in expenses for LICH at UHB.

Depreciation and amortization expense recognized in fiscal years 2014 and 2013 totaled \$507 million and \$470 million, respectively. Other nonoperating expenses were \$416 million and \$387 million for the years ended June 30, 2014 and 2013, respectively. The increase in nonoperating expenses during fiscal year 2014 was mainly due to an increase in interest expense on capital related debt.

### **Economic Factors That Will Affect the Future**

The State University is one of the largest public universities in the nation, with headcount enrollment of approximately 221,000 for fall 2014, on 29 State-operated campuses and five contract/statutory colleges. The State University's student population is directly influenced by State demographics, as the majority of students attending the State University are New York residents. The enrollment outlook remains stable for the State University based on its continued ability to attract quality students for its academic programs. Full-time equivalent (FTE) enrollment, excluding community colleges, for the fiscal year ended June 30, 2014 is approximately 195,400, a slight increase compared to June 30, 2013.

New York State appropriations remain the largest single source of revenues. The State University's continued operational viability is substantially dependent upon a consistent and proportionate level of ongoing State support. For the most recent fiscal year, State appropriations totaled \$3.09 billion which represented 30 percent of the total revenues of the State University. State appropriations consisted of direct support (\$1.02 billion), fringe benefits for State University employees (\$1.39 billion), debt service on educational facility and PIT bonds (\$587 million), and litigation (\$88 million). Debt service on educational facilities is paid by the State in an amount sufficient to cover annual debt service requirements; pursuant to annual statutory provisions, each of the State University's three teaching hospitals must reimburse the State for their share of debt service costs to finance their capital projects. To maintain budgetary equilibrium in an era of fiscal uncertainty, the State University is taking appropriate measures to identify operational efficiencies through shared services and is implementing cost containment measures on discretionary spending for non-personal service costs.

Beginning with the 2011-12 fiscal year, legislation was passed called the NY-SUNY 2020 Challenge Grant Program Act, which includes capital funds for investments in economic expansion and job creation at the State University campuses, as well as a predictable and rational tuition plan. The rational tuition plan authorizes the State University trustees to increase resident undergraduate tuition by up to \$300 per year for five years. The five year plan expires at the end of the 2015-16 academic year. In addition, the State University trustees can also increase non-resident undergraduate tuition up to 10 percent at all State-operated campuses as well as certain fees at the four University Centers after approval of their NY-SUNY 2020 Challenge grant plans.

## Management's Discussion and Analysis

The State University depends on the State to provide appropriations in support of its capital programs. In 2004-05 and again in 2008-09, the State Budget provided nearly \$8.0 billion through two multi-year capital plans for strategic initiatives and critical maintenance projects for the preservation or rehabilitation of existing educational facilities. These cumulative multi-year funding authorizations provided the State University with the resources required to address the core critical maintenance needs of its existing buildings and infrastructure, as well as the means to make additional capital investments in a range of programmatic initiatives.

The 2013-14 State Budget provided no new funding to address the State University's critical maintenance needs or to support another statewide multi-year capital plan. The 2014-15 State Budget provides \$562 million in new appropriations for one year only, including \$402 million for critical maintenance and \$160 million for strategic initiatives. The lack of funding for another multi-year capital plan is directly attributable to State-imposed limits under the State Debt Reform

Act of 2000 that caps the level of outstanding debt. It is likely that the Debt Reform Act will continue to affect the State's ability to invest in the State University's capital programs in the near future.

The State University hospitals, which are all part of larger State University Academic Health Centers at Brooklyn, Stony Brook and Syracuse, serve large numbers of Medicaid and uninsured patients and, as a result, the Medicaid Disproportionate Share Hospital (DSH) Program revenue stream and Medicaid reimbursement is critical to their continued viability. With the pressure to reduce the Federal budget deficit, it is likely that both the federal and state governments will be under pressure to reduce their overall spending in future years. These spending reductions could result in significant cuts to Medicare and Medicaid rates, having a negative impact on each of the hospitals' overall revenue. The hospitals' financial and operational capabilities will also continue to be challenged by potential declines in direct State appropriation support and inflationary and contractual cost increases.

# Balance Sheets

June 30, 2014 and 2013

In thousands

	<u>2014</u>	<u>2013</u>
<b><u>Assets and Deferred Outflows of Resources</u></b>		
Current Assets:		
Cash and cash equivalents	\$ 1,334,898	1,347,112
Deposits with trustees	202,122	235,623
Short-term investments	243,537	217,618
Accounts, notes, and loans receivable, net	695,930	685,005
Appropriations receivable	145,243	197,339
Grants receivable	271,939	243,355
Other assets	73,324	70,550
Total current assets	<u>2,966,993</u>	<u>2,996,602</u>
Noncurrent Assets:		
Restricted cash and cash equivalents	155,548	67,292
Deposits with trustees	400,291	413,432
Accounts, notes, and loans receivable, net	125,627	112,297
Appropriations receivable	509,027	444,499
Long-term investments	863,832	769,425
Other noncurrent assets	225,564	164,017
Capital assets, net	10,701,489	10,041,478
Total noncurrent assets	<u>12,981,378</u>	<u>12,012,440</u>
<b>Total assets</b>	<b><u>15,948,371</u></b>	<b><u>15,009,042</u></b>
Deferred outflows of resources	23,707	23,552
<b>Total assets and deferred outflows of resources</b>	<b><u>\$ 15,972,078</u></b>	<b><u>15,032,594</u></b>
<b><u>Liabilities and Net Position</u></b>		
Current Liabilities:		
Accounts payable and accrued liabilities	977,642	963,159
Interest payable	84,271	93,698
Unearned revenue	252,712	251,093
Long-term liabilities - current portion	665,073	678,644
Other liabilities	97,297	90,485
Total current liabilities	<u>2,076,995</u>	<u>2,077,079</u>
Noncurrent Liabilities:		
Long-term liabilities	14,577,141	13,531,482
Refundable government loan funds	141,622	141,380
Other noncurrent liabilities	211,080	85,836
Total noncurrent liabilities	<u>14,929,843</u>	<u>13,758,698</u>
<b>Total liabilities</b>	<b><u>17,006,838</u></b>	<b><u>15,835,777</u></b>
Net Position:		
Net investment in capital assets	1,090,418	940,031
Restricted - nonexpendable:		
Instruction and departmental research	141,658	126,261
Scholarships and fellowships	94,397	91,033
General operations and other	121,678	114,612
Restricted - expendable:		
Instruction and departmental research	139,455	101,365
Scholarships and fellowships	70,822	52,151
General operations and other	137,439	123,434
Unrestricted	<u>(2,830,627)</u>	<u>(2,352,070)</u>
<b>Total net position</b>	<b><u>(1,034,760)</u></b>	<b><u>(803,183)</u></b>
<b>Total liabilities and net position</b>	<b><u>\$ 15,972,078</u></b>	<b><u>15,032,594</u></b>

See accompanying notes to financial statements.

# Statements of Revenues, Expenses, and Changes in Net Position

For the Years Ended June 30, 2014 and 2013

In thousands

	<u>2014</u>	<u>2013</u>
<b>Operating revenues:</b>		
Tuition and fees	\$ 1,970,521	1,846,529
Less scholarship allowances	<u>(552,202)</u>	<u>(534,776)</u>
Net tuition and fees	1,418,319	1,311,753
Federal grants and contracts	632,256	672,661
State and local grants and contracts	220,282	210,310
Private grants and contracts	416,921	460,117
Hospitals and clinics	2,499,595	2,538,544
Sales and services of auxiliary enterprises:		
Residence halls, net	432,148	408,172
Food service and other, net	208,763	206,195
Other sources	<u>221,047</u>	<u>201,122</u>
<b>Total operating revenues</b>	<b><u>6,049,331</u></b>	<b><u>6,008,874</u></b>
<b>Operating expenses:</b>		
Instruction	2,315,342	2,201,559
Research	765,033	817,282
Public service	305,970	303,248
Academic support	517,491	495,752
Student services	317,734	293,181
Institutional support	984,454	955,278
Operation and maintenance of plant	683,556	652,165
Scholarships and fellowships	214,144	210,004
Hospitals and clinics	2,708,912	2,673,713
Auxiliary enterprises:		
Residence halls	332,523	351,724
Food service and other	253,385	234,238
Depreciation and amortization expense	506,557	469,760
Other operating expenses	<u>31,181</u>	<u>29,736</u>
<b>Total operating expenses</b>	<b><u>9,936,282</u></b>	<b><u>9,687,640</u></b>
<b>Operating loss</b>	<b><u>(3,886,951)</u></b>	<b><u>(3,678,766)</u></b>
<b>Nonoperating revenues (expenses):</b>		
State appropriations	3,085,627	2,833,440
Federal and State nonoperating grants	536,326	521,957
Investment income, net	43,029	19,680
Net realized and unrealized gains	88,413	64,407
Gifts	103,071	86,130
Interest expense on capital related debt	(399,698)	(362,232)
Loss on disposal of plant assets	(16,228)	(10,517)
Other nonoperating revenues (expenses), net	<u>70,552</u>	<u>(14,124)</u>
<b>Net nonoperating revenues</b>	<b><u>3,511,092</u></b>	<b><u>3,138,741</u></b>
<b>Loss before other revenues and gains</b>	<b><u>(375,859)</u></b>	<b><u>(540,025)</u></b>
Capital appropriations	23,684	25,269
Capital gifts and grants	98,913	89,175
Additions to permanent endowments	<u>21,685</u>	<u>21,039</u>
<b>Decrease in net position</b>	<b><u>(231,577)</u></b>	<b><u>(404,542)</u></b>
<b>Net position at the beginning of year</b>	<b><u>(803,183)</u></b>	<b><u>(398,641)</u></b>
<b>Net position at the end of year</b>	<b>\$ <u>(1,034,760)</u></b>	<b>\$ <u>(803,183)</u></b>

See accompanying notes to financial statements.

## Statements of Cash Flows

For the Years Ended June 30, 2014 and 2013

In thousands

	<u>2014</u>	<u>2013</u>
<b>Cash flows from operating activities:</b>		
Tuition and fees	\$ 1,437,058	1,321,048
Grants and contracts:		
Federal	635,344	684,353
State and local	298,715	163,540
Private	449,989	481,205
Hospital and clinics	2,430,990	2,519,732
Personal service payments	(3,939,489)	(3,922,050)
Other than personal service payments	(2,737,981)	(2,797,476)
Payments for fringe benefits	(535,461)	(499,573)
Payments for scholarships and fellowships	(222,171)	(197,285)
Loans issued to students	(28,323)	(24,935)
Collection of loans to students	22,287	21,983
Auxiliary enterprise charges:		
Residence halls	436,330	405,540
Food service and other	205,407	208,693
Other receipts	241,339	123,945
<b>Net cash used by operating activities</b>	<u><b>(1,305,966)</b></u>	<u><b>(1,511,280)</b></u>
<b>Cash flows from noncapital financing activities:</b>		
State appropriations:		
Operations	1,016,843	1,178,914
Debt service	597,096	522,664
Federal and State nonoperating grants	536,326	521,957
Private gifts and grants	99,048	78,120
Proceeds from short-term loans	58,020	39,341
Repayment of short-term loans	(85,135)	(50,738)
Direct loan receipts	1,147,718	1,130,660
Direct loan disbursements	(1,147,718)	(1,130,660)
Other receipts (payments)	64,772	(120,435)
<b>Net cash provided by noncapital financing activities</b>	<u><b>2,286,970</b></u>	<u><b>2,169,823</b></u>
<b>Cash flows from capital and related financing activities:</b>		
Proceeds from capital debt	1,475,159	1,584,740
Capital appropriations	22,357	25,269
Capital grants and gifts received	77,259	61,617
Proceeds from sale of capital assets	337	5,789
Purchases of capital assets	(190,758)	(196,670)
Payments to contractors	(959,851)	(1,265,691)
Principal paid on capital debt and leases	(925,576)	(735,731)
Interest paid on capital debt and leases	(461,915)	(410,910)
Deposits with trustees	47,365	251,950
<b>Net cash used by capital and related financing activities</b>	<u><b>(915,623)</b></u>	<u><b>(679,637)</b></u>
<b>Cash flows from investing activities:</b>		
Proceeds from sales and maturities of investments	1,304,000	1,237,354
Interest, dividends, and realized gains on investments	54,196	33,190
Purchases of investments	(1,347,535)	(1,198,783)
<b>Net cash provided by investing activities</b>	<u><b>10,661</b></u>	<u><b>71,761</b></u>
<b>Net change in cash</b>	<u><b>76,042</b></u>	<u><b>50,667</b></u>
<b>Cash - beginning of year</b>	<u><b>1,414,404</b></u>	<u><b>1,363,737</b></u>
<b>Cash - end of year</b>	<u><b>\$ 1,490,446</b></u>	<u><b>1,414,404</b></u>
<b>End of year cash comprised of:</b>		
<b>Cash and cash equivalents</b>	<u><b>\$ 1,334,898</b></u>	<u><b>1,347,112</b></u>
<b>Restricted cash and cash equivalents</b>	<u><b>\$ 155,548</b></u>	<u><b>67,292</b></u>

## Statements of Cash Flows (continued)

For the Years Ended June 30, 2014 and 2013

In thousands

	<u>2014</u>	<u>2013</u>
<b>Reconciliation of net operating loss to net cash used by operating activities:</b>		
Operating loss	\$ (3,886,951)	(3,678,766)
Adjustments to reconcile operating loss to net cash used by operating activities:		
Depreciation and amortization expense	506,557	469,760
Fringe benefits and litigation	1,457,715	1,274,307
Change in assets and liabilities:		
Receivables, net	(22,640)	84,019
Other assets	(19,633)	15,051
Accounts payable and accrued liabilities	(28,185)	(79,781)
Unearned revenue	76,823	(6,051)
Other liabilities	610,348	410,181
<b>Net cash used by operating activities</b>	<b>\$ <u>(1,305,966)</u></b>	<b><u>(1,511,280)</u></b>
<b>Supplemental disclosures for noncash transactions:</b>		
New capital leases / debt agreements	\$ <u>1,475,159</u>	<u>1,584,740</u>
Fringe benefits provided by the State	\$ <u>1,432,360</u>	<u>1,250,741</u>
Litigation costs provided by the State	\$ <u>25,355</u>	<u>23,566</u>
Noncash gifts	\$ <u>7,633</u>	<u>24,217</u>
Unrealized gains on investments	\$ <u>70,246</u>	<u>48,695</u>

See accompanying notes to financial statements.

# State University of New York Component Units Balance Sheet

June 30, 2014 (with comparative financial information as of June 30, 2013)  
In thousands

<u>Assets</u>	<u>2014</u>	<u>2013</u>
Cash and cash equivalents	\$ 248,967	252,343
Accounts and notes receivable, net	44,794	35,930
Pledges receivable, net	185,140	196,361
Investments	1,950,894	1,677,573
Assets held for others	29,063	32,291
Other assets	75,119	77,738
Capital assets, net	620,272	628,604
<b>Total assets</b>	<b>\$ 3,154,249</b>	<b>2,900,840</b>
<b><u>Liabilities and Net Assets</u></b>		
Liabilities:		
Accounts payable and accrued liabilities	75,139	69,100
Deferred revenue	21,787	12,286
Deposits held in custody for others	119,543	105,066
Other liabilities	63,704	82,977
Long-term debt	471,145	478,423
<b>Total liabilities</b>	<b>751,318</b>	<b>747,852</b>
Net Assets:		
Unrestricted:		
Board designated for:		
Fixed assets	195,721	193,684
Campus programs	102,004	84,691
Investments	218,099	181,533
General operations and other	51,780	46,562
Undesignated	147,984	110,943
Temporarily restricted:		
Scholarships and fellowships	203,211	155,630
Campus programs	443,460	379,829
Research	150,854	136,724
General operations and other	167,255	214,010
Permanently restricted:		
Scholarships and fellowships	310,608	292,945
Campus programs	315,139	275,058
Research	27,347	26,117
General operations and other	69,469	55,262
<b>Total net assets</b>	<b>2,402,931</b>	<b>2,152,988</b>
<b>Total liabilities and net assets</b>	<b>\$ 3,154,249</b>	<b>2,900,840</b>

See accompanying notes to financial statements.

# State University of New York Component Units

## Statement of Activities

*For the Year Ended June 30, 2014 (with summarized financial information for the year ended June 30, 2013)*  
*In thousands*

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>2014 Total</u>	<u>2013 Total</u>
<b>Revenues:</b>					
Contributions, gifts, and grants	\$ 33,482	73,730	69,478	176,690	187,451
Food service	272,925	-	-	272,925	258,291
Other auxiliary services	75,352	-	-	75,352	75,846
Rental income	77,780	309	-	78,089	75,689
Sales and services	161,596	1,861	-	163,457	184,349
Program income and special events	47,230	1,421	64	48,715	51,698
Investment income, net	11,857	20,974	787	33,618	36,755
Net realized and unrealized gains	69,427	140,023	493	209,943	133,288
Other sources	10,483	2,332	3,660	16,475	16,256
Transfers of permanently restricted net assets	(380)	(464)	844	-	-
Endowment earnings transferred	-	120	(120)	-	-
Net assets released from restrictions	165,787	(165,787)	-	-	-
<b>Total revenues</b>	<u>925,539</u>	<u>74,519</u>	<u>75,206</u>	<u>1,075,264</u>	<u>1,019,623</u>
<b>Expenses:</b>					
Food service	215,689	-	-	215,689	211,466
Other auxiliary services	60,165	-	-	60,165	61,375
Program expenses	115,564	-	-	115,564	114,090
Health care services	155,079	-	-	155,079	170,008
Payments to the State University:					
Scholarships and fellowships	40,307	-	-	40,307	42,223
Other	81,673	-	-	81,673	38,914
Real estate expenses	20,831	-	-	20,831	22,739
Depreciation and amortization expense	34,793	-	-	34,793	34,001
Interest expense on capital related debt	20,623	-	-	20,623	21,141
Management and general	55,494	-	-	55,494	52,475
Fundraising	20,553	-	-	20,553	21,281
Other expenses	4,550	-	-	4,550	24,123
<b>Total expenses</b>	<u>825,321</u>	<u>-</u>	<u>-</u>	<u>825,321</u>	<u>813,836</u>
<b>Change in net assets</b>	<b>100,218</b>	<b>74,519</b>	<b>75,206</b>	<b>249,943</b>	<b>205,787</b>
<b>Net asset reclassification</b>	<u>(2,043)</u>	<u>4,068</u>	<u>(2,025)</u>	<u>-</u>	<u>-</u>
<b>Total change in net assets</b>	<b>98,175</b>	<b>78,587</b>	<b>73,181</b>	<b>249,943</b>	<b>205,787</b>
<b>Net assets at the beginning of year</b>	<u>617,413</u>	<u>886,193</u>	<u>649,382</u>	<u>2,152,988</u>	<u>1,947,201</u>
<b>Net assets at the end of year</b>	<u>\$ 715,588</u>	<u>964,780</u>	<u>722,563</u>	<u>2,402,931</u>	<u>2,152,988</u>

*See accompanying notes to financial statements.*

# Notes to Financial Statements

*June 30, 2014 and 2013*

## 1. Summary of Significant Accounting Policies and Basis of Presentation

### **Reporting Entity**

For financial reporting purposes, the State University of New York (State University) consists of all sectors of the State University including the university centers, health science centers (including hospitals), colleges of arts and sciences, colleges of technology and agriculture, specialized colleges, statutory colleges (located at the campuses of Cornell and Alfred Universities), central services and other affiliated entities determined to be includable in the State University's financial reporting entity.

Inclusion in the reporting entity is based primarily on the notion of financial accountability, defined in terms of a primary government (State University) that is financially accountable for the organizations that make up its legal entity. Separate legal entities meeting the criteria for inclusion in the blended totals of the State University reporting entity are described below. The State University is included in the financial statements of the State of New York (State) as an enterprise fund, as the State is the primary government of the State University.

The Research Foundation for the State University of New York (Research Foundation) is a separate, private, nonprofit educational corporation that administers the majority of the State University's sponsored programs. These programs are for the exclusive benefit of the State University and include research, training, and public service activities of the State-operated campuses supported by sponsored funds other than State appropriations. The Research Foundation provides sponsored programs administration and innovation support services to State University faculty performing research in life sciences and medicine; engineering and technology; physical sciences and energy; social sciences; and computer and information services. The activity of the Research Foundation has been included in these financial statements using GASB measurements and recognition standards. The financial activity was primarily derived from audited financial statements of the Research Foundation for the years ended June 30, 2014 and 2013.

The State University Construction Fund (Construction Fund) is a public benefit corporation that designs, constructs, reconstructs and rehabilitates facilities of the State University pursuant to an approved master plan. Although the Construction Fund is a separate legal entity, it carries out operations which are integrally related to and for the exclusive benefit of the State University and, therefore, the financial activity related to the Construction Fund is included in the State University's financial statements as of the Construction Fund's fiscal years ended March 31, 2014 and 2013.

The State statutory colleges at Cornell University and Alfred University are an integral part of, and are administered by, those universities. The statutory colleges are fiscally dependent on State appropriations through the State University. The financial statement information of the statutory colleges of Cornell University and Alfred University has been included in the accompanying financial statements.

Most of the State University's campuses maintain auxiliary services corporations and some campuses maintain student housing corporations. These corporations are legally separate, nonprofit organizations which, as independent contractors, operate, manage, and promote educationally related services for the benefit of the campus community. Almost all of the State University campuses also maintain foundations, which are legally separate, nonprofit, affiliated organizations that receive and hold economic resources that are significant to, and that are entirely for the benefit of the State University, and are required to be included in the reporting entity using discrete presentation requirements. As a result, the combined totals of the campus-related auxiliary service corporations, student housing corporations and foundations are separately presented as an aggregate component unit on financial statement pages 18 and 19 in the State University's financial statements in accordance with display requirements prescribed by the Financial Accounting Standards Board (FASB). All of the financial data for these organizations was derived from each entity's individual audited financial statements, the majority of which have a May 31 or June 30 fiscal year end. The combined totals

# Notes to Financial Statements

*June 30, 2014 and 2013*

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

are also included in the financial statements of the State's discretely presented component unit combining statements.

The operations of certain related but independent organizations, i.e., clinical practice management plans, alumni associations and student associations, do not meet the criteria for inclusion, and are not included in the accompanying financial statements.

The State University administers State financial assistance to the community colleges in connection with its general oversight responsibilities pursuant to New York State Education Law. However, since these community colleges are sponsored by local governmental entities and are included in their financial statements, the community colleges are not considered part of the State University's financial reporting entity and, therefore, are not included in the accompanying financial statements.

The accompanying financial statements of the State University have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with U.S. generally accepted accounting principles as prescribed by the GASB. The State University reports its financial statements as a special purpose government engaged in business-type activities, as defined by the GASB. Business-type activities are those that are financed in whole or in part by fees charged to external parties for goods or services. The financial statements of the State University consist of classified balance sheets, which separately classify deferred outflows of resources and deferred inflows of resources; statements of revenues, expenses, and changes in net position, which distinguish between operating and nonoperating revenues and expenses; and statements of cash flows, using the direct method of presenting cash flows from operations and other sources.

The State University's policy for defining operating activities in the statement of revenues, expenses, and changes in net position are those that generally result from exchange transactions, i.e., the payments received for services and payments made for the purchase of goods and services. Certain other transactions are reported as nonoperating activities

and include the State University's operating and capital appropriations from the State, federal and State financial aid grants (e.g., Pell and TAP), investment income gains and losses, gifts, and interest expense.

### **Net Position**

Resources are classified for accounting and financial reporting purposes into the following four net position categories:

#### Net investment in capital assets

Capital assets, net of accumulated depreciation and amortization and outstanding principal balances of debt attributable to the acquisition, construction, repair or improvement of those assets.

#### Restricted – nonexpendable

Net position component subject to externally imposed conditions that the State University is required to retain in perpetuity.

#### Restricted – expendable

Net position component whose use is subject to externally imposed conditions that can be fulfilled by the actions of the State University or by the passage of time.

#### Unrestricted component of net position

The unrestricted component of net position includes amounts provided for specific use by the State University's colleges and universities, hospitals and clinics, and separate legal entities included in the State University's reporting entity that are designated for those entities and, therefore, not available for other purposes.

The State University has adopted a policy of generally utilizing restricted - expendable funds, when available, prior to unrestricted funds.

### **Revenues**

Revenues are recognized in the period earned. State appropriations are recognized when they are made legally available for expenditure. Revenues and expenses arising from nonexchange transactions are recognized when all eligibility requirements, including time requirements, are met. Promises of private donations are recognized at fair value. Net patient service revenue for the hospitals is reported at

# Notes to Financial Statements

June 30, 2014 and 2013

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

the estimated net realizable amounts from patients, third party payors and others for services rendered, including estimated retroactive adjustments under reimbursement agreements with third party payors.

Tuition and fees and auxiliary sales and service revenues are reported net of scholarship discounts and allowances. Auxiliary sales and service revenue classifications for 2014 and 2013 were reported net of the following scholarship discount and allowance amounts (in thousands):

	<u>2014</u>	<u>2013</u>
Residence halls	\$ 85,000	83,219
Food service and other	31,666	22,593

### *Cash and Cash Equivalents*

Cash and cash equivalents are defined as current operating assets and include investments with original maturities of less than 90 days, except for cash and cash equivalents held in investment pools which are included in short-term and long-term investments on the accompanying balance sheets.

### *Restricted Cash and Cash Equivalents*

Restricted cash and cash equivalents represent unspent funds under various capital financing arrangements, cash held for others, and cash restricted for loan and residence hall programs.

### *Investments*

Investments in marketable securities are stated at fair value based upon quoted market prices. Investment income is recorded on the accrual basis, and purchases and sales of investment securities are reflected on a trade date basis. Any net earnings not expended are included as increases in restricted – nonexpendable net position if the terms of the gift require that such earnings be added to the principal of a permanent endowment fund, or as increases in restricted – expendable net position as provided for under the terms of the gift, or as unrestricted. At June 30, 2014 and 2013, the State University had \$287 million and \$218 million available for authorization for expenditure, including \$187

million and \$141 million from restricted funds and \$100 million and \$77 million from unrestricted funds, respectively.

The Investment Committee of the Cornell Board of Trustees establishes the investment policy for Cornell University as a whole, including investments that support the statutory colleges. Distributions from the pool are approved by the Cornell Board of Trustees and are provided for program support independent of the cash yield and appreciation of investments in that year. The Board applies the “prudent person” standard when making its decision whether to appropriate or accumulate endowment funds in compliance with the New York Prudent Management of Institutional Funds Act (NYPMIFA). Investments in the pool are stated at fair value and include limited use of derivative instruments including futures, forward, options and swap contracts designed to manage market exposure and to enhance the total return.

Alternative investments are valued using current estimates of fair value obtained from the investment manager in the absence of readily determinable public market values. The estimated fair value of these investments is based on the most recent valuations provided by the external investment managers. Because of the inherent uncertainty of valuation for these investments, the investment manager’s estimate may differ from the values that would have been used had a ready market existed.

