

INTRODUCTION¹

History and Overview of the Graduate School and University Center

The Graduate School and University Center of the City University of New York (CUNY), known as the Graduate Center,² is an internationally acclaimed institution devoted primarily to doctoral education in a broad range of academic disciplines. Its fundamental mission is to support excellent, graduate-level, degree-granting programs³ that prepare a wide range of students to become scholars and leaders in the academy, as well as in the private, nonprofit, and governmental sectors.

The Graduate School and University Center was founded in 1961 as the City University of New York's free-standing, doctoral-degree-granting campus as part of the overall consolidation of the CUNY system, which was established in the same year. Rather than allow the proliferation of multiple and competing Ph.D. programs at CUNY's senior colleges, the architects of the unified CUNY system created the Graduate Center (GC) as a free-standing college that drew together faculty and other educational resources from across the system to create a unique and efficient structure to deliver primarily doctoral education. Approximately 90 percent of the Graduate Center's doctoral faculty members have their appointments at one of CUNY's constituent campuses (college-based faculty). Less than 10 percent of doctoral faculty have their appointments at the GC-based faculty.⁴ (See Appendix I-1 for a full description of this consorcial system of doctoral education at the Graduate Center and also the allocation system by which the CUNY colleges are compensated for their faculty's service to the Graduate Center.)

¹ For a description of the process of developing this self-study, see Appendix I-2, and for a list of members of the steering committee and the working groups, see Appendix I-3.

² The official (and complete) name of the institution is "The Graduate School and University Center." The "Graduate School" is the Ph.D.-granting arm of the institution. "The University Center" refers to the institution's administrative oversight of CUNY-wide programs that cover a broader and more diverse educational audience and include the Graduate School of Journalism, the School of Professional Studies, and the CUNY B.A./B.S. While both aspects of the Graduate School and University Center's identity and structure are formally led by the president (currently William P. Kelly), a clear separation exists between the structure and governance of the Graduate School, on the one hand, and the three University Center entities on the other. In 1999, at the time of the Graduate School and University Center's move to the new building at 365 Fifth Avenue, the term "The Graduate Center" was designated as the name that encompassed the expanding mission of the institution. It is this name by which the institution is known by all its constituencies and by the public. "The Graduate Center" is on the logo, all stationery, banners in windows, and so forth. In this self-study, we generally use "Graduate Center" to designate the institution as a whole, though in some cases the full name—"Graduate School and University Center" is used as well. In cases where governance bodies such as Graduate Council have authority over only the Graduate School, the term "Graduate School" may be used, while in instances where the broader entities are designated, for example, the Graduate School of Journalism, the School of Professional Studies, and the CUNY B.A./B.S. (all of which are described in Chapter 8, "Related Educational Activities"), the title "University Center" is used.

³ At the Graduate Center, disciplines—English, sociology, etc.—are called *programs*. The more commonly known term *department* is reserved for an academic department at a CUNY undergraduate college. The head of a doctoral program is an *executive officer* (EO), appointed by the president for three-year terms, whereas the head of a college department is a *chair*. The administrative assistant in each program is an *assistant program officer* (APO).

⁴ In this self-study we use the term "GC-based" faculty for faculty whose appointment is at the Graduate Center. These faculty are also sometimes referred to as "central-line faculty," but we do not use that nomenclature in this self-study.

The Graduate Center also encompasses the University Center, an administrative home for three CUNY-wide operations.

As part of CUNY, the Graduate Center is subject to the bylaws and policies of CUNY, to its administrative structure, headed by the chancellor, Dr. Matthew Goldstein, and to the CUNY Board of Trustees. In turn, the bulk of the finances of CUNY and the Graduate Center are derived from New York State tax-levy monies. Tuition rates for students at the Graduate Center are set by the CUNY central administration, with state approval, as are the amount and rate of dispersal of tax-levy funds to the Graduate Center. Salaries and definitions of faculty ranks, as well as workload and other faculty and staff working conditions, including grievance and arbitration procedures, are governed by a contract negotiated between CUNY and the Professional Staff Congress (PSC). The current contract was signed in June 2008 and ends in October 2010.⁵

The Graduate School

The Graduate School currently offers thirty-five doctoral degrees and master's degrees in seven fields.⁶ There are also currently thirty-one institutes and centers.⁷ Ninety-six percent of the Graduate School's enrollment is at the doctoral level.

The Graduate School draws its faculty from three sources. The great majority of its 1,706 faculty members (as of March 2009) have their primary appointments at the CUNY colleges (campus-based faculty). As of fall 2009, there were 142 full-time permanent faculty appointed directly to the Graduate School. Finally, another small number of affiliated faculty hold positions at other educational and cultural institutions, such as the Bronx Botanical Gardens and the Museum of Natural History.

The Graduate Center considers the unique consortial arrangement it has with the CUNY colleges to be among the major contributors to its success. It is an efficient way to assemble a very large and extraordinarily talented and intellectually diverse faculty. A large number of world-renown academics on the Graduate School's faculty, both GC-based and college-based, are winners of national awards and prizes (see Chapter 6, "Faculty and Research."). Over 40 percent of the distinguished professors at CUNY are GC-based appointments at the Graduate Center.⁸ Though national ratings of academic programs can be problematic, and the Graduate Center takes them *cum grano salis*, it is still the case that in the most

⁵ A summary of the last PSC-CUNY contract is available online at <http://www.psc-cuny.org/NewContractJuly08.htm>

⁶ CUNY offers over 800 master's degrees. With the exception of the seven offered at the Graduate School, these are offered by the four-year colleges. Of the seven master's degrees offered by the Graduate Center, only two, the M.A. in liberal studies and the M.A. in Middle Eastern studies, are free-standing master's degrees. The rest are part of the Ph.D. programs and do not function as terminal master's degrees.

⁷ The Graduate Center's doctoral programs are described in general in Chapter 7, "Educational Offerings," and its institutes and centers in Chapter 6, "Faculty and Research."

⁸ Distinguished professor (DP) is a rank established in the PSC/CUNY contract as a rank above professor. It carries extra salary and a reduced teaching load. College departments and the Graduate Center doctoral programs may nominate faculty for appointment to distinguished professor, and the CUNY Board of Trustees makes the decision about the appointment going forward. The PSC/CUNY contract allows a total of 175 distinguished professorships across the university. As of August 2009, the number of DP's CUNY-wide was 140, among whom 57 are GC-based, and 68 are college-based faculty on the doctoral faculty. The process for appointment to distinguished professor is described online at <http://www.cuny.edu/about/people/faculty/dp/guidelines.html>.

recent (2007) Academic Analytics rankings, which measure faculty productivity, eleven of the Graduate Center doctoral programs were in the top twenty in the nation and two (French and theater) were in the top ten.

In fall 2009, the Graduate School enrolled 4,315 doctoral students and 181 master's students. Consonant with the mission of CUNY, the Graduate Center strives to enhance access to graduate education for traditionally underrepresented groups. Twenty-one percent of doctoral students are from these underrepresented groups. The Graduate Center ranks ninth in the country in doctorates awarded to Hispanics, according to the latest annual rankings from the *Hispanic Outlook in Higher Education Magazine* (May 4, 2009).

As of 2008–9, more than 10,000 people had received doctoral degrees from the Graduate Center. Alumni have had successful careers as professors and researchers in universities around the world, executive directors of nonprofit organizations, curators and directors of museums, and in major businesses. Students have been recipients of many professional awards, fellowships, and honors.⁹

The University Center

At the time of the 2000 MSCHE self-study, there was only one program under the aegis of the University Center, the interdisciplinary, intracollege CUNY baccalaureate degree.¹⁰ In the last ten years, CUNY has added two major institutions to the University Center: the Graduate School of Journalism, which prepares master's students for careers in all aspects of journalism, and the School of Professional Studies, which offers graduate and undergraduate certificates and degree programs, including CUNY's first online degree programs.¹¹

Significant Developments at the Graduate Center since the MSCHE Periodic Review Report in 2005

When the Graduate Center submitted its self-study for its last MSCHE reaccreditation, in 2000, the institution was in the midst of significant changes, highlighted by the impending move to its new building at 365 Fifth Avenue. When the Graduate Center submitted its Periodic Review report to the MSCHE in 2005, it had settled into its new space. In 2005, however, the institution was again on the brink of significant changes, highlighted by the search for and subsequent appointment of a new president to replace President Frances Horowitz, who was stepping down after fourteen years. After a national search, William P. Kelly was appointed to the position of president in the summer of 2005.

In the last five years, the Graduate Center has gone through considerable institutional renewal. Under the guidance of the new president and with the support of the chancellor of CUNY, there have been new initiatives in faculty replenishment, institutional financing and infrastructure, expanded financial support for students, academic offerings, and public programming.

⁹ See http://www.gc.cuny.edu/current_students/student_honors.htm

¹⁰ In 2008, the official name of the CUNY B.A. was changed to the CUNY Baccalaureate for Unique and Interdisciplinary Studies to better represent its specialized role within the CUNY system. In this document, however, we refer to it by its more commonly used name, the CUNY B.A./B.S.

¹¹ The University Center is described in detail in Chapter 8 (“Related Educational Activities”).

Faculty Replenishment: As part of a 1999 Chancellor's initiative to replenish faculty resulted in 1,700 new CUNY lines between 2000 and fall 2009. Under this initiative, the number of GC faculty increased by 39 percent from 2000 to 2009, with thirty-nine new GC-based faculty appointments. This growth in faculty continues with an additional six hires of GC-based faculty effective fall 2010.

Increased Support for Students: With the entering class of fall 2004, the Graduate Center began a multiyear expansion of financial support available to doctoral students. The total tax-levy expenditures for student financial aid and fellowship support doubled between 2004 and 2009, and the Graduate Center was able to create what by fall 2012 will be 1,700 five-year Enhanced Chancellor's Fellowships (ECFs) and CUNY Science Scholarships (CSSs) for students,¹² which are now awarded to all students accepted into the four bench science programs. (See Appendix 5-3 for a detailed discussion of the ECFs and CSSs.)

Other advances in student support included:

- Tuition remission at the in-state level¹³ to all students who are within their first ten semesters of enrollment and who are teaching in CUNY colleges and are not on either ECFs or CSSs.
- Covering the difference between in-state and out-of-state tuition for international students for five years and for resident out-of-state students on ECFs for a year while they establish New York State residency.¹⁴
- Low-cost health insurance for all doctoral students who provide service to CUNY.
- Implementing programs and policies in addition to increasing financial support to assist doctoral students in completing their degrees in a timely way. (See Chapter 9 for details.)

Improvement in Admissions Trends: The Graduate Center experienced a significant increase in the number of applicants in recent years. Applications to existing doctoral programs rose from 2,672 in fall 2001 to 3,154 in fall 2009, an 18 percent increase. Over this same time period, the Graduate Center's admissions yield improved significantly. The percentage of applicants offered admissions declined from 49 percent to 33 percent between 2001 and 2009, and admissions yield rose from 42 percent to 54 percent. Similar patterns were observed when admissions figures for new programs were included. (See Appendix 5-1, Table 1.)

Improvement in Finances and Infrastructure:

- *Eliminating the Deficit.* The Graduate Center has realized the goal declared in its 2005 MSCHE Periodic Review report of eliminating its tax-levy deficit (i.e., operational expenditures that exceeded the state budget allocation). Under the leadership of the senior vice president for finance and administration, the Graduate Center not only eliminated this tax-levy expenditure imbalance but also realized tax-levy surpluses in each of the last four fiscal years.
- *Enhanced Information Technology.* Major infrastructure enhancements were made in information technology with the appointment of the vice president for information technology, including the replacement of all end-user and network equipment, as well as enhancing audiovisual resources.
- *Expanded Institutional Advancement.* With the appointment of the vice president for institutional advancement, the Graduate Center made a significant expansion of its institutional advancement projects and enhanced public programming, integrated with its academic mission.

¹² There were 200 of these fellowships available in 2004–05; in 2009, there will be a total of 340 (including 94 science scholarships).

¹³ See the *Graduate Center Bulletin* online at http://www.gc.cuny.edu/current_students/bulletin/index.htm

¹⁴ The ECF awards include tuition only at the in-state level. Further, international students are not eligible for New York State residency and so, without this additional stipend, would have to pay out-of-state tuition for their entire time as students at the Graduate Center.

- *Expanded Fundraising.* The Graduate Center has significantly increased its resources from fundraising in all categories and in two categories by an astonishing percentage. In the period from fiscal 2004 to fiscal 2008, the foundation and its subsidiary increased:
 1. Unrestricted net assets by 855 percent—from \$929,000 to \$8.9 million.
 2. Temporarily restricted net assets by 343 percent—from \$3.5 million to \$15.4 million.
 3. Permanently restricted net assets by 53 percent—from \$14.5 million to \$22.2 million.
 (See Chapter 2, Table 3.)