### *Capital Assets*

Capital assets are stated at cost, or in the case of gifts, fair value at the date of receipt. Building renovations and additions costing over \$100,000 and equipment items with a unit cost of \$5,000 or more are capitalized. Equipment under capital leases is stated at the present value of minimum lease payments at the inception of the lease. Generally, the net interest cost on debt during the construction period related to capital projects is capitalized. Capital interest totaled \$25 million and \$40 million in the 2014 and 2013 fiscal years, respectively. Intangible assets, including internally generated computer software of \$1 million or more are capitalized. Library materials are capitalized and amortized over a ten-year period. Works of art

# Notes to Financial Statements

June 30, 2014 and 2013

## 1. Summary of Significant Accounting Policies and Basis of Presentation (continued)

or historical treasures that are held for public exhibition, education, or research in furtherance of public service are capitalized. Capital assets, with the exception of land, construction in progress, and inexhaustible works of art or intangible assets, are depreciated on a straight-line basis over their estimated useful lives, using historical and industry experience, ranging from 2 to 50 years.

### *Deferred Outflows of Resources*

Deferred outflows of resources are defined as a consumption of net assets by a government that is applicable to a future reporting period. Deferred outflows of resources resulting from a loss in the refinancing of debt represents the difference between the reacquisition price and the net carrying amount of the old debt and is amortized over the life of the related debt.

### *Compensated Absences*

Employees accrue annual leave based primarily on the number of years employed up to a maximum rate of 21 days per year up to a maximum of 40 days.

### *Fringe Benefits*

Employee fringe benefit costs (e.g., health insurance, workers' compensation, and pension and post-retirement benefits) for State University and statutory employees are paid by the State on behalf of the State University (except for the State University hospitals and Research Foundation, which pay their own fringe benefit costs) at a fringe benefit rate determined by the State. The State University records an expense and corresponding State appropriation revenue for fringe benefit costs based on the fringe benefit rate applied to total eligible personal service costs incurred.

### *Postemployment and Post-retirement Benefits*

Postemployment benefits other than pensions are recognized on an actuarially determined basis as employees earn benefits that are expected to be used in the future. The amounts earned include employee sick leave credits expected to be used to pay for a share of post-retirement health insurance.

### *Tax Status*

The State University and the Construction Fund are political subdivisions of the State and are, therefore, generally exempt from federal and state income taxes under applicable federal and state statutes and regulations.

The Research Foundation is a nonprofit organization as described in Section 501(c)(3) of the Internal Revenue Code and is generally tax-exempt on related income, pursuant to Section 501(a) of the Code.

### *Reclassifications*

Certain amounts displayed in the 2013 financial statements have been reclassified to conform to the 2014 presentation.

### *Use of Estimates*

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amount of revenues and expenses during the reporting period. Actual results could differ from those estimates.

## 2. Cash and Cash Equivalents

Cash and cash equivalents represent State University funds held in the State treasury, in the short-term investment pool (STIP), or local depositories, and cash held by affiliated organizations. Cash held in the State treasury beyond immediate need is pooled with other State funds for short-term investment purposes.

# Notes to Financial Statements

June 30, 2014 and 2013

## 2. Cash and Cash Equivalents (continued)

The pooled balances are limited to legally-stipulated investments which include obligations of, or are guaranteed by, the United States; obligations of the State and its political subdivisions; and repurchase agreements. These investments are reported at cost (which approximates fair value) and are held by the State's agent in its name on behalf of the State University.

The New York State Comprehensive Annual Financial Report contains the GASB Statement No. 40 risk disclosures for deposits held in the State treasury. Deposits not held in the State treasury that are not covered by depository insurance and are (a) uncollateralized; or (b) collateralized with securities held by a pledging financial institution at June 30, 2014 and 2013, are as follows (in thousands):

	<u>Category a</u>	<u>Category b</u>
2014	\$ 5,492	19,742
2013	2,090	15,788

## 3. Deposits with Trustees

Deposits with trustees primarily represent DASNY bond proceeds needed to finance capital projects and to establish required building and equipment replacement and debt service reserves. Pursuant to financing agreements with DASNY, bond proceeds, including interest income, are restricted for capital projects or debt service. Also included are non-bond proceeds which have been designated for capital projects and equipment.

The State University's cash and investments which includes deposits with trustees are registered in the State University's name and held by an agent or in trust accounts in the State University's name. Cash and short-term investments held in the State treasury and money market accounts were approximately \$123 million and \$19 million at June 30, 2014 and 2013, respectively. The market value of investments held and maturity period are displayed in the following table (in thousands):

### Fiscal Year 2014

<u>Type of Investments</u>	<u>Fair Value</u>	<u>Less than 1 year</u>	<u>1-5 years</u>
US Treasury notes/bonds	\$ 64,517	61,494	3,023
US Treasury bills	77,715	77,715	-
US Treasury strips	225,305	225,305	-
Federal Home Loan Mortgage Corp.*	68,997	68,997	-
Federal Home Loan Bank	42,415	42,355	60
Total	<u>\$ 478,949</u>	<u>475,866</u>	<u>3,083</u>

### Fiscal Year 2013

<u>Type of Investments</u>	<u>Fair Value</u>	<u>Less than 1 year</u>	<u>1-5 years</u>
US Treasury notes/bonds	\$ 127,504	118,404	9,100
US Treasury bills	253,012	253,012	-
US Treasury strips	240,771	240,771	-
Federal Home Loan Mortgage Corp.*	2,215	2,215	-
Federal National Mortgage Assoc.*	4,117	4,117	-
Federal Home Loan Bank*	2,200	2,200	-
Total	<u>\$ 629,819</u>	<u>620,719</u>	<u>9,100</u>

\*Rating on investment is AAA

## 4. Investments

Investments of the State University are recorded at fair value. Investment income is reported net of investment fees of approximately \$10 million for both fiscal years. Investments include those held by the statutory colleges at Cornell University and Alfred University (Alfred Ceramics), the Research Foundation, the Construction Fund, and State University campuses.

For financial reporting purposes, assets attributable to the statutory colleges at Cornell University are held in Cornell University's entire portfolio of investments and are invested in external investment pools. The assets are not managed by, or attributable to, any individual college and the statutory colleges do not have the authority to manage investment assets independently. The fair value of the statutory college's investments is

## Notes to Financial Statements

June 30, 2014 and 2013

### 4. Investments (continued)

primarily based on the unit value of the pools and the number of shares owned in the various Cornell University investment pools. The credit quality of the external investment pools is considered to be the credit rating for Cornell University. The table below presents the unit value of each external pool, in addition to the fair value (in thousands) of assets attributable to statutory colleges at June 30.

	2014	
	Unit Value	Fair Value
Endowments		
Long-term		
Investment Pool	\$ 58.45	\$ 787,534
Charitable Gift Annuities		
Master Trust Units	1.44	12,351
Charitable Trusts		
Endowment Strategy	57.56	19,420
Common Trust Fund - Growth	33.65	7,896
Common Trust Fund - Income	13.57	2,941
Common Trust Fund - Premier	8.91	693
Pooled Life Income Funds		
PLIF A	1.37	720
PLIF B	2.53	1,042
Total External Pools		<u>\$ 832,597</u>
	2013	
	Unit Value	Fair Value
Endowments		
Long-term		
Investment Pool	\$ 53.30	\$ 696,193
Charitable Gift Annuities		
Master Trust Units	1.26	10,467
Charitable Trusts		
Endowment Strategy	52.85	17,539
Common Trust Fund - Growth	28.05	8,162
Common Trust Fund - Income	13.31	3,078
Common Trust Fund - Premier	8.71	677
Pooled Life Income Funds		
PLIF A	1.31	723
PLIF B	2.35	964
Total External Pools		<u>\$ 737,803</u>

The Research Foundation maintains a diverse investment portfolio and follows an investment policy and asset guidelines approved and monitored by its board of directors. The portfolio is mainly comprised of mutual funds, exchange-traded funds and alternative investments of high quality and liquidity. Investments are held with the investment custodian in the Research Foundation's name.

Investments of the Construction Fund are made in accordance with the applicable provisions of the laws of the State and the Construction Fund's investment policy and consist primarily of obligations of the United States government and its agencies. These investments are held by the State's agent in the State University Construction Fund's name.

Investments of Alfred Ceramics were derived from its individual financial statements.

The composition of investments at June 30, 2014 and 2013 is as follows (in thousands):

	2014	2013
Cash and money market funds	\$ 48,633	30,805
Non-equities	52,146	56,137
Domestic and international equities	40,324	46,174
Equity partnerships	2,667	10,319
Hedge funds	114,216	84,205
External investment pools	832,597	737,803
Other investments	16,786	21,600
Total investments	<u>\$ 1,107,369</u>	<u>987,043</u>
Short-term	<u>\$ 243,537</u>	<u>217,618</u>
	2014	2013
State University Campuses	\$ 5,918	6,881
Cornell Statutory Colleges	839,042	743,331
Alfred Ceramics	21,926	20,319
Research Foundation	209,061	185,347
State University Construction Fund	31,422	31,165
Total investments	<u>\$ 1,107,369</u>	<u>987,043</u>

## Notes to Financial Statements

June 30, 2014 and 2013

### 4. Investments (continued)

At June 30, 2014 and 2013, the State University had the following non-equity investments and maturities as summarized in Table A.

Credit quality ratings of the State University's investments in debt securities, as described by Moody's, S&P, and Fitch as of June 30, 2014 and 2013 are summarized in Table B.

The State University did not have any exposure to foreign currency risk for investments held at June 30, 2014 and 2013.

Table A (in thousands)

Investment Type	Fiscal Year 2014					Fiscal Year 2013				
	Market Value	Less than 1 yr	1-5 yrs	6-10 yrs	More than 10 yrs	Market Value	Less than 1 yr	1-5 yrs	6-10 yrs	More than 10 yrs
US Treasury bills	\$ 14,558	14,558	-	-	-	14,154	14,154	-	-	-
US Treasury notes/bonds	15,267	277	14,990	-	-	15,871	15,467	404	-	-
Municipal bonds	939	291	535	113	-	1,312	20	1,075	217	-
Corporate bonds	117	-	34	31	52	303	47	256	-	-
Mutual funds – non-equities	21,265	790	2,965	17,267	243	24,498	638	4,514	10,654	8,692
Total investments	\$ 52,146	15,916	18,524	17,411	295	56,138	30,326	6,249	10,871	8,692

Table B (in thousands)

Credit Rating	AAA	AA	A	BBB	BB	B	Not Rated
<u>Investment Type - 2014</u>							
External investment pools	\$ -	832,597	-	-	-	-	-
Municipal bonds	-	575	201	-	-	-	163
Corporate bonds	-	-	22	19	6	12	58
Mutual funds - non-equities*	18,898	-	1,140	-	1,227	-	-
Total	\$ 18,898	833,172	1,363	19	1,233	12	221
<u>Investment Type - 2013</u>							
External investment pools	\$ -	737,803	-	-	-	-	-
Municipal bonds	66	409	660	-	-	-	177
Corporate bonds	-	21	159	123	-	-	-
Mutual funds - non-equities*	3,755	754	1,806	102	2,929	-	15,152
Total	\$ 3,821	738,987	2,625	225	2,929	-	15,329

\*based on average credit quality of holdings

## Notes to Financial Statements

June 30, 2014 and 2013

### 5. Accounts, Notes, and Loans Receivable

At June 30, accounts, notes, and loans receivable were summarized for years 2014 and 2013, as follows (in thousands):

	<u>2014</u>	<u>2013</u>
Tuition and fees	\$ 40,011	82,587
Allowance for uncollectible	(9,592)	(9,218)
Net tuition and fees	<u>30,419</u>	<u>73,369</u>
Room rent	11,940	10,483
Allowance for uncollectible	(2,633)	(2,356)
Net room rent	<u>9,307</u>	<u>8,127</u>
Patient fees, net of contractual allowances	820,971	853,112
Allowance for uncollectible	(314,634)	(382,943)
Net patient fees	<u>506,337</u>	<u>470,169</u>
Other, net	138,662	112,781
Total accounts and notes receivable	<u>684,725</u>	<u>664,446</u>
Student loans	161,597	156,497
Allowance for uncollectible	(24,765)	(23,641)
Total student loans receivable	<u>136,832</u>	<u>132,856</u>
Total, net	<u>\$ 821,557</u>	<u>797,302</u>

### 6. Capital Assets

Capital assets, net of accumulated depreciation, totaled \$10.70 billion and \$10.04 billion at fiscal year ends 2014 and 2013, respectively. Capital asset activity for fiscal years 2014 and 2013 is reflected in Table C. In the table, closed projects and retirements represent capital assets retired and assets transferred from construction in progress for projects completed and added to the related capital assets category.

### 7. Long-term Liabilities

The State University has entered into capital leases and other financing agreements with DASNY to finance most of its capital facilities. The State University has also entered into financing arrangements with the New York Power Authority under the statewide energy services program. Equipment purchases are also made through DASNY's Tax-exempt Equipment Leasing Program (TELP), PIT Revenue Bonds, various state sponsored equipment leasing programs, and private financing arrangements. The State University is responsible for lease debt service payments sufficient to cover the interest and principal amounts due under these arrangements.

**Table C** (in thousands)

	June 30, 2012	Additions	Closed Projects & Retirements	June 30, 2013	Additions	Closed Projects & Retirements	June 30, 2014
Land	\$ 503,136	44,944	85	547,995	66,748	170	614,573
Infrastructure and land improvements	825,008	56,518	9,267	872,259	120,477	17,937	974,799
Buildings	8,303,401	909,615	57,455	9,155,561	1,446,217	80,650	10,521,128
Equipment, library books and other	2,750,286	228,805	80,226	2,898,865	182,147	72,454	3,008,558
Construction in progress	2,464,534	1,358,845	1,035,451	2,787,928	1,035,407	1,661,860	2,161,475
Total capital assets	<u>14,846,365</u>	<u>2,598,727</u>	<u>1,182,484</u>	<u>16,262,608</u>	<u>2,850,996</u>	<u>1,833,071</u>	<u>17,280,533</u>
Less accumulated depreciation:							
Infrastructure and land improvements	405,629	33,342	8,273	430,698	40,063	15,960	454,801
Buildings	3,398,048	243,794	46,878	3,594,964	279,907	70,847	3,804,024
Equipment, library books and other	2,058,098	191,704	54,334	2,195,468	182,217	57,466	2,320,219
Total accumulated depreciation	<u>5,861,775</u>	<u>468,840</u>	<u>109,485</u>	<u>6,221,130</u>	<u>502,187</u>	<u>144,273</u>	<u>6,579,044</u>
Capital assets, net	<u>\$ 8,984,590</u>	<u>2,129,887</u>	<u>1,072,999</u>	<u>10,041,478</u>	<u>2,348,809</u>	<u>1,688,798</u>	<u>10,701,489</u>

## Notes to Financial Statements

June 30, 2014 and 2013

### 7. Long-term Liabilities (continued)

Total obligations as of June 30, 2014 and 2013, other than facilities obligations, which are included as of March 31, 2014 and 2013, are summarized in Table D.

#### *Educational Facilities*

The State University, through DASNY, has entered into financing agreements to finance various educational facilities which have a maximum 30-year life. Athletic facility debt is aggregated with educational facility debt. Debt service is paid by, or from specific appropriations of, the State.

In 2013, the State enacted legislation providing for the issuance of State Sales Tax Revenue Bonds. During the year, Sales Tax Revenue Bonds were issued with a par amount of \$465.3 million at a premium of \$32.7 million for the purpose of financing capital construction and major rehabilitation for educational facilities.

Personal Income Tax Revenue Bonds were also issued with a par amount of \$231.2 million at a premium of \$19.2 million for the purpose of financing capital construction and major

rehabilitation for educational facilities. Also, during the year PIT bonds were issued with a par amount of \$164.0 million at a premium of \$19.2 million in order to refund \$172.6 million of the State University's existing educational facilities obligations. The result will produce an estimated loss of \$2.9 million in future cash flow, with an estimated present value gain of \$8.6 million.

#### *Residence Hall Facilities*

The State University has entered into capital lease agreements for residence hall facilities. DASNY bonds for most of the residence hall facilities, which have a maximum 30-year life, are repaid from room rentals and other residence hall revenues. Upon repayment of the bonds, including interest thereon, and the satisfaction of all other obligations under the lease agreements, DASNY shall convey to the State University all rights, title, and interest in the assets financed by the capital lease agreements. Residence hall facilities revenue realized during the year from facilities from which there are bonds outstanding is pledged as a security for debt service and is assigned to DASNY to the extent required for debt service purposes. Any excess funds pledged to DASNY are available for residence hall capital and operating purposes.

**Table D** (in thousands)

<i>For the 2014 Fiscal Year</i>	July 1, 2013	Additions	Reductions	June 30, 2014	Current Portion
Long-term debt:					
Educational facilities	\$ 7,209,018	860,485	528,302	7,541,201	308,268
Unamortized bond premium - educational facilities	462,807	71,151	32,965	500,993	26,312
Residence hall facilities	1,546,315	-	331,255	1,215,060	50,805
Unamortized bond premium - residence hall facilities	78,941	-	2,971	75,970	2,971
Capital lease arrangements	182,006	49,173	54,823	176,356	50,816
Other long-term debt	44,714	50,811	7,348	88,177	11,516
Total long-term debt	<u>9,523,801</u>	<u>1,031,620</u>	<u>957,664</u>	<u>9,597,757</u>	<u>450,688</u>
Other long-term liabilities:					
Postemployment and post-retirement	3,732,255	718,598	280,070	4,170,783	-
Collateralized borrowing	-	472,414	1,080	471,334	3,910
Litigation	479,983	88,140	25,355	542,768	35,217
Other long-term liabilities	474,087	141,000	155,515	459,572	175,258
Total other long-term liabilities	<u>4,686,325</u>	<u>1,420,152</u>	<u>462,020</u>	<u>5,644,457</u>	<u>214,385</u>
Total long-term liabilities	<u>\$ 14,210,126</u>	<u>2,451,772</u>	<u>1,419,684</u>	<u>15,242,214</u>	<u>665,073</u>

# Notes to Financial Statements

June 30, 2014 and 2013

## 7. Long-term Liabilities (continued)

**Table D, continued** (in thousands)

<i>For the 2013 Fiscal Year</i>	July 1, 2012	Additions	Reductions	June 30, 2013	Current Portion
Long-term debt:					
Educational facilities	\$ 6,612,512	1,075,420	478,914	7,209,018	328,094
Unamortized bond premium -					
Educational facilities	309,265	177,452	23,910	462,807	23,910
Residence hall facilities	1,364,250	234,720	52,655	1,546,315	49,515
Unamortized bond premium -					
residence hall facilities	44,465	37,447	2,971	78,941	2,971
Capital lease arrangements	194,896	37,224	50,114	182,006	51,142
Other long-term debt	186,194	8,491	149,971	44,714	7,202
<b>Total long-term debt</b>	<b>8,711,582</b>	<b>1,570,754</b>	<b>758,535</b>	<b>9,523,801</b>	<b>462,834</b>
Other long-term liabilities:					
Postemployment and post-retirement	3,261,435	731,716	260,896	3,732,255	-
Litigation	502,480	-	22,497	479,983	37,187
Other long-term liabilities	474,930	153,920	154,763	474,087	178,623
<b>Total other long-term liabilities</b>	<b>4,238,845</b>	<b>885,636</b>	<b>438,156</b>	<b>4,686,325</b>	<b>215,810</b>
<b>Total long-term liabilities</b>	<b>\$ 12,950,427</b>	<b>2,456,390</b>	<b>1,196,691</b>	<b>14,210,126</b>	<b>678,644</b>

In prior years, the State University defeased various obligations, whereby proceeds of new obligations were placed in an irrevocable trust to provide for all future debt service payments on the defeased obligations. Accordingly, the trust account assets and liabilities for the defeased obligations are not included in the State University's financial statements. As of March 31, 2014, \$247.6 million of outstanding educational facilities obligations were considered defeased.

### Collateralized Borrowing

In March 2013, the State enacted legislation amending the Public Authorities Law and Education Law of the State. The amendments, among other things, authorized the State University to assign to DASNY all of the State University's rights, title and interest in dormitory facilities revenues derived from payments made by students and others for use and occupancy of certain dormitory facilities. The amendments further authorize DASNY to issue

Requirements of the long-term debt obligations as of June 30, 2014 are as follows (in thousands):

Fiscal year(s)	Educational Facilities		Residential Facilities		Other		Total	
	Principal	Interest	Principal	Interest	Principal	Interest	Principal	Interest
2015	\$ 308,268	376,207	50,805	57,947	91,615	4,724	450,688	438,878
2016	240,309	364,073	53,160	55,591	80,126	3,630	373,595	423,294
2017	207,934	352,335	53,075	53,252	66,625	2,963	327,634	408,550
2018	335,436	339,182	50,550	50,861	57,634	2,470	443,620	392,513
2019	286,548	324,299	44,975	48,531	53,975	1,997	385,498	374,827
2020-24	1,522,512	1,435,376	230,125	208,350	186,945	4,375	1,939,582	1,648,101
2025-29	1,602,344	1,008,504	198,245	155,941	120,110	689	1,920,699	1,165,134
2030-34	1,366,260	635,088	215,795	106,494	91,834	262	1,673,889	741,844
2035-39	1,217,765	295,229	216,865	51,319	61,171	-	1,495,801	346,548
2040-44	453,825	45,714	101,465	8,438	31,461	-	586,751	54,152
<b>Total</b>	<b>\$ 7,541,201</b>	<b>5,176,007</b>	<b>1,215,060</b>	<b>796,724</b>	<b>841,496</b>	<b>21,110</b>	<b>9,597,757</b>	<b>5,993,841</b>
	Interest rates range from 0.7% to 5.875%		Interest rates range from 2.0% to 5.25%		Interest rates range from 0.32% to 5.8%			

# Notes to Financial Statements

*June 30, 2014 and 2013*

## 7. Long-term Liabilities (continued)

State University of New York Dormitory Facilities Revenue Bonds payable from and secured by the dormitory facilities revenues assigned to it by the State University. The enacted legislation also created a special fund to be held by the State's Commissioner of Taxation and Finance on behalf of DASNY. All dormitory facilities revenues collected by the State University are required to be deposited in this special fund.

In August 2013, bonds with a par amount of \$175.1 million were issued by DASNY at a premium of \$10.3 million under this new program for the construction and rehabilitation of residential facilities. Also under this new program, bonds with a par amount of \$264.9 million at a premium of \$22.1 million were issued to refinance \$281.7 million of the State University's existing residential facility obligations. The result will produce an estimated gain of \$2.4 million in future cash flow, with an estimated present value gain of \$1.9 million. These bonds are special obligations of DASNY payable solely from the dormitory facilities revenues collected by the State University as agent for DASNY. The outstanding obligations under these bonds is reported as collateralized borrowing in the State University's financial statements since these bonds are not payable from any money of the State University or the State and neither the State University nor the State has any obligation to make any payments with respect to the debt service on the bonds. The pledge revenues recognized during the fiscal year ended June 30, 2014 amounted to \$505.2 million. There were no principal or interest payments due for the collateralized borrowings during the fiscal year ended June 30, 2014. Total principal and interest outstanding on the bonds were \$440.0 million and \$270.4 million, respectively, payable through July 1, 2043.

## 8. Retirement Plans

### *Retirement Benefits*

There are three major retirement plans for State University employees: the New York State and Local Employees' Retirement System (ERS), the New York State Teachers' Retirement System (TRS), and the Teachers Insurance and Annuity Association – College Retirement Equities Fund (TIAA-CREF).

ERS is a cost-sharing, multiple-employer, defined benefit public plan administered by the State Comptroller. TRS is a cost-sharing, multiple-employer, defined benefit public plan separately administered by a nine-member board. TIAA-CREF is a multiple-employer, defined contribution plan administered by separate boards of trustees. Substantially all full-time employees participate in the plans.

Obligations of employers and employees to contribute, and related benefits, are governed by the New York State Retirement and Social Security Law (NYSRSSL) and Education Law. These plans offer a wide range of programs and benefits. ERS and TRS benefits are related to years of credited service and final average salary, vesting of retirement benefits, death and disability benefits, and optional methods of benefit payments. TIAA-CREF is a State University Optional Retirement Program (ORP) and offers benefits through annuity contracts.

**ERS** and **TRS** provide retirement benefits as well as death and disability benefits. Benefits generally vest after five years of credited service. For those joining after January 1, 2010, benefits generally vest after 10 years of credited service. The NYSRSSL provides that all participants in ERS and TRS are jointly and severally liable for any actuarial unfunded amounts. Such amounts are collected through annual billings to all participating employers. Employees who joined ERS and TRS after July 27, 1976 and before January 1, 2010, and have less than ten years of service or membership are required to contribute 3 percent of their salary. Those joining on or after January 1, 2010 and before April 1, 2012 are required to contribute 3.5 percent of their annual salary for their entire working career. Those joining on or after April 1, 2012 are required to contribute between 3 percent and 6 percent, dependent upon their salary, for their entire working career. Employee contributions are deducted from their salaries and remitted on current basis to ERS and TRS. Employer contributions are actuarially determined for ERS and TRS.

**TIAA-CREF** provides benefits through annuity contracts and provides retirement and death benefits to those employees who elected to participate in the ORP. Benefits are determined by the amount of individual accumulations and the retirement income option selected. All benefits generally vest after the

# Notes to Financial Statements

June 30, 2014 and 2013

## 8. Retirement Plans (continued)

completion of one year of service if the employee is retained thereafter. Employees who joined TIAA-CREF after July 27, 1976, and have less than ten years of service or membership are required to contribute 3 percent of their salary. Those joining on or after April 1, 2012 are required to contribute between 3 percent and 6 percent, dependent upon their salary, for their entire working career. Employer contributions range from 8 percent to 15 percent depending upon when the employee was hired. Employee contributions are deducted from their salaries and remitted on a current basis to TIAA-CREF.

The State University's total retirement-related payroll was \$3.20 billion for both fiscal years. The payroll for 2014 and 2013 for State University employees covered by TIAA-CREF was \$1.80 billion and \$1.83 billion, ERS was \$1.26 billion and \$1.23 billion, and TRS was \$141 million and \$135 million, respectively. Employer and employee contributions under each of the plans were as follows for years 2014, 2013, and 2012, respectively (in millions):

	<u>2014</u>	<u>2013</u>	<u>2012</u>
Employer contributions:			
TIAA-CREF	\$ 199.8	206.4	202.3
ERS	130.3	116.1	93.4
TRS	11.9	12.0	10.7
Employee contributions:			
TIAA-CREF	\$ 21.0	19.0	21.2
ERS	18.6	18.1	17.4
TRS	1.4	1.4	1.3

The employer contributions are equal to 100 percent of the required contributions under each of the respective plans.

Each retirement system issues a publicly available financial report that includes financial statements and supplementary information. The reports may be obtained by writing to:

New York State and Local Employees'  
Retirement System  
110 State Street  
Albany, New York 12244

New York State Teachers' Retirement System  
10 Corporate Woods Drive  
Albany, New York 12211

Teachers Insurance and Annuity Association/  
College Retirement Equities Fund  
730 Third Avenue  
New York, New York 10017

As part of the Community General Hospital (CGH) acquisition, the State University assumed the assets and liabilities of a single employer defined benefit plan (Plan) for certain CGH retirees and those employees that elected to stay in the Plan. For those who opted out of the Plan, benefit accruals were frozen. No new participants can enter this plan. The Plan issues stand-alone financial statements on a calendar year basis (i.e., December 31). The annual required contribution (ARC) was determined as part of the actuarial valuation using the projected unit credit actuarial cost method. The funding policy is to contribute enough to the Plan to satisfy the ARC and the employer contributions. For the calendar years ended December 31, 2013 and 2012 employer contributions were \$2.6 million and \$3.0 million, respectively. Employees do not contribute to the Plan. The actuarial accrued liabilities at December 31, 2013 and 2012 were \$87.9 million and \$84.8 million and Plan assets were \$77.0 million and \$70.2 million, respectively. At June 30, 2014 the State University has a net pension obligation for the Plan of \$10.0 million.