Doctoral Program Reorganization: Working in concert with CUNY and the chancellery, the Graduate Center implemented a major reorganization of doctoral programs in the bench sciences (the Science Initiative) and in engineering.

- City College received CUNY and New York State authorization to offer a Ph.D. in engineering and in 2008 accepted its first class of engineering doctoral students. In turn, the engineering Ph.D. program at the Graduate Center has accepted no new students since 2007 (though it continues to see students enrolled before that point through to completion of their degrees).
- City College and Hunter College will each now offer joint degrees with the Graduate Center in biology, biochemistry, chemistry, and physics.
- In 2008, the new position of associate provost of science was established to implement the above changes and to oversee the joint degrees.

Increased Public Programming: The Graduate Center has dramatically increased its public program offerings. By bringing well-known figures to the Graduate Center to engage with doctoral faculty and students in discussion of major issues, the increased public programming advances the Graduate Center’s academic mission. As of fall 2009, the program includes new initiatives by the Center for the Humanities, the Office of Public Programs, and the James Art Gallery.¹⁵

Going Forward

As this self-study was being prepared, the Graduate Center was moving into new and exciting areas with the appointment in 2008 of a new provost and senior vice president of academic affairs, Professor Chase Robinson, a distinguished scholar of early Islamic history.

- Since his appointment, the Carnegie Foundation has awarded the Graduate Center a \$100,000 grant to sponsor public programming on Islam, starting in fall 2009.
- In spring of 2009, Provost Robinson and President Kelly secured funding from CUNY for eighteen new GC-based faculty lines (six each for three years) to establish three new interdisciplinary initiatives: science; religion; and globalization and social change. The new faculty will join existing faculty who are already involved in these fields in establishing new academic and public programming.
- To support this initiative, the Andrew W. Mellon Foundation has awarded the Graduate Center a grant of \$2.415 million to be spent over approximately four years to support the work of three research committees—the Committee for Science Studies, the Committee for the Study of Religion, and the Committee for the Study of Globalization and Social Change.¹⁶
- These three committees will bring together in seminars and research the newly hired GC-based appointments, college-based faculty, and doctoral students. The faculty and students will be joined by junior faculty who will be brought to the Graduate Center for semester-long residences

¹⁵ These include the Center for the Humanities’ “Seminars in the Humanities” and the Office of Public Programs’ “Elebash Presents Concerts and Conversations” and “Extraordinary Lives” series. Further details about public programming for 2009–10 can be found in Chapter 1, “Mission and Goals.”

¹⁶ These committees will function similarly to the Graduate Center’s research centers.

for intensive research through a new initiative, the Graduate Center Early Career Fellows Program.

- Within the context of CUNY's Decade of the Sciences initiative, the Graduate Center finished its initial planning for an Initiative for Theoretical Sciences and began its inaugural colloquium series in spring 2010. These events are designed to bring some of the world's leading theorists to Manhattan, to bring the CUNY theory faculty and students together as a community, and to highlight the tremendous excitement that surrounds the cutting edge of theoretical research.¹⁷
- The Graduate Center has finalized plans for a student residence that will have seventy-seven units (sixty-four apartments accommodating ninety-eight students and thirteen apartments for faculty), as part of the CUNY East Harlem campus at East 118 Street at Lexington. The building is expected to open in 2011. The Graduate Center has raised \$15 million to provide an equity stake in this project.

¹⁷ See the Initiative for Theoretical Sciences Web site at <http://web.gc.cuny.edu/its/>

ONE

The Graduate Center's Mission and Goals

Standard 1. Mission and Goals

The institution's mission clearly defines its purpose within the context of higher education and indicates whom the institution serves and what it intends to accomplish. The institution's stated goals, consistent with the aspirations and expectations of higher education, clearly specify how the institution will fulfill its mission. The mission and goals are developed and recognized by the institution with the participation of its members and its governing body and are used to develop and shape its programs and practices and to evaluate its effectiveness.

The Graduate Center's Mission Statement

The Graduate Center is located in the heart of Manhattan and set within the large and multi-campus City University of New York. It fosters advanced graduate education, original research and scholarship, innovative university-wide programs, and vibrant public events that draw upon and contribute to the complex communities of New York City and beyond. Through a broad range of nationally prominent doctoral programs, the Graduate School prepares students to be scholars, teachers, experts, and leaders in the academy, the arts and in the private, nonprofit, and government sectors. Committed to CUNY's historic mission of educating the "children of the whole people," we work to provide access to doctoral education for diverse groups of highly-talented students, including those who have been underrepresented in higher education.

The mission statement above emphasizes the Graduate Center's commitment to CUNY's historic mission of educating the citizenry, an aspiration that reflects the mission of the urban public University of which it is a part. The statement conveys the linkages between the Graduate Center's multiple commitments to foster high-quality scholarship, educate advanced students, and culturally and intellectually engage with the cosmopolitan city around it. The mission of the Graduate Center (along with the goals it sets in concert with that mission) and all of its and CUNY's stated policies guide all its work and enable it to support both academic and intellectual freedom.

Development of the Graduate Center's Mission Statement

Prior to the self-study, there were two statements expressing the Graduate Center's mission. The first step in the self-study process was to review the existing statements to assess their adequacy in light of the Graduate Center's current circumstances and to create a single expression of the Graduate Center's mission. The first mission statement had been posted on the Graduate Center's home page, though there appeared to be no information on when it had been written or whether it had received any collective endorsement.

Founded in 1961, The Graduate Center's mission is to prepare students to become scholars, experts, and leaders in the academy and in the private, nonprofit, and governmental sectors; to enhance access to doctoral education for traditionally underrepresented groups; and to advance the educational, economic, and cultural interests of the complex urban community it serves.

A second mission statement had been submitted as part of the Graduate Center's Periodic Review report to the Middle States Commission in May 2005. It described the institution and addressed its core purposes:

The Graduate Center of the City University of New York (CUNY) is a state-funded public institution offering 30 doctoral programs (with a variety of associated interdisciplinary certificate programs and concentrations, as well as seven master's programs) in the humanities, the social sciences, the physical sciences, and the professions. These programs are offered within the context of a unique consortial structure that draws on the resources of the 18 other CUNY colleges. Of the 1600 members of the doctoral faculty, 118 hold Graduate Center appointments; the others are selected from throughout CUNY and reflect the diverse and comprehensive strengths of its colleges. The Graduate Center functions as CUNY's university center by housing, in addition to its doctoral and master's programs, 31 research centers and institutes, the CUNY Baccalaureate Program, and several other intercampus programs.

The Graduate Center's fundamental mission is to provide a broad range of excellent doctoral programs to prepare students to become scholars and leaders in academe and in the private, nonprofit, and government sectors. We strive also to enhance access to doctoral education for traditionally underrepresented groups. In our role as a university center, we seek to foster significant research by faculty and students within and across disciplines, including research that addresses the problems and challenges faced by urban areas, and to facilitate interaction among CUNY faculty and students throughout the system. More generally, The Graduate Center strives to be an educational, economic, and cultural resource for the complex urban community it serves.

This mission statement seemed prolix, and though written only three years earlier, was already out of date in its details. Thus, it was clear that a new statement was necessary and that composing one would provide the Graduate Center community with opportunities for comment and approval. This decision did not stem from a sense that the Graduate Center's mission had changed but from the view that the Graduate Center itself had grown in ways that it was essential to account for, particularly in the areas of academic renown, public programming, and providing access to underserved communities.

The new mission statement was developed by a committee composed of administrators, faculty, and students and was presented to the Executive Committee of Graduate Council, who discussed and approved it on April 3, 2009. It was then submitted to the Graduate Council, the governing body of the Graduate School, discussed, and approved on May 14, 2009. It was posted on the Graduate Center Web site in late July 2009.

Graduate Center Goals

Successful institutions are dynamic institutions because they strategically manage change in response to opportunity and circumstance. Within the City University of New York, this typically involves fulfilling its mission through key institutional goals as operationalized by annual targets.

The Graduate Center's strategies, priorities, and goals are conventionally expressed as decennial plans. The current decennial plan was published in 2001 and is entitled "The Fifth Decade"; it follows upon the decennial plan "Toward 2001," which was published in 1993.¹⁸ The overarching vision provided by this document, consonant with the CUNY Master Plan and expressed in annual targets of the Graduate Center's Performance Management Process (PMP),¹⁹ has guided the Graduate Center for the first decade of the 2000's. The Graduate Center is now preparing a strategic plan for the next decade. As a starting point for that effort, it has drafted a working outline of goals for the next five years. This document has

¹⁸ "The Fifth Decade" can be found in the Document Room.

¹⁹ The CUNY Master Plan, the PMP, and the external reviews are described in detail in Chapter 2.

grown out of the self-study process but is informed by the CUNY Master Plan. The goals identified by that statement will be operationalized as annual targets within the PMP.²⁰

The Graduate Center's key institutional goals for the next five years, which derive from its mission and that of the University, as well as the Graduate Center's position within the integrated University, are as follows.²¹

- The *first* is to *enhance academic excellence* through adding and replacing world-class faculty, building upon pre-existing strengths (such as in the humanities and social sciences), innovating in areas of special significance and progress (especially interdisciplinarity and select sciences), and deepening our research culture (especially through collaboration between and among students) by way of increased resourcing generated by grants and donations.
- The *second* is to *enhance student support and quality of life* by increasing the availability and stipend level of five-year recruitment packages while reducing (insofar as is possible) the service requirements of those packages, improving recruitment efforts of students from underrepresented groups, reducing time-to-degree and improving completion rates, and improving the scale and quality of student services and resources (including student housing).
- The *third* is to *build and expand the Graduate Center community* by putting in place events (especially public programming), activities, and technologies (including the development of a new Web presence) that bring doctoral faculty and students from across the CUNY institutions into more intense, fruitful, and collaborative interaction at the Graduate School and University Center, while also engaging and informing the citizenry of New York City and beyond.
- The *fourth* is to *enhance and improve institutional effectiveness and student learning* by continuing to develop evidence-based approaches to services, activities, and learning that are sensitive and appropriate to the distinctive nature of graduate-level teaching and research in general, as well as to the particular administrative and faculty arrangements that embed the Graduate Center within the City University of New York.

Dissemination and Operationalization of the Graduate Center's Mission and Goals²²

The Graduate Center's strategic plans, goals, and targets are discussed by the president and provost in various arenas—through regular meetings of executive officers, assistant program officers, Doctoral Students' Council, faculty, and Graduate Council (and its standing committees), as well as regular community meetings. In all of these meetings, the president and provost convey information about long-range goals and short-range targets, as well as policies, processes, initiatives, and activities designed to realize them. Targets that are closely related to academic programs are discussed at monthly meetings of

²⁰ Though the PMP calls for goals and targets, the goals are CUNY's general goals, and the targets are the Graduate Center's plans for the coming year.

²¹ A fuller discussion, entitled "Strategic Goals and Actions for 2010–15 Drawn from the MSCHE Self-Study," can be found in the Document Room.

²² The School of Professional Studies and the Graduate School of Journalism, two of the educational entities that fall within the University Center identity (see Chapter 8, "Related Educational Activities"), each have separate PMP objectives that their respective lead administrators negotiate with the CUNY central office. The third related educational activity, CUNY B.A./B.S. (see Chapter 8), falls under the PMP jurisdiction of the individual CUNY campuses where CUNY B.A./B.S. students take their classes.

the executive officers for report to their programs. What this means is that doctoral program planning is implemented in concert with the Graduate Center's broader institutional goals.

It is the president's chief administrators, including the provost and the vice president for student affairs, finance, development, and information technology, who set graduate targets related to their individual areas of responsibility for the following year, all of which are not only in alignment with but also further both the Graduate Center strategic plan and its mission and CUNY's objectives as expressed in the PMP. The targets²³ are then approved by the president before being forwarded to CUNY central. Each year the Graduate Center also reviews its progress toward meeting that year's goals and reports back to CUNY. These annual reports form the basis of CUNY's annual evaluation of the Graduate School's performance and provide the Graduate Center with an assessment of its progress toward realizing its strategic plan.

Achievements in the Last Five Years

- Through this self-study process, the Graduate Center has developed an updated mission statement, which was approved by Graduate Council and its governing body.
- Having achieved most of the goals envisioned in 2001 in "The Fifth Decade," the Graduate Center has begun work on a strategic plan for the next decade, 2010–20.

Challenges

- The Graduate Center is not a residential institution. Students live throughout the metropolitan area, and many have teaching appointments at the other CUNY colleges across the five boroughs. Faculty also live all over metropolitan New York. Moreover, college-based faculty have teaching responsibilities at one of the CUNY colleges in addition to their doctoral teaching and related activities at the Graduate Center, and these college-based faculty often spend relatively little time at 365 Fifth Avenue. This systemic dispersal of both faculty and students presents the challenge of keeping faculty and students fully engaged in the Graduate Center's many activities and aware of Graduate Center policies.
- An additional challenge is that many students and faculty do not use their Graduate Center e-mail addresses or visit the Graduate Center Web site very often, and college-based faculty do not necessarily come to the Graduate Center regularly. Thus, general communication of policies and other information is difficult. Programs usually have a distribution list of the e-mail addresses that faculty and students actually use, but the Graduate Center as a whole does not. Inevitably, some faculty and students do not receive general informational e-mails.

Actions Going Forward

The Graduate Center has long had procedures in place to meet these challenges. Nonetheless, the institution recognizes that it must establish additional ways to make its mission and goals available to its variously dispersed constituencies. To that end:

- The Graduate Center administration will communicate more explicitly PMP goals and other planning procedures to executive officers and student leaders through the regular meetings of the president and provost.

²³ The 2009–10 Graduate Center PMP goals and targets are available at <http://www.cuny.edu/about/administration/chancellor/performance-goals.html> and 2008-09 goals and targets are in Appendix 1-1.

- Under the direction of the provost, the Graduate Center will prepare orientation materials that can be given to new college-based faculty when they are introduced at the first Graduate Center faculty meeting in the fall semester.
- The Graduate Center is developing a new Web presence and communication strategy that will address the issues raised by the systemic dispersal of faculty and students by posting in a prominent place the mission statement, strategic plan, information about the PMP, the Middle States Self-Study, and Periodic Review, as well as the CUNY Master Plan. A request for a proposal went out in September 2009. Commissioning of a new Web design will take place in spring 2010, and delivery and execution will be six to nine months later.
- In spring 2010, the information technology division will implement a system that enables posts sent to gc.cuny.edu addresses to be forwarded to other e-mail addresses.
- The Graduate Center will continue to develop its strategic plan for the next ten years with a newly constituted Strategic Plan Committee.

TWO

Planning, Resources, and Institutional Renewal

Standard 2. Planning, Resource Allocation, and Institutional Renewal

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

Standard 3. Institutional Resources

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

Strategic Planning at City University of New York and the Graduate Center

Introduction: Shortly after the Graduate Center's last self-study, in 2000, the former president, Frances Degen Horowitz, issued a vision statement for 2001–10, entitled the "The Fifth Decade." Over the next ten years, the broad vision of "The Fifth Decade" guided the work of the Graduate Center. The goals outlined in the document, refined through a process of consultation among a wide variety of Graduate Center internal and external constituencies,²⁴ became those that the Graduate Center was committed to achieve and toward which its planning activities were directed.

While reflecting the mission of the Graduate Center and the aspirations of the Graduate Center community, the president's vision for the Graduate Center, the goals set to realize that vision, and the plans devised for reaching those goals were also in alignment with the mission and goals of the City University. Every five years, the University communicates its goals for the following five years by way of the CUNY Master Plan. Approved by the board of trustees of the University, the plan is not only an expression of the goals of the University but also draws upon input from all CUNY colleges, including the Graduate Center, as to what those goals should be. In communicating to the University its priorities for the next five years, the Graduate Center in turn draws on input from the entire Graduate Center community. In this way it reaffirms the goals it has set for itself for the same time period and takes the opportunity to set new goals or reprioritize existing goals, if warranted, making sure that these changes reflect the interests of the Graduate Center community.²⁵

²⁴ For example, President Horowitz's 2001 general goal in "The Fifth Decade" of increasing the support, especially the financial support, available to students was achieved by 2010. The process began even before the fifth decade and involved extensive consultation with the PSC, the Doctoral Students' Council, Graduate Center offices of finance and administration and student services, CUNY central, committees of executive officers, and smaller working groups. As the plans developed, the priorities were clarified: five-year competitive financial aid packages, providing tuition remission for all doctoral students providing service to CUNY, as well as reasonably priced health care and housing for students. The Council of EOs and the DSC were continually involved in the process. A plan for achieving the goals was developed by a working group consisting of administrators and faculty. Eventually, the president involved the Graduate Center Foundation, whose support was crucial in raising funds. At the end of the fifth decade, every single strategic goal for increasing student support has been achieved: competitive five-year packages (2004), tuition remission for five years for students doing service at CUNY (2006), reasonably priced health care for students (2009), and housing (in place, to be operational in 2012).

²⁵ See the Graduate Center's response to the CUNY Master Plan for 2008-12 in the Document Room.

Now, at the end of “The Fifth Decade,” and as it completes its current self-study, it is time for the Graduate Center to start another round of strategic planning. To facilitate that process and to integrate the findings of the current self-study with the strategic planning process, it has prepared an outline of strategic goals and actions for 2010–15. In spring 2010, the president will appoint a Strategic Planning Committee to guide the planning process going forward.

Strategic Planning at the Graduate Center: As described above, planning at the Graduate Center is conducted within the context of the CUNY Master Plan. The current CUNY Master Plan runs from 2008 to 2012 and was approved by the CUNY Board of Trustees on June 23, 2008.²⁶ It confirms CUNY’s core values: “an insistence on academic rigor, accountability, and assessment, and an unwavering commitment to serving students from all backgrounds and supporting a world-class faculty” (p. 1). In any Master Plan, CUNY may establish goals that directly or indirectly affect doctoral education. For example, in the last CUNY Master Plan, there was an emphasis on enhancing the sciences at CUNY.²⁷ Working closely with CUNY central to meet this goal, the Graduate Center, Hunter College, and City College developed a plan to restructure the doctoral programs in biology, biochemistry, chemistry, and physics in order to permit Ph.D. degrees to be jointly granted by the Graduate Center and City College or Hunter College. Also, as part of CUNY’s plan to enhance the sciences, the doctoral program in engineering moved to City College.

The CUNY Master Plan is translated into annual goals and targets at the campus level via the chancellor’s annual request for specific “goals and targets” from each CUNY unit. As mentioned in the previous chapter and described in detail in the next section of this chapter, the process is formally called the “Performance Management Process” (PMP). In developing these goals and targets, the Graduate Center President’s Cabinet²⁸ melds the goals of CUNY (as summarized in the chancellor’s request) with the Graduate Center’s own priorities. The resulting PMP “Goals and Targets” document is thus an annual action plan and also the mechanism by which the Graduate Center measures its progress toward achieving its strategic goals.

Within the Graduate Center there is broad-based awareness of its priorities. Throughout the academic year, the president and provost discuss the Graduate Center’s goals with the community at large in various meetings: with executive officers (monthly), Doctoral Students’ Council co-chairs (monthly), the Academic Review Committee (monthly),²⁹ doctoral faculty (biannually), Graduate Council (quarterly), relevant standing committees of Graduate Council (as scheduled), and in quarterly open “community meetings.”

²⁶ The CUNY Master Plan is available online at http://web.cuny.edu/administration/chancellor/materplan_08_12.pdf

²⁷ See the Introduction for details of the CUNY Science Initiative as it relates to the Graduate Center.

²⁸ The President’s Cabinet includes leaders of most of the administrative offices of the Graduate Center plus the executive director for human resources and the executive assistant to the president. It is a reporting and advisory body to the president and meets every other week during the academic term.

²⁹ The Academic Review Committee, made up of executive officers elected by their fellow executive officers, reviews all appointments, promotions, and tenure of GC-based faculty and makes recommendations to the provost and president.

The University Performance Management Process (PMP): An Annual Cycle of Planning and Assessment

In 2001, CUNY established the Performance Management Process, which sets out detailed, University-wide goals for the year (flowing from the CUNY Master Plan) and asks each individual college to establish goals consonant with overall CUNY goals. By explicitly linking the planning of each college to overall CUNY priorities, the process furthers CUNY's goal of forging a unified university to best take advantage of the strengths of each college. As part of this process, each CUNY college is asked to identify metrics, as appropriate, that can be used to assess its progress in reaching its goals.³⁰

At the end of the academic year, all CUNY colleges assess the progress that each has made toward achieving the goals set out in the PMP and makes a progress report to the CUNY chancellor. This annual cycle of planning, assessment, and review allows for the ongoing modification of planning in order to continually strengthen the quality of CUNY and each of its units.

The Graduate Center's 2008–9 PMP "Goals and Targets" document can be found in Appendix 1-1 and its progress report in Appendix 2-1. Preparing this progress report provides the Graduate Center's administration with an opportunity each year to determine if it is using its various financial and human resources effectively. The report also allows the Graduate Center to assess which initiatives are working, which need to be strengthened, and which require new strategies. Further, since all of our major institutional-level goals are expressed annually by way of the PMP, each individual at the Graduate Center responsible for a particular PMP item is held accountable by the provost and president for moving the Graduate Center forward toward its goals.³¹

External Program Reviews and Their Role in Planning³²

The regular cycle of external program reviews³³ is a central component of academic planning and assessment at the level of both the individual doctoral program and the institution as a whole. Regularly scheduled external reviews of research centers play the same role for these academic units. In addition, in the case of some doctoral programs, such as clinical psychology, educational psychology, and audiology,

³⁰ Examples of these measures are described in detail in the annual PMP "Goals and Targets." See Appendix 1-1.

³¹ At the program level, the executive officers are held responsible to the provost for achieving their program goals.

³² See Chapter 9 ("Institutional Assessment") for an additional discussion of the external reviews and their uses in assessment.

³³ The process of external program reviews involves a series of steps that unfold over a twelve-month period. In brief, the program being reviewed prepares a self-study in which it describes the program and its curriculum, identifies issues of importance, and provides profiles of faculty, students, and recent graduates, plus a listing of representative faculty publications. This self-study report is sent to the external reviewers in advance of the visit. The team consists of two experts in the field, one or both of whom will have had some experience overseeing doctoral education at their home institution. The team visits the Graduate Center for two days and meets with Graduate Center administrators and with faculty, students, and alumni of the program. Subsequent to the visit, the team sends a final report to the provost. The final report is forwarded to the program executive officer (EO), who meets with the program executive committee and frames a response that is sent to the provost. The provost then meets with the EO to discuss the external review, and this discussion guides ongoing and future program planning. A follow-up assessment of the program by the provost takes place informally over the intervening years between formal external reviews.

planning and assessment take place hand in hand with periodic accreditation reviews conducted by the relevant professional associations.

The external program review provides a focal point for within-program planning. It is instrumental in helping individual programs take a critical look at their curricula, training methods, placement, and governance. In addition, since the provost is closely involved in the review process, review results organically affect broader Graduate Center academic planning and resource allocation. For example, in past years, external reviewers from across a wide range of doctoral programs strongly recommended that the Graduate Center expand student financial aid resources. This recommendation became a part of “The Fifth Decade” and was translated into annual PMP targets, each of which were reached, leading to the Graduate Center ultimately achieving its goal of providing enhanced financial support for our students. Similarly, recommendations of external reviewers with regard to faculty played an important role in the provost’s decisions with regard to faculty line allocations; for example, in anthropology and philosophy (discussed in Chapter 6, “Faculty and Research”).

In sum, the external review process is an important component of Graduate Center planning at the levels of both the doctoral program and the institution. In reviewing this process in the current self-study, however, the Middle States Steering Committee suggested that the provost’s office ask programs to provide a formal progress report for the provost midway between the reviews.

Another Example of the Cycle of Planning, Assessment, and Action: The Mina Rees Library³⁴

Another example of the planning feedback loop—from planning to assessment to budgeting and action to a new round of assessment, etc.—is the Graduate Center library.³⁵ During fall 2002, the library embarked on a strategic planning process. The first step was to prepare an exhaustive self-study³⁶ of the library and its services, which then served as a data-driven basis for the development of a five-year strategic plan.

A library Vision Statement was developed, and the Mission Statement was revised. These were submitted to the Graduate Center Cabinet for review and comment. Quantitative and qualitative data were collected from all available sources. Quantitative data included traditional inputs and outputs, such as budget, collection content, size and use; collection formats and access; service activity data (e.g., reference, interlibrary loan, etc.); space; information literacy; and the results of a student and faculty satisfaction survey. Qualitative data included review of the Graduate Center environment, the overall CUNY libraries environment, the changing scholarly environment, and the ongoing challenges and opportunities afforded by the developments in library and information services technology.