The Research Foundation maintains a separate non-contributory plan through TIAA-CREF for substantially all nonstudent employees. Contributions are based on a percentage of earnings and range from 8 percent to 15 percent, depending on date of hire. Employees become fully vested after completing one year of service. Contributions are allocated to individual employee accounts. The payroll for Research Foundation employees covered by TIAA-CREF for its fiscal years ended June 30, 2014 and 2013 was \$359 million and \$355 million, respectively. The Research Foundation pension contributions were \$30.1 million for both fiscal years. These contributions are equal to 100 percent of the required contributions for each year.

### **Postemployment and Post-retirement Benefits**

The State, on behalf of the State University, provides health insurance coverage for eligible retired State University employees and their spouses as part of the New York State Health Insurance Plan (NYSHIP). NYSHIP offers comprehensive benefits through various providers consisting of hospital, medical, mental health, substance abuse and prescription drug programs. The State administers

## Notes to Financial Statements

June 30, 2014 and 2013

### 8. Retirement Plans (continued)

NYSHIP and has the authority to establish and amend the benefit provisions offered. NYSHIP is considered an agent multiple-employer defined benefit plan, is not a separate entity or trust, and does not issue stand-alone financial statements. The State University, as a participant in the plan, recognizes these other postemployment benefit (OPEB) expenses on an accrual basis.

Employee and retiree contribution rates for NYSHIP are established by the State and are generally 12 percent, and range from 10 to 16 percent for enrollee coverage. The dependent coverage rate is 27 percent and ranges from 25 to 31 percent. NYSHIP premiums are being financed on a pay-as-you-go basis. During the fiscal year, the State, on behalf of the State University, paid health insurance premiums of \$252.1 million. The State University's OPEB obligation and funded status of the plan for the years ended June 30, 2014, 2013, and 2012 were as follows (in thousands):

	<u>2014</u>	<u>2013</u>	<u>2012</u>
Annual OPEB cost \$	718,598	715,910	783,713
Benefits paid	(252,084)	(243,446)	(236,745)
Increase in OPEB Obligation	466,514	472,464	546,968
Net obligation at beginning of year	<u>3,551,419</u>	<u>3,078,955</u>	<u>2,531,987</u>
Net obligation at end of year	\$ <u>4,017,933</u>	<u>3,551,419</u>	<u>3,078,955</u>
Funded Status:			
Actuarial accrued liability (AAL)	13,932,707	13,932,707	12,200,313
Actuarial value of OPEB plan assets	-	-	-
Unfunded AAL (UAAL)	<u>\$ 13,932,707</u>	<u>13,932,707</u>	<u>12,200,313</u>
Actuarial valuation date	4/1/12	4/1/12	4/1/10
Funded ratio	-	-	-
Covered payroll \$	3,201,732	3,200,930	3,140,693
UAAL as a % of covered payroll	435%	435%	388%

The components of the State University's OPEB obligation include the total annual required contribution (ARC) of \$732.2 million (comprised of service costs of \$282.2 million, amortization of unfunded actuarial liability of \$427.9 million, and interest costs of \$22.1 million), ARC reduction of \$124.7 million, and interest costs of \$111.1 million.

The initial unfunded accrued actuarial liability is being amortized over an open period of thirty years using the level percentage of projected payroll amortization method.

The actuarial valuation utilizes a frozen entry age actuarial cost method. The actuarial assumptions include a 3.1 percent discount rate, payroll growth rate of 3.0 percent, and an annual healthcare cost trend rate for medical coverage of 9 percent initially, reduced by decrements to a rate of 4.75 percent after 7 years.

Projections of benefits are based on the plan and include the types of benefits provided at the time of each valuation. Actuarial valuations involve estimates of the value of reported amounts and assumptions about the probability of future events, and actual results are considered for future valuations. The actuarial methods and assumptions used are designed to reduce short-term volatility in reported amounts and reflect a long-term perspective.

The Research Foundation sponsors a separate single employer defined benefit post-retirement plan that covers substantially all nonstudent employees. The plan provides post-retirement medical benefits and is contributory for employees hired after 1985. In fiscal years 2011 and 2013, the Research Foundation amended the plan to increase the participant contribution rates for those hired after 1985 with the specific rates to be determined based on an employee's years of service.

Contributions by the Research Foundation are made pursuant to a funding policy established by its Board of Directors. Assets are held in a Voluntary Employee Benefit Association (VEBA) trust and are considered plan assets in determining the funded status or funding progress of the plan under GASB reporting and measurement standards. The plan issued stand-alone financial statements for the 2013 calendar year.

## Notes to Financial Statements

June 30, 2014 and 2013

### 8. Retirement Plans (continued)

The Research Foundation's OPEB obligation and funded status of the plan for the years ended June 30, 2014, 2013, and 2012, respectively, were as follows (in thousands):

	<u>2014</u>	<u>2013</u>	<u>2012</u>
Annual OPEB cost	\$ (9,982)	15,805	(14,726)
Benefits paid	(9,557)	(9,493)	(9,638)
Contribution to plan	<u>(8,447)</u>	<u>(7,956)</u>	<u>(6,816)</u>
Change in OPEB Obligation	(27,986)	(1,644)	(31,180)
Net obligation at beginning of year	<u>180,836</u>	<u>182,480</u>	<u>213,660</u>
Net obligation at end of year	\$ <u>152,850</u>	<u>180,836</u>	<u>182,480</u>
Funded Status:			
Actuarial accrued liability (AAL)	294,535	302,530	298,166
Actuarial value of OPEB plan assets	<u>148,675</u>	<u>124,829</u>	<u>106,602</u>
Unfunded AAL (UAAL)	\$ <u>145,860</u>	<u>177,701</u>	<u>191,564</u>
Actuarial valuation date	6/30/14	6/30/13	6/30/12
Funded ratio	50%	41%	36%
Covered payroll	\$ 235,751	234,009	245,039
UAAL as a % of covered payroll	62%	76%	78%

The components of the Research Foundation OPEB obligation at June 30, 2014 include the total annual required contribution (ARC) of \$170.8 million (comprised of service costs of \$10.6 million and amortization of unfunded actuarial accrued liability of \$160.2 million), ARC reduction of \$193.5 million, and interest costs of \$12.7 million. The unfunded actuarial accrued liability is amortized over one year. The cost of the benefits provided under this plan is recognized on an actuarially determined basis using the projected unit cost method. Under this method, actuarial assumptions are made based on employee demographics and medical trend rates to calculate the accrued benefit cost. The actuarial assumptions include a 7 percent discount rate, and an initial healthcare cost trend rate range of 6.0 percent to 8.5 percent grading

down to 5 percent in 2021 and later. A blended discount rate was utilized using the expected investment return on investments of the plan and investments held in the operational pool expected to be used to fund future OPEB obligations.

### 9. Commitments

The State University has entered into contracts for the construction and improvement of various projects. At June 30, 2014, these outstanding contract commitments totaled approximately \$1.0 billion.

The State University is also committed under numerous operating leases covering real property and equipment. The Research Foundation also contracts with various entities to lease space as part of its mission to support the State University research and university-industry-government partnerships. Rental expenditures reported for the years ended June 30, 2014 and 2013 under such operating leases were \$89.3 million and \$77.4 million, respectively. The following is a summary of the future minimum rental commitments under non-cancelable real property and equipment leases with terms exceeding one year (in thousands):

Year ending June 30:

2015	\$ 86,400
2016	79,191
2017	71,808
2018	65,071
2019	64,195
2020-24	145,188
2025-29	39,038
2030-98	<u>44,802</u>
Total	\$ <u>595,693</u>

### 10. Contingencies

The State is contingently liable in connection with claims and other legal actions involving the State University, including those currently in litigation, arising in the normal course of State University activities. The State University does not carry malpractice insurance and, instead, administers these types of cases in the same manner as all other claims against the State involving State University activities in that any settlements of judgments and claims are

# Notes to Financial Statements

*June 30, 2014 and 2013*

## 10. Contingencies (continued)

paid by the State from an account established for this purpose. With respect to pending and threatened litigation, the medical malpractice liability includes incurred but not reported (IBNR) loss estimates. The estimate of IBNR losses is actuarially determined based on historical experience using a discounted present value of estimated future cash payments. The State University has recorded a liability and a corresponding appropriation receivable of approximately \$543 million and \$480 million at June 30, 2014 and 2013, respectively (almost entirely related to hospitals and clinics).

The State University is exposed to various risks of loss related to damage and destruction of assets, injuries to employees, damage to the environment or noncompliance with environmental requirements, and natural and other unforeseen disasters. The State University has insurance coverage for its residence hall facilities. However, in general, the State University does not insure its educational buildings, contents or related risks and does not insure its vehicles and equipment for claims and assessments arising from bodily injury, property damages, and other perils. Unfavorable judgments, claims, or losses incurred by the State University are covered by the State on a self-insured basis. The State does have fidelity insurance on State employees.

As part of the acquisition of Long Island College Hospital, a separate entity, Staffco of Brooklyn, LLC (Staffco), was created as a single member Limited Liability Company of the Health Science Center at Brooklyn Foundation, Inc. In 2011, Staffco entered into a professional employer agreement with the State University (acting through the Hospital) to provide non-physician staffing at the LICH campus. Staffco is responsible for providing all routine administrative and human resources functions with respect to the employment of the Staffco employees. The State University is responsible for reimbursing Staffco for its direct and indirect costs relating to the non-physician staffing.

Staffco contributes to a multiemployer defined benefit pension plan (multiemployer plan) under the terms of a collective-bargaining agreement that covers union-represented employees. Under this multiemployer plan, assets contributed to the multiemployer plan by one employer may be used to provide benefits to employees of other participating

employers. If a participating employer stops contributing to the multiemployer plan, the unfunded obligations of the plan may be shared by the remaining participating employers. If Staffco were to stop participating in the multiemployer plan, Staffco may be required to pay this multiemployer plan an amount based on the underfunded status of the multiemployer plan, referred to as a withdrawal liability. In accordance with the professional employer agreement, the State University may be required to pay Staffco the amount of the withdrawal liability.

## 11. Related Parties

The State University's single largest source of revenue is State appropriations. State appropriations take the form of direct assistance, debt service on educational facility and PIT bonds, fringe benefits for State University employees, and litigation expenses for which the State is responsible. State appropriations totaled \$3.09 billion and \$2.83 billion and represented approximately 30 percent and 29 percent of total revenues for the 2014 and 2013 fiscal years, respectively. The State University's continued operational viability is substantially dependent upon a consistent and proportionate level of ongoing State support.

## 12. Federal Grants and Contracts and Third-Party Reimbursement

Substantially all federal grants and contracts are subject to financial and compliance audits by the grantor agencies of the federal government. Disallowances, if any, as a result of these audits may become liabilities of the State University. State University management believes that no material disallowances will result from audits by the grantor agencies.

The State University hospitals have agreements with third-party payors, which provide for reimbursement to the hospitals at amounts different from the hospitals' established charges. Contractual service allowances and discounts (reflected through State University hospitals and clinics sales and services) represent the difference between the hospitals' established rates and amounts reimbursed by third-party payors. The State University has made provision in the accompanying financial statements for estimated retroactive adjustments relating to third-party payor cost reimbursement items.

## Notes to Financial Statements

June 30, 2014 and 2013

### 13. Condensed financial statement information of the Research Foundation

The condensed financial statement information of the Research Foundation, contained in the combined totals of the State University reporting entity in accordance with GASB accounting and reporting requirements, is shown below (in thousands):

#### Condensed Balance Sheet

	2014	2013
<u>Assets</u>		
Current assets	\$ 463,305	420,390
Capital assets	206,673	147,521
Other assets	41,552	25,579
Total assets	\$ <u>711,530</u>	<u>593,490</u>
<u>Liabilities</u>		
Current liabilities	319,663	303,092
Noncurrent liabilities	322,467	259,480
Total liabilities	<u>642,130</u>	<u>562,572</u>
<u>Net position</u>		
Invested in capital assets, net	33,982	49,618
Unrestricted	35,418	(18,700)
Total net position	<u>69,400</u>	<u>30,918</u>
Total liabilities and net position	\$ <u>711,530</u>	<u>593,490</u>

#### Condensed Statement of Revenues, Expenses, and Changes in Net Position

	2014	2013
<u>Operating revenues</u>		
Federal grants and contracts	\$ 499,688	532,581
State grants and contracts	173,531	180,436
Private grants and contracts	230,039	289,646
Other operating revenues	78,460	65,350
Total operating revenues	<u>981,718</u>	<u>1,068,013</u>
<u>Operating expenses</u>		
Instruction	79,220	72,024
Research	562,313	601,933
Public service	122,706	126,780
Institutional support	149,209	187,191
Other operating expenses	43,542	50,992
Depreciation and amortization expense	37,025	27,741
Total operating expenses	<u>994,015</u>	<u>1,066,661</u>
Operating (loss) income	<u>(12,297)</u>	<u>1,352</u>
Net nonoperating revenues	50,779	19,800
Increase in net position	<u>38,482</u>	<u>21,152</u>
Net position at the beginning of the year	<u>30,918</u>	<u>9,766</u>
Net position at the end of the year	\$ <u>69,400</u>	<u>30,918</u>

#### Condensed Statement of Cash Flows

	2014	2013
Cash flows from operating activities	\$ 114,025	(13,698)
Cash flows from noncapital financing activities	(18,797)	(3,079)
Cash flows from capital and related financing activities	(93,801)	(47,697)
Cash flows from investing activities	(2,100)	64,450
Net change in cash	<u>(673)</u>	<u>(24)</u>
Cash - beginning of year	892	916
Cash - end of year	\$ <u>219</u>	<u>892</u>

### 14. Subsequent Events

In July 2014, PIT Revenue Bonds were issued totaling \$694 million for the purpose of financing capital construction and major rehabilitation for educational facilities.

On June 30, 2014, the State University through a related party, Downstate at LICH Holding Company, entered into a Purchase and Sale Agreement with Fortis Property Group, LLC (Fortis) to sell the LICH property. Under the agreement, the real estate, improvements and related personal property will be sold to an affiliate of Fortis. A healthcare provider will provide healthcare services, including an off-campus emergency department at the LICH campus. The Agreement was approved by the New York State Offices of the Attorney General and the State Comptroller on October 28, 2014. The State University ceased to operate the emergency department on October 31, 2014. It is anticipated that the entire transaction will close in stages over the course of the next four years.

### 15. Component Units

The reported totals of the discretely presented component units include campus-related foundations, auxiliary services corporations, and student housing corporations. These related entities are campus-based, legally separate, nonprofit organizations. The campus-related foundations are responsible for the fiscal administration of revenues and support received for the promotion, development and advancement of the welfare of campuses, the State University and its students,

# Notes to Financial Statements

June 30, 2014 and 2013

## 15. Component Units (continued)

faculty, staff and alumni. The foundations receive the majority of their support and revenues through contributions, gifts and grants and provide benefits to their campus, students, faculty, staff and alumni. The auxiliary services corporations act as independent contractors, operate, manage, and promote educationally related services for the benefit of the campus community. In addition, the reported amounts include student housing corporations, nonprofit organizations that operate and administer certain housing and related services for students.

All these organizations are exempt from federal income taxes on related income pursuant to Section 501(a) of the Internal Revenue Code. All of the financial data for these organizations was derived from each entity's individual audited financial statements, reported in accordance with generally accepted accounting principles promulgated by FASB, the majority of which have a May 31 or June 30 fiscal year end. The financial statements of the discretely presented component units were not audited in accordance with Government Auditing Standards.

Separately issued financial statements of the component unit entities may be obtained by writing to:

The State University of New York  
Office of the University Controller  
State University Plaza, N-514  
Albany, New York 12246

### Net Asset Classifications

Unrestricted net assets represent resources whose uses are not restricted by donor-imposed stipulations and are generally available for the support of the State University campus and affiliated entity programs and activities. Temporarily restricted net assets represent resources whose use is limited by donor-imposed stipulations that either expire by the passage of time or are removed by specific actions. Permanently restricted net assets represent resources that donors have stipulated must be maintained permanently. The income derived from the permanently restricted net assets is permitted to be spent in part or in whole, restricted only by the donors' wishes.

### Investments

All investments with readily determinable fair values have been reported in the financial statements at fair value. Realized and unrealized gains and losses are recognized in the statement of activities. Gains or losses on investments are recognized as increases or decreases in unrestricted net assets unless their use is temporarily or permanently restricted by explicit donor stipulations or by law. Investments of the State University discretely presented component units were \$1.95 billion and \$1.68 billion as of June 30, 2014 and 2013, respectively.

The composition of investments is as follows (in thousands):

	<u>2014</u>	<u>2013</u>
Equities - domestic	\$ 606,335	533,877
Equities - international	317,140	254,680
Non-equities	451,870	388,945
Multi-strategy funds	222,738	190,010
Hedge funds	132,798	114,680
Equity partnerships	111,035	97,043
Real assets	91,315	72,078
Other investments	17,663	26,260
Total investments	<u>\$ 1,950,894</u>	<u>1,677,573</u>

### Capital Assets

Capital assets are stated at cost, if purchased, or fair value at date of receipt, if acquired by gift. Land improvements, buildings, and equipment are depreciated over their estimated useful lives using the straight-line method. Capital assets, net of accumulated depreciation, totaled \$620.3 million and \$628.6 million at fiscal year end 2014 and 2013, respectively. Capital asset classifications are summarized as follows (in thousands):

	<u>2014</u>	<u>2013</u>
Land and land improvements	\$ 38,405	40,402
Buildings	687,497	681,640
Equipment	116,728	108,488
Artwork and library books	26,634	25,678
Construction in progress	31,766	23,423
Total capital assets	901,030	879,631
Less accumulated depreciation	<u>280,758</u>	<u>251,027</u>
Capital assets, net	<u>\$ 620,272</u>	<u>628,604</u>

## Notes to Financial Statements

June 30, 2014 and 2013

### 15. Component Units (continued)

#### Long-term Debt

The component units have entered into various financing arrangements, principally through the issuance of Industrial Development Agency, Local Development Corporation, and Housing Authority bonds, for the construction of student residence hall facilities. The following is a summary of the future minimum annual debt service requirements for the next five years and thereafter (in thousands):

Year ending June 30:

2015	\$ 17,248
2016	15,249
2017	15,571
2018	15,076
2019	14,802
Thereafter	<u>393,199</u>
	<u>\$ 471,145</u>

#### Condensed financial statement information

The table below displays the combined totals of the foundations (including student housing corporations) and auxiliary services corporations (ASCs) (in thousands):

#### Combined Balance Sheets

	2014			2013		
	Foundations	ASCs	Total	Foundations	ASCs	Total
<b>Assets:</b>						
Investments	\$ 1,873,178	77,716	1,950,894	1,618,680	58,893	1,677,573
Capital assets, net	516,131	104,141	620,272	531,294	97,310	628,604
Other assets	423,783	159,300	583,083	451,121	143,542	594,663
Total assets	<u>\$ 2,813,092</u>	<u>341,157</u>	<u>3,154,249</u>	<u>2,601,095</u>	<u>299,745</u>	<u>2,900,840</u>
<b>Liabilities:</b>						
Current liabilities	167,590	112,583	280,173	177,775	91,654	269,429
Long-term debt/notes	440,683	30,462	471,145	444,843	33,580	478,423
Total liabilities	<u>608,273</u>	<u>143,045</u>	<u>751,318</u>	<u>622,618</u>	<u>125,234</u>	<u>747,852</u>
<b>Net Assets:</b>						
Unrestricted	517,951	197,637	715,588	443,378	174,035	617,413
Temporarily restricted	964,548	232	964,780	885,960	233	886,193
Permanently restricted	722,320	243	722,563	649,139	243	649,382
Total net assets	<u>2,204,819</u>	<u>198,112</u>	<u>2,402,931</u>	<u>1,978,477</u>	<u>174,511</u>	<u>2,152,988</u>
Total liabilities and net assets	<u>\$ 2,813,092</u>	<u>341,157</u>	<u>3,154,249</u>	<u>2,601,095</u>	<u>299,745</u>	<u>2,900,840</u>

#### Combined Statements of Activities

<b>Revenues:</b>						
Contributions, gifts and grants	\$ 176,690	-	176,690	187,451	-	187,451
Food and auxiliary services	-	348,277	348,277	-	334,137	334,137
Sales and services	163,457	-	163,457	184,349	-	184,349
Other revenue	378,727	8,113	386,840	306,076	7,610	313,686
Total revenues	<u>718,874</u>	<u>356,390</u>	<u>1,075,264</u>	<u>677,876</u>	<u>341,747</u>	<u>1,019,623</u>
<b>Expenses:</b>						
Food and auxiliary services	-	275,854	275,854	-	272,841	272,841
Program expenses	105,517	10,047	115,564	104,070	10,020	114,090
Health care services	155,079	-	155,079	170,008	-	170,008
Other expenses	231,936	46,888	278,824	213,214	43,683	256,897
Total expenses	<u>492,532</u>	<u>332,789</u>	<u>825,321</u>	<u>487,292</u>	<u>326,544</u>	<u>813,836</u>
Total change in net assets	226,342	23,601	249,943	190,584	15,203	205,787
Net assets at the beginning of year	1,978,477	174,511	2,152,988	1,787,893	159,308	1,947,201
Net assets at the end of year	<u>\$ 2,204,819</u>	<u>198,112</u>	<u>2,402,931</u>	<u>1,978,477</u>	<u>174,511</u>	<u>2,152,988</u>

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# Independent Auditors' Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing Standards*



**KPMG LLP**  
515 Broadway  
Albany, NY 12207-2974

The Board of Trustees  
State University of New York:

We have audited, in accordance with the 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 business type activities and the aggregate discretely presented component units of the State University of New York (the University) as of and for the year ended June 30, 2014, and related notes to the financial statements, which collectively comprise the University's basic financial statements, and have issued our report thereon dated November 5, 2014. Our report includes a reference to other auditors who audited the financial statements of certain discretely presented component units, as described in our report on the University's financial statements. This report does not include the results of the other auditors' testing of internal control over financial reporting and compliance and other matters that are reported on separately by those auditors.

### ***Internal Control over Financial Reporting***

In planning and performing our audit of the financial statements, we considered the University's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of University's internal control. Accordingly, we do not express an opinion on the effectiveness of University's internal control.

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. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

### ***Compliance and Other Matters***

As part of obtaining reasonable assurance about whether University's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

***Purpose of this Report***

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the University's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

November 5, 2014  
Albany, New York

KPMG LLP



## **ANNUAL FINANCIAL REPORT 2014**

The State University of New York  
State University Plaza  
Albany, NY 12246  
[www.suny.edu](http://www.suny.edu)

# Appendix 4.4

**IPEDS Spring 2012-2013 Import for F1B (Fiscal Year 2011-12)**

Contact Information:

Your name:

and Email:

Telephone:

This Survey is for SUNY at Binghamton

**General Information**

To the extent possible, the finance data requested in this report should be provided from your institution's audited General Purpose Financial Statement (GPFS). Please refer to the instructions specific to each page of the survey for detailed instruction and references. Note: Your fiscal year should end before October 1, if not please explain in the Caveats Section.

**1. This report covers financial activities for the 12-month fiscal year**

(Month,MM) (Year,YYYY)

Beginning: Month and Year	2011
Ending: Month and Year	2012

**2. Audit Opinion** Did your institution receive an unqualified opinion on its General Purpose Statement from your auditor for the fiscal year noted above? (If your institution is audited only in combination with an other entity, answer this question based on the audit of that entity.)

<b>Select One (X)</b>	<input checked="" type="checkbox"/> Unqualified
	<input type="checkbox"/> Qualified
	<input type="checkbox"/> Don't Know

**3. GASB Statement No. 34.** Which reporting model will be implemented by your institution ?

<b>Select One (X)</b>	<input checked="" type="checkbox"/> Business Type Activities
	<input type="checkbox"/> Governmental Activities
	<input type="checkbox"/> Governmental Activities with Business-Type Activities

**4. If your institution participates in intercollegiate athletics, are the expenses accounted for as auxiliary enterprises or treated as student services?**

<b>Select One (X)</b>	<input checked="" type="checkbox"/> Auxiliary enterprises
	<input type="checkbox"/> Student Services
	<input type="checkbox"/> Does not participate in intercollegiate athletics
	<input type="checkbox"/> Other (specify in caveats box below)

**5. Does this institution or any of its foundations or other affiliated organizations own endowment assets ?**

<b>Select One (X)</b>	<input checked="" type="checkbox"/> Yes - Report Endowment Records
	<input type="checkbox"/> No

**CAVEATS:**

**Please continue to next Tab.....**

**IPEDS Spring 2012-2013 Import for F1B (Fiscal Year 2011-12)**

This Survey is for SUNY at Binghamton

**Part A - Statement of Net Assets**

Report whole dollars

Line No.	Source of Funds	Current Year
<b>Current Assets</b>		
01	Total current assets	216,873,673
<b>Non Current Assets</b>		
31 (02)	Depreciable capital assets, net of depreciation.	715,451,126
04	Other noncurrent assets (A05 - A02)	94,034,022
05	Total noncurrent assets	809,485,148
06	<b>Total assets (A01 + A05)</b>	<b>1,026,358,821</b>
<b>Current Liabilities</b>		
07	Long-term debt, current portion	19,392,602
08	Other current liabilities (A09 - A07)	58,951,195
09	Total current liabilities	78,343,797
<b>Noncurrent Liabilities</b>		
10	Long-term debt	637,991,842
11	Other non-current liabilities (A12 - A10)	166,450,750
12	Total noncurrent liabilities	804,442,592
13	<b>Total liabilities (A09 + A12)</b>	<b>882,786,389</b>
<b>Net assets</b>		
14	Net assets invested in capital assets, net of related debt	133,932,156
15	Restricted expendable net assets	739,334
16	Restricted non-expendable net assets	
17	Unrestricted net assets (A18 - (A14 + A15 + A16))	8,900,942
18	<b>Total net assets (A06 - A13)</b>	<b>143,572,432</b>
<b>Part P Capital Assets</b>		
<b>Ending Balance</b>		
21	Land and land improvements	44,480,138
22	Infrastructure	38,941,680
23	Buildings	495,364,387
32 (24)	Equipment including art and library collections	180,017,862
27	Construction in progress	313,829,475
	<b>Totals for Plant, property, and Equipment (A21 - A27)</b>	<b>1,072,633,542</b>
28	Accumulated depreciation	357,182,416
33	Intangible assets, net of accumulated amortization	
34	Other capital assets	

**IPEDS Spring 2012-2013 Import for F1B (Fiscal Year 2011-12)**

**This Survey is for SUNY at Binghamton**

**Part B - Revenues and Other Additions**

Report whole dollars

Line	Function of Expenditures	Current Year Amount
<b>Operating Revenues</b>		
01	Tuition & fees after deducting discounts & allowances	86,271,121
<b>Grants and contracts - operating</b>		
02	Federal operating grants and contracts	28,770,022
03	State operating grants and contracts	2,927,106
04	Local government / private operating grants and contracts (04A+04B)	23,896,986
04A	Local operating grants and contracts	
04B	Private operating grants and contracts	23,896,986
05	Sales & services of auxiliary enterprises, after deducting discounts & allowances	80,798,580
06	Sales & services of hospitals, after deducting patient contractual allowances	
26	Sales & services educational activities	
07	Independent operations	
08	Other sources - operating (B09-(B01+ .. +B07))	3,537,165
09	Total operating revenues	226,200,980
<b>Nonoperating Revenues</b>		
10	Federal appropriations	
11	State appropriations	140,585,533
12	Local appropriations, education district taxes & similar support	
<b>Grants Nonoperating</b>		
13	Federal nonoperating grants	15,706,604
14	State nonoperating grants	11,834,865
15	Local government nonoperating grants	
16	Gifts, including contributions from affiliated organizations	2,155,703
17	Investment income	274,699
18	Other nonoperating revenues (B19-(B10+ .. +B17))	1,692,113
19	Total nonoperating revenues	172,249,517
<b>Other Revenues and Additions</b>		
20	Capital appropriations	
21	Capital grants & gifts	1,007,776
22	Additions to permanent endowments	
23	Other revenues & additions (B24-(B20+...+B22))	0
24	Total other revenues and additions	1,007,776
25	Total all revenues and other additions (B09+B19+B24)	399,458,273
27	Total operating and nonoperating revenues (B9+B19)	398,450,497
28	<b>12-month Student FTE (B28a +B28b)</b>	<b>0</b>
28a	12-month Undergraduate Enrollment ( From 12-month Enrollment survey)	
28b	12-month Graduate Enrollment (From 12-month Enrollment survey)	
29	Total operating and nonoperating revenues per student FTE (ratio of lines B27 over B28)	

This Survey is for SUNY at Binghamton

Report whole dollars

**Part C - Expenses and Other Deductions**

Line	Function of Expenditures	Total						
		1	2	3	4	5	6	7
		Salaries & wages	Employee fringe benefits	Operation and maintenance of plant	Depreciation	Interest	All other	
<b>Operating Expenses</b>								
01	Instruction	162,325,245	79,283,361	44,207,186	15,664,810	10,856,647	5,965,866	6,347,375
02	Research	34,112,347	12,213,395	3,756,182	4,807,016	3,390,590	1,830,729	8,114,435
03	Public service	6,308,042	3,203,470	1,355,222	226,690	157,110	86,334	1,279,216
05	Academic support	46,579,014	13,879,962	8,691,886	7,563,417	6,310,156	2,880,491	7,253,102
06	Student services	25,865,418	7,063,386	4,008,186	5,750,406	3,985,375	2,190,014	2,868,051
07	Institutional support	40,685,989	18,463,967	10,924,970	2,415,333	1,673,970	919,868	6,287,881
08	Operation and maintenance of plant (total - column 1, will be zero. Other amounts on this line should offset each other.)		11,344,977	8,359,489	-37,131,481			17,427,015
10	Scholarship and fellowship expenses	8,929,994						8,929,994
11	Auxiliary enterprises	86,107,417	21,069,655	13,307,716	703,809	3,468,431	7,261,565	40,296,241
12	Hospital services							
13	Independent operations							
14	Other expenses & deductions (C15-(C01..C13))	1,575,072	10,976	1,675				1,562,421
19	Total expenses and deductions - Total	412,488,538	166,533,149	94,612,512		29,842,279	21,134,867	100,365,731


(Part B line 28a)  
(Part B line 28b)

- 20 12-month Student FTE (C20a + C20b)
- 20a 12-month Undergraduate Enrollment ( From 12-month Enrollment survey)
- 20b 12-month Graduate Enrollment (From 12-month Enrollment survey)
- 21 Total expenses and deductions per student FTE (Ratio of C19/C20)

**IPEDS Spring 2012–2013 Import for F1B (Fiscal Year 2011-12)**

This Survey is for SUNY at Binghamton

**Part D - Summary of Changes in Net Assets**

Report whole dollars

Line No.	Summary of Changes in Net Assets	
01	Total revenues & other additions (from B25)	399,458,273
02	Total expenses & deductions (from C19)	412,488,538
03	Increase in net assets during year (D01-D02)	-13,030,265
04	Net assets beginning of year	158,529,676
05	Adjustments to beginning net assets (D06-(D03+D04))	-1,926,979
06	Net assets end of year (from A18)	143,572,432

**Part E - Scholarship and Fellowships**

Report whole dollars

Line No.	Student Scholarships and Fellowships by Source	Total Amount
01	Pell grants (federal)	15,192,536
02	Other federal grants	365,942
03	Grants by state government	11,834,865
04	Grants by local government	
05	Institutional grants from restricted resources	9,468,430
06	Institutional grants from unrestricted resources (E07-(E01+...+E05))	6,782,133
07	Total gross scholarships and fellowships	43,643,906

**Discounts and Allowances**

08	Discounts and allowances applied to tuition and fees	23,429,059
09	Discounts and allowances applied to sales and services of auxiliary enterprises (E10-E08)	11,284,853
10	Total discounts and allowances (E07-E11)	34,713,912
11	Net scholarships and fellowship after deducting discount & allowances (C10)	8,929,994

**Part H - Details of Endowment Assets, (positional file only)**

Report whole dollars

Line No.	Line Value of Endowment Assets	
01	Value of endowment assets at the beginning of the fiscal year	64,085,560
02	Value of endowment assets at the end of the fiscal year	61,991,587

This Survey is for SUNY at Binghamton

**Part J - Revenue Data for Bureau of Census**

Line	Report whole dollars				
	Totals for all funds and Operations	Education and general / Independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / Experiment services
	1	2	3	4	5
01 Tuition and fees (generated)	109,700,180	109,700,180			
02 Sales and services	92,083,433		92,083,433		
03 Federal grants/contracts (excludes Pell Grants)	28,770,022	28,770,022			
<b>Revenue from the state government:</b>					
04 State appropriations, current & capital	140,585,533	140,585,533			
05 State grants and contracts	2,927,106	2,927,106			
<b>Revenue from local governments:</b>					
06 Local appropriation, current & capital					
07 Local government grants/contracts					
08 Receipts from property & non-property taxes (total)					
09 Gifts and private grants, including capital grants	3,163,479				
10 Interest earnings	274,699				
11 Dividend earnings					
12 Realized capital gains					

**IPEDS Spring 2012-2013 Import for F1B (Fiscal Year 2011-12)**

This Survey is for SUNY at Binghamton

**Part K - Expenditure Data for Bureau of Census**

Line	Revenue by Operation	Report whole dollars				
		Totals for all funds and Operations	Education and general / Independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / Experiment services
		1	2	3	4	5
01	Salaries and wages	166,533,149	145,463,494	21,069,655		
02	Employee benefits, total	94,612,512	81,304,796	13,307,716		
03	Payment to state retirement funds	16,483,825	14,038,066	2,445,759		
04	Current expenditures other than salaries					
<b>Capital outlay:</b>						
05	Construction	109,216,938	57,204,498	52,012,440		
06	Equipment purchases	7,309,169	7,309,169			
07	Land purchases	3,110,255	3,110,255			
08	Interest on debt outstanding, all funds & activities	7,548,284				
09	Scholarships / fellowships (C10, 1 + E8)	43,643,906	32,359,053			

**IPEDS Spring 2012-2013 Import for F1B (Fiscal Year 2011-12)**

This Survey is for SUNY at Binghamton

**Part L - Debt and Assets**

Report whole dollars

Line	Category Amount	Total Amount
<b>Debt</b>		
01	Long-term debt outstanding at beginning of fiscal year	
02	Long-term debt issued during fiscal year	
03	Long-term debt retired during fiscal year	
04	Long-term debt outstanding at end of fiscal year	
05	Short-term debt outstanding at beginning of fiscal year	
06	Short-term debt outstanding at end of fiscal year	
<b>Assets</b>		
07	Total cash and security assets held at end of fiscal year in sinking or debt service funds	
08	Total cash and security assets held at end of fiscal year in bond funds	
09	Total cash and security assets held at end of fiscal year in all other funds	

# Appendix 4.5

**IPEDS F1B GASB Aligned FY2012-13 as Reported in 2013-14**

Contact Information:

Your name:

and Email:

Telephone:

This survey is for SUNY at Binghamton

**General Information**

To the extent possible, the finance data requested in this report

should be available from

(Month MM)

<b>07</b>	<small>(Year YYYY)</small>
<b>06</b>	<b>2012</b>
	<b>2013</b>

**1. This report covers financial activities for the 12-month fiscal year**

Beginning: Month and Year

Ending: Month and Year

**2. Audit Opinion** Did your institution receive an unqualified opinion on its General Purpose Statement from your auditor for the fiscal year noted above? (If your institution is audited only in combination with an other entity, answer this question based on the audit of that entity.)

**Select One (X)**

- Unqualified
- Qualified
- Don't Know

**3. GASB Statement No. 34. Which reporting model will be implemented by your institution ?**

**Select One (X)**

- Business Type Activities
- Governmental Activities
- Governmental Activities with Business-Type Activities

**4. If your institution participates in intercollegiate athletics, are the expenses accounted for as auxiliary enterprises or treated as student services?**

**Select One (X)**

- Auxiliary enterprises
- Student Services
- Does not participate in intercollegiate athletics
- Other (specify in caveats box below)

**5. Does this institution or any of its foundations or other affiliated organizations own endowment assets ?**

**Select One (X)**

- Yes - Report Endowment Records
- No

CAVEATS:

**Please continue to next Tab.....**

**This survey is for SUNY at Binghamton**

**Part A: Statement of Financial Position**

Report whole dollars

Line No.	Source of Funds	Current Year
<b>Current Assets</b>		
01	Total current assets	237,358,060
<b>Non Current Assets</b>		
31 (02)	Depreciable capital assets, net of depreciation.	874,199,775
04	Other noncurrent assets (A05 - A31)	46,218,738
05	Total noncurrent assets	920,418,513
06	Total assets (A01 + A05)	1,157,776,573
<b>Current Liabilities</b>		
07	Long-term debt, current portion	22,883,914
08	Other current liabilities (A09 - A07)	74,458,561
09	Total current liabilities	97,342,475
<b>Noncurrent Liabilities</b>		
10	Long-term debt	741,008,935
11	Other non-current liabilities (A12 - A10)	174,228,338
12	Total noncurrent liabilities	915,237,273
13	Total liabilities (A09 + A12)	1,012,579,748
<b>Net assets</b>		
14	Net assets invested in capital assets, net of related debt	154,102,213
15	Restricted expendable	737,804
16	Restricted non-expendable	
17	Unrestricted net assets (A18 - (A14 + A15 + A16))	-9,643,192
18	Total net assets (A06 - A13)	145,196,825

Part P	Capital Assets	Ending Balance
21	Land and land Improvements	45,297,405
22	Infrastructure	39,134,594
23	Buildings	515,655,492
32 (24)	Equipment including art and library collections	195,540,136
27	Construction in progress	460,903,099
	Total for Plant, Property & Equipment (A21+ .. A27)	1,256,530,726
28	Accumulated depreciation	382,330,951
33	Intangible assets, net of accumulated amortization	
34	Other capital assets	

**IPEDS F1B GASB Aligned FY2012-13 as Reported in 2013-14**

This survey is for SUNY at Binghamton

**Part B: Revenues and Other Additions**

Report whole dollars

Line	Function of Expenditures	Current Year Amount
<b>Operating Revenues</b>		
01	Tuition & fees after deducting discounts & allowances	101,218,329
<b>Grants and contracts - operating</b>		
02	Federal operating grants and contracts	24,501,284
03	State operating grants and contracts	1,703,918
04	Local government / private operating grants and contracts (04a+04b)	23,342,215
04a	Local operating grants and contracts	
04b	Private operating grants and contracts	23,342,215
05	Sales & services of auxiliary enterprises, after deducting discounts & allowances	89,022,504
06	Sales & services of hospitals, after deducting patient contractual allowances	
26	Sales & services educational activities	
07	Independent operations	
08	Other sources - operating (B09-(B01+ .. +B07))	3,199,290
09	Total operating revenues	242,987,540
<b>Nonoperating Revenues</b>		
10	Federal appropriations	
11	State appropriations	138,795,455
12	Local appropriations, education district taxes & similar support	
<b>Grants Nonoperating</b>		
13	Federal nonoperating grants	15,575,178
14	State nonoperating grants	12,633,888
15	Local government nonoperating grants	
16	Gifts, including contributions from affiliated organizations	2,058,544
17	Investment income	441,159
18	Other nonoperating revenues (B19-(B10+ .. +B17))	701,554
19	Total nonoperating revenues	170,205,778
<b>Other Revenues and Additions</b>		
20	Capital appropriations	
21	Capital grants & gifts	10,346,595
22	Additions to permanent endowments	
23	Other revenues & additions (B24-(B20+ .. +B22))	
24	Total other revenues and additions	10,346,595
25	Total all revenues and other additions (B09+B19+B24)	423,539,913
27	Total operating and nonoperating revenues (B09+B19)	413,193,318
28	12-month Student FTE (B28a +B28b)	
28a	Undergraduate Enrollment (from 12-month Enrollment survey)	
28b	Graduate Enrollment (from 12-month Enrollment survey)	
29	Total operating and nonoperating revenues per student FTE (ratio of B27 over B28)	

**IPEDS F1B GASB Aligned FY2012-13 as Reported in 2013-14**

This survey is for SUNY at Binghamton

Report whole dollars

**Part C: Expenses and Other Deductions**

Line	Total amount	Salaries & wages	Employee fringe benefits	Operation & maintenance of plant	Depreciation	Interest	All other
	1	2	3	4	5	6	7
<b>Operating Expenses</b>							
01	165,438,913	81,469,319	45,830,412	14,254,829	9,974,421	6,109,843	7,800,089
02	31,166,068	10,354,599	3,564,510	4,174,942	5,454,382	1,789,445	5,828,190
03	6,591,187	3,366,388	1,496,172	255,432	178,731	109,482	1,184,982
05	48,710,276	14,475,394	9,398,391	6,734,020	7,449,041	2,886,306	7,767,124
06	26,607,013	7,372,411	4,301,334	5,645,852	3,950,528	2,419,900	2,916,988
07	40,862,106	17,766,490	10,250,869	2,182,988	1,527,485	935,663	8,198,611
08							
		13,261,382	8,718,651	-33,858,550			11,878,517
10	9,177,871						
11	91,686,605	22,095,429	13,777,125	610,487	3,121,268	10,623,615	41,458,681
12							
13							
14	2,180,327	241,333	824				1,938,170
19	422,420,366	170,402,745	97,338,288		31,655,856	24,874,254	98,149,223


**(For this form, input is optional)**  
**(For this form, input is optional)**

- 20 12-month Student FTE (C20a + C20b)
- 20a Undergraduate Enrollment (from 12-month enrollment survey)
- 20b Graduate Enrollment (from 12-month enrollment survey)
- 21 Total expenses and deductions per student FTE (Ratio of C19 over C20)

**Part D: Summary of Changes in Net Position**

Line No.	Summary of Changes in Net Assets	
01	Total revenues & other additions (from B25)	423,539,913
02	Total expenses & deductions (from C19)	422,420,366
03	Change in net assets during year (D01-D02)	1,119,547
04	Net assets beginning of year	143,572,432
05	Adjustments to beginning net assets & other gains and losses (D06-(D03+D04))	504,846
06	Net assets end of year (from A18)	145,196,825

**Part E: Scholarships and Fellowships**

Line No.	Student Scholarships and Fellowships by Source	Total Amount
01	Pell grants - federal	15,321,127
02	Other federal grants ( Do NOT include FDSL amounts)	254,051
03	Grants by state government	12,633,888
04	Grants by local government	
05	Institutional grants from restricted resources	2,058,544
06	Institutional grants from unrestricted resources (E07-(E01+...+E05))	15,304,827
07	Total gross scholarships and fellowships	45,572,437
<b>Discounts and Allowances</b>		
08	Discounts and allowances applied to tuition and fees	24,968,078
09	Discounts & allowances applied to sales & services of auxiliary enterprises	11,426,488
10	Total discounts and allowances (E08+E09)	36,394,566
11	Net scholarships and fellowships expenses after deducting discount & allowances ( E07-E10) ( <i>carried forward to C10</i> )	9,177,871

**Part H: Endowment Assets**

Line No.	Details of Endowment Assets	
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Complete this section only for institutions answering yes to the general information question regarding endowment assets. Report the amounts of gross investments of endowment, term endowment, and funds functioning as endowment for the institution and any of its foundations plus other affiliated organizations. DO NOT reduce investments by liabilities for Part H. For institutions participating in the NACUBO Endowment Study, this amount should be comparable with values reported to NACUBO.

01	Value of endowment assets at the beginning of the fiscal year	61,991,587
02	Value of endowment assets at the end of the fiscal year	73,902,084

**IPEDS F1B GASB Aligned FY2012-13 as Reported in 2013-14**

This survey is for SUNY at Binghamton

Report whole dollars

**Part J - Revenue Data for Bureau of Census**

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	(1)	(2)	(3)	(4)	(5)
				Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services
01	Tuition and fees (from B01)	126,186,407		126,186,407			
02	Sales and services	100,448,992			100,448,992		
03	Federal grants/contracts (excludes Pell Grants)	24,501,284		24,501,284			
	<b>Revenue from the state government:</b>						
04	State appropriations, current & capital	138,795,455		138,795,455			
05	State grants and contracts	1,703,918		1,703,918			
	<b>Revenue from local governments:</b>						
06	Local appropriation, current & capital						
07	Local government grants/contracts						
08	Receipts from property & non-property taxes						
09	Gifts and private grants, including capital grants	12,405,139					
10	Interest earnings	441,159					
11	Dividend earnings						
12	Realized capital gains						

**IPEDS F1B GASB Aligned FY2012-13 as Reported in 2013-14**

This Survey is for SUNY at Binghamton

Report whole dollars

**Part K - Expenditure Data for Bureau of Census**

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	(2)	(3)	(4)	(5)
		Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services	
01	Salaries and wages	170,402,745	148,307,316	22,095,429		
02	Employee benefits, total	97,338,288	83,561,163	13,777,125		
03	Payment to state retirement funds	18,578,645	15,837,609	2,741,036		
04	Current expenditures other than salaries					
<b>Capital outlay:</b>						
05	Construction	171,570,619	56,379,875	115,190,744		
06	Equipment purchases	17,717,050	17,594,522	122,528		
07	Land purchases	1,079,454	1,079,454			
08	Interest on debt outstanding, all funds & activities	10,361,951				
09	Scholarships / fellowships	46,134,117				

**IPEDS F1B GASB Aligned FY2012-13 as Reported in 2013-14**

This Survey is for SUNY at Binghamton

Report whole dollars

**Part L - Debt and Assets**

Line	Category Amount	Total Amount
<b>Debt</b>		
01	Long-term debt outstanding at beginning of fiscal year	
02	Long-term debt issued during fiscal year	
03	Long-term debt retired during fiscal year	
04	Long-term debt outstanding at end of fiscal year	
05	Short-term debt outstanding at beginning of fiscal year	
06	Short-term debt outstanding at end of fiscal year	
<b>Assets</b>		
07	Total cash & security assets held at end of fiscal year in sinking or debt service funds	
08	Total cash and security assets held at end of fiscal year in bond funds	
09	Total cash and security assets held at end of fiscal year in all other funds	

# Appendix 4.6

**IPEDS F1B GASB Aligned FY2013-14 as Reported in 2014-15**

Contact Information:

Your name:

and Email:

Telephone:

This survey is for SUNY at Binghamton

**General Information**

To the extent possible, the finance data requested in this report should be provided from your institution's audited General Purpose Financial Statement (GPFS). Please refer to the instructions specific to each page of the survey for detailed instruction and references. Note: Your fiscal year should end before October 1, if not please explain in the Caveats Section.

**1. This report covers financial activities for the 12-month fiscal year**

(Year YYYY)

(Month MM)	2013
07	
06	2014

**2. Audit Opinion** Did your institution receive an unqualified opinion on its General Purpose Statement from your auditor for the fiscal year noted above? (if your institution is audited only in combination with another entity, answer this question based on the audit of that entity.)

Select One (X)

- Unqualified
- Qualified
- Don't Know

**3. GASB Statement No. 34. Which reporting model will be implemented by your institution ?**

Select One (X)

- Business Type Activities
- Governmental Activities
- Governmental Activities with Business-Type Activities

**4. If your institution participates in intercollegiate athletics, are the expenses accounted for as auxiliary enterprises or treated as student services ?**

Select One (X)

- Auxiliary enterprises
- Student Services
- Does not participate in intercollegiate athletics
- Other (specify in caveats box below)

**5. Does this institution or any of its foundations or other affiliated organizations own endowment assets ?**

Select One (X)

- Yes - Report Endowment Records
- No

CAVEATS:

Please continue to next Tab.....

**This survey is for SUNY at Binghamton**

**Part A: Statement of Financial Position**

Report whole dollars

Line No.	Source of Funds	Current Year
<b>Current Assets</b>		
01	Total current assets	261,880,434
<b>Non Current Assets</b>		
31 (02)	Depreciable capital assets, net of depreciation.	919,287,529
04	Other noncurrent assets (A05 - A31)	37,442,365
05	Total noncurrent assets	956,729,894
06	Total assets (A01 + A05)	1,218,610,328
<b>Current Liabilities</b>		
07	Long-term debt, current portion	26,015,087
08	Other current liabilities (A09 - A07)	77,723,661
09	Total current liabilities	103,738,748
<b>Noncurrent Liabilities</b>		
10	Long-term debt	777,045,876
11	Other non-current liabilities (A12 - A10)	191,268,428
12	Total noncurrent liabilities	968,314,304
13	Total liabilities (A09 + A12)	1,072,053,052
<b>Net assets</b>		
14	Net assets invested in capital assets, net of related debt	159,847,754
15	Restricted expendable	776,016
16	Restricted non-expendable	
17	Unrestricted net assets (A18 - (A14 + A15 + A16))	-14,066,494
18	Total net assets (A06 - A13)	146,557,276

Part P	Capital Assets	Ending Balance
21	Land and land Improvements	88,712,861
22	Infrastructure	42,687,257
23	Buildings	883,233,341
32 (24)	Equipment including art and library collections	198,454,089
27	Construction in progress	120,504,626
	Total for Plant, Property & Equipment (A21+ .. A27)	1,333,592,174
28	Accumulated depreciation	414,304,645
33	Intangible assets, net of accumulated amortization	
34	Other capital assets	

**IPEDS F1B GASB Aligned FY2013-14 as Reported in 2014-15**

This survey is for SUNY at Binghamton

**Part B: Revenues and Other Additions**

Report whole dollars

Line	Function of Expenditures	Current Year Amount
<b>Operating Revenues</b>		
01	Tuition & fees after deducting discounts & allowances	113,510,741
<b>Grants and contracts - operating</b>		
02	Federal operating grants and contracts	21,361,074
03	State operating grants and contracts	2,628,164
04	Local government / private operating grants and contracts (04a+04b)	28,347,962
04a	Local operating grants and contracts	130,299
04b	Private operating grants and contracts	28,217,663
05	Sales & services of auxiliary enterprises, after deducting discounts & allowances	96,650,389
06	Sales & services of hospitals, after deducting patient contractual allowances	
26	Sales & services educational activities	
07	Independent operations	
08	Other sources - operating (B09-(B01+ .. +B07))	4,255,508
09	Total operating revenues	266,753,838
<b>Nonoperating Revenues</b>		
10	Federal appropriations	
11	State appropriations	154,432,124
12	Local appropriations, education district taxes & similar support	
<b>Grants Nonoperating</b>		
13	Federal nonoperating grants	17,386,754
14	State nonoperating grants	13,477,972
15	Local government nonoperating grants	
16	Gifts, including contributions from affiliated organizations	2,811,568
17	Investment income	535,999
18	Other nonoperating revenues (B19-(B10+ .. +B17))	2,475,156
19	Total nonoperating revenues	191,119,573
<b>Other Revenues and Additions</b>		
20	Capital appropriations	38,251
21	Capital grants & gifts	10,322,811
22	Additions to permanent endowments	
23	Other revenues & additions (B24-(B20+ .. +B22))	
24	Total other revenues and additions	10,361,062
25	Total all revenues and other additions (B09+B19+B24)	468,234,473
27	Total operating and nonoperating revenues (B09+B19)	457,873,411
28	12-month Student FTE (B28a +B28b)	
28a	Undergraduate Enrollment (from 12-month Enrollment survey)	
28b	Graduate Enrollment (from 12-month Enrollment survey)	
29	Total operating and nonoperating revenues per student FTE (ratio of B27 over B28)	

**IPEDS F1B GASB Aligned FY2013-14 as Reported in 2014-15**

This survey is for SUNY at Binghamton

Report whole dollars

**Part C: Expenses and Other Deductions**

Line	Total amount	Salaries & wages	Employee fringe benefits	Operation & maintenance of plant	Depreciation	Interest	All other
	1	2	3	4	5	6	7
<b>Operating Expenses</b>							
01	180,900,275	82,828,083	49,538,654	17,203,926	14,398,496	7,041,956	9,889,160
02	29,568,608	9,932,903	3,235,208	5,001,767	4,186,133	2,047,336	5,165,261
03	6,383,167	3,690,264	1,592,328	157,350	131,691	64,407	747,127
05	55,418,533	16,209,671	10,508,146	8,278,448	9,393,563	3,388,556	7,640,149
06	29,171,432	6,675,621	4,056,346	6,687,429	5,596,916	2,737,316	3,417,804
07	45,315,985	18,613,915	11,676,985	2,401,398	2,009,804	982,946	9,630,937
08		14,921,756	10,203,486	-40,450,334			15,325,092
10	9,553,181						
11	117,334,633	25,005,774	16,338,839	720,016	9,833,599	16,321,025	49,115,380
12							
13							
14	1,652,579	164,322	1,046				1,487,211
19	475,298,393	178,042,309	107,151,038		45,550,202	32,583,542	111,971,302


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(For this form, input is optional)

- 20 12-month Student FTE (C20a + C20b)
- 20a Undergraduate Enrollment (from 12-month enrollment survey)
- 20b Graduate Enrollment (from 12-month enrollment survey)
- 21 Total expenses and deductions per student FTE (Ratio of C19 over C20)

**Part D: Summary of Changes in Net Position**

Line No.	Summary of Changes in Net Assets	
01	Total revenues & other additions (from B25)	468,234,473
02	Total expenses & deductions (from C19)	475,298,393
03	Change in net assets during year (D01-D02)	-7,063,920
04	Net assets beginning of year	145,196,825
05	Adjustments to beginning net assets & other gains and losses (D06-(D03+D04))	8,424,371
06	Net assets end of year (from A18)	146,557,276

**Part E: Scholarships and Fellowships**

Line No.	Student Scholarships and Fellowships by Source	Total Amount
01	Pell grants - federal	16,697,618
02	Other federal grants ( Do NOT include FDSL amounts)	567,559
03	Grants by state government	13,477,972
04	Grants by local government	
05	Institutional grants from restricted resources	2,811,568
06	Institutional grants from unrestricted resources (E07-(E01+...+E05))	16,839,012
07	Total gross scholarships and fellowships	50,393,729
<b>Discounts and Allowances</b>		
08	Discounts and allowances applied to tuition and fees	27,762,048
09	Discounts & allowances applied to sales & services of auxiliary enterprises	13,078,500
10	Total discounts and allowances (E08+E09)	40,840,548
11	Net scholarships and fellowships expenses after deducting discount & allowances ( E07-E10) ( <i>carried forward to C10</i> )	9,553,181

**Part H: Endowment Assets**

Line No.	Details of Endowment Assets	
----------	-----------------------------	--

Complete this section only for institutions answering yes to the general information question regarding endowment assets. Report the amounts of gross investments of endowment, term endowment, and funds functioning as endowment for the institution and any of its foundations plus other affiliated organizations. DO NOT reduce investments by liabilities for Part H. For institutions participating in the NACUBO Endowment Study, this amount should be comparable with values reported to NACUBO.