Input during the development of the library self-study and plan was solicited from Graduate Center students, faculty, and staff. A forty-eight-question survey was developed in-house and distributed to students in the library over a four-week period during the spring 2001 semester. A LibQual+ survey (a standardized library assessment tool) was administered to all students and faculty during spring 2003. This survey is a “gap” analysis that measures differences between expectations and realities in several broad areas of library service. A summary of the results of the survey was posted on the library’s Web site. Next, drafts of the self-study and the strategic plan were distributed to the Graduate Center Cabinet and the Graduate Council Library Committee for review and comment during fall 2003. A link to the study

³⁴ The Mina Rees Library is also discussed in Chapter 5 in the section on Student Resources.

³⁵ Similar examples from the past decade for the Graduate Center Office of Institutional Research and the Office of Educational Opportunity and Diversity Programs (OEODP) can be found in the Document Room.

³⁶ See the 2002 library self-study in the Document Room.

was posted on the library's Web site, and e-mails were distributed to the Graduate Center community asking for comments and suggestions.

The library began to implement the goals and objectives of the strategic plan during the 2003–4 academic year. The objectives served as guides for annual library program planning and implementation and for developing the library's budget each year. The resulting annual goals and objectives were integrated in the Graduate Center's PMP report, and subsequent success in achieving them was reported as part of the PMP progress report. During summer 2008, the library began the cycle again, with the preparation of a new self-study, to be ready for review by Graduate Center constituents in 2010-11.

An Example of Planning for Institutional Renewal: The Mellon Initiative

As part of the Graduate Center's overarching strategy for academic renewal, the new provost developed an innovative plan for doctoral education at the Graduate Center, which was based on a vision of research and scholarship grounded in interdisciplinarity. A proposal was submitted to the Andrew W. Mellon foundation in summer 2009, and in October of that year, the Graduate Center was awarded a grant of \$2,415,000, to be expended over approximately four years, to support initiatives that will be part of the creation of three interdisciplinary academic committees: the Committee for the Study of Religion; the Committee for Science Studies; and the Committee for the Study of Globalization and Social Change. A key component of the Graduate Center's plan and its successful proposal to the Mellon Foundation was a commitment from the CUNY Chancellery to provide eighteen faculty lines over the next three years for recruitment of prominent faculty for the three committees. Faculty searches for these new lines are already underway: doctoral programs were invited to submit proposals for new faculty, and six programs were selected to participate in the first round of searches.

Evaluating the Graduate Center Planning Process

The Graduate Center developed and tested a pilot survey in 2008 that was designed to explore how various Graduate Center constituencies evaluate the planning process. This pilot survey was distributed on October 21, 2008, to attendees at one of the monthly meetings of the Council of Executive Officers at the Graduate Center, which also included heads of certificate programs and heads of offices that provide support service to the academic enterprise. Of the forty people who signed the attendance sheet at the meeting, thirty-three submitted responses. Of these respondents, twenty-eight were EOs, four were heads of administrative offices, and one was a dean. The results of the survey are summarized below and reported in full in Appendix 2-2.

An evaluation of the survey instrument itself immediately indicated that there was a weakness in the survey that made it undesirable to draw strong conclusions from the results. Specifically, when asked whether each academic program had its own "strategic plan," only fifteen of the thirty-three respondents said yes, but from responses to subsequent questions, it was clear that many more of the programs engaged in a significant level of planning, even if this did not rise to the level of a formal, written strategic plan. Thus, in the future, we will revise this survey to better elicit information about the range of formal and informal planning activities that take place within programs.

Despite this drawback with the pilot survey instrument, it was possible to draw several useful conclusions.

- First, it was clear that formal or informal planning takes place within doctoral programs and that this planning involves input from all stakeholders.
- Second, it was clear that Graduate Center planning documents—the Middle States Self-Study and Periodic Review, the PMP goals and targets and progress report, and the CUNY Master Plan—are less well known by EOs than it had been supposed.

- Third, it was evident that the planning process that most affects the academic programs is the external program review, with its self-study and report of outside experts.

One clear policy recommendation that arises from this evaluation is that the Graduate Center needs to identify and publicize its strategic plan in a way that makes it readily accessible to all members of the Graduate Center community in order to create a common vision and act as a common touchstone for faculty, students, and staff. Therefore, the Graduate Center has developed from the reports submitted by the current self-study committees to create a 2010–15 a working outline of strategic goals and actions for the next five years (in the Document Room).

Linking Planning and Resource Allocation

In any discussion of linking planning and resource allocation at the Graduate Center, it is important to distinguish among the three organizational levels at which resource decisions are made: at the level of the New York State legislature, which allocates funds for the whole of CUNY to CUNY central; at the level of the CUNY Chancellery; and at the level of the Graduate Center.

Allocations from New York State: New York State (NYS) allocations to CUNY depend on NYS tax revenues that, in turn, are highly dependent on the fortunes of the financial sector, a large driver of the NYS economy. The recent financial crisis and current recession have had a large impact on NYS revenues and will undoubtedly have an impact on CUNY’s budget. Note that the Graduate Center has little ability to impact the NYS allocation to CUNY. Once CUNY central receives a unified CUNY budget from the NYS legislature, it allocates to each CUNY campus, including the Graduate Center, its “base budget.” The Graduate Center then allocates this budget according to its priorities as determined through the planning process described earlier in this chapter. In addition, the Graduate Center may expand the resources available to it by fundraising and other auxiliary enterprises, though these two funding streams have historically accounted for a relatively small part of its total budget.

The Base Budget Allocation from the CUNY Chancellery: The Graduate Center’s base budget allocation from the CUNY Chancellery is determined hand in hand with the planning processes described earlier in this chapter. That is, the Graduate Center’s strategic planning process is embedded in and integrated with that of CUNY as a whole via the CUNY Master Plan and the PMP. The Graduate Center contributes to the development of the Master Plan and also makes its priorities known through the PMP process. Through the PMP document and in meetings with the chancellor, the Graduate Center president articulates Graduate Center priorities and related budget needs, especially for those goals that require funds over and above its previous base budget.

Over the past ten years, the Graduate Center has been successful in obtaining added base-budget funding for its two highest priorities: increased funding for doctoral student support and an expansion in the number of Graduate Center-based faculty lines with which to hire additional high-profile faculty. The following are specific examples of Graduate Center priorities that were made possible in part or whole by supplemental funding or other new resources from CUNY central.

- Tuition remission for ten semesters for doctoral students who are employed as teachers within CUNY.
- In the 2005 Periodic Review report, the Graduate Center revisited the issue of student financial aid and expanded the target to include “offering half of all incoming doctoral students financial aid packages that guarantee five years of tuition support and five years of stipend support at the level of \$16,000, with teaching assistantships in years two through four and no work obligation in years one and five” (p. 18). This target informed fundraising efforts, and a donation from a new friend to the Graduate Center, combined with matching funds from the chancellery, made it

possible to achieve this goal so that as of fall 2009, 40 to 50 percent of doctoral students have five-year packages.

- The ten-year cycle of external reviews of doctoral programs, coupled with other doctoral program assessment vehicles, yielded recommendations with regard to faculty recruitment. In response, funds obtained from the CUNY Chancellery and from the president's fundraising have been directed toward providing salary and research supplements that allowed recruitment of the strongest possible faculty in targeted disciplines.
- The reorganization of the doctoral programs in biology, biochemistry, chemistry, and physics began with an external review in 2005 and was followed by four internal task-force reports in 2006 and 2007. Together, the reports paved the way for a commitment from the CUNY Chancellery and the participating college presidents to create new competitive fellowships for all new doctoral students in those programs (beginning fall 2008), called CUNY Science Scholarships (CSSs).
- With assistance from the chancellery, beginning in the spring 2009 semester, doctoral students who are employed within CUNY as teachers or in other employment titles became eligible for subsidized health insurance through the New York State Health Insurance Program.
- Most recently, the Graduate Center has finalized plans for a student and faculty residence facility as part of the CUNY East Harlem campus, with an expected opening in 2011.

Budget Allocation within the Graduate Center: The second phase of resource allocation takes place at the level of the Graduate Center.

Once it receives its base budget, the Graduate Center allocates it in a manner consonant with the priorities identified by the planning processes described in the first part of this chapter. However, as with all research universities, a large proportion of the Graduate Center budget is fixed. Graduate Center-based faculty are primarily at the more senior ranks and over 90 percent are tenured. In addition, CUNY is a unionized institution, and both professional and nonprofessional staff are covered by union contracts with extensive job protections. With some 75 percent of the Graduate Center budget (excluding financial aid) accounted for by personnel costs, and also with significant fixed costs associated with the maintenance and operation of the Graduate Center building, the scope for translating priorities into execution is constrained. Only a small proportion of the Graduate Center tax-levy budget can be allocated to new endeavors in any one year. The various strategic planning structures that are described here help chart the Graduate Center's course, but responding to the resulting priorities takes time.

Where possible, year-to-year changes in allocations across the four major functional budget categories—Instruction and Research, Academic Support Services, Student Services, and Institutional Support Services—are in direct response to planning priorities. For example, when, after the last Middle States Self-Study, the Graduate Center recognized that it needed a stronger capability in the area of institutional research in order to better conduct internal assessment, the Graduate Center revamped its Office of Institutional Research, hired a new director, and directed additional staff resources to the office. The review of the Mina Rees Library described earlier is another instance in which a self-study and associated planning led to the decision to direct added funds to the library budget. On the other hand, academic planning some years ago led to a decision to phase out a doctoral program in German and direct those resources to other programs.

The regular cycle of doctoral program and research center reviews, discussed earlier, also generate resource reallocations. Doctoral programs that have been identified through the planning process for strategic growth have their resources increased. They may be given the opportunity to offer additional courses, either by granting them an additional faculty line or by increasing the number of courses that can be taught by college-based faculty, and/or they may be given an increased financial aid budget, enabling

them to strengthen their student recruiting. In contrast, doctoral programs that have not effectively used their existing resources may experience a marginal decrease. Faculty line reallocations are made possible when a faculty member retires, at which point the vacated line returns to the provost to be used in keeping with Graduate Center strategic plans. Resource redistributions also take place via the reallocation of “course units,” which are, in essence, permissions to offer courses that will be staffed by doctoral faculty associated with the Graduate Center or other CUNY campuses.³⁷

The allocation of course units among doctoral programs is also reviewed on a regular basis (approximately every five years) and gives the provost’s office an opportunity to see if reassignments need to be made in response to changes in program student enrollments and/or strategic plans. Factors taken into account in this review are efficiency measures, such as average class size, the proportion of “credits” earned by students in independent study, and the proportion of resources used for program administration. Programs in which the student body has grown, or that more effectively use their teaching resources, or that have been targeted for strategic growth may be granted permission to offer more courses, whereas those that experience enrollment declines and/or are less efficient in their use of resources may have their course units reduced.

Resource Allocation within Doctoral Programs: At the level of individual doctoral programs, planning decisions and resource allocation decisions are made by the program’s executive committee and are informed by the decennial external program review, overall Graduate School goals, and student and faculty input.

The Allocation of Academic Support Services: Resource allocation is explicitly linked to academic planning in the area of support services as well. This linkage results from regular discussion of planning and resource allocation at meetings of the president’s cabinet. The cabinet biweekly meetings provide a forum for discussion of all planning and finance initiatives. In these meetings, relevant offices are identified and drawn into the planning for any particular initiative. More detailed academic planning is typically carried out by the provost’s office. The provost holds regular weekly “working group” meetings that include the vice president for student affairs, the vice president for research and sponsored programs, the vice president for information technology and external programs, the associate provost and dean of the social science and the humanities, and the associate provost and dean of science. Experts from other areas—finance, space planning, institutional research, or financial aid, for example—are invited to attend as needed.

These linkages can be illustrated with a specific example. The decision and resulting planning to expand and change the structure of financial aid to create new five-year recruitment packages involved the president, provost, associate provosts, vice president for student affairs, vice president for finance, and the associate vice president for human resources. Once the initial plan was formulated, more detailed planning was taken over by the provost’s working group, with the addition of experts from the offices of Information Technology and Financial Aid to make sure that the plan was workable and that the appropriate software programming infrastructure would be in place to manage these aid packages.

Another example of a link between a Graduate Center strategic goal and support and execution by an administrative office comes from the Office of Research and Sponsored Programs. One of the Graduate Center’s strategic goals was to increase sponsored research funding and the overhead on research grants. To encourage Graduate Center faculty, students, and administrators to submit grant applications, in 2005 the vice president for research and sponsored programs instituted a “return on indirect costs” policy. The

³⁷ Each doctoral program is allocated a specified number of “course units,” which determine how many courses or independent studies that program can offer (using their combined Graduate Center-based faculty and the doctoral faculty from the other CUNY campuses).

policy provides a share of grant overhead to all principal investigators whose grants yield a minimum overhead rate of 20 percent. Up to now it is not clear that this policy has had the desired effect (see Table 7). Nonetheless, because of the long lead time in obtaining grants, the Graduate Center will continue to maintain this policy until 2012, at which point it will be reviewed and evaluated.

As explained above, administrative offices provide service and support functions to the Graduate Center's academic programs to synchronize with the Graduate Center's strategic plans and annual goals and targets. However, administrative offices must also respond to CUNY-wide directives for the integration of administrative functions, such as the current CUNY initiative to shift the data infrastructure of all of CUNY to PeopleSoft. In addition, administrative offices may have to address issues unique to a particular administrative department, such as responding to regulatory requirements and niche or special-funding opportunities. With this breadth of responsibilities, administrative departments must allocate their resources (time, human capital, physical, and financial) to accommodate these varied needs while at the same time providing effective support for academic planning by achieving the measurable objectives defined in the Graduate Center's strategic plans.

The capital budget at CUNY is determined by a separate, though related, process and is discussed in a separate section below.

Maintaining and Enhancing Academic Infrastructure and Support: the Graduate Center's Financial Structure

The financial structure of the Graduate Center consists of a complex federation of the following seven financial entities and sources of funds.

- State Tax-Levy Appropriations: Unrestricted funds from annual New York State budget appropriations and marginal (in excess of state-mandated tuition revenue targets) student tuition and fee revenues. These funds represent the largest source by far of support for the Graduate Center's operating costs.
- Miscellaneous Non-Tax-Levy Funds: Unrestricted and temporarily restricted grant and sponsored research funds (those not handled by the CUNY Research Foundation); unrestricted, temporarily restricted, and permanently restricted funds from past fundraising and investing activities of the Graduate Center held in a long-term investment pool with the City University treasurer; and other miscellaneous non-tax-levy accounts not included below.
- The Graduate Center Foundation: Unrestricted, temporarily restricted, and permanently restricted funds from the fundraising and investing activities of the Graduate Center Foundation, a not-for-profit corporation that serves as the Graduate Center's current fundraising arm.
- Auxiliary Enterprises: Unrestricted funds generated by the Graduate Center's auxiliary enterprise activities and held in the CUNY Graduate Center Auxiliary Enterprises Corp., a not-for-profit corporation.
- Child Development and Learning Center: Restricted funds for the operation of the Graduate Center Child Development and Learning Center, Inc., a not-for-profit corporation that provides preschool educational services for the children of Graduate School students.
- The New York Resource Center: Capital funds held by the New York Resource Center Condominium, a commercial condominium association in support of the exterior and common area capital needs of the building at 365 Fifth Avenue.
- The CUNY Research Foundation: Restricted grant and sponsored research funds and unrestricted grant overhead recovery funds held and managed by the Research Foundation of the City University of New York, Inc., a private, not-for-profit corporation.

Below is a description of the most significant financial developments related to each of these funding sources and corporate entities during the five-year fiscal period 2004 through 2008, as well as projections for the future.

New York State Tax-Levy Appropriations: In its 2005 Periodic Review Report to the Middle States Commission, the Graduate Center identified two major institutional accomplishments that had taken place since its last Middle States reaccreditation in 2000: its “new ability to provide doctoral student financial aid funding more in line with other doctoral institutions” and the “extraordinary renaissance” that had occurred due to vast improvements in the academic quality of its programs from superb faculty hiring.

These two accomplishments have been significantly enhanced since 2005. As Table 1 shows, there has been a one-third increase in overall Graduate Center tax-levy expenditures over 2004–8, from \$69.5 million in fiscal 2004 to \$103 million in 2008, and a full two-thirds of this increase was directed at these two Graduate Center priorities:

- Total tax-levy expenditures for student financial aid and fellowship support increased by 100 percent. That is, the total amount budgeted for this purpose doubled, from \$14.662 million in FY 2004 to \$29.381 million in FY 2008.³⁸
- Expenditures for salaries of full-time faculty increased by 22 percent.³⁹

³⁸ These amounts are computed from Table 1 by adding together “Student Financial Aid” and 97 percent of instructional “Salaries Part-Time.” All tax-levy-funded teaching and research assistant positions for doctoral students are included in this latter category. In addition, by FY 2008, funding from non-tax-levy sources for student financial aid had also increased, to \$1.201 million.

³⁹ Salary levels are established through collective bargaining between CUNY and the Professional Staff Congress.

Table 1
Tax Levy Expenditures*
Fiscal Years 2004 through 2008

	30 Jun 2004	30 Jun 2005	30 Jun 2006	30 Jun 2007	30 Jun 2008
Instruction & Dept. Research					
Salaries Full-Time	\$32,206	\$ 32,886	\$ 32,750	\$38,474	\$ 39,180
Salaries Part-Time**	\$7,329	\$7,367	\$7,411	\$9,766	\$12,256
Contractual Services	\$ 177	\$138	\$107	\$216	\$469
Supplies & Equipment	\$205	\$301	\$265	\$329	\$902
Other	\$100	\$98	\$106	\$125	\$144
Total Instruction & Dept. Research	\$40,017	\$ 40,790	\$ 40,639	\$48,910	\$ 52,951
Academic Support Services					
Salaries Full-Time	\$3,246	\$3,610	\$3,522	\$4,201	\$4,208
Salaries Part-Time	\$639	\$672	\$851	\$891	\$843
Contractual Services	\$826	\$858	\$819	\$998	\$1,277
Supplies & Equipment	\$197	\$200	\$244	\$1,760	\$2,830
Other	\$114	\$126	\$116	\$83	\$112
Total Academic Support Services	\$5,021	\$5,466	\$5,552	\$7,933	\$9,270
Student Services					
Salaries Full-time	\$1,795	\$1,760	\$1,882	\$2,053	\$2,019
Salaries Part-Time	\$1,704	\$1,742	\$1,670	\$1,839	\$1,514
Student Financial Aid	\$7,553	\$8,959	\$11,644	\$13,285	\$17,493
Supplies & Equipment	\$19	\$54	\$19	\$27	\$34
Other	\$37	\$37	\$23	\$13	\$12
Total Student Services	\$11,109	\$12,552	\$15,238	\$17,217	\$21,072
Institutional Support Services					
Salaries Full-Time	\$6,060	\$5,822	\$6,154	\$6,600	\$6,726
Salaries Part-Time	\$249	\$241	\$285	\$328	\$406
Contractual Services	\$6,548	\$6,553	\$6,887	\$7,008	\$9,926
Supplies & Equipment	\$492	\$479	\$629	\$1,388	\$2,594
Other	\$30	\$42	\$32	\$46	\$66
Total Institutional Support Services	\$13,379	\$ 13,137	\$ 13,987	\$15,371	\$19,718
Grand Total	\$69,527	\$ 71,945	\$ 75,416	\$89,431	\$103,011

* In thousands of dollars.

** Ninety-seven percent of these amounts are salaried fellowship payments to students.

In addition to significantly building upon these two institutional accomplishments, the Graduate Center has also made good on its pledge to stabilize its tax-levy operational expenditures. In its 2005 Periodic Review report, the Graduate Center established as a financial goal “the elimination of [its] tax-levy deficit, i.e., operational expenditures that exceeded the state budget allocation.” Through a series of cost-control measures that have not negatively impacted upon programs and services (e.g., renegotiation of existing

procurement contracts and participation in CUNY-wide procurement bids for goods and services) and prudent student enrollment growth, under the leadership of the senior vice president for finance and administration, the Graduate Center not only eliminated this tax-levy expenditure imbalance but also realized tax-levy surpluses in each of the last four fiscal years.

Another factor that contributed to the stabilization of the Graduate Center’s tax-levy operating budget and the growth in new faculty hires was the successful implementation of the CUNY Compact initiative. Conceived by CUNY Chancellor Goldstein, and initially implemented in fiscal 2006, the CUNY Compact called for a mutual commitment between the City University and New York State, requesting the State to commit to long-term, growth-oriented appropriations and tuition policy in exchange for CUNY’s realizing significant productivity and efficiency cost savings and major advances in private philanthropic support.

In describing its tax-levy budget stabilization goal in the 2005 Periodic Review report, the Graduate Center mentioned the need to “create financial reserves...that will act as a hedge against further erosion in state support.” Unfortunately, as of this writing, those words ring prophetic. As a result of the financial crisis in the nation and the recessionary economy—factors that have had a disproportionately detrimental effect upon New York State’s finances with its heavy reliance upon the financial services sector for tax revenues—the state is currently experiencing major budget deficits and confronting much more significant one-year budget deficit projections. It is hoped that the Graduate Center’s newfound financial strength will allow it to weather this unprecedented financial storm with its programmatic advancements intact and remain poised to build upon these exceptional accomplishments.

Miscellaneous Non-Tax-Levy Funding Sources: This category includes three distinct sources of non-tax-levy funds that have historically been combined in Graduate Center accounting: (1) unrestricted, temporarily restricted, and permanently restricted funds for research grants and projects that are not handled by the CUNY Research Foundation; (2) investment returns from the unrestricted portion of the CUNY investment pool—a long-term investment portfolio managed by the City University of New York treasurer, and; (3) other miscellaneous non-tax-levy accounts. (The CUNY investment pool contains permanently restricted endowment funds that were gifts received by the Graduate Center prior to the establishment of The Graduate Center Foundation.) Table 2 contains information about these three categories combined.

Table 2
Non-Tax-Levy Fund for Research Grants,
CUNY Endowment Investment Pool, and Miscellaneous Accounts*
Fiscal Years 2005 through 2008

	30 Jun 2005	30 Jun 2006	30 Jun 2007	30 Jun 2008
Unrestricted Net Assets	\$3,373	\$2,581	\$4,131	\$3,049
Temporarily Restricted Net Assets	\$5,306	\$5,929	\$5,626	\$5,281
Permanently Restricted Net Assets	\$4,869	\$5,254	\$5,254	\$5,254
Total Net Assets	\$13,548	\$13,764	\$15,011	\$13,584
Change in Net Assets	\$402	\$217	\$1,247	(\$1,427)
Expendable Net Assets	\$8,672	\$8,495	\$9,738	\$8,309
Market Value of Investments	\$11,678	\$12,647	\$13,498	\$11,780
Total Revenues & Investment Gain	\$6,131	\$5,572	\$6,163	\$2,633
Total Expenses	\$5,729	\$5,355	\$4,916	\$4,060

* In thousands of dollars.

Expendable net assets have averaged \$8.8 million over the past four fiscal years, while annual programmatic expenditures have averaged \$5 million over the same period—a demonstration of the ongoing financial strength of this non-tax-levy source of programmatic support.

The Graduate Center Foundation: The Graduate Center Foundation is one of the most important sources of non-tax-levy funding for the Graduate Center. The foundation, founded as a not-for-profit corporation in 1994, was established to solicit and administer gifts and grants in support of the mission, objectives, and goals of the Graduate Center. Just this past year a subsidiary not-for-profit corporation of the Graduate Center Foundation was formed to assist in the development of a housing facility for Graduate School students and faculty.

Through the leadership of the foundation and the Graduate Center president, the foundation and its new subsidiary have amassed a most impressive record of securing philanthropic support and generating investment performance over 2004–8. It has achieved the goal, as stated in the 2005 Middle States Periodic Review report, that “The Graduate Center Foundation will be strengthened by building upon its recent history of extraordinary endowment growth and unrestricted fundraising results.”

The results of fundraising in the last five years (2003–8), shown in Table 3, are truly impressive. The Graduate Center has significantly increased its resources from fundraising in all categories and in two categories by an astonishing percentage. In the period from fiscal 2004 to fiscal 2008, the foundation and its subsidiary increased:

- Unrestricted net assets by 855 percent—from \$929,000 to \$8.9 million.
- Temporarily restricted net assets by 343 percent—from \$3.5 million to \$15.4 million
- Permanently restricted net assets by 53 percent—from \$14.5 million to \$22.2 million.