01	Value of endowment assets at the beginning of the fiscal year	73,902,084
02	Value of endowment assets at the end of the fiscal year	84,181,579

This survey is for SUNY at Binghamton

Report whole dollars

**Part J - Revenue Data for Bureau of Census**

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	(1)	(2)	(3)	(4)	(5)
		Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services		
01	Tuition and fees (from B01)	141,272,789	141,272,789				
02	Sales and services	109,728,889		109,728,889			
03	Federal grants/contracts (excludes Pell Grants)	21,361,074	21,361,074				
	<b>Revenue from the state government:</b>						
04	State appropriations, current & capital	154,432,124	154,432,124				
05	State grants and contracts	2,628,164	2,628,164				
	<b>Revenue from local governments:</b>						
06	Local appropriation, current & capital						
07	Local government grants/contracts	130,299	130,299				
08	Receipts from property & non-property taxes						
09	Gifts and private grants, including capital grants	13,134,379					
10	Interest earnings	535,999					
11	Dividend earnings						
12	Realized capital gains						

**IPEDS F1B GASB Aligned FY2013-14 as Reported in 2014-15**

This Survey is for SUNY at Binghamton

Report whole dollars

**Part K - Expenditure Data for Bureau of Census**

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	(1)	(2)	(3)	(4)	(5)
				Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services
01	Salaries and wages	178,042,309		153,036,535	25,005,774		
02	Employee benefits, total	107,151,038		90,812,199	16,338,839		
03	Payment to state retirement funds	22,991,512		19,288,080	3,703,432		
04	Current expenditures other than salaries						
<b>Capital outlay:</b>							
05	Construction	79,449,139		47,425,843	32,023,296		
06	Equipment purchases	3,854,980		3,839,480	15,500		
07	Land purchases	45,809,793		45,809,793			
08	Interest on debt outstanding, all funds & activities	16,026,306					
09	Scholarships / fellowships	50,393,729					

**IPEDS F1B GASB Aligned FY2013-14 as Reported in 2014-15**

This Survey is for SUNY at Binghamton

Report whole dollars

**Part L - Debt and Assets**

Line	Category Amount	Total Amount
<b>Debt</b>		
01	Long-term debt outstanding at beginning of fiscal year	
02	Long-term debt issued during fiscal year	
03	Long-term debt retired during fiscal year	
04	Long-term debt outstanding at end of fiscal year	
05	Short-term debt outstanding at beginning of fiscal year	
06	Short-term debt outstanding at end of fiscal year	
<b>Assets</b>		
07	Total cash & security assets held at end of fiscal year in sinking or debt service funds	
08	Total cash and security assets held at end of fiscal year in bond funds	
09	Total cash and security assets held at end of fiscal year in all other funds	

# Appendix 4.7

**IPEDS F1B GASB Aligned FY2014-15 as Reported in 2015-16**

Contact Information:

Your name:

and Email:

Telephone:

This survey is for SUNY at Binghamton

**General Information**

To the extent possible, the finance data requested in this report should be provided from your institution's audited General Purpose Financial Statement (GPFS). Please refer to the instructions specific to each page of the survey for detailed instruction and references. Note: Your fiscal year should end before October 1, if not please explain in the Caveats Section.

(Month MM) (Year YYYY) **1. This report covers financial activities for the 12-month fiscal year**

<b>07</b>	<b>2014</b>
<b>06</b>	<b>2015</b>

**2. Audit Opinion** Did your institution receive an unqualified opinion on its General Purpose Statement from your auditor for the fiscal year noted above? (If your institution is audited only in combination with an other entity, answer this question based on the audit of that entity.)

**Select One (X)**

<input checked="" type="checkbox"/>	Unqualified
<input type="checkbox"/>	Qualified
<input type="checkbox"/>	Don't Know

**3. GASB Statement No. 34. Which reporting model will be implemented by your institution ?**

**Select One (X)**

<input checked="" type="checkbox"/>	Business Type Activities
<input type="checkbox"/>	Governmental Activities
<input type="checkbox"/>	Governmental Activities with Business-Type Activities

**4. If your institution participates in intercollegiate athletics, are the expenses accounted for as auxiliary enterprises or treated as student services?**

**Select One (X)**

<input checked="" type="checkbox"/>	Auxiliary enterprises
<input type="checkbox"/>	Student Services
<input type="checkbox"/>	Does not participate in intercollegiate athletics
<input type="checkbox"/>	Other (specify in caveats box below)

**5. Does this institution or any of its foundations or other affiliated organizations own endowment assets ?**

**Select One (X)**

<input checked="" type="checkbox"/>	Yes - Report Endowment Records
<input type="checkbox"/>	No

**6. Pension - Did your institution recognize additional (or decreased) pension expense, additional liability (or assets), or additional deferral related to the implementation of GASB Statement 68 for one or more defined benefit pension plans (either as a single employer, agent employer or cost-sharing multiple employer) in current Fiscal Year?**

**Select One (X)**

<input type="checkbox"/>	Yes - Report Pension Records
<input checked="" type="checkbox"/>	No

**CAVEATS:**

**This survey is for SUNY at Binghamton**

**Part A: Statement of Financial Position**

Report whole dollars

Line No.	Source of Funds	Current Year
<b>Current Assets</b>		
01	Total current assets	280,164,938
<b>Non Current Assets</b>		
31 (02)	Depreciable capital assets, net of depreciation.	933,516,056
04	Other noncurrent assets (A05 - A31)	35,856,905
05	Total noncurrent assets	969,372,961
06	Total assets (A01 + A05)	1,249,537,899
<b>Current Liabilities</b>		
07	Long-term debt, current portion	25,086,037
08	Other current liabilities (A09 - A07)	58,452,031
09	Total current liabilities	83,538,068
<b>Noncurrent Liabilities</b>		
10	Long-term debt	801,231,386
11	Other non-current liabilities (A12 - A10)	21,328,308
12	Total noncurrent liabilities	822,559,694
13	Total liabilities (A09 + A12)	906,097,762
<b>Net assets</b>		
14	Net assets invested in capital assets, net of related debt	154,312,344
15	Restricted expendable	788,503
16	Restricted non-expendable	
17	Unrestricted net assets (A18 - (A14 + A15 + A16))	188,339,290
18	Total net assets (A06 - A13)	343,440,137
<b>Part P Capital Assets</b>		
		<b>Ending Balance</b>
21	Land and land Improvements	93,215,154
22	Infrastructure	44,585,847
23	Buildings	938,600,162
32 (24)	Equipment including art and library collections	202,458,264
27	Construction in progress	101,000,193
	Total for Plant, Property & Equipment (A21+ .. A27)	1,379,859,620
28	Accumulated depreciation	446,343,564
33	Intangible assets, net of accumulated amortization	
34	Other capital assets	

**IPEDS F1B GASB Aligned FY2014-15 as Reported in 2015-16**

**This survey is for SUNY at Binghamton**

**Part B: Revenues and Other Additions**

Report whole dollars

Line	Function of Expenditures	Current Year Amount
<b>Operating Revenues</b>		
01	Tuition & fees after deducting discounts & allowances	126,498,550
<b>Grants and contracts - operating</b>		
02	Federal operating grants and contracts	26,865,696
03	State operating grants and contracts	2,721,081
04	Local government / private operating grants and contracts (04a+04b)	31,031,322
04a	Local operating grants and contracts	64,982
04b	Private operating grants and contracts	30,966,340
05	Sales & services of auxiliary enterprises, after deducting discounts & allowances	98,658,716
06	Sales & services of hospitals, after deducting patient contractual allowances	
26	Sales & services educational activities	
07	Independent operations	
08	Other sources - operating (B09-(B01+ .. +B07))	4,904,276
09	Total operating revenues	290,679,641
<b>Nonoperating Revenues</b>		
10	Federal appropriations	
11	State appropriations	161,616,164
12	Local appropriations, education district taxes & similar support	
<b>Grants Nonoperating</b>		
13	Federal nonoperating grants	18,401,392
14	State nonoperating grants	15,666,126
15	Local government nonoperating grants	1,767,692
16	Gifts, including contributions from affiliated organizations	1,281,267
17	Investment income	210,199
18	Other nonoperating revenues (B19-(B10+ .. +B17))	198,942,840
19	Total nonoperating revenues	
<b>Other Revenues and Additions</b>		
20	Capital appropriations	
21	Capital grants & gifts	444,129
22	Additions to permanent endowments	
23	Other revenues & additions (B24-(B20+...+B22))	444,129
24	Total other revenues and additions	490,066,610
25	Total all revenues and other additions (B09+B19+B24)	489,622,481
27	Total operating and nonoperating revenues (B09+B19)	
28	12-month Student FTE (B28a +B28b)	
28a	Undergraduate Enrollment (from 12-month Enrollment survey)	
28b	Graduate Enrollment (from 12-month Enrollment survey)	
29	Total operating and nonoperating revenues per student FTE (ratio of B27 over B28)	

**IPEDS F1B GASB Aligned FY2014-15 as Reported in 2015-16**

This survey is for SUNY at Binghamton

Report whole dollar

**Part C: Expenses and Other Deductions**

Line	Total amount	Salaries & wages	Employee fringe benefits	Operation & maintenance of plant	Depreciation	Interest	All other
	1	2	3	4	5	6	7
<b>Operating Expenses</b>							
01	167,865,100	89,054,232	41,544,415	14,556,286	10,282,476	6,756,271	5,671,420
02	30,322,874	9,019,312	2,897,464	4,833,081	3,414,060	2,243,264	7,915,693
03	8,166,296	3,750,372	1,653,105	163,138	115,240	75,720	2,408,721
05	52,713,037	15,236,035	7,524,003	7,440,305	7,449,637	3,453,402	11,609,655
06	30,617,643	7,426,912	3,446,943	7,780,462	5,496,073	3,611,285	2,855,968
07	51,154,818	22,334,012	10,774,948	2,991,122	2,112,911	1,388,323	11,553,502
08		15,741,495	8,334,942	-38,411,085			14,334,648
10	9,823,730						
11	118,028,501	25,405,450	12,672,727	646,691	12,118,517	20,854,208	46,330,908
12							
13							
14	3,681,911	263,209	1,382				3,417,320
19	472,373,910	188,231,029	88,849,929		40,988,914	38,382,473	115,921,565


(For this form, input is optional)

(For this form, input is optional)

20	12-month Student FTE (C20a + C20b)						
20a	Undergraduate Enrollment (from 12-month enrollment survey)						
20b	Graduate Enrollment (from 12-month enrollment survey)						
21	Total expenses and deductions per student FTE (Ratio of C19 over C20)						

This survey is for SUNY at Binghamton

Report whole dollars

**Part D: Summary of Changes in Net Position**

Line No.	Summary of Changes in Net Assets	
01	Total revenues & other additions (from B25)	490,066,610
02	Total expenses & deductions (from C19)	472,373,910
03	Change in net assets during year (D01-D02)	17,692,700
04	Net assets beginning of year	146,557,276
05	Adjustments to beginning net assets & other gains and losses (D06-(D03+D04))	179,190,161
06	Net assets end of year (from A18)	343,440,137

**Part E: Scholarships and Fellowships**

Line No.	Student Scholarships and Fellowships by Source	Total Amount
01	Pell grants - federal	17,725,551
02	Other federal grants ( Do NOT include FDSL amounts)	540,819
03	Grants by state government	15,666,126
04	Grants by local government	
05	Institutional grants from restricted resources	1,767,692
06	Institutional grants from unrestricted resources (E07-(E01+...+E05))	15,596,990
07	Total gross scholarships and fellowships	51,297,178
<b>Discounts and Allowances</b>		
08	Discounts and allowances applied to tuition and fees	28,513,449
09	Discounts & allowances applied to sales & services of auxiliary enterprises	12,959,999
10	Total discounts and allowances (E08+E09)	41,473,448
11	Net scholarships and fellowships expenses after deducting discount & allowances (E07- E10) (carried forward to C10 )	9,823,730

**Part H: Endowment Assets**

Line No.	Details of Endowment Assets	
<p>Complete this section only for institutions answering yes to the general information question regarding endowment assets. Report the amounts of gross investments of endowment, term endowment, and funds functioning as endowment for the institution and any of its foundations plus other affiliated organizations. DO NOT reduce investments by liabilities for Part H. For institutions participating in the NACUBO Endowment Study, this amount should be comparable with values reported to NACUBO.</p>		
01	Value of endowment assets at the beginning of the fiscal year	79,713,592
02	Value of endowment assets at the end of the fiscal year	96,512,436

This survey is for SUNY at Binghamton

Report whole dollars

**Part J - Revenue Data for Bureau of Census**

Line	Revenue by Operation	Total for all funds and operations (excludes component units)	(2)	(3)	(4)	(5)
		Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services	
01	Tuition and fees (from B01)	155,011,999	155,011,999			
02	Sales and services	111,618,715		111,618,715		
03	Federal grants/contracts (excludes Pell Grants)	26,865,696	26,865,696			
	<b>Revenue from the state government:</b>					
04	State appropriations, current & capital	161,616,164	161,616,164			
05	State grants and contracts	2,721,081	2,721,081			
	<b>Revenue from local governments:</b>					
06	Local appropriation, current & capital					
07	Local government grants/contracts	64,982	64,982			
08	Receipts from property & non-property taxes					
09	Gifts and private grants, including capital grants	2,211,821				
10	Interest earnings	1,281,267				
11	Dividend earnings					
12	Realized capital gains					

**IPEDS F1B GASB Aligned FY2014-15 as Reported in 2015-16**

This Survey is for SUNY at Binghamton

Report whole dollars

**Part K - Expenditure Data for Bureau of Census**

Line	Revenue by Operation	Total for all funds and operations (excludes component units)				
		(1)	(2)	(3)	(4)	(5)
			Education and general / independent operations	Auxiliary enterprises	Hospitals	Agriculture extension / experiment services
01	Salaries and wages	188,231,029	162,825,579	25,405,450		
02	Employee benefits, total	88,849,929	76,177,202	12,672,727		
03	Payment to state retirement funds	27,217,397	23,052,115	4,165,282		
04	Current expenditures other than salaries					
<b>Capital outlay:</b>						
05	Construction	45,170,224	44,508,706	661,518		
06	Equipment purchases	5,085,873	5,068,335	17,538		
07	Land purchases	4,612,683	4,612,683			
08	Interest on debt outstanding, all funds & activities	20,554,048				
09	Scholarships / fellowships	51,297,178				

**IPEDS F1B GASB Aligned FY2014-15 as Reported in 2015-16**

This Survey is for SUNY at Binghamton

Report whole dollars

**Part L - Debt and Assets**

Line	Category Amount	Total Amount
<b>Debt</b>		
01	Long-term debt outstanding at beginning of fiscal year	
02	Long-term debt issued during fiscal year	
03	Long-term debt retired during fiscal year	
04	Long-term debt outstanding at end of fiscal year	
05	Short-term debt outstanding at beginning of fiscal year	
06	Short-term debt outstanding at end of fiscal year	
<b>Assets</b>		
07	Total cash & security assets held at end of fiscal year in sinking or debt service funds	
08	Total cash and security assets held at end of fiscal year in bond funds	
09	Total cash and security assets held at end of fiscal year in all other funds	

**IPEDS F1B GASB Aligned FY2014-15 as Reported in 2015-16**

This Survey is for SUNY at Binghamton

Report whole dollars

**Part M - Additional ( Unfunded) pension Information**

Line	Category Amount	Total Amount
01	Additional (or decreased) pension expense	
02	Additional pension liability (or asset)	
03	Deferred inflows of resources	
04	Deferred outflows of resources	

# Appendix 5.1

# Binghamton University

## Detailed Assessment Report

As of: 12/10/2015 01:21 PM EASTERN

### 2014-15 Cinema BA

(Includes those Action Plans with Budget Amounts marked One-Time, Recurring, No Request.)

## Mission / Purpose

Binghamton University's Cinema Department develops artists and creative thinkers in film/video production and film studies who are willing to engage in innovative modes of artistic and scholarly practice and thought. A strong history of underground and independent production and criticism has made our trailblazing department an antidote to the Hollywood industry model.

## Goals and Student Learning Outcomes/Objectives, with Any Associations and Related Measures, Targets, Findings, and Action Plans

### **G 1: Perform as Artists and Creative Thinkers**

Graduating seniors will demonstrate the ability to perform as artists and creative thinkers in cinema.

### **SLO 1: Competence in Film Analysis**

Graduating seniors will demonstrate a competence in film analysis in order to comprehend the basics of the language of cinema and the essentials of film style.

These competencies in analysis and style will be demonstrated in students' ability to talk and write accurately and meaningfully about film.

### Relevant Associations:

#### **General Education/Core Curriculum Associations:**

- 1.1 Students will demonstrate the ability to write effectively and coherently, in ways appropriate to the discipline and the level of the course.
- 1.2 Students will demonstrate the ability to revise and improve their writing in both form and content.
- 6.1 Students will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in at least one principal form of artistic expression in such fields as art, art history, cinema, creative writing, dance, graphic design, music, and theater.
- 7.1 Students will demonstrate an understanding of human experience through the study of literature or philosophy.

#### **Institutional Priority Associations:**

- 1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.
- 2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.
- 3 The premier public university of the 21st century will unite to foster a diverse and inclusive campus culture.

### Related Measures:

#### **M 1:Use of Technical & Theoretical Concepts, Arguments and Logic in Analysis.**

Reflected in the following measures: Direct: tests, essays or presentations. Sophisticated analysis; appropriate use of technical and theoretical concepts. Essays should be argumentative and logically developed. Indirect: Class Discussion Students demonstrate appropriate use of technical and theoretical concepts. Appropriate for Cine 321, 486, 485,

Source of Evidence: Academic direct measure of learning - other

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2014-15) - Target: Met**

Department Goal - 80% should fulfill or exceed CINE 321 (Fall and Spring) Direct Measure Assessment of essays %Fail 0/46 %Approach 4/46 = 9% %Fulfill = 28/46 = 61% %Exceed = 14/46 = 30% CINE 471 (Fall) Direct Measure Assessment of essays %Fail 0/5 %Approach 1/5 = 20% %Fulfill 1/5 = 20% %Exceed 3/5 =60%

#### **Findings (2013-2014) - Target: Not Reported This Cycle**

Not Assessed in 2013/14. Cinema will assess in 2014/15.

#### **M 6:Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471,351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2013-2014) - Target: Not Reported This Cycle**

Was not assessed in 13/14

#### **SLO 4:Demonstration of Artistic Innovation and Expression**

Graduating seniors will demonstrate the ability to produce works that demonstrate accomplished approaches to artistic innovation and expression through the use of sophisticated ideas and structures.

### Relevant Associations:

#### **General Education/Core Curriculum Associations:**

- 2.1 Students will demonstrate proficiency in oral presentations.
- 6.1 Students will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in at least one principal form of artistic expression in such fields as art, art history, cinema, creative writing, dance, graphic design, music, and theater.

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2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

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### **Related Measures:**

#### **M 3:Creative Development in Production**

Direct Assessment Reflected through Films, Videos, Audio, Performance, etc. Within a given work, students should creatively and effectively demonstrate an understanding of conceptual development (strategies, ideas), composition (visual space /camera movement /lighting /recording), structure (editing).  
Appropriate classes: Cine 451, 471, 351, 352, 360, 353

Source of Evidence: Academic direct measure of learning - other

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2013-2014) - Target: Partially Met**

73 % of seniors in 353: Digital Video and Cine 451: Advanced Film and Video Production Fulfilled or Exceeded expectations cumulatively. This falls a bit short of the 80% department goal. However, it is important to note that the average amongst graduation Seniors in Cine 451exceeded the 80% department goal. Cine 351 is really a mid- level class and students in this class have not fulfilled all the requirements of the curriculum needed to graduate. It was not an ideal class to assess, but was done so as the department was under the impression that we needed to look at classes that met for a full academic year. No 400 level classes meet both semesters. Most of the seniors in Cine 353 will remain another semester before graduation. It is also a class that is not intended for Seniors- but rather for Juniors. The fact that so many Seniors are often in the class reflects a log jam problem in the curriculum. To many students have been unable to register for this class until their Senior year. In the future we will assess only 400 level classes which contain a higher percentage of graduating Seniors. This outcome/objective is a bit more complex than others in production. It is crucial that students have adequate time and exposure to multiple level courses in order to develop sophisticated approaches to creative development. Therefore, student work assessed in an earlier course may not fully reflect department goals.

#### **M 6:Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471,351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

## Findings (2013-2014) - Target: **Met**

### **SLO 5:Utilization of Constructive Criticism in The Creative Process**

Graduating seniors will learn to articulate and receive constructive criticism while learning to find their own individual responses in their creative practice and in how they communicate.

#### Relevant Associations:

##### **General Education/Core Curriculum Associations:**

- 2.1 Students will demonstrate proficiency in oral presentations.
- 6.1 Students will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in at least one principal form of artistic expression in such fields as art, art history, cinema, creative writing, dance, graphic design, music, and theater.

##### **Institutional Priority Associations:**

- 2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.
- 3 The premier public university of the 21st century will unite to foster a diverse and inclusive campus culture.
- 4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

#### Related Measures:

##### **M 4:Utilization of Constructive Criticism in Creative Work.**

Direct Assessment Reflected in Class projects (direct): films, videos, audio, photographs, writing. Cine 451, 471,351, 352, 360, 353. Application of response to feedback from peers and instructor evident in the work. Ability to articulate one's own point of view, areas for improvement or ideas for modification.

Source of Evidence: Academic direct measure of learning - other

##### **Target:**

At least 80% of the students will fulfill or exceed expectations.

## Findings (2013-2014) - Target: **Met**

82% Fulfilled or Exceeded expectations

##### **M 6:Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471,351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

##### **Target:**

At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Met**  
Met target

**SLO 6: Knowledge and Creative Proficiency with Tools of Production**

Graduating seniors will demonstrate knowledge of and creative proficiency with production tools. Appropriate classes: Cine 451, 471, 351, 352, 360, 353

**Relevant Associations:**

**General Education/Core Curriculum Associations:**

6.1 Students will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in at least one principal form of artistic expression in such fields as art, art history, cinema, creative writing, dance, graphic design, music, and theater.

**Institutional Priority Associations:**

2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

**Related Measures:**

**M 5: Technical Proficiency in Production**

Direct Assessment Reflected through tests, or class projects: films, videos, audio, photographs. Cine 451, 471, 351, 352, 360, 353. Effective competence with various recording, editing and supporting technologies including cameras, microphones, lighting, editing and compositing software. May also include chemical processing, printing, animation techniques.

Source of Evidence: Academic direct measure of learning - other

**Target:**

At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Met**

Over 80% fulfilled or exceeded expectations.

**M 6: Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471, 351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

**Target:**

At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Met**

Met target

**G 2: Expanded Seeing and Critical Appreciation**

1. Graduating seniors will develop expanded ways of seeing through a critical appreciation of innovative as well as traditional forms of cinematic expression.

## **SLO 2: Research Methods and Theoretical Frameworks to Engage with Ideas.**

Graduating seniors will be able to employ appropriate research methods and theoretical frameworks to engage with the specific issues and questions of the discipline.

### **Relevant Associations:**

#### **General Education/Core Curriculum Associations:**

- 1.1 Students will demonstrate the ability to write effectively and coherently, in ways appropriate to the discipline and the level of the course.
- 1.2 Students will demonstrate the ability to revise and improve their writing in both form and content.
- 2.1 Students will demonstrate proficiency in oral presentations.
- 2.2 Students will demonstrate the ability to improve oral presentations in response to critiques.
- 6.1 Students will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in at least one principal form of artistic expression in such fields as art, art history, cinema, creative writing, dance, graphic design, music, and theater.
- 7.1 Students will demonstrate an understanding of human experience through the study of literature or philosophy.

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### **Related Measures:**

#### **M 1: Use of Technical & Theoretical Concepts, Arguments and Logic in Analysis.**

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Source of Evidence: Academic direct measure of learning - other

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2014-15) - Target: Met**

Department Goal - 80% should fulfill or exceed CINE 321 (Fall and Spring) Direct Measure Assessment of essays %Fail 0/46 %Approach 4/46 = 9% %Fulfill = 28/46 = 61% %Exceed = 14/46 = 30% CINE 471

(Fall) Direct Measure Assessment of essays %Fail 0/5 %Approach 1/5 = 20% %Fulfill 1/5 = 20% %Exceed 3/5 =60%

**Findings (2013-2014) - Target: Not Reported This Cycle**

Not Assessed in 2013/14. Cinema will assess in 2014/15.

**M 6:Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471,351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

**Target:**

At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Not Reported This Cycle**

Not assessed in 13/14

**SLO 3:Understanding of Film History**

Graduating seniors will have an understanding of the history of film from the 19th Century to the present, including major developments in the aesthetic, technological, economic, social, and intellectual forces that have shaped the production of film. Therefore, they should be aware of prominent modes and styles of film from various historical periods and institutional and cultural contexts.

**Relevant Associations:**

**General Education/Core Curriculum Associations:**

- 1.1 Students will demonstrate the ability to write effectively and coherently, in ways appropriate to the discipline and the level of the course.
- 1.2 Students will demonstrate the ability to revise and improve their writing in both form and content.
- 2.1 Students will demonstrate proficiency in oral presentations.
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### Related Measures:

#### **M 2: Understanding of Specific Kinds of Film**

Reflected in the following measures: Direct: tests, essays or presentations. Appropriate for Cine 321, 486, 485. Students should have an understanding of specific kinds of film based on at least one of the following criteria: 1. close study of one or more major artists or directors; 2. a thorough survey of one or more of the major national cinemas; 3. one or more historically important genres in cinema; 4. intensive study of a theoretical mode, theme, topic, or period in film, such as gender, violence, Expressionism, experimental or structural film, etc.

Source of Evidence: Academic direct measure of learning - other

#### **Target:**

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Source of Evidence: Student course evaluations on learning gains made

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2013-2014) - Target: Not Reported This Cycle**

Not assessed in 13/14

#### **SLO 4: Demonstration of Artistic Innovation and Expression**

Graduating seniors will demonstrate the ability to produce works that demonstrate accomplished approaches to artistic innovation and expression through the use of sophisticated ideas and structures.

### Relevant Associations:

#### **General Education/Core Curriculum Associations:**

2.1 Students will demonstrate proficiency in oral presentations.

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### **Related Measures:**

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Source of Evidence: Student course evaluations on learning gains made

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

## Findings (2013-2014) - Target: Met

### **G 3: Creative Process and Aesthetic Judgment**

Graduating seniors will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in art and cinema.