Table 3
The Graduate Center Foundation and Subsidiary*
Fiscal Years 2004 through 2008

	30 Jun 2004	30 Jun 2005	30 Jun 2006	30 Jun 2007	30 Jun 2008
Unrestricted Net Assets	\$929	\$1,053	\$1,280	\$4,100	\$8,870
Temporarily Restricted Net Assets	\$3,466	\$5,888	\$8,035	\$16,607	\$15,358
Permanently Restricted Net Assets	\$14,508	\$16,990	\$17,520	\$20,631	\$22,157
Total Net Assets	\$18,902	\$23,931	\$26,835	\$41,338	\$46,385
Change in Net Assets	\$3,015	\$5,029	\$2,904	\$14,502	\$5,047
Expendable Net Assets	\$4,394	\$6,941	\$9,315	\$20,707	\$24,228
Net Assets Released from Restrictions	\$1,489	\$1,591	\$1,986	\$3,242	\$2,840
Market Value of Investments	\$16,281	\$19,431	\$22,558	\$29,599	\$35,189
Gifts and Grants	\$4,423	\$5,437	\$3,515	\$14,736	\$12,058
Total Revenues & Invest. Gain	\$5,216	\$7,502	\$5,670	\$18,563	\$9,356
Total Expenses	\$2,201	\$2,356	\$2,766	\$4,060	\$4,309

* In thousands of dollars.

The foundation's annual gift and grant income results have also been most impressive. From a base of \$4.4, \$5.4, and \$3.5 million in fiscal years 2004, 2005, and 2006, respectively, gift and grant income ballooned to \$18.6 million in 2007 and \$9.4 million in 2008. Over the past five years (2003–8), the foundation has provided a total of \$11.4 million in programmatic expenditure support to the Graduate Center.

During 2008, the market value of the foundation's investment portfolio suffered a steep decline. Although the economy has been showing slow growth since the beginning of 2009, during the period January–December 2009, the foundation's portfolio earned a 26.4 percent rate of return (net-of-fees). No one can accurately predict the future in terms of investment return; however the Graduate Center looks to the future with cautious optimism.

Auxiliary Enterprises: Another source of non-tax-levy funds for the Graduate Center is its auxiliary enterprise activities, administered through the CUNY Graduate Center Auxiliary Enterprises Corporation, a not-for-profit corporation. The primary sources of these unrestricted funds are facility rental income and food service vendor commissions. Expendable net assets in the corporation, shown in Table 4, increased fourfold from 2004 to 2009—from \$545,000 in fiscal 2004 to \$2.9 million in 2009. This substantial growth in financial capacity was achieved while the corporation contributed \$3 million in operating support to the Graduate Center from 2004 to 2008.

Table 4

**Auxiliary Enterprises Corporation*
Fiscal Years 2004 through 2009**

	30 Jun 2004	30 Jun 2005	30 Jun 2006	30 Jun 2007	30 Jun 2008	30 Jun 2009
Net Assets	\$545	\$1,128	\$1,448	\$2,132	\$2,766	\$2,930
Change in Net Assets	\$432	\$582	\$342	\$684	\$634	\$164
Expendable Net Assets	\$545	\$1,128	\$1,448	\$2,132	\$2,766	\$2,930
Total Revenues	\$1,434	\$1,221	\$1,336	\$1,824	\$1,765	\$1,425
Total Expenses	\$1,002	\$639	\$994	\$1,140	\$1,131	\$1,261

* In thousands of dollars.

The Child Development and Learning Center: The Child Development and Learning Center, another Graduate Center not-for-profit corporation, provides preschool services to children of Graduate School students on a fee-for-service basis. As shown in Table 5, the center's primary sources of revenues are grants from New York State, parent fees, and support from the Graduate Center. While the center experienced significant growth in its overall financial health from 2004–8 (expendable net assets grew 67 percent, from \$68,242 in 2004 to \$114,250 in 2008), it also experienced a worrisome trend, i.e., a decline in New York State support and an increase in its reliance upon parent fees. In 2004, state grant support represented 34 percent of the total revenues; in 2008, it represented only 23 percent. Parent fees in 2004 were 14 percent of total revenues, while in 2008 they represented 20 percent. This shift from state support to increasing reliance upon user fees is unfortunately a trend that will likely continue. The saving grace is that the fee structure remains significantly below market and will remain so for the foreseeable future.

Table 5
Child Development and Learning Center
Fiscal Years 2004 through 2008

	30 Jun 2004	30 Jun 2005	30 Jun 2006	30 Jun 2007	30 Jun 2008
Net Assets	\$91,733	\$94,227	\$95,718	\$115,599	\$118,848
Change in Net Assets	\$13,801	\$2,494	\$1,491	\$19,881	\$3,249
Expendable Net Assets	\$68,242	\$79,409	\$86,833	\$108,487	\$114,250
Total Revenues	\$341,767	\$387,642	\$401,579	\$409,693	\$458,843
Revenues from Govt. Grants	\$116,828	\$107,300	\$107,300	\$112,300	\$107,300
Revenues from Parent Fees	\$47,763	\$44,384	\$46,769	\$55,436	\$91,102
Graduate Center Support	\$151,350	\$213,536	\$218,566	\$208,282	\$239,288
Total Expenses	\$327,966	\$385,148	\$400,088	\$389,812	\$455,594

New York Resource Center: As a member of the New York Resource Center, a commercial condominium association that owns the building at 365 Fifth Avenue, the Graduate Center has access to additional capital funds in support of the building's exterior and common areas. Capital funds allocated to the Graduate Center over the past five years are shown in Table 6 and totaled \$1.1 million as of June 30, 2008.

Table 6
The New York Resource Center Condominium
Capital Funds Allocated to The Graduate Center*
Fiscal Years 2005 through 2008

30 Jun 2004	30 Jun 2005	30 Jun 2006	30 Jun 2007	30 Jun 2008
\$730	\$867	\$930	\$1,047	\$1,145

* In thousands of dollars.

Grant Funding Administered by the CUNY Research Foundation: All of the Graduate Center's governmental (federal, state, and city) grants and all other grants that require payroll services are administered for the Graduate Center's Office of Research and Sponsored Programs by the Research Foundation of the City University of New York. The Research Foundation (RF) is a private, not-for-profit educational corporation that provides a variety of services to CUNY in support of its research mission.

As is true for any university, grants at the Graduate Center are an important source of research funding for faculty and students, and the resulting overhead helps maintain academic infrastructure, support doctoral students, and provide funding for academic initiatives. It should be noted, however, that Graduate Center-based grants are not the only CUNY grants that provide support to doctoral faculty and students. Grants generated at other CUNY units, especially in the sciences, support the research enterprise at those campuses—where Graduate Center science doctoral students are in residence—and often provide direct financial support Graduate Center doctoral students. Because the discussion and data below pertain only to grants awarded to Graduate Center-based faculty and research centers, they provide only a partial picture of the entirety of research funds in support of doctoral education.

Table 7 lists all grant activity for the Graduate Center for the past four fiscal years.⁴⁰ During 2005–8, the overall *level* of grant funding has varied—ranging from a high of \$12 million in FY 2006 to a low of \$9 million in FY 2007—but has exhibited no pronounced trend. At the same time, the *number* of grants received has fallen over the period. The average level of indirect costs associated with these grants is relatively low, ranging from 16.3 to 18.3 over the four years (in FY 2008, for example, only seven Graduate Center grants yielded indirect cost rates above 20 percent). Given the fact that the Research Foundation charges approximately 8 percent to cover post-award grant administration, only about half of the indirect costs generated are available to be used for academic and institutional support. The research centers are especially weak in this respect; indirect cost rates for grants to centers are uniformly below those of academic program or institutional awards.

In order to better understand this relatively low level of grant activity for a doctoral institution, it is important to recognize the specific situation at the Graduate Center as compared to other universities.

- First, the Graduate Center has a relatively small faculty given the size of its enrollment and its overall budget. As was pointed out in the Introduction, the majority of our courses are taught by doctoral faculty based at other CUNY campuses, and those faculty run their grants through their home institutions.
- Second, the Graduate Center has no faculty or labs in the hard sciences or engineering, areas in which large federal grants with high indirect recovery rates are more broadly available. That is, Graduate Center-based faculty are disproportionately in humanities and social sciences, where the availability of federal or other grants with substantial overhead is sparse. Taken together, these factors provide a context for the figures in Table 7.

⁴⁰ Most of the grants included in Table 7 are administered by the Research Foundation, but a few are administered at the Graduate Center.

Table 7
Research Grants

	FY 2005	FY 2006	FY 2007	FY 2008
Total Awards				
Number of Awards	189	183	171	176
Amount of Awards	\$11,088,882	\$12,256,320	\$8,983,430	\$10,352,364
Indirect Cost as of Award	17.7%	16.8%	18.3%	16.3%
Awards to Research Centers				
Number of Awards	97	98	98	101
Amount of Awards	\$3,985,782	\$5,572,072	\$5,166,697	\$4,337,223
Indirect Cost as of Award	14.0%	14.5%	14.5%	13.3%
Awards to Academic Programs				
Number of Awards	75	71	61	68
Amount of Awards	\$5,263,642	\$3,938,524	\$3,219,443	\$4,458,154
Indirect Cost as of Award	19.0%	18.4%	23.6%	14.5%
Institutional Awards				
Number of Awards	17	14	12	7
Amount of Awards	\$1,839,458	\$2,745,724	\$597,290	\$1,556,987
Indirect Cost as of Award	22.2%	19.3%	20.9%	30.0%

Nonetheless, we believe that we can do better in the future. While the Graduate Center does not have GC-based faculty in the bench sciences, it does have GC-based faculty in mathematics, computer science, earth and environmental science, and a full range of social sciences. It is a goal for the Graduate Center to increase the number of federal grants in these areas so as to better support the research mission of the institution. The adoption in 2005 of a “return on indirect costs” policy (described earlier in this chapter) is a first step in achieving this goal.

Fiscal Oversight and Control

A high level of financial oversight and expenditure control of the Graduate Center’s tax-levy budget is accomplished through the interaction among four financial management systems: (1) the New York State budget system; (2) the City University’s Financial Accounting System (FAS), which is the University’s financial interface with the state’s budget system; (3) direct access to the New York State payroll system through the Graduate Center’s payroll office, and; (4) SCT Banner, the Graduate Center’s local financial management system. Graduate Center payrolls are entered directly into the state payroll system by its payroll office, and payroll expenses are recorded and monitored via the University’s FAS.

Non-payroll expenses are processed via SCT Banner and FAS financial management systems by the Graduate Center’s purchasing, budget, and accounts payable departments. This process involves the creation of a purchase requisition with appropriate signatory approval, the creation of a purchase order with appropriate signatory approval, budget office approval, the creation of an account encumbrance, and proof of receipt prior to the payment of an invoice. In addition, state procurement requirements are strictly adhered to, including detailed bidding requirements.

Financial oversight and control of non-tax-levy transactions are accomplished through the same process as described above, except for the involvement of the state budget system and CUNY's FAS financial management system

Auditing: The Graduate Center Business Office maintains accounting records that include both tax-levy and non-tax-levy operations. Financial statements are prepared in accordance with policies and procedures prescribed by generally accepted accounting practices (and FASB and GASB) for nonprofit organizations.

The financial records of the tax-levy operation are audited each year by KPMG LLP as part of a CUNY-wide audit. Audits of the Graduate Center Auxiliary Enterprise Corporation and Graduate Center Doctoral Students' Council are conducted by Grant Thornton LLP. Audits of the Graduate Center Foundation, Graduate Center Housing, Graduate Center Child Care, Graduate Center Non-Tax-Levy Fund for Research Grants, and the CUNY Endowment Investment Pool are conducted by Loeb and Troper LLP.

Audits of various business and operational practices are also conducted periodically by the University's Office of Internal Audit.

Other Institutional Resources: Physical Plant, Equipment, and Human Resources⁴¹

365 Fifth Avenue: Since 1999, the Graduate Center's campus has been housed in a nine-story building at 365 Fifth Avenue. It contains fifty-two rooms designated for instruction and thirty-two dissertation/seminar rooms. There are four impressive venues for larger and public gatherings (the Baisley Elebash Recital Hall, the Martin A. Segal Theater, the Harold M. Proshansky Auditorium, and the Skylight Conference Room), and eleven breakout rooms on the concourse and ninth floors. Food service is provided by the Dining Commons on the eighth floor and the Express Coffee Shop on the first floor. All doctoral programs have a common meeting space, student lockers and mailboxes, and a bank of computers. There are approximately 536 program, faculty, and center and institute offices throughout the building, as well as seventy-two administrative offices.

A planning challenge with which the Graduate Center has limited options is the growing demand on space in the 365 Fifth Avenue building. In terms of both the impressive institutional renewal that has already taken place and the most recent planning goals of the Graduate Center—for faculty recruitment/new faculty hiring initiatives, the establishment of three new research committees, and expanded public programming—there will continue to be pressure on existing office, classroom, and meeting spaces. The Graduate Center will do what is possible within the building in terms of reviewing, reorganizing, and reallocating space in an ongoing process.