### **SLO 3: Understanding of Film History**

Graduating seniors will have an understanding of the history of film from the 19th Century to the present, including major developments in the aesthetic, technological, economic, social, and intellectual forces that have shaped the production of film. Therefore, they should be aware of prominent modes and styles of film from various historical periods and institutional and cultural contexts.

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#### Related Measures:

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**Findings (2013-2014) - Target: Not Reported This Cycle**

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**SLO 4: Demonstration of Artistic Innovation and Expression**

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**SLO 5: Utilization of Constructive Criticism in The Creative Process**

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**Related Measures:**

**M 4:Utilization of Constructive Criticism in Creative Work.**

Direct Assessment Reflected in Class projects (direct): films, videos, audio, photographs, writing. Cine 451, 471,351, 352, 360, 353. Application of response to feedback from peers and instructor evident in the work. Ability to articulate one's own point of view, areas for improvement or ideas for modification.

Source of Evidence: Academic direct measure of learning - other

**Target:**

At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Met**

82% Fulfilled or Exceeded expectations

**M 6:Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471,351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

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At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Met**

Met target

**SLO 6:Knowledge and Creative Proficiency with Tools of Production**

Graduating seniors will demonstrate knowledge of and creative proficiency with production tools. Appropriate classes: Cine 451, 471, 351, 352, 360, 353

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#### **M 5: Technical Proficiency in Production**

Direct Assessment Reflected through tests, or class projects: films, videos, audio, photographs. Cine 451, 471, 351, 352, 360, 353. Effective competence with various recording, editing and supporting technologies including cameras, microphones, lighting, editing and compositing software. May also include chemical processing, printing, animation techniques.

Source of Evidence: Academic direct measure of learning - other

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2013-2014) - Target: Met**

Over 80% fulfilled or exceeded expectations.

#### **M 6: Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471, 351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2013-2014) - Target: Met**

Met target

### **G 4: Analysis and writing**

1. Graduating seniors will demonstrate the ability to analyze cinematic works in effective essays that are coherent, well developed and expressive of complex thoughts.

#### **SLO 1: Competence in Film Analysis**

Graduating seniors will demonstrate a competence in film analysis in order to comprehend the basics of the language of cinema and the essentials of film style. These competencies in analysis and style will be demonstrated in students' ability to talk and write accurately and meaningfully about film.

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#### **General Education/Core Curriculum Associations:**

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At least 80% of the students will fulfill or exceed expectations.

**Findings (2014-15) - Target: Met**

Department Goal - 80% should fulfill or exceed CINE 321 (Fall and Spring) Direct Measure Assessment of essays %Fail 0/46 %Approach 4/46 = 9% %Fulfill = 28/46 = 61% %Exceed = 14/46 = 30% CINE 471 (Fall) Direct Measure Assessment of essays %Fail 0/5 %Approach 1/5 = 20% %Fulfill 1/5 = 20% %Exceed 3/5 = 60%

**Findings (2013-2014) - Target: Not Reported This Cycle**

Not Assessed in 2013/14. Cinema will assess in 2014/15.

**M 6: Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471, 351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

**Target:**

At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Not Reported This Cycle**

Was not assessed in 13/14

**SLO 2: Research Methods and Theoretical Frameworks to Engage with Ideas.**

Graduating seniors will be able to employ appropriate research methods and theoretical frameworks to engage with the specific issues and questions of the discipline.

### Relevant Associations:

#### **General Education/Core Curriculum Associations:**

- 1.1 Students will demonstrate the ability to write effectively and coherently, in ways appropriate to the discipline and the level of the course.
- 1.2 Students will demonstrate the ability to revise and improve their writing in both form and content.
- 2.1 Students will demonstrate proficiency in oral presentations.
- 2.2 Students will demonstrate the ability to improve oral presentations in response to critiques.
- 6.1 Students will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in at least one principal form of artistic expression in such fields as art, art history, cinema, creative writing, dance, graphic design, music, and theater.
- 7.1 Students will demonstrate an understanding of human experience through the study of literature or philosophy.

#### **Institutional Priority Associations:**

- 1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.
- 2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.
- 3 The premier public university of the 21st century will unite to foster a diverse and inclusive campus culture.
- 4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

### Related Measures:

#### **M 1: Use of Technical & Theoretical Concepts, Arguments and Logic in Analysis.**

Reflected in the following measures: Direct: tests, essays or presentations. Sophisticated analysis; appropriate use of technical and theoretical concepts. Essays should be argumentative and logically developed. Indirect: Class Discussion Students demonstrate appropriate use of technical and theoretical concepts. Appropriate for Cine 321, 486, 485,

Source of Evidence: Academic direct measure of learning - other

#### **Target:**

At least 80% of the students will fulfill or exceed expectations.

#### **Findings (2014-15) - Target: Met**

Department Goal - 80% should fulfill or exceed CINE 321 (Fall and Spring) Direct Measure Assessment of essays %Fail 0/46 %Approach 4/46 = 9% %Fulfill = 28/46 = 61% %Exceed = 14/46 = 30% CINE 471 (Fall) Direct Measure Assessment of essays %Fail 0/5 %Approach 1/5 = 20% %Fulfill 1/5 = 20% %Exceed 3/5 = 60%

**Findings (2013-2014) - Target: Not Reported This Cycle**

Not Assessed in 2013/14. Cinema will assess in 2014/15.

**M 6: Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471, 351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

**Target:**

At least 80% of the students will fulfill or exceed expectations.

**Findings (2013-2014) - Target: Not Reported This Cycle**

Not assessed in 13/14

**SLO 3: Understanding of Film History**

Graduating seniors will have an understanding of the history of film from the 19th Century to the present, including major developments in the aesthetic, technological, economic, social, and intellectual forces that have shaped the production of film. Therefore, they should be aware of prominent modes and styles of film from various historical periods and institutional and cultural contexts.

**Relevant Associations:**

**General Education/Core Curriculum Associations:**

- 1.1 Students will demonstrate the ability to write effectively and coherently, in ways appropriate to the discipline and the level of the course.
- 1.2 Students will demonstrate the ability to revise and improve their writing in both form and content.
- 2.1 Students will demonstrate proficiency in oral presentations.
- 6.1 Students will demonstrate an understanding of the creative process and the role of imagination and aesthetic judgment in at least one principal form of artistic expression in such fields as art, art history, cinema, creative writing, dance, graphic design, music, and theater.
- 7.1 Students will demonstrate an understanding of human experience through the study of literature or philosophy.

**Institutional Priority Associations:**

- 1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.
- 2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.
- 3 The premier public university of the 21st century will unite to foster a diverse and inclusive campus culture.
- 4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

**Related Measures:**

## **M 2: Understanding of Specific Kinds of Film**

Reflected in the following measures: Direct: tests, essays or presentations. Appropriate for Cine 321, 486, 485. Students should have an understanding of specific kinds of film based on at least one of the following criteria: 1. close study of one or more major artists or directors; 2. a thorough survey of one or more of the major national cinemas; 3. one or more historically important genres in cinema; 4. intensive study of a theoretical mode, theme, topic, or period in film, such as gender, violence, Expressionism, experimental or structural film, etc.

Source of Evidence: Academic direct measure of learning - other

### **Target:**

At least 80% of the students will fulfill or exceed expectations.

### **Findings (2014-15) - Target: Met**

Department Goal - 80% should fulfill or exceed CINE 321 (Fall and Spring) Direct Measure Assessment of essays %Fail 0/46 %Approach 4/46 = 9% %Fulfill = 28/46 = 61% %Exceed = 14/46 = 30%

### **Findings (2013-2014) - Target: Not Reported This Cycle**

Not Assessed in 2013/14. Cinema will assess in 2014/15.

## **M 6: Student Exit Self-Evaluation**

Exit evaluation Includes student self- rating of growth of creative and technical abilities, understanding of film language, history, analysis, and appreciation of innovative as well as traditional forms of Cinema. Cine 451, 471, 351, 352, 360, 353 and Cine 321, 486, 485

Source of Evidence: Student course evaluations on learning gains made

### **Target:**

At least 80% of the students will fulfill or exceed expectations.

### **Findings (2013-2014) - Target: Not Reported This Cycle**

Not assessed in 13/14

## **Details of Action Plans for This Cycle (by Established cycle, then alpha)**

### **corrected assessment procedure**

In the future we will assess only 400 level classes which contain a higher percentage of graduating Seniors for more accurate data.

**Established in Cycle:** 2013-2014

**Implementation Status:** Planned

**Priority:** High

### **To Be Assessed in 2014/15**

To Be Assessed in 2014/15

**Established in Cycle:** 2013-2014

**Implementation Status:** Planned  
**Priority:** High

**To Be Assessed in 2014/15**

To Be Assessed in 2014/15

**Established in Cycle:** 2013-2014  
**Implementation Status:** Planned  
**Priority:** High

**To Be Assessed in 2014/15**

To Be Assessed in 2014/15

**Established in Cycle:** 2013-2014  
**Implementation Status:** Planned  
**Priority:** High

# Appendix 5.2

## Entities without data

- Chemistry MA/MS

# Binghamton University

## Detailed Assessment Report

As of: 12/08/2015 12:36 PM EASTERN

### 2014-15 Chemistry BA/BS

(Includes those Action Plans with Budget Amounts marked One-Time, Recurring, No Request.)

## Mission / Purpose

Our mission is to provide a BS degree program for student seeking an in-depth major and a BA degree program for those desiring a major in the context of a broader undergraduate experience and to provide courses in general chemistry for students seeking science degrees in other Arts and Sciences departments and the professional schools, such as Nursing and Engineering.

Our mission is to provide a BS degree program for student seeking an in-depth major and a BA degree program for those desiring a major in the context of a broader undergraduate experience and to provide courses in general chemistry for students seeking science degrees in other Arts and Sciences departments and the professional schools, such as Nursing and Engineering.

## Goals and Student Learning Outcomes/Objectives, with Any Associations and Related Measures, Targets, Findings, and Action Plans

### **G 1: Chemistry majors will have basic knowledge of the main areas of Chemistry**

At graduation, Chemistry majors will have basic knowledge of the main areas of chemistry.

### **SLO 1: Knowledge base and the ability to solve problems in several sub-disciplines of chemistry.**

Graduating seniors will demonstrate a knowledge base and the ability to solve problems in several sub-disciplines of chemistry.

### Related Measures:

#### **M 1: ACS DUCK Exam**

This exam is given as the final exam for CHEM 496 (Senior Seminar). This course is our Capstone course and it is required for all Chemistry Majors irrespective of concentration. ACS DUCK Exam: The American Chemical Society Diagnostic of Undergraduate Chemistry Knowledge (DUCK) exam is designed to be taken at or near the end of a four-year undergraduate curriculum. All items on the exam require knowledge from more than one traditional area of chemistry, so students are less likely to segment their knowledge into such areas and be successful on this exam.

Source of Evidence: Standardized test of subject matter knowledge

**Target:**

At least 50% of our students will perform 50 percentile or higher level compared with national norms.

**Findings (2014-15) - Target: Partially Met**

The mean and median scores of our B.S. students were higher than the ACS norms. The mean and median scores of our B.A. students were lower than the ACS norms. For the combined B.S./B.A. group the mean and median scores were the same as the ACS norms. Fourteen of the 24 B.S. majors (58%) got a score of 32 or higher (52nd percentile). Three of the 13 B.A. majors (23%) got a score of 32 or higher.

**Findings (2013-2014) - Target: Met**

Our assessment indicates that we successfully met our target for this measure. We had 61 Chemistry major students taking the ACS DUCK exam this academic year. From this group, 33 of them (54%) performed at the 50 percentile or higher compared with national norms.

**Related Action Plans (by Established cycle, then alpha):**

For full information, see the *Details of Action Plans* section of this report.

**ACS DUCK Exam**

*Established in Cycle: 2014-15*

Our Target is that at least 50% of our students will perform 50 percentile or higher level compared with national norms. This ye...

**M 2:Core Courses Final Exams**

Core Courses Final Exams (CHEM 221, 231, 341, 351/361) While individual exam questions may vary slightly from year-to-year, the types of exam are consistent.

Source of Evidence: Comprehensive/end-of-program subject matter exam

**Target:**

The average score on each exam for each course will be no lower than 70%

**Findings (2014-15) - Target: Met**

Our assessment indicates that we successfully met our target. The average score for CHEM 221 exams was 76%. The average score for CHEM 231 final Exam was 74% The average score for CHEM 341 final exam was 73 %. The average score for CHEM 361 final exam was 86%. 60% of the CHEM 351 students performed significantly better than the national 50 %ile on the ACS Exam.

**Findings (2013-2014) - Target: Met**

Our assessment indicates that we successfully met our target. The average score for CHEM 221 exams was 71%. The average score for CHEM 231 final Exam was 71% The average score for CHEM 341 final exam was 78 %. The average score for CHEM 361 final exam was 79 %. 68% of the CHEM 351 students did better than the national 50 %ile on the ACS Exam.

## **G 2:Chemistry majors will be able to use scientific methodology and laboratory techniques to investigate chemical problems**

At graduation, Chemistry majors will be able to use scientific methodology and laboratory techniques to investigate chemical problems.

### **SLO 2:Analysis of scientific study**

Graduating seniors will be able to investigate general chemical phenomena in any of several sub-disciplines of chemistry and carry out experiments that address a problem, competently reporting their experimental results in written form, adhering to proper chemical conventions.

#### **Related Measures:**

### **M 3:Lab Report Evaluation**

Selected Lab Reports from specific experiments of CHEM 335 and 422 will be analyzed. While the experiment themselves may vary slightly from year-to-year, the techniques involved are consistent. The lab reports will be assessed on understanding and executing the technique/method and analyzing and evaluating the data acquired. Overall the student's lab report should show that the student: 1 - Exceeding Expectations; 2 - Meeting Expectations; 3 - Approaching Expectations and 4 - Not Meeting Expectations. CHEM 335 Basic Organic Techniques Thin Layer Chromatography Vapor Phase Chromatography NMR Spectroscopy Infrared Spectroscopy CHEM 422 UV-Visible Absorption Spectrophotometry Fluorescence Spectrophotometry Atomic Absorption Spectrophotometry Electroanalytical Techniques High Performance Liquid Chromatography

Source of Evidence: Performance (recital, exhibit, science project)

#### **Target:**

The average score on each type of lab report evaluated will be no lower than 70%.

#### **Findings (2014-15) - Target: Met**

Our assessment indicates that we successfully met our target for this measure. This year, all the labs evaluated had an average score higher than 85 %.

#### **Findings (2013-2014) - Target: Met**

Our assessment indicates that we successfully met our target for this measure. All the labs evaluated had an average score higher than 80 %.

### **M 4:CHEM 107, 221, 335 and 455 Evaluations**

Basic Lab Courses Evaluations (CHEM 107, 221, 335 and 455). The sections for basic techniques will be analyzed.

Source of Evidence: Performance (recital, exhibit, science project)

#### **Target:**

The average score on evaluations of the basic technique sections for each course will be no lower than 70%

#### **Findings (2014-15) - Target: Met**

Our assessment indicates that this cycle we successfully met our target. The average score for the basic lab techniques for CHEM 107 was 79%.

The average score for the basic lab techniques CHEM 221 was 78%. The average score for the basic lab techniques questions on the Final Exam for CHEM 335 was 79%. The average score for the basic lab techniques for CHEM 455 was 80%.

**Findings (2013-2014) - Target: Partially Met**

Our assessment indicates that we partially met our target. The average score for the basic lab techniques questions on the Final Exam for CHEM 107 was 73.9%. The average score for the basic lab techniques questions on the Final Exam for CHEM 221 was 74.2%. The average score for the basic lab techniques questions on the Final Exam for CHEM 335 was 75.7%. The average score for the basic lab techniques questions on the Final Exam for CHEM 455 was 57.3%.

**G 3: Chemistry majors will be able to organize and present chemical information through written and oral presentation**

Chemistry majors will be able to organize and present chemical information through written and oral presentation

**SLO 3: Analysis of scientific study and communication skills**

Graduating Seniors will be able to critically analyze chemical literature through written or oral presentation.

**Related Measures:**

**M 5: CHEM 422 Special Project.**

Examination of this learning goal indicates that it can be effectively assessed utilizing laboratory-based Special Projects. By collaborating with faculty mentor and/lab instruction team, students design their experiments, establish the protocol, and execute the laboratory project. Following the successful completion of the special project, students communicate results using both written and oral presentations. Students' presentations are assessed using the following rubrics: the choice of method(s), collection of data, analysis and interpretation of findings, deriving conclusions. Rubric for Assessment of Special Project presentation Overall the student's presentation shows that the student: (Rating: 1 - Exceeding Expectations; 2 - Meeting Expectations; 3 - Approaching Expectations and 4 - Not Meeting Expectations.). 1. demonstrates ability to define project objectives or identify the problem (s) 2. shows ability to prepare samples and choose the most appropriate instrumental technique(s) for solving the problem 3. collects reasonable and accurate data by mastering the relevant laboratory skills 4. presents findings and demonstrate effective use of literature 5. demonstrates effective use of graphs and oral presentation skills to communicate key findings and conclusions 6. uses effective writing skills (good grammar, spelling, coherent writing, clear exposition) for presenting findings and conclusions. 7. overall impression of the Special Project in CHEM 422.

Source of Evidence: Project, either individual or group

**Target:**

At least 70% of our students will meet our expectations on each of the items evaluated.

**Findings (2014-15) - Target: Met**

Our assessment indicates that we successfully met our target for this

measure. 80% of our students meet or exceed our expectations on each of the items evaluated.

**Findings (2013-2014) - Target: Met**

Our assessment indicates that we successfully met our target for this measure. 87.4% of our students meet or exceed our expectations on each of the items evaluated.

**M 6:Capstone Course CHEM 496 Poster Presentation**

At the CHEM 496 Poster Presentation the student will be able to demonstrate that the student is able to: A. use library resources and relevant search engines effectively B. understand and critically evaluate scientific information C. produce clear and coherent texts D. use graphic material and tables effectively in such texts E. communicate scientific information effectively orally F. communicate scientific information effectively Rubric for Assessment Capstone Course CHEM 496 Poster Each member of the Undergraduate Program Committee is responsible to assess 4- 5 the poster presentations utilizing a common rubric. The assessment rubric is identified only by the course are collected and tabulated for analysis. The assessment numerical scale ranges are 1 - Exceeding Expectations; 2 - Meeting Expectations; 3 - Approaching Expectations and 4 - Not Meeting Expectations.

Source of Evidence: Performance (recital, exhibit, science project)

**Target:**

At least 70% of our students will at exceed or meet our expectations for this learning goal.

**Findings (2014-15) - Target: Met**

Our assessment indicates that we successfully met our target for this measure. 82% of our students meet or exceed our expectations on each of the items evaluated.

**Findings (2013-2014) - Target: Met**

Our assessment indicates that we successfully met our target for this measure. 75.3% of our students meet or exceed our expectations on each of the items evaluated.

**G 4:Chemistry majors will be prepared for professional and career growth**

Chemistry majors will be prepared for professional and career growth

**SLO 4:Professional training**

Graduating seniors will use degree as foundation for successful academic and professional careers.

**Related Measures:**

**M 7:Senior Survey**

Students will be asked at the last semester where they plan to work or study, and within the end of the first year, another survey will ask them where they are actually working or studying.

Source of Evidence: Exit interviews with grads/program completers

**Target:**

At least 60% of our Chemistry Majors will be accepted or hold a chemistry related position by the end of the first year after graduation.

**Findings (2014-15) - Target: Not Reported This Cycle**

We did receive significant replies from our survey. We will work on developing new ways to reach out to our graduated students.

**Findings (2013-2014) - Target: Not Reported This Cycle**

Data not available yet. We will complete this item as the surveys became available.

**M 8: Undergraduate Research (CHEM 397, 497 and 498)**

Undergraduate Research (CHEM 397, 497 and 498) The actual format of the study will depend on the particular faculty research advisor, but typically will include a search of the relevant literature, an introduction to the pertinent experimental and/or computational methods, original research on a particular topic, and participation in research group meetings. Students who contribute significantly to a research project are included as coauthors in publications arising from the research.

Source of Evidence: Senior thesis or culminating major project

**Target:**

At least 10% of Chemistry Majors will graduate with publications in peer reviewed journals. At least 20% of Chemistry Majors will graduate with presentations at national, regional and university wide scientific meetings. At least 50% of Chemistry Majors will graduate having successfully participated in research. (Independent Research Courses: CHEM 397 or CHEM 497 or CHEM 498).

**Findings (2014-15) - Target: Met**

Our assessment indicates that successfully met our target. 28 % of Chemistry Majors graduated with publications in peer reviewed journals. 20 % of Chemistry Majors graduated with presentations at national, regional and university wide scientific meetings. 85 students participated in research during the 2014-2015 academic year, 19 of these students were Chemistry Majors (19% of the total class). In addition to this data, 26% of Chemistry Majors graduated with Honor Theses. 13% of Chemistry Majors received awards as result of their research.

**Findings (2013-2014) - Target: Partially Met**

Our assessment indicates that partially met our target. 16 % of Chemistry Majors graduated with publications in peer reviewed journals. 34 % of Chemistry Majors graduated with presentations at national, regional and university wide scientific meetings. 10 % of Chemistry Majors graduated with Honor Theses

**Details of Action Plans for This Cycle (by Established cycle, then alpha)****ACS DUCK Exam**

Our Target is that at least 50% of our students will perform 50 percentile or higher level compared with national norms. This year we had 47% of our students performing 50 percentile or higher level compared with national norms. Since it is the only time that we

did not meet the target, we will carefully monitor next year results before we make any change.

**Established in Cycle:** 2014-15  
**Implementation Status:** Planned  
**Priority:** Medium

**Relationships (Measure | Outcome/Objective):**

**Measure:** ACS DUCK Exam | **Outcome/Objective:** Knowledge base and the ability to solve problems in several sub-disciplines of chemistry.

**Implementation Description:** We will carefully monitor next year results before we re-evaluate the target.

## Detailed Assessment Report

As of: 12/08/2015 12:36 PM EASTERN

### 2014-15 Chemistry PHD

(Includes those Action Plans with Budget Amounts marked One-Time, Recurring, No Request.)

## Goals and Student Learning Outcomes/Objectives, with Any Associations and Related Measures, Targets, Findings, and Action Plans

### **G 1: Broad Knowledge**

Demonstrate broad knowledge in the area of chemical sciences pertinent to research interests.

### **SLO 1:SLO 1 Broad knowledge and ability to find and understand chemical information**

SLO 1 Students will develop broad knowledge and ability to find and understand chemical information.

#### Relevant Associations:

##### **Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

#### Related Measures:

##### **M 1:GPA in the six core graduate courses**

GPA in the six core graduate courses

Source of Evidence: Performance (recital, exhibit, science project)

##### **Target:**

70% of students will have GPA of 3.3 or higher

##### **Findings (2014-15) - Target: Met**

93% (41 out of 44)

##### **Connected Document**

- *Chemistry PhD GPA 2015*

##### **M 2:Performance on ACS placement exams**

Performance on ACS placement exams

Source of Evidence: Standardized test of subject matter knowledge

##### **Target:**

50% of students will pass at least two placement exams

##### **Findings (2014-15) - Target: Partially Met**

45% (5 out of 11)

### Related Action Plans (by Established cycle, then alpha):

For full information, see the *Details of Action Plans* section of this report.

#### **Improve recruiting**

*Established in Cycle:* 2014-15

Chemistry Department will work on improving recruiting activities to attract better prepared students to our PhD program.

### **SLO 2:SLO 2 Writing, presentation and communication of chemical science.**

SLO 2 Students will learn to write, present, and orally communicate chemical science.

#### Relevant Associations:

##### **Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

#### Related Measures:

##### **M 3:Preliminary Oral Examination, query 3**

Preliminary Oral Examination, query 3

Source of Evidence: Presentation, either individual or group

##### **Target:**

80% of students will score 6 or higher

##### Findings (2014-15) - Target: **Not Reported This Cycle**

Data not collected because we have not yet started to use the new format of the Preliminary Oral Examination.

##### **M 4:Preliminary Oral Examination, query 5**

Preliminary Oral Examination, query 5

Source of Evidence: Presentation, either individual or group

##### **Target:**

70% of students will score 6 or higher

##### Findings (2014-15) - Target: **Not Reported This Cycle**

Data not collected because we have not yet started to use the new format of the Preliminary Oral Examination.

### **G 2: In-Depth Knowledge in Focused Area**

Demonstrate in-depth and advanced knowledge and become an expert in a narrowly focused area of chemical research.

### **SLO 3:SLO 3 Working knowledge of a specific field of chemistry**

SLO 3 Students will develop deep working knowledge of a specific field of chemistry.

#### Relevant Associations:

**Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

**Related Measures:**

**M 5:Preliminary Oral Examination, query 2**

Preliminary Oral Examination, query 2

Source of Evidence: Presentation, either individual or group

**Target:**

70% of students will score 6 or higher

**Findings (2014-15) - Target: Not Reported This Cycle**

Data not collected because we have not yet started to use the new format of the Preliminary Oral Examination.

**SLO 4:SLO 4 Critical evaluation of primary literature.**

SLO 4 Students will critically evaluate primary literature.

**Relevant Associations:**

**Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

**Related Measures:**

**M 6:Preliminary Oral Examination, query 1**

Preliminary Oral Examination, query 1

Source of Evidence: Presentation, either individual or group

**Target:**

70% of students will score 6 or higher

**Findings (2014-15) - Target: Not Reported This Cycle**

Data not collected because we have not yet started to use the new format of the Preliminary Oral Examination.

**M 7:Graduate Seminar, CHM592**

Graduate Seminar, CHM592

Source of Evidence: Capstone course assignments measuring mastery

**Target:**

Average score for CHM592 should be 80% or better

**Findings (2014-15) - Target: Met**

88%

### **G 3:Original Research Project**

Demonstrate ability to design, conduct and disseminate results of an original research project.

### **SLO 5:SLO 5 Identify problem, develop hypothesis and design experiments.**

SLO 5 Students will learn to identify a problem, develop a hypothesis and design experiments that test the hypothesis.

#### **Relevant Associations:**

##### **Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

#### **Related Measures:**

##### **M 8:Research proposal in Graduate Seminar, CHM592**

Research proposal in Graduate Seminar, CHM592

Source of Evidence: Capstone course assignments measuring mastery

##### **Target:**

Average score for research proposal in CHM 592 should be 80% or better

##### **Findings (2014-15) - Target: Met**

86%

##### **M 9:Preliminary Oral Examination, query 4**

Preliminary Oral Examination, query 4

Source of Evidence: Presentation, either individual or group

##### **Target:**

70% of students will score 6 or higher

##### **Findings (2014-15) - Target: Not Reported This Cycle**

Data not collected because we have not yet started to use the new format of the Preliminary Oral Examination.

### **SLO 6:SLO 6 Original published contributions to chemical sciences.**

SLO 6 Students will make original contributions to chemical sciences that will be published in peer-reviewed journals.

#### **Relevant Associations:**

##### **Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

#### **Related Measures:**

##### **M 10:Number of publications**

Number of publications

Source of Evidence: Performance (recital, exhibit, science project)

**Target:**

80% of students will have at least two published or accepted publications

**SLO 7:SLO 7 Original research project**

SLO 7 Students will design, execute and orally defend an original research project

**Relevant Associations:**

**Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

**Related Measures:**

**M 11:Thesis defense**

Thesis defense

Source of Evidence: Senior thesis or culminating major project

**Target:**

80% of students will defend PhD thesis in three years after acquiring ABD status

**Findings (2014-15) - Target: Met**

100% (3 out of 3)

**G 4: Professional Skills**

Demonstrate professional skills required to work in chemical industry, academia and government.

**SLO 8:SLO 8 Students will become skillful and professional teachers**

SLO 8 Students will become skillful and professional teachers

**Relevant Associations:**

**Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

**Related Measures:**

**M 12:Teaching assistant evaluations**

Teaching assistant evaluations (1 to 5)

Source of Evidence: Performance (recital, exhibit, science project)

**Target:**

80% of students will score 4 or higher

**Findings (2014-15) - Target: Met**  
95% (36 out of 38)

**SLO 9: SLO 9 Safety, ethics, honesty, and integrity.**

SLO 9 Students will learn to conduct research with safety, strong ethics, honesty, and integrity.

**Relevant Associations:**

**Institutional Priority Associations:**

1 The premier public university of the 21st century will engage in path-breaking graduate education, research, scholarship and creative activities that shape the world.

**Related Measures:**

**M 13: Safety exam upon joining the program**

Safety exam upon joining the program

Source of Evidence: Standardized test of subject matter knowledge

**Target:**

100% students will pass the exam

**Findings (2014-15) - Target: Met**  
100%

**M 14: Safety seminar at the beginning of every semester**

Safety seminar at the beginning of every semester

Source of Evidence: Academic direct measure of learning - other

**Target:**

100% students will attend every semester

**Findings (2014-15) - Target: Met**  
100%

**Details of Action Plans for This Cycle (by Established cycle, then alpha)**

**Improve recruiting**

Chemistry Department will work on improving recruiting activities to attract better prepared students to our PhD program.

**Established in Cycle:** 2014-15

**Implementation Status:** Planned

**Priority:** High

**Relationships (Measure | Outcome/Objective):**

**Measure:** Performance on ACS placement exams | **Outcome/Objective:** SLO 1  
Broad knowledge and ability to find and understand chemical information

# Appendix 5.3

# Binghamton University

## Detailed Assessment Report 2015-16 Binghamton Scholars Program

As of: 1/26/2016 04:23 PM EASTERN

(Includes those Action Plans with Budget Amounts marked **One-Time, Recurring, No Request**.)

### Mission / Purpose

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The mission of the Binghamton University Scholars Program is to provide incoming students of exceptional merit with a four-year commitment to an intellectually stimulating program of both curricular and extracurricular activities that connect students to each other and the best minds across the University and beyond.

### Goals and Other Outcomes/Objectives, with Any Associations and Related Measures, Targets, Findings, and Action Plans

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#### **G 1: Leadership**

Learn the foundations of, and participate in leadership

**O/O 1: Understand the attributes of what makes the best leaders and experience hands-on leadership opportunities**

#### Related Measures

##### **M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

##### **Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

##### Finding (2014-15) - Target: Partially Met

Class graduating in 2015: 96% participated in 1 or more opportunity 19% participated in 2 or more opportunities 15% participated in 3 or more opportunities Action Plan: Increase Leadership programming and opportunities for Scholars

#### **G 2: intellectual curiosity**

Learn the foundations of, and pursue intellectual curiosity

**O/O 2: Continually question, discover, and engage new knowledge. Observe all sides, and understand that there is always more to learn.**

Continually question, discover, and engage new knowledge. Observe all sides, and understand that there is always more to learn. Strive for mastery in one's discipline, while understanding the ways in which disciplines interact.

#### Related Measures

##### **M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

##### **Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

##### Finding (2014-15) - Target: Partially Met

Class graduating in 2015: 96% participated in 1 or more opportunity 96% participated in 2 or more opportunities 74% participated in 3 or more opportunities Action Plan: Increase Intellectual Curiosity programming and opportunities for Scholars

#### **G 3: Civic Engagement**

Learn the foundations of, and participate in civic engagement

**O/O 3: Recognize and act on one's responsibility to the community and to the wider local, national, and global society.**

Recognize and act on one's responsibility to the community and to the wider local, national, and global society.

#### Related Measures

##### **M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

##### **Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

##### Finding (2014-15) - Target: Partially Met

Class graduating in 2015: 100% participated in 1 or more opportunity 96% participated in 2 or more opportunities 0% participated in 3 or more opportunities Action Plan: Increase Civic Engagement programming and opportunities for Scholars

#### **G 4: Balance and Wellbeing**

Learn the foundations of, and practice balance and wellbeing

**O/O 4: Understand the importance of body and mind care, and actively participate in such care to experience the highest quality of life**

Understand the importance of body and mind care, and actively participate in such care to experience the highest quality of life. Develop a positive and productive attitude and consciously do one's very best in all aspects of college and life.

**Related Measures**

**M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

**Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

**Finding (2014-15) - Target: Partially Met**

Class graduating in 2015: 7% participated in 1 or more opportunity 0% participated in 2 or more opportunities 0% participated in 3 or more opportunities Action Plan: Increase Balance and Wellbeing programming and opportunities for Scholars

**G 5: Diversity of Perspectives**

Learn the foundations of, and develop a diversity of perspectives

**O/O 5: Demonstrate an understanding of and respect for the differing backgrounds of members of the Binghamton University community and**

Demonstrate an understanding of and respect for the differing backgrounds of members of the Binghamton University community and the world at large. Understand the differing nature of scholarship and the value of all kinds of learning. Recognize diversity of perspectives as an advantage to learning, citizenship, philanthropy, and work.

**Related Measures**

**M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

**Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

**Finding (2014-15) - Target: Partially Met**

Class graduating in 2015: 96% participated in 1 or more opportunity 74% participated in 2 or more opportunities 67% participated in 3 or more opportunities Action Plan: Increase Diversity of Perspectives programming and opportunities for Scholars

**G 6: creativity, innovation, and the entrepreneurial spirit**

Learn the value of, and practice creativity, innovation, and the entrepreneurial spirit

**O/O 6: Understand that new perspectives, performances, and ideas in business, engineering, the arts and sciences can better the world i**

Understand that new perspectives, performances, and ideas in business, engineering, the arts and sciences can better the world in which we live through innovation and excellence in the workplace; on the stage; in the studio, clinic, or laboratory; and beyond. Work to add to those new initiatives through research, academic efforts, and creative activities.

**Related Measures**

**M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

**Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

**Finding (2014-15) - Target: Partially Met**

Class graduating in 2015: 59% participated in 1 or more opportunity 22% participated in 2 or more opportunities 7% participated in 3 or more opportunities Action Plan: Increase Creativity, Innovation, and the Entrepreneurial spirit programming and opportunities for Scholars

**G 7: Experiential/Active learning**

Learn the value of non-traditional classroom learning and participate in experiential/active learning

**O/O 7: Understand that at least as much learning occurs outside of the classroom as inside the classroom and embrace opportunities avai**

Understand that at least as much learning occurs outside of the classroom as inside the classroom and embrace opportunities available outside the more traditional methods of learning.

**Related Measures**

**M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

**Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

**Finding (2014-15) - Target: Partially Met**

Class graduating in 2015: 96% participated in 1 or more opportunity 93% participated in 2 or more opportunities 59% participated in 3 or more opportunities Action Plan: Increase Experimental / Active / Applied Learning programming and opportunities for Scholars

**G 8: integrity**

Learn the importance of, and practice integrity

**O/O 8: Cultivate personal, academic, and work integrity. Recognize and act on a sense of honor, ethics, and moral reasoning, ranging fr**

Cultivate personal, academic, and work integrity. Recognize and act on a sense of honor, ethics, and moral reasoning, ranging from honesty in relationships to academics and professionalism.

**Related Measures**

**M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

**Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

**Finding (2014-15) - Target: Partially Met**

Class graduating in 2015: 96% participated in 1 or more opportunity 96% participated in 2 or more opportunities 74% participated in 3 or more opportunities Action Plan: Increase Integrity programming and opportunities for Scholars

**G 9: Effective communication**

Learn the personal and professional importance of, and practice effective communication

**O/O 9: Demonstrate the ability to listen effectively to varying perspectives. Convey thoughts, ideas, and data through a variety of ve**

Demonstrate the ability to listen effectively to varying perspectives. Convey thoughts, ideas, and data through a variety of verbal and written means, and demonstrate those skills through presentations, partnerships, teamwork, and collaborative experiences. Write or present professionally for local and national audiences.

**Related Measures**

**M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

**Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

**Finding (2014-15) - Target: Partially Met**

Class graduating in 2015: 96% participated in 1 or more opportunity 96% participated in 2 or more opportunities 78% participated in 3 or more opportunities Action Plan: Increase Effective Communications programming and opportunities for Scholars

**G 10: Build community**

Learn the importance of, and work to build community

**O/O 10: Cultivate interactions between students, faculty, staff, administrators, and alumni. Create a community network of social, acad**

Cultivate interactions between students, faculty, staff, administrators, and alumni. Create a community network of social, academic and professional colleagues

**Related Measures**

**M 1: Participation**

Participation in courses and program offerings, and leadership positions held

Source of Evidence: Activity volume

**Target:**

100% will participate in 1 opportunity; 75% will participate in 2 opportunities; 50% will participate in 3 or more opportunities

**Finding (2014-15) - Target: Partially Met**

Class graduating in 2015: 93% participated in 1 or more opportunity 30% participated in 2 or more opportunities 19% participated in 3 or more opportunities Action Plan: Increase Build Community programming and opportunities for Scholars

**G 11: Enrollment Targets**

Program Goal – Meet or Exceed Enrollment Targets

**O/O 11: Enroll 100 new freshmen and 4 sophomore Scholars each year**

Enroll 100 new freshmen and 4 sophomore Scholars each year

**Related Measures**

**M 2: Enrollment, Retention, Graduation rates**

Enrollment, Retention, Graduation rates

Source of Evidence: Benchmarking

**Target:**

100 freshmen

**Finding (2014-15) - Target: Partially Met**

enrolled 97 freshmen Action Plan: Work closely with Undergraduate Admissions to recruit and enroll 100 freshmen

**G 12: Retention Rates**

Program Goal - Meet or Exceed Binghamton University Retention Rates

**O/O 12: First year retention rate of Scholars will exceed Binghamton's overall rate**

First year retention rate of Scholars will exceed Binghamton's overall rate

**Related Measures**

**M 2: Enrollment, Retention, Graduation rates**

Enrollment, Retention, Graduation rates

Source of Evidence: Benchmarking

**Target:**

90.7% BU general population rate for 2012

**Finding (2014-15) - Target: Met**

Entering class of Fall 2013: 94% Entering class of Fall 2014: 98% (as of 3/2/15)

**G 13: Graduation Rates (4, 5, and 6 year)**

Program Goal - Meet or exceed Binghamton University Baccalaureate Graduation Rates (4, 5, and 6 year)

**O/O 13: Graduation rate of Scholars will exceed Binghamton's overall rate**

Graduation rate of Scholars will exceed Binghamton's overall rate

**Related Measures**

**M 2: Enrollment, Retention, Graduation rates**

Enrollment, Retention, Graduation rates

Source of Evidence: Benchmarking

**Target:**

BU general population rates for 2012: 4 yr: 66.1%; 5 yr: - 76.2%; 6 year: 77.7%

**Finding (2014-15) - Target: Met**

For the class of 2014: Those who graduated as Scholars: 94.74% 4 year graduation rate Those who matriculated as Scholars: 71.88% 4 year graduation rate

**Details of Action Plans for This Cycle (by Established cycle, then alpha)**

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**Outcome/Objective 1 Leadership**

A surprising outcome of this assessment report is that "Leadership" is an area of improvement for our highest performing students on campus. While Scholars continually excel in effective communication, experiential learning, integrity, and intellectual curiosity, how they use those skills as leaders remains to be demonstrated at the level the Program staff had hoped. It is natural that leadership skills are honed over time with both age and experience. And, therefore, it's no surprise that freshmen are not hitting this target as well as seniors are. To overcome this deficit, the Scholars Program has planned some programming to encourage leadership in Scholars through providing funding for students to attend and present at conferences. The program is also offering more events that hone the skills of future leaders through activities such as, for example, "professionalism week".

**Established in Cycle:** 2014-15

**Implementation Status:** Planned

**Priority:** Medium

**Implementation Description:** The Program intends to send more students to professional conferences this year. The Program will host several on campus leadership initiatives such as "leadership week" which includes workshops on resume writing, interviewing, social media use, and elevator pitches. Additionally, all Scholars are required to take Scholars 227 which has an embedded leadership component in the course, so eventually 100% of Scholars will reach this objective.

**Projected Completion Date:** 06/2016

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

**Outcome/Objective 10 Build Community**

Scholars learn the importance of, and work to build, community. They cultivate interactions between students, faculty, staff, administrators, and alumni. Scholars create a community network of social, academic, and professional colleagues. The Scholars Program is well on its way to meeting its goal. Because our assessment program measures involvement of students over a four year period, it is safe to assume that this target will be met within the next academic year. A Sophomore Scholar described the benefits of going on a hike to Buttermilk Falls in Ithaca: "I really enjoyed how the hike allowed us to appreciate the true beauty of the outdoors while strengthening our connections with faculty. I was able to have casual conversations with Professor Ziegler and President Stenger that also helped me think about extracurricular activities, especially keeping my career goals in mind. Even though attending class is important, the Scholars Program helps students think about how to maximize their time at Binghamton by drawing from the wisdom and experience of important and successful mentors."

**Established in Cycle:** 2014-15

**Implementation Status:** In-Progress

**Priority:** Low

**Implementation Description:** The Scholars Program will continue to offer learning opportunities that build community. The Program is expected to meet this goal by the end of this academic year with no new programs to implement.

**Projected Completion Date:** 06/2016

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

**Outcome/Objective 11 Enrollment Targets**

Binghamton University Scholars are an elite group of students from all over the country. As of 2014 (starting with the class of 2018), the program has strived to enroll 100 new freshmen each year. We are expected to surpass our expectations in this category in the Fall of 2016.

**Established in Cycle:** 2014-15

**Implementation Status:** In-Progress

**Priority:** Medium

**Implementation Description:** We have met with Admissions to discuss enrolling 150 freshmen in the Fall of 2016. We will continue to work with admissions to realize this.

**Responsible Person/Group:** Admissions Executive Director William Ziegler Assistant Director Katherine Bouman

#### **Outcome/Objective 12 Retention Rates**

The Binghamton University Scholars Program's most recent retention rate was nearly 98%! 94 of our 96 Scholars returned for their sophomore year. Given that Scholars are high performers with exceptional test scores and GPAs, many of these students might be lured by other schools as transfer students. Therefore, the Scholars retention rate points significantly to the program's success in creating a sense of community and pride.

**Established in Cycle:** 2014-15

**Implementation Status:** In-Progress

**Priority:** High

**Implementation Description:** We will continue to offer programming and opportunities to help individual Scholars feel connected to the larger University community while still feeling a part of a small family - The Scholars Family. We must endeavour to help them feel as if a part of an elite class with great privileges and responsibilities that they would not have as non-scholars.

**Responsible Person/Group:** Executive Director William Ziegler

#### **Outcome/Objective 13 Graduation Rates**

The graduation rate of Scholars is higher than the overall average of non-Scholars at Binghamton University. The class of 2015 had a 78.84% (41/52) graduation rate in four years and will have an expected graduation rate of 84.62% (three more students will join as graduates).

**Established in Cycle:** 2014-15

**Implementation Status:** In-Progress

**Priority:** Medium

**Implementation Description:** Assessment and strategies for improvement are ongoing. So far, the Scholars Program graduation rate is higher than the overall average for the University.

**Responsible Person/Group:** Executive Director William Ziegler

#### **Outcome/Objective 2 Intellectual Curiosity**

We met this target. As of August 2015 our data showed: 100% of Scholars participated in one opportunity for intellectual curiosity. 97% of Scholars attended 2 or more. 85% attended three or more.

**Established in Cycle:** 2014-15

**Implementation Status:** Finished

**Priority:** Low

**Implementation Description:** We will continue to offer programming to meet this target.

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

#### **Outcome/Objective 3 Civic Engagement**

Civic Engagement continues to be an area of improvement for the Scholars Program. The office staff and Student Scholars Council will work collaboratively to create more programming opportunities for Scholars to give back to their community, both to the college-community as well as to the wider tri-cities community.

**Established in Cycle:** 2014-15

**Implementation Status:** Planned

**Priority:** Medium

**Implementation Description:** Civic Engagement is an embedded part of the Scholars Core Curriculum in Scholars 227, but the Program will need to think of ways to embed this learning objective in extracurricular events as well if it is to be a meaningful part of the Scholars experience.

**Projected Completion Date:** 06/2016

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

#### **Outcome/Objective 4 Balance and Wellbeing**

It is evident that Balance and Wellbeing is an area of improvement for the Scholars Program. Of the 113 opportunities offered to Scholars during the 2014-15 school year, only eleven of them or 9.7% met this learning objective. Our Scholars are high academic achievers, and sometimes physical and mental wellbeing take a back seat to their intellectual pursuits. As we endeavor to create well-rounded students, we will offer more programming to help them achieve these goals.

**Established in Cycle:** 2014-15

**Implementation Status:** Planned

**Priority:** Medium

**Implementation Description:** The Scholars Program will continue to offer programming that addresses the learning objective of Balance and Wellbeing such as the hike to Buttermilk Falls (or Taughannock Falls in 2015). We will need to add additional programming to support this as well. The Program is currently in the process of bringing a new lecturer on board from the Health and Wellness Studies Department to advise us on strategies.

**Projected Completion Date:** 06/2017

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

#### **Outcome/Objective 5 Diversity of Perspective**

The Scholars Program is meeting this target. As of August 2015, 100% of Scholars participated in 1 or more opportunity. 93% of Scholars participated in 2 or more opportunities. 75% of Scholars participated in 3 or more opportunities.

**Established in Cycle:** 2014-15

**Implementation Status:** Finished

**Priority:** Low

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

#### **Outcome/Objective 6 Creativity, Innovation, and Entrepreneurial Spirit**

Scholars learn the foundations of, and practice, creativity, innovation, and entrepreneurial spirit. They understand that new perspectives, performances, and ideas in business, engineering, the arts and sciences can better the world in which we live through innovation and excellence in the workplace; on the stage; in the studio, clinic, or laboratory; and beyond. Scholars work to add to those new initiatives through research, academic efforts, and creative activities.

**Established in Cycle:** 2014-15

**Implementation Status:** In-Progress

**Priority:** Medium

**Implementation Description:** Fewer than 11% of Scholars opportunities had this learning objective associated with it. Over the next few years, the Scholars program staff, along with Scholars Student Council, will need to think of ways to increase programming that promotes creativity, innovation and entrepreneurial spirit. This learning objective is embedded in Scholars core curriculum (Schl 327/427), and the reader can anticipate that some growth will happen naturally in this area in the next three years.

**Projected Completion Date:** 06/2017

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

#### **Outcome/Objective 7 Experiential and Active Learning**

The Scholars Program is very close to achieving its targets in the area of experiential and active learning. Scholars learn the value of non-traditional classroom learning and participate in experiential/active learning. They understand that at least as much learning occurs outside of the classroom as inside the classroom and embrace opportunities available outside the more traditional methods of learning.

**Established in Cycle:** 2014-15

**Implementation Status:** In-Progress

**Priority:** Low

**Implementation Description:** The Scholars Program will hit this target in the coming year with continued programming. The Scholars program continues to excel in providing experiential learning opportunities for its students.

**Projected Completion Date:** 06/2016

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

#### **Outcome/Objective 8 Integrity**

Scholars learn the importance of and practice integrity. Scholars cultivate personal, academic, and work integrity. They recognize and act on a sense of honor, ethics, and moral reasoning, ranging from honesty in relationships to academics and professionalism. Integrity comes in many forms. Scholars are asked to demonstrate personal integrity in professional relationships with others and their sense of giving back to the community through volunteer efforts such as Soup and Sandwich Saturdays. They are asked to demonstrate academic integrity in the quality of their work and research. The Scholars Program is meeting its targets in this category. As of August 2015, 100% of Scholars participated in 1 opportunity. 96% had participated in 2 or more opportunities. And, 77% of Scholars had participated in 3 or more opportunities. And, we look forward to continued growth in this area in years to come.

**Established in Cycle:** 2014-15

**Implementation Status:** Finished

**Priority:** Low

**Implementation Description:** No action needed. Target is being met.

**Projected Completion Date:** 06/2016

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

#### **Outcome/Objective 9 Effective Communication**

Scholars practice effective communication. They learn the personal and professional importance of effective communication. Scholars demonstrate the ability to listen effectively to varying perspectives. They convey thoughts, ideas, and data through a variety of verbal and written means, and demonstrate those skills through presentations, partnerships, teamwork, and collaborative experiences. They write and present professionally for local and national audiences. Scholars are eloquent and articulate individuals. Therefore, it is no surprise that the program is meeting its targets in this area. As of August 2015, 100% of Scholars had participated in one opportunity associated with effective communication; 96% had participated in 2 or more; and 76% of Scholars had participated in 3 or more. In fact, this year, TEDxBinghamtonUniversity featured its first student: Sophomore Scholar Jack Fischer. We look forward to further success and growth in this area.

**Established in Cycle:** 2014-15

**Implementation Status:** Finished

**Priority:** Low

**Implementation Description:** No action needed. Target achieved.

**Projected Completion Date:** 06/2016

**Responsible Person/Group:** Executive Director William Ziegler Assistant Director Katherine Bouman Scholars Student Council

## **Detailed Assessment Report**

### **2015-16 Internal Control**

*As of: 1/26/2016 04:23 PM EASTERN*

**(Includes those Action Plans with Budget Amounts marked One-Time, Recurring, No Request.)**

#### **Mission / Purpose**

The New Yorks State Governmental Accountability, Audit and Internal Control Act (the Act), Chapter 510 of the Laws of 1999, requires that all state agencies institute a formal internal control program. Binghamton University's internal control program fulfills that requirement.

#### **Goals and Other Outcomes/Objectives, with Any Associations and Related Measures, Targets,**

## **Findings, and Action Plans**

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### **G 1: Integrate activities, plans, attitudes, policies, and efforts**

An Internal Control Program is the integration of the activities, plans, attitudes, policies, and efforts of the people of an organization working together to provide reasonable assurance that the organization will achieve its objectives.

### **O/O 1: Perform reviews of designated high risk areas**

Undertake internal control reviews of designated high risk areas to determine appropriateness of current practice and recommend changes where appropriate.

#### **Relevant Associations:**

##### **Institutional Priority Associations**

5 The premier public university of the 21st century will optimize the acquisition and allocation of human, technological, financial and physical resources.

#### **Related Measures**

##### **M 1: Use templates and audit tools**

Use of predetermined assessment templates and audit tools.

Source of Evidence: Evaluations

##### **Target:**

Completion of annual certifications for the State Department of Budget and separate certification for the Office of the State Comptroller by end of June.

##### **Finding (2014-15) - Target: Met**

Met objective for 2014-2015 year.

# Appendix 5.4

# Binghamton University

## Detailed Assessment Report 2015-16 Intercollegiate Athletics

As of: 1/26/2016 04:24 PM EASTERN

(Includes those Action Plans with Budget Amounts marked **One-Time, Recurring, No Request**)

### Mission / Purpose

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Intercollegiate Athletics is an integral component of the educational experience at Binghamton University. The Department exists to provide all student-athletes an opportunity to achieve excellence in their academic, athletic and personal pursuits. In this pursuit of excellence, the Department offers equitable opportunities for all student-athletes and embraces the NCAA principles of sportsmanship, integrity, amateurism, compliance, diversity and inclusion, and institutional control. As part of its mission, the Department embraces the following core values: Excellence, Integrity and Service. Excellence Develop and sustain programs which help student-athletes achieve their maximum potential, athletically, academically and socially. Foster an environment which develops discipline, teamwork and leadership skills. Strive to promote an inclusive environment that enhances a diversified educational experience. Integrity Uphold the rules and regulations established by the NCAA, the America East Conference, the EIWA Conference, the America Sky Conference and other groups to which it belongs. In addition to these regulations, the student-athlete must abide by more rigorous standards imposed by the Department. Committed to the concept of institutional control, requiring appropriate participation in the development and review of athletic policies by the University President, the Faculty Senate, the Intercollegiate Athletics Board (IAB), the Intercollegiate Athletic Committee (IAC), as well as the Binghamton University Athletic Club, alumni, and other groups and individuals who represent the University for the governance of its intercollegiate and athletics program. Recruit and develop student-athletes who reflect positively upon the institution. Service Offer an athletics program that creates pride, school spirit and a sense of connectivity to the University among faculty, staff, students, the community and alumni. Encourage opportunities for engagement in meaningful community service activities. Embrace opportunities to serve as ambassadors and role models.

### Goals and Other Outcomes/Objectives, with Any Associations and Related Measures, Targets, Findings, and Action Plans

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#### **G 1: Ensure Good Conduct**

Recruit and develop student-athletes who reflect positively upon the institution and ensure that they uphold the University's Code of Conduct.

#### **O/O 2: Hold Student-Athletes Accountable**

hold student-athletes accountable for their actions within and outside of their athletic participation both on and off campus.

#### Relevant Associations:

##### **Institutional Priority Associations**

4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

#### Related Measures

##### **M 2: Monitor Weekly UPD Synopsis Reports**

Review the weekly UPD synopsis report for any incidents that may involve student-athletes. Track semester totals and strive for less number of incidents than prior year/semester results. Ultimate goal would be to have zero student-athletes involved.

Source of Evidence: External report

##### **Target:**

Review 100% of weekly UPD synopsis reports and screen for incidents that involve student-athletes.

##### **Finding (2014-15) - Target: Met**

All weekly UPD synopsis reports were screened by Athletics Associate Athletic Director, Dave Simek during the '14-'15 academic year. All incidents involving student-athletes were documented and addressed per the Athletics Code of Conduct policy.

##### **M 3: UPD Incident Reports**

achieve less than or equal to the previous year totals/incidents from UPD weekly synopsis reports regarding reports involving student-athletes.

Source of Evidence: Activity volume

##### **Target:**

Achieve less than or equal to prior year totals for incidents involving student-athletes, based on tracking of weekly UPD Synopsis Reports.

##### **Connected Document**

[14-15 SA Review Board Hearings WEAVE](#)

##### **Finding (2014-15) - Target: Met**

The same number of incident reports involving student-athletes (14) were documented in year '14-'15 as previous year, effectively meeting our target.

##### **M 4: SA Handbook Acknowledgments**

Obtain 100% of all student-athlete handbook acknowledgment forms containing the Code of Conduct information during initial Fall team meetings.

Source of Evidence: Activity volume

##### **Connected Document**

## [SA Handbook Confirmation](#)

### **Target:**

Review campus Incident Reports (provided by UPD) on Mondays to identify any student-athletes whose names appear in campus Incident Reports. Process in accordance with Athletics Code of Conduct policy contained in the Student Athlete handbooks.

### **Finding (2014-15) - Target: Met**

14 incidents were reported which contained or involved student-athletes. Each were processed in accordance with the Code of Conduct policy.

## **O/O 3: Educate and inform about Department and University Code of Conduct**

educate and inform all student-athletes about the Department's and the University's Code of Conduct regarding rules and regulations as well as related policies and procedures pertaining to violations of the Code of Conduct.