Mina Rees Library: The library houses 315,000 print volumes and provides access to over 125 electronic reference and aggregation services and 12,119 current serial titles in all disciplines. With a staff of approximately twenty-eight full-time employees, there are nine professional positions, and the latter group all possess subject masters or earned doctoral degrees in addition to an MLS degree. Sixteen graduate students are currently employed part-time as library assistants. The library facility contains adequate student seating and provides areas for quiet study as well as the use of computers networked to Graduate Center software and networked drives. There are connections for laptops as well as WiFi.

Information Technology (IT) and Audiovisual Services: There are approximately 1,800 desktop computers at the Graduate Center, with roughly one-third in student-serving or instructional settings,

⁴¹ See Chapter 7, "Educational Offerings," for a detailed discussion of the library, the IT/audiovisual, and facilities support services for student learning.

including the library, classroom, computer clusters in the program suites, specialized research labs, and spaces devoted to student organizations. Student computers have access to a set of some forty network printers located throughout the building. There are also approximately one hundred “smart rooms” outfitted with computers and presentation equipment—essentially all classroom, thesis room, conference, and meetings spaces are so outfitted. There are four classrooms outfitted with desktop computers at each station. Two-thirds of the Graduate Center building is served by wireless access.

To support teaching and learning activities, faculty have access to a (centrally managed and externally hosted) BlackBoard learning environment, as well as a local Moodle environment and the CUNY Academic Commons. Research computing is supported by one full-time IT staff position and four half-time (student) research computing fellows.

Since the appointment of new leadership of IT in 2006–7, many changes in the organization of that office have occurred to enhance efficiency and maximize service. As of fall 2009, there were forty-one full-time employees (plus two vacancies), five part-time employees (plus five vacancies), and eleven graduate students working part-time. The IT department has a plan, based a four-year life cycle, to replace desktop computers with updated equipment

The IT Audiovisual Services Department (which is part of the Office of Information Technology) provides classroom, seminar room, and conference room AV equipment and oversees and operates the equipment in the public assembly spaces. It operates the videoconference room on the C-level. In fall 2009, there were nine full-time employees.

Facilities: The Office of Facilities Services and Campus Planning is responsible for the operation, maintenance, and repair of the Graduate Center’s heating, ventilating, and air-conditioning systems, as well as all other mechanical, electrical, plumbing, and elevator systems. In addition, the office supervises all cleaning operations and setups for classes, conferences, seminars, and other special events. There are forty-six contract employees (cleaners, porters, matrons, engineers, mechanics, and helpers) and four CUNY employees. The Graduate Center uses the Archibus Work Order system. The Graduate Center is also part of the CUNY/Dormitory Authority of the State of New York (DASNY) space inventory which was conducted by CUNY’s department of design, construction and maintenance. This inventory enables Archibus.

Security: The Office of Security is responsible for the safety and security of the building, employees, students, and visitors to the Graduate Center. It has approximately thirty-three employees.⁴² As required by law, the office publishes an annual security report containing information regarding campus security. The current report is made available on its Web site, as are crime statistics.⁴³ The Office also issues a printed pamphlet, *Security Policies and Crime Reporting Procedures*, that is available on request.

Human Resources: The Office of Human Resources (which includes the office of the labor designee) provides a wide range of personnel and labor relations services.⁴⁴ It also provides labor and HR support to the three entities in the University Center. This office has fourteen full-time and two part-time staff.

⁴² This includes one director; one assistant to the director; one assistant director/lieutenant; one sergeant; one corporal; seven campus peace officers; one campus security assistant; and twenty contract security officers (approximately).

⁴³ The security report is available at <http://web.gc.cuny.edu/security/crime/index.htm> . The crime statistics are available at <http://web.gc.cuny.edu/security/crime/crime.htm> .

⁴⁴ See its Web site for details: <http://web.gc.cuny.edu/HumanResources>.

The Capital Budget

The capital budget at CUNY is determined by a process that is separate from, though related to, that of the operating budget. Input from our various strategic planning processes affords an opportunity to identify and review large-scale or big-ticket initiatives requiring substantial financial resources, those on a scale exceeding typical annual operating budgets (such as was required for the acquisition and remodeling of the Graduate Center's current home). Such projects are suggested, examined, discussed, evaluated, and prioritized as part of the planning process. These initiatives are subsequently forwarded to CUNY central for integration into the CUNY legislative capital funding request and supported by the Graduate Center's own lobbying efforts. Appropriations for current Graduate Center capital projects total \$4.9 million. In addition, the Graduate Center has been awarded special capital funds from the New York City Council in the amount of \$1 million in each of the last three years. These funds enabled the Graduate Center to rebuild the IT network backbone, purchase a new telephone system, install wireless, upgrade all of the Graduate Center computers, and rebuild the digital media in the public spaces.

Achievements in the Last Five Years

The Graduate Center has achieved a number of its goals in planning, finances, and institutional renewal.

- Tax-levy support for student financial aid and fellowships doubled.
- The Graduate Center eliminated its tax-levy expenditure imbalance and also realized tax-levy surpluses in each of the last four fiscal years.
- The Graduate Center Foundation increased its unrestricted net assets by 855 percent, from \$929,000 to \$8.9 million; its temporarily restricted net assets by 343 percent, from \$3.5 million to \$15.4 million; and its permanently restricted net assets by 53 percent, from \$14.5 million to \$22.2 million.
- From a base of \$4.4, \$5.4, and \$3.5 million in fiscal years 2004, 2005, and 2006, respectively, annual gift and grant income ballooned to \$18.6 million in 2007 and \$9.4 million in 2008. Over the past five years, the Graduate Center Foundation has provided a total of \$11.4 million in programmatic expenditure support to the Graduate Center.
- Major infrastructure enhancements were made in information technology.

Challenges

Some of the challenges in planning, finances, and institutional renewal are systemic.

- As with any public institution of higher education, financial planning at the Graduate Center is impacted by the public funding source, which, in the Graduate Center's case, is New York State. The New York State legislature allocates funding for the whole of CUNY to CUNY central, which then determines the amount that will be allocated to the Graduate Center. As a result of the current financial crisis and the recessionary economy—factors that have had a disproportionately detrimental effect upon New York State's finances with its heavy reliance upon the financial services sector for tax revenues—the state is currently experiencing major budget deficits and confronting much more significant one-year budget deficit projections. This made financial planning a particular challenge in 2009. Nonetheless, the Graduate Center has in the past weathered mandated budget cuts without unduly harming its programs, its recruitment of faculty, or support of students. An increase in fundraising will contribute to the continued financial stability of the institution.
- With GC-based faculty primarily in the humanities and the social sciences, the Graduate Center is challenged to increase the grants that bring high overhead returns.
- In terms of both the institutional renewal that has already taken place and that indicated by the most recent planning goals of the Graduate Center for faculty recruitment, new interdisciplinary

research committees, and increased public programming, there will continue to be pressure on existing office, classroom, and meeting spaces at 365 Fifth Avenue.

- Future Resource Needs: When the Graduate Center reported its planning goals for the 2008–9 academic year to the CUNY chancellor in the PMP, President Kelly’s cover letter of June 18, 2008, reviewed the challenges he foresaw. These challenges that require additional resources are
 1. Faculty recruitment/retention: Additional dollars are needed to fund research support and supplements to CUNY contractual salaries in order to recruit and retain high-quality, research-active faculty. Annualized, this amount is about \$200,000.
 2. Student travel and research: Added funding is needed for this purpose, annualized to about \$150,000.
 3. Funding to support our public outreach, annualized to about \$300,000.
 4. Fundraising and marketing efforts will need about \$500,000 a year.

Actions Going Forward

- The president will appoint a strategic planning committee in spring 2010 to develop a strategic plan for 2010–20.
- The Graduate Center will continue to monitor and review the impact of the “return on indirect costs” policy, which provides a share of grant overhead to all principal investigators whose grants yield a minimum overhead rate of 20 percent in three years.
- The Graduate Center will expand the outreach of the Office of Research and Sponsored Programs and develop an aggressive strategy of grant development. Further, the Graduate Center will continue recent efforts to more clearly articulate, when recruiting new faculty, the importance of grant generation.
- The Graduate Center will continue to review, reorganize, and reallocate space to meet the increasing demands being placed on 365 Fifth Avenue.
- The Graduate Center will incorporate the MSCHE Self-Study, the Periodic Review, and information about the PMP on its newly designed Web site.

THREE

Leadership, Governance, and Administration

Standard 4: Leadership and Governance

The institution's system of governance clearly defines the roles of institutional constituencies in policy development and decision-making. The governance structure includes an active governing body with sufficient autonomy to assure institutional integrity and to fulfill its responsibilities of policy and resource development, consistent with the mission of the institution.

Standard 5: Administration

The institution's administrative structure and services facilitate learning and research/scholarship, foster quality improvement, and support the institution's organization and governance.

Introduction

The administration and governance of the Graduate Center consist of two layers. The first is the governance and oversight of the Graduate Center by the central administration of CUNY, which is, in turn, under the supervision of the CUNY Board of Trustees.⁴⁵ The second layer is the administrative structure of the Graduate Center itself. The first layer of governance and administration is outside the Graduate Center's control and direction; it constitutes an external structure within which the Graduate Center must operate. The second layer is within the Graduate Center's control to examine. This chapter delineates aspects of both layers.

The City University of New York⁴⁶

The City University of New York is a public institution of higher education chartered by the New York State Education Department. CUNY is headed by a chancellor, Dr. Matthew Goldstein, who is appointed by and reports to the Board of Trustees of the City University of New York. The board consists of seventeen trustees.⁴⁷ The board of trustees plays a critical role in selecting the presidents of the CUNY colleges, including the Graduate Center.

The City University of New York is a nineteen-institution system consisting of eleven senior colleges, six community colleges, the CUNY School of Law, and the Graduate School and University Center. The Graduate School is the primary doctoral degree-granting institution of CUNY, while the University Center houses University-wide educational activities as described in detail in Chapter 8. Within the

⁴⁵ The CUNY Board of Trustees is subject to the conflict of interest policies as described in the bylaws of the board. See Chapter 4 for discussion of conflict of interest policies at the Graduate Center.

⁴⁶ The organizational structure and the relationship of the board of trustees, the chancellor, the vice chancellors, and the president at each college are represented in the organizational chart in Appendix 3-1. The CUNY bylaws are available online at <http://policy.cuny.edu/text/toc/btb/>. The Graduate Center bylaws are available online at <http://web.gc.cuny.edu/provost/pdfs/ByLaws.pdf>

⁴⁷ Ten trustees are appointed by the Governor of the State of New York, five by the mayor of New York City, and two *ex officio* members sit on the board in their roles as chair of the University Student Senate and chair of the University Faculty Senate (who is at this time a member of the doctoral faculty). See <http://www.cuny.edu/about/trustees/board.html> for a list of board of trustee members.

CUNY system and within each unit, a well-defined system of governance outlines the respective responsibilities of the various governance bodies.

The Graduate School and University Center Leadership and Administration⁴⁸

President

The president of the Graduate School and University Center is William P. Kelly, who was appointed by the board of trustees on July 1, 2005. Prior to his appointment as president of the Graduate Center, Dr. Kelly served as the Graduate Center's provost and senior vice president (1998–2005). Prior to becoming provost and senior vice president, Dr. Kelly served as the executive officer of the Ph.D. program in English, from 1996 to 1998.

The Graduate School's Leadership Team⁴⁹

The administrative team of the Graduate Center is well qualified for their roles as educational and administrative leaders. They are a mix of long-established CUNY scholars and administrators and outstanding scholars and administrators from other institutions, thus assuring a combination of knowledge of CUNY and the Graduate Center's role within the larger institution and the fresh perspectives of those coming from outside CUNY.⁵⁰

Provost and Senior Vice President: In fall 2008, after an intensive search, Distinguished Professor of History Chase F. Robinson was appointed provost and senior vice president. The provost is the principal academic officer of the Graduate Center and also serves as deputy for the president. He has overall responsibility for the quality and performance of the degree-granting programs, including curriculum, governance, and budgetary matters. The provost also oversees the Office of Institutional Research and Program Evaluation, the Mina Rees Library, the Office of Student Affairs, the Office of Research and Sponsored Programs, and building design and exhibitions, as well as the offices of the associate provosts.

Senior Vice President for Finance and Administration: Dr. Sebastian Persico was appointed senior vice president for finance and administration in 2004. He is the president's principal administrative officer. He is responsible for such areas as accounting, budget requests and allocations, bursar, financial aid, payroll, purchasing and receiving, nonacademic personnel, graphic arts, and mailroom, as well as for all matters pertaining to the day-to-day operation, maintenance, and security of the Graduate Center.

Vice President for Student Affairs: Dr. Matthew Schoengood was appointed vice president for student affairs in 2002. He has overall responsibility for the provision of student support services, including admissions, the registrar, student disability services, residence life, wellness and counseling, international students, the Child Development and Learning Center, student academic procedural matters, and the general quality of student life at the Graduate Center. He also serves as an ombudsman as needed and is

⁴⁸ The administrative organization chart of the Graduate School as revised January 2009 is shown in Appendix 3-2.

⁴⁹ The president of the Graduate School and University Center, Dr. William Kelly, is the head of both the Graduate School and the University Center. However, the three entities in the University Center—the CUNY B.A./B.S., the School of Professional Studies, and the Graduate School of Journalism—all have their own governance and reporting requirements. They are not under the governance document of the Graduate School or the bylaws of the Graduate Council. Their structure and governance are discussed in Chapter 8, "Related Educational Activities."

⁵⁰ The curricula vitae of all the leadership team can be found in the Document Room.

charged with overseeing the administrative resolution of disputes with regard to grades, satisfactory progress, and disciplinary matters. He is the administrative liaison to the Doctoral Students' Council, serves on the Student Services Committee, and is the freedom of information officer.

Vice President for Research and Sponsored Programs: Brian Schwartz, professor of physics, served as vice president for research and sponsored programs at the Graduate Center from 1999–2009. The Office of Research and Sponsored Programs serves the Graduate Center community in all matters related to research support, be it from government, foundations, industry, or private sources. The office is responsible for overseeing the use of human participants in research⁵¹ and ensuring compliance with federal guidelines. The office also assists researchers in developing grants. A search for a new director of sponsored research began in spring 2010.

Vice President for Information Technology: Robert Campbell was appointed vice president for information technology in September 2009. The mission of this office is to facilitate access to technological resources, to support the Graduate Center community in the use of technology, and to promote technology in instruction, learning, research and administration. The office provides both software and hardware for the Graduate Center, operates a help desk, facilitates storage, security and integrity of electronic data, and promotes new uses of technology within the institution through the support of innovative applications and training.

Vice President for Institutional Advancement: Raymond Soldavin was appointed vice president for institutional advancement in 2007. He serves as the Graduate Center's chief advancement officer, with overall responsibility for development, communications, marketing, publications, alumni, and public relations. He also serves as the executive director of the Graduate Center Foundation. The office is responsible for all Graduate Center fundraising.

Associate Provost and Dean for the Humanities and Social Sciences: Professor Louise Lennihan, executive officer of anthropology, was appointed associate provost in 2009. She serves as deputy to the provost and supervises the Graduate Teaching Fellowship Program, the Enhanced Chancellor's Fellowships, the CUNY Writing Fellows Program (both described in Chapter 5), the Student Appeals Committee, the annual dissertation awards competition, the Language Reading Program, and the Latin/Greek Institute. The Office of Educational Opportunities and Diversity Programs reports to her.

Associate Provost and Dean for Doctoral Sciences: This position was created in 2007. Professor Ann S. Henderson, a member of the biochemistry and biology doctoral faculty, is the current acting associate provost. She oversees the joint degree programs (biochemistry, biology, chemistry, and physics), the health sciences doctoral programs (audiology, nursing, physical therapy, and public health), and the doctoral programs in mathematics, computer science, and earth and environmental sciences.

Cabinet: The President's Cabinet includes the administrators identified above as well as Executive Director for Human Resources Yosette Jones-Johnson and Executive Assistant to the President Marilyn Marzolf. Other heads of departments, such as the library, special events, security, and financial aid, may also attend. The cabinet is a reporting and advisory body that has strategic planning within its brief. It meets every other week.

⁵¹ The Graduate Center does no research on animals and has no facilities to do so; thus, there is no Institutional Animal Care and Use Committee at the Graduate Center. If there were ever an instance, then the researcher would contact the IRB administrator at another CUNY campus. The following CUNY campuses have IACUC review committees: Queens, Hunter, College of Staten Island, York, Lehman, and Brooklyn.

Assessment of Administrative Structures

There is periodic review of the overall administrative structures of the Graduate Center by the president and provost in consultation with the cabinet. For example, in fall 2007, the financial aid office was moved from reporting to the vice president for student affairs to reporting to the vice president for finance and administration. The position of associate provost for sciences was created in 2007, and the responsibilities of the two associate provosts were reorganized at the same time.

Staff

In fall 2008, the Graduate School employed approximately 1,500 full-time and part-time staff, including faculty and students. The full-time staff included approximately 300 individuals with nonteaching responsibilities. There were 1,038 part-time personnel, including 839 graduate assistants. (See Appendix 3-3, Table 1).

As part of its expansion of financial aid packages for doctoral students, the Graduate Center has experienced a significant increase in the number of students with graduate assistant appointments, from 319 in fall 2001 to 839 in fall 2008, a 163 percent increase. Graduate assistants are on the Graduate Center payroll, but the large majority of these are providing teaching or research services on one of the undergraduate CUNY campuses.

Nonteaching members of the instructional staff (research associates and assistants, registrars, college laboratory technicians, and staff in the Higher Education Officer series) belong to the same union as the faculty, the Professional Staff Congress/CUNY, and are covered by the same contract. Classified workers belong to different unions (notably District Council 37, Public Employee Union). Annual evaluations of employees are conducted under these contracts, with a stress on communication between supervisor and worker during the process.

CUNY and the Graduate Center have a set of “Guidelines for the Recruitment and Appointment of Higher Education Officer (HEO) Series Positions” that ensures that the descriptions for HEO series positions meet the standards for the position as expressed in the PSC-CUNY contract. The document also provides guidelines for approving changes in title, salary, and rank. The HEO Screening Committee at the Graduate Center reviews all requests for new positions and changes in title, rank, and salary to ensure that they abide by the PSC-CUNY contract. All recommendations of this committee must be approved by CUNY central and the board of trustees.

A number of development opportunities are available to staff. For example, staff can receive tuition waivers at a cost of up to \$5,250 per year tax free in order to further their education. Employees are also encouraged to take training courses on software ranging from Microsoft Office products to statistical packages such as SPSS and SAS, which are provided by the information technology office.

Diversity: In fall 2008, approximately 31 percent of the Graduate School’s full-time staff were underrepresented minorities (see Appendix 3-3, Table 2); approximately 55 percent of the full-time staff were women (see Appendix 3-3, Table 3.)

Governance of the Graduate School and University Center

The Graduate School's governance document⁵² delineates the responsibilities of administrative officers, administrative and governing bodies and committees of the Graduate School, procedures for development of new degree programs, general provisions for program governance, roles of executive officers and the executive committee of each program, procedures for modification of program governance, administration and structure of master's and certificate programs, faculty membership in doctoral programs and other educational programs, and faculty and student responsibilities. The governance document is periodically updated by the Structure Committee of Graduate Council and ultimately voted on by the Graduate Council and CUNY Board of Trustees. All governance changes approved by Graduate Council must be approved by the CUNY Board of Trustees.

Graduate Council:⁵³ The Bylaws of the City University of New York allow for shared Graduate Center collegial governance in which all constituencies, including administration, faculty, staff, and students, participate. As stipulated in the Graduate School's governance document, the governing body of the Graduate School is the Graduate Council. The eligibility of voting and nonvoting members of the Graduate Council is spelled out in the governance document. There are 149 voting members of this body and 41 nonvoting members (as of September 2009). The governance document also articulates the Graduate Council's authority over curriculum, program structure, and degrees awarded.

The Bylaws of the Graduate Council⁵⁴ speak to the function of the Graduate Council and its constitution. Members of the council include representatives of the faculty, students, and administration and include as voting members all executive officers ex officio and officers of the Doctoral Students' Council. Other voting members include graduate students elected by students in their programs, as well as faculty elected by their programs' doctoral faculty. Each spring, under the supervision of an Election Committee established by the program's executive committee, faculty and student representatives are elected from each program, one each for every one hundred matriculated students. There are fifty-one voting student members representing their programs as well as three co-chairs of the Doctoral Student Council in Graduate Council.

The Graduate Council is presided over by the president. The Executive Committee of the Graduate Council, made up of chairs of standing committees, the library, and at-large faculty and students, and which is elected by the Graduate Council, formulates the agenda and brings actions to the Graduate Council, which meets four times each year.

The work of the Graduate Council is done primarily through its standing committees⁵⁵ as established by the Graduate Council Bylaws. The decision-making committees include the Committee on Committees, the Curriculum and Degree Committee, which vets all changes in courses, curriculum, and the introduction of new programs, and the Committee on Structure, which reviews and updates all structural changes at the Graduate School.⁵⁶ At the final meeting of the Graduate Council each May, the Executive

⁵² http://web.gc.cuny.edu/provost/pdfs/Governance_Document.pdf.

⁵³ Recent minutes of the meeting of Graduate Council are available in the Document Room.

⁵⁴ <http://web.gc.cuny.edu/provost/pdfs/ByLaws.pdf>. The Bylaws of the Graduate Council, by a vote of Graduate Council on May 14, 2009, were revised to refer to the Graduate Council as the governing body of the Graduate School.

⁵⁵ See an organizational chart of the Graduate Center committee structure in Appendix 3-4.

⁵⁶ Recent minutes of Graduate Council Standing Committees are available in the Document Room.

Committee of the Graduate Council submits a report to all members, summarizing the activities of all Graduate Council committees.⁵⁷ Also at that meeting, an election of faculty and student members to committees of the Graduate Council is conducted.

The Office of the Provost maintains and compiles detailed records of meetings of the Graduate Council and its committees, as well as minutes of executive committee meetings held by each program. According to these, Graduate Council meetings are well attended by voting and nonvoting members, with the necessary quorum achieved, especially since the Open Meetings Law and the Perez decision of 2005.⁵⁸

Other Graduate School Committees: Under the auspices of the Office of the Provost, several additional Graduate School committees also operate, including:

- the Executive Committee of the Council of Executive Officers, elected by the executive officers, meets with the president and provost once a month to be integrated into the planning process;
- the Academic Review Committee, also elected by the executive officers and made up of executive officers, which reviews and recommends to the president GC-based faculty appointments, promotion, and tenure;
- the Central Faculty Steering Committee, made up of ten GC-based faculty nominated by the GC-based faculty and appointed by the president, which meets periodically with the president and provost to consult on planning issues for the GC-based faculty;
- the Doctoral Faculty Policy Committee, a committee elected by all Graduate School faculty from both GC-based and campus-based faculty, which takes up issues affecting the whole faculty and the chair of which reports regularly to the Graduate Council and the faculty at the semester general meeting. Other Graduate School-wide committees include the Information Technology Committee, the Student Advisory Committee, and the College Association Committee.

Issues and Actions of Graduate Council and Its Standing Committees: Business is brought to the Graduate Council primarily through its standing committees, most particularly the Committee on Degrees and Requirements (CDR) and the Committee on Structure. Those committees work with programs on curricula and structure issues, and the CDR also prepares the documents for any new programs. In the last several years, the Graduate Council has acted on major recommendations from these committees to approve a new DNS in Nursing, an M.A. in Middle Eastern studies, and several en-route M.A. degrees, among many other smaller changes in curriculum or structure. The Graduate Council votes to award all Ph.D. degrees.

Doctoral Student Involvement in Leadership and Governance at the Graduate School: As stated above, the committees of the Graduate School as specified in the Governance document provide for student representation on each of the Graduate School and Graduate Council standing committees and the Bylaws of the Graduate Council specify that students must also be elected to and participate in program committees. Through these various committees of the Graduate School, doctoral students regularly interact with institutional leadership. Further, the charges of the Student Advisory Committee and the

⁵⁷ See the Graduate Center Web site for details about Graduate Council committees:
http://web.gc.cuny.edu/provost/GC_governance/grad_council.htm.

⁵⁸ A 2005 New York State Supreme Court decision held that CUNY college senates perform a public governmental function and thus are subject to the state Open Meetings Law, which requires that governing bodies obtain a majority vote of their entire membership, not simply a majority of those present and voting. Absenteeism at Graduate Council meetings has presented a problem in meeting this new requirement, but strong efforts by the provost's office have been able to raise the attendance level at Graduate Council to appropriate levels.

Doctoral Students' Council (both committees of the Graduate School) and the Committee on Student Services and the Student Academic Appeals Committee (committees of the Graduate Council), which all have student members (except for the Academic Appeals Committee), cover student services, student