### **Relevant Associations:**

#### **Institutional Priority Associations**

4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

### **Related Measures**

#### **M 4: SA Handbook Acknowledgments**

Obtain 100% of all student-athlete handbook acknowledgment forms containing the Code of Conduct information during initial Fall team meetings.

Source of Evidence: Activity volume

#### **Connected Document**

[SA Handbook Confirmation](#)

### **Target:**

Obtain SA Handbook acknowledgment forms for ALL (100%) student-athletes.

### **Finding (2014-15) - Target: Met**

Handbook acknowledgement forms were collected for 100% of the SAs. Each Sport Administrator met with each team (pre-season meeting) to distribute handbooks to all team members. Sport Administrators retain the one-page acknowledgment form until the next year when process is repeated. Sample form attached.

#### **Connected Document**

[SA Handbook Confirmation](#)

#### **M 7: Student-Athlete Assemblies**

conduct a minimum of one (1) event including all student-athletes featuring a guest speaker to address a "hot topic" issue related to conduct (drugs, alcohol, social media, etc.)

Source of Evidence: Discussions / Coffee Talk

### **Target:**

Conduct one (1) educational event each academic year that will involve ALL student athletes. Conduct one (1) educational activity/event to target student-athletes by class (Fr./So./Jr./Sr.) or by gender.

### **Finding (2014-15) - Target: Met**

Student-Athlete Assembly - (September '15) guest speaker: Police Chief Faughnan Freshmen - Achieving Academic Success - presented by Heather Miller Sophomores - Nutrition - presented by Alexa Schmidt, Sodexo Juniors - Digital Footprint, Your Personal Brand presented by CDC Senior - Appreciation reception with Varsity Club Panel (networking opportunities)

### **Finding (2014-15) - Target: Met**

Student-Athlete Assembly - (September '15) guest speaker: Police Chief Faughnan Freshmen - Achieving Academic Success - presented by Heather Miller Sophomores - Nutrition - presented by Alexa Schmidt, Sodexo Juniors - Digital Footprint, Your Personal Brand presented by CDC Senior - Appreciation reception with Varsity Club Panel (networking opportunities)

## **O/O 15: Educate and Inform about Nutrition/Drugs/Alcohol**

offer various programs and guest speakers to address the importance of good nutrition and the dangers of drug and alcohol use/abuse.

### **Related Measures**

#### **M 18: Guest Speaker Nutrition/Drugs/Alcohol**

provide student-athletes with a program to address one or all of the following: Nutrition, Drugs and Alcohol. This could be in the form of a guest speaker/assembly.

Source of Evidence: Presentation, either individual or group

### **Target:**

Conduct at least one event per academic year to address one or all of the following topics: nutrition, drugs or alcohol. This could be in the form of a guest speaker or a work shop.

### **Finding (2014-15) - Target: Met**

Alexa Schmidt, Sodexo's nutritionist met with our student-athletes in an open session to answer questions about diet and nutrition. This event was held in the TAU Bearcat Club room in the Events Center and was open to all student-athletes.

## **G 2: Diversity, Equity and Inclusion**

Increase the awareness and stress the importance and value of Diversity, Equity and Inclusion.

## **O/O 4: Assign Liaison with campus Diversity Equity and Inclusion committee**

assign athletics representative to the campus wide committee on Diversity Equity and Inclusion to open the lines of communication and to gain insight and information regarding campus initiatives that may be adopted by Athletics. Invite campus organizations/unit leaders to monthly department staff meetings to discuss hot topics

#### Relevant Associations:

##### **Institutional Priority Associations**

- 3 The premier public university of the 21st century will unite to foster a diverse and inclusive campus culture.

#### Related Measures

##### **M 6: Form Athletics Diversity, Equity & Inclusion Committee**

form a committee within Athletics (coaches, staff, student-athletes) prior to June 30, 2015, to address/increase awareness and stress importance and value of Diversity, Equity and Inclusion.

Source of Evidence: Focus groups

##### **Target:**

assign an Athletics representative to serve as liaison with campus Diversity Equity & Inclusion committee. Attend all committee meetings and functions.

##### **Finding (2014-15) - Target: Met**

Ed Scott, Sr. Associate AD, was assigned to represent Athletics on the campus Diversity, Equity & Inclusion committee.

##### **O/O 5: You Can Play Initiative**

partner with the America East Conference on the "You Can Play" initiative to further the awareness and importance of inclusion.

#### Relevant Associations:

##### **Institutional Priority Associations**

- 3 The premier public university of the 21st century will unite to foster a diverse and inclusive campus culture.

#### Related Measures

##### **M 8: You Can Play Themed Events**

conduct a minimum of one (1) event that incorporates the "You Can Play" initiative to promote awareness and importance of inclusion. Partnership with the America East Conference partner YOU CAN PLAY.

Source of Evidence: Activity volume

##### **Target:**

Conduct or host a minimum of two (2) "You Can Play" themed events at or during home competitions throughout the academic year.

##### **Finding (2014-15) - Target: Met**

Two (2) "You Can Play" themed events were conducted during the '14-'15 season: 1. @ MBB game (2/3/15)  
2. @ WBB game (2/26/15) game scripts included announcements regarding the initiative to encourage fans to visit the concourse table displays.

##### **G 3: Academic Performance**

Promote and recognize student-athletes academic performance

##### **O/O 6: Athletics Director Honor Roll**

establish and recognize SA academic achievements each semester by placing SAs who achieve a 3.3 GPA on the AD Honor Roll. This recognition will take place during half-time of a basketball game to maximize campus and community exposure.

#### Relevant Associations:

##### **Institutional Priority Associations**

- 2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

#### Related Measures

##### **M 9: AD Honor Roll Basketball Game Recognitions**

conduct half-time recognition ceremonies to recognize previous Spring (semester) AD honor roll SAs (Nov./Dec.) and Fall (semester) AD honor roll SAs (Jan./Feb.).

Source of Evidence: Activity volume

##### **Target:**

Conduct two (2) special events to recognize the AD Honor Roll recipients for both the Spring (prior year) and Fall (current year).

##### **Finding (2014-15) - Target: Met**

Spring prior year SAs were honored and recognized at a MBB game and the Fall (current year) SAs were also honored and recognized at a MBB game in the Events Center. The ADs honor roll recipients were also recognized at the year end Athletics Awards Banquet on April 27, 2015.

##### **O/O 7: Academic Cup**

recognize team academic performance (highest team GPA) with the presentation of the Academic Cup (trophy). This will be done along with the AD Honor Roll presentation at a men's or women's home basketball game in the Events Center. The trophy will be displayed in the Student-Athlete Success Center located in the West Gym.

#### Relevant Associations:

##### **Institutional Priority Associations**

- 2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

#### Related Measures

##### **M 10: Academic Cup - Team Recognition Ceremony**

recognize the winner of the highest team GPA with the presentation of the Academic Cup during a basketball game half-time ceremony. Spring winner (Nov./Dec. game); Fall winner (Jan./Feb. game).

Source of Evidence: Activity volume

**Target:**

Conduct two (2) recognition events during half-time of either a men's or a women's home basketball game. One in Nov/Dec to recognize previous Spring Academic Cup Team winner; and one in Jan./Feb. to recognize the Fall Academic Cup Team winner.

**Finding (2014-15) - Target: Met**

The Spring '14 Academic Cup winner (Women's Cross Country team 3.69 GPA) was recognized at half-time during a MBB game on November 19. The Fall '15 Academic Cup winner (Women's Cross Country team 3.52 GPA) was recognized at half-time during a MBB game on February 3.

**O/O 8: NCA Honor Society Recognition Ceremony**

Conduct a recognition ceremony for the National College Athlete Honor Society inductees during the spring semester. Invite peer members and/or professors to make the presentation at the ceremony.

**Relevant Associations:**

**Institutional Priority Associations**

2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

**Related Measures**

**M 11: NCA Honor Society Recognition**

conduct a recognition ceremony - once each academic year in the Spring Semester, to welcome the newly inducted NCA Honor Society members. Inductees to invite a peer member or professor to participate in the ceremony.

Source of Evidence: Administrative measure - other

**Target:**

conduct a recognition ceremony - once each academic year in the Spring Semester, to welcome the newly inducted NCA Honor Society members. Inductees to invite a peer member or professor to participate in the ceremony.

**Finding (2014-15) - Target: Met**

The Student Athlete NCA Honor Society Recognition ceremony was held in the TAU Bearcat Club Room on 3/30/15.

**O/O 9: Monitor SAs with academic issues**

create a warning system to monitor and address any/all academic issues with student-athletes.

**Relevant Associations:**

**Institutional Priority Associations**

2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

**Related Measures**

**M 12: SA Notice - Academic Warning**

The Student Athlete Success Center (SASC) will track all SAs and issue Notice-Academic Warning to identify 100% (any/all) eligibility issues at the conclusion of the Fall and Spring semesters. These Notices will be provided to the Head Coach with copies provided to the Athletic Director, the NCAA Compliance Coordinator, the Sport Program Administrator and the SASC Academic Advisor. The ultimate goal is for each student-athlete to maintain his/her academic eligibility at all times.

Source of Evidence: Evaluations

**Target:**

Issue notices to any/all student-athletes with academic issues that may jeopardize their athletic eligibility. Ideally the goal is to maintain 100% eligibility for our student-athletes, however a more realistic goal would be to maintain athletic eligibility of 95% of our student-athletes over the course of the academic year.

**Finding (2014-15) - Target: Met**

The Student-Athlete Success Center continued to issue Academic Warning notices to Head Coaches relative to any student-athletes that have potential eligibility issues. While this system is pro-active in nature, it cannot totally prevent eligibility issues from occurring. The goal is to maintain athletic eligibility for 95% of our student-athletes and during the '14-'15 academic year, a total of 12 athletes (2.92%) fell below the required cumulative 2.0 GPA after the spring semester. Therefore approximately 97% of student-athletes maintained eligibility, exceeding our goal of 95%.

**O/O 10: Early intervention of at-risk SAs**

provide a program that will facilitate early intervention with at-risk student-athletes to maximize their potential for academic success

**Related Measures**

**M 17: Notice of Academic Warning**

monitor student-athletes academic performance (GPA, eligibility) and report any issues/problems to coaches. Goal is to not let anyone "slip through the cracks" and identify 100% of academic issues and address them with an action plan. A more realistic goal, however would be to maintain athletics eligibility for 95% of all student-athletes.

Source of Evidence: Evaluations

**Target:**

identify and address 100% of academic warning notices.

**Finding (2014-15) - Target: Met**

Notice of Academic Warning reports were issued by the Student-Athlete-Success-Center (SASC) by assigned academic advisors. These reports were issued to the head coaches with a copy provided to their respective Sport Administrators for follow up discussion. All Academic Warning Notices were reviewed by

head coaches.

**G 4: Increase Exposure**

Increase athletics exposure utilizing digital and social media. Maintain a user friendly web site.

**O/O 11: Monitor & Measure Web Site Traffic**

Track usage of Athletics website by monitoring the number of visitors to the site. Increase number of hits over previous year(s).

Relevant Associations:

**Institutional Priority Associations**

4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

Related Measures

**M 13: Monitor new web site - increase visitors**

Monitor/track web site visitors and establish baseline numbers to establish new targets/goals for number of visitors to the site. Side Arm Software program new in December 2014.

Source of Evidence: Activity volume

**Target:**

Demonstrate an increase in web site visitors from past year based on actual web counters.

Finding (2014-15) - Target: Met

Website Highlights for '14-'15 approx. 226,500 unique users (approx. 900/day) approx. 2.23 million total pageviews (including repeat users) average session by web visitor is 2:54 because we fully transitioned to Sidearm on 12/4/14 and full analytics did not start until Feb. 1, it was not possible to draw "apples to apples" comparison to the '13-'14 web visitors. However, we fully believe that web viewership increased dramatically from the previous year. This year will mark a new baseline for comparison moving forward. Next year (and future years) goal will again be to increase over previous years viewership in terms of numbers of web site visitors.

**O/O 12: Enhance Live Streaming Broadcasts**

enhance the offerings of live streaming broadcasts of basketball, soccer, lacrosse, softball, baseball and other sport contests with the addition of more cameras (angles), play by play and color commentators, commercial messaging, high quality graphics. Meet all America East Conference standards.

Related Measures

**M 14: Increase Live Streaming Viewers**

Increase the total number of Live Streaming viewers over 2013-2014 figures. Efforts to enhance the production (additional cameras, additional content, quality graphics) and drive more traffic to the web site should result in an increase to our viewership of live streaming events. Number of events (broadcasts) will vary slightly from year to year based on number of scheduled home team events; therefore tracking average number of viewers per event may be a more fair assessment (TBD).

Source of Evidence: Activity volume

**Target:**

Increase the total number of Live Streaming viewers over 2013-2014 figures.

Finding (2014-15) - Target: Met

A total of 93 events were live-streamed covering 10 different sports. The total viewership count increased 68% over the '13-'14 figures. Had highest average views in the America East Conference for baseball, second-most in softball and men's lacrosse, third in both men's and women's basketball.

**O/O 13: Increase Twitter/Facebook/Instagram Followers**

place a concerted effort into increasing the number of followers on the Department's Twitter, Facebook and Instagram media platforms.

Relevant Associations:

**Institutional Priority Associations**

5 The premier public university of the 21st century will optimize the acquisition and allocation of human, technological, financial and physical resources.

Related Measures

**M 15: Increase Social Media Exposure**

strive to significantly increase the number of followers on all social media - Facebook, Twitter and Instagram over the 2013-2014 totals for each.

Source of Evidence: Activity volume

**Target:**

Increase number of hits/visitors on Facebook, Twitter and Instagram over the 2013-2014 totals for each.

Finding (2014-15) - Target: Met

Youtube: posted 172 videos, drawing an average of 240 views Twitter: in fourth full year, increased number of followers to 3,646 (+967, 36% increase) Instagram: in second full year, increased number of followers to 1,828 (+967, 112% increase) Facebook: increased followers to 4,478 (up from previous year)

**G 5: Student-Athlete Welfare**

Monitor, enhance and improve all aspects of student-athlete welfare.

**O/O 14: Offer Seminar/Workshops**

provide student-athletes with seminars, speakers, workshops addressing various hot topics. Specific programs will be offered for each class (FR, SOPH, JR, SR) with a relevant topic for each.

Relevant Associations:

## **Institutional Priority Associations**

2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

### Related Measures

#### **M 16: SA Seminar/Workshops by Class**

conduct a minimum of one event (guest speaker, seminar, etc.) for each class of student-athletes: Freshmen, Sophomore, Junior, Senior. These events should be targeted to address an issue or skill set that may be pertinent to the specific class. i.e.) mock interviews for seniors; leadership development for sophomores.

Source of Evidence: Administrative measure - other

#### **Target:**

conduct a minimum of one event (guest speaker, seminar, etc.) for each class of student-athletes: Freshmen, Sophomore, Junior, Senior. These events should be targeted to address an issue or skill set that may be pertinent to the specific class. i.e.) mock interviews for seniors; leadership development for sophomores.

#### **Finding (2014-15) - Target: Met**

Freshmen: Achieving Academic Success - presented by Heather Miller Sophomores: Nutrition - presented by Alexa Schmidt, Sodexo Juniors: Digital Footprint, Your Personal Brand presented by CDC Seniors - Appreciation reception with Varsity Club Panel (networking)

#### **O/O 15: Educate and Inform about Nutrition/Drugs/Alcohol**

offer various programs and guest speakers to address the importance of good nutrition and the dangers of drug and alcohol use/abuse.

### Related Measures

#### **M 18: Guest Speaker Nutrition/Drugs/Alcohol**

provide student-athletes with a program to address one or all of the following: Nutrition, Drugs and Alcohol. This could be in the form of a guest speaker/assembly.

Source of Evidence: Presentation, either individual or group

#### **Target:**

Conduct at least one event per academic year to address one or all of the following topics: nutrition, drugs or alcohol. This could be in the form of a guest speaker or a work shop.

#### **Finding (2014-15) - Target: Met**

Alexa Schmidt, Sodexo's nutritionist met with our student-athletes in an open session to answer questions about diet and nutrition. This event was held in the TAU Bearcat Club room in the Events Center and was open to all student-athletes.

#### **O/O 16: Provide Career & Professional Preparation**

provide opportunities for career skills development such as Mock interviews, alumni panel discussions, resume writing and referrals to the campus CDC.

### Relevant Associations:

## **Institutional Priority Associations**

2 The premier public university of the 21st century will provide a transformative learning community that prepares students for advanced education, careers and purposeful living.

### Related Measures

#### **M 19: Networking/Mock Interviews/Resume Proofing**

conduct and arrange opportunities for student-athletes to network with former SAs, alums and local professionals by arranging mock interviews, panel discussions and resume building workshops.

Source of Evidence: Activity volume

#### **Target:**

Conduct at least one professional development event each academic year - mock interviews, panel discussions, resume proofing.

#### **Finding (2014-15) - Target: Met**

A professional panel discussion was offered to all student-athletes with a focus on upper classmen during the Homecoming weekend. The Friday night event featured several local business men/women along with some alumni athletes who engaged in a panel discussion with current student-athletes. The event proved to be very valuable and we received good feedback from our student-athletes as to the benefit of such an event. We will likely continue to offer this same venue in the future.

#### **O/O 17: SA Surveys - Year End**

conduct year end surveys to address any areas of concern related to all aspects of Student-Athlete welfare: sports medicine, strength & conditioning, academic support, travel accommodations, nutrition, etc.

### Related Measures

#### **M 20: SA Year End Surveys / Sr. Exit Interviews**

conduct annual student-athlete surveys preferably at the end of their competition seasons to gain valuable feedback on their overall experience with various support areas within the department: strength & conditioning, sports medicine, equipment/issue room, travel and meals, facilities, tutors and academic support. Specifically for seniors, provide an opportunity for a face to face exit interview with the Sport Administrator (AD) or at a minimum offer a written survey to provide feedback on their overall time as a Binghamton University student-athlete.

Source of Evidence: Exit interviews with grads/program completers

#### **Target:**

target 100% participation from all student-athletes on year end surveys. Extend Exit Interview (paper or in person) opportunity to ALL graduating/departing seniors.

#### **Finding (2014-15) - Target: Met**

Student-athlete surveys were administered by each respective Sport Administrator. Copies of all completed surveys are kept on file in a central location. Surveys are reviewed by Sport Administrators for any glaring issues and/or themes. Issues/themes are then reviewed and discussed with Head Coaches during year end evaluations. Coaches reported that all active roster student-athletes completed the surveys.

## **G 6: Promote School Spirit**

Promote and offer ways to increase school spirit and a sense of pride in belonging to Binghamton University.

### **O/O 1: Collaborate with campus groups/events**

Participate and collaborate with different campus groups (committees) in the planning and participation of events that promote school spirit.

#### **Relevant Associations:**

##### **Institutional Priority Associations**

3 The premier public university of the 21st century will unite to foster a diverse and inclusive campus culture.

#### **Related Measures**

##### **M 1: Campus Spirit Committee**

Assign Athletics representative to serve on the newly formed campus "Spirit Committee". Actively participate in the formation and implementation of ideas to enhance and grow campus/school spirit.

Source of Evidence: Climate / Environment

##### **Target:**

Collaborate with campus groups and participate in at least three (3) events that will enhance and/or promote and element of school spirit.

##### **Finding (2014-15) - Target: Met**

The following events were conducted: 1. Green Day Fridays (various dates) - Athletics Spirit Squads in conjunction with the BU Zoo student group patrolled various campus locations and rewarded those wearing green with prizes and candy. video link: <http://www.youtube.com/watch?v=1CjLF01viWQ> 2. #R U Green (2/20/15) - Athletics supported this Sodexo event in the Marketplace promoting healthy (green) food choices with a focus on campus spirit. 3. SUNY Mascot Madness - (March '15) - social media campaign to rally votes for mascot (Baxter). Baxter won for second consecutive year. 4. Baxter Celebration Parade (5/1/15) - organized parade through the campus spine to celebrate Baxter's Mascot Madness victory. Spirit cupcakes given out. Trophy presented in front of Marketplace. 5. Baxter on Break (4/3/15-4/12/15) - flat Baxter's given out, student invited to submit pictures from vacation destinations to win prizes. Winners announced at the Baxter Celebration Parade (5/1).

##### **Connected Documents**

[Green Day Friday - YouTube video](#)  
[Office Decorating Contest Pics 2014](#)

##### **M 5: Conduct Spirit Events w/BU Zoo**

Conduct a minimum of two (2) events in collaboration with the BU Zoo that foster campus wide School Spirit.

Source of Evidence: Activity volume

##### **Target:**

Conduct and/or participate in a minimum of two (2) events with the BU Zoo during the academic year which contribute to or enhance school spirit.

##### **Finding (2014-15) - Target: Met**

Conducted and/or participated in several events with the BU Zoo during '14-'15. 1. Green Day Fridays (weekly patrol on campus with Mascot, Baxter) 2. BU Zoo/Athletics Blood Drive (2/13/15) in West Gym 3. SUNY Mascot Madness Contest (March) - social media campaign to generate votes for Baxter. Won competition for 2nd straight year. 4. Baxter Celebration Parade (5/1/15) - to celebrate SUNY contest victory. 5. Paint the Paws (w/Admissions) 6. Viewing Party for Jesse Garn (1/31/15) in UU. to watch NCAA regional competition

##### **Connected Document**

[Office Decorating Contest Pics 2014](#)

### **O/O 19: Sponsor Spirit Squads**

continue to promote and sponsor both a Cheer and Dance team by providing a part-time coach for each team and a support budget to provide for it's operational needs. Advertise openly to the entire campus population for tryouts and participation on these squads.

#### **Relevant Associations:**

##### **Institutional Priority Associations**

4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

#### **Related Measures**

##### **M 23: Sponsor Spirit Programs**

continue to sponsor Cheer and Dance teams within Athletics and support spirit programs outside of Athletics (Kickline and Pep Band)

Source of Evidence: Administrative measure - other

##### **Target:**

Sponsored Cheer Team and Dance Team - supported both by hiring a part-time coach for each squad and providing budget support for uniforms, travel and equipment.

##### **Finding (2014-15) - Target: Met**

Tara Stayton was retained as the Dance team coach and she had 16 girls on her roster for the '14-'15 season. Lisa deJung was hired as the part-time Cheer coach and she had 25 girls on her roster for the '14-'15 season.

**O/O 20: Participate in Campus events to promote school spirit**

wherever possible, participate in events that will promote school spirit by teaming up with campus groups (SA, Sodexo, BU Zoo, etc.) Support events by providing staff to assist or possibly donating spirit items/giveaways, coordinating the appearance of spirit squads or the school mascot (Baxter).

Related Measures**M 24: Campus Spirit Events**

participate in a minimum of three (3) campus events with the goal of incorporating an element of "spirit" into the events.

Source of Evidence: Activity volume

**Target:**

1. Homecoming - Tailgate Party
2. Admissions Spring Open House
3. SUNY Mascot Madness contest
4. Sodexo Event (tbd)

Finding (2014-15) - Target: Met

1. Spirit squads performed school "fight song" at Homecoming tailgate party (October)
2. Spirit squads performed at Spring Open house and greeted attendees/families as they arrived and departed West Gym.
3. Athletics provided social media support to the contest securing Baxter's (mascot) second consecutive contest victory.
4. Athletics provided support and mascot attended the "#RUGreen" event sponsored by Sodexo in the Marketplace. Theme of color green combined with green food items promoting healthy choices.

**G 7: Athletic Performance**

Recruit and develop talented student-athletes to compete at a high level and obtain athletic success both individually and as a team. Compete regularly for conference championships and finish in the top one-third of the teams respective conference.

**O/O 18: Conference Championships**

Compete regularly for Conference championships and finish in the top one-third of the teams respective conference.

Relevant Associations:**Institutional Priority Associations**

- 4 The premier public university of the 21st century will enhance the University's economic, social and cultural impact through engagement from the local to the global level.

Related Measures**M 21: Conference Championships/NCAA Appearances**

Strive to win three (3) Conference championships (regular season/tournament) and earn participation in NCAA sponsored championships for teams and individuals.

Source of Evidence: Existing data

**Target:**

Win three (3) Conference championships (regular season/tournament)

Finding (2014-15) - Target: Met

Two teams won Conference Championships: Men's Cross Country (fall '14) and Softball (spring '15) both won America East Conference championships, with softball advancing to an automatic bid in the NCAA Softball Tournament. In men's indoor track and field, Jesse Garn advanced to the NCAA Championships in the 800 meter. Despite false starting in the preliminaries, he still earned honorable mention All-America honors. In men's outdoor track and field, Jesse Garn again advanced to the NCAA Championships in the 800 meter. He won his heat and was 4th in the finals, earning him first team All-America honors. In women's outdoor track and field, Keishorea Armstrong made history by becoming the first Binghamton female to qualify for the NCAA Division I Championships. She was 6th overall at the NCAA East Regional meet and went on to earn honorable mention All-America honors with a 24th place finish at the NCAA Championships. In Wrestling, senior Tyler Duel became BU's first IWA Champion in March at the heavyweight division. Duel and teammate Jack McKeever both advanced to the NCAA Championships.

**M 22: America East Commissioners Cup**

strive each year to win the America East Commissioners Cup awarded annually for athletic success for conference sponsored sports.

Source of Evidence: External report

**Target:**

Improve from previous years position in the America East Commissioners Cup rankings. The Stuart P. Haskell, Jr. Commissioner's Cup annually recognizes the strongest athletic program in America East as determined by a scoring system which rewards a school for success both during the regular season and championship competition in the conference's 18 sports. Binghamton has yet to win the Cup in it's 14 year membership in the America East Conference.

Finding (2014-15) - Target: Met

Binghamton finished 5th (out of 9) teams in the 2014-15 America East Commissioners Cup standings. While this is a modest goal it nonetheless represents the pinnacle of success for an institution's Athletic Department and will continue to be our goal, however incrementally we shall strive to improve our standings over the previous years position. Binghamton finished 6th (out of 9) teams in the '13-'14 standings.

**Detailed Assessment Report****2015-16 Internal Control**

As of: 1/26/2016 04:24 PM EASTERN

(Includes those Action Plans with Budget Amounts marked **One-Time, Recurring, No Request.**)

The New Yorks State Governmental Accountability, Audit and Internal Control Act (the Act), Chapter 510 of the Laws of 1999, requires that all state agencies institute a formal internal control program. Binghamton University's internal control program fulfills that requirement.

## **Goals and Other Outcomes/Objectives, with Any Associations and Related Measures, Targets, Findings, and Action Plans**

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### **G 1: Integrate activities, plans, attitudes, policies, and efforts**

An Internal Control Program is the integration of the activities, plans, attitudes, policies, and efforts of the people of an organization working together to provide reasonable assurance that the organization will achieve its objectives.

### **O/O 1: Perform reviews of designated high risk areas**

Undertake internal control reviews of designated high risk areas to determine appropriateness of current practice and recommend changes where appropriate.

#### **Relevant Associations:**

##### **Institutional Priority Associations**

5 The premier public university of the 21st century will optimize the acquisition and allocation of human, technological, financial and physical resources.

#### **Related Measures**

##### **M 1: Use templates and audit tools**

Use of predetermined assessment templates and audit tools.

Source of Evidence: Evaluations

##### **Target:**

Completion of annual certifications for the State Department of Budget and separate certification for the Office of the State Comptroller by end of June.

##### **Finding (2014-15) - Target: Met**

Met objective for 2014-2015 year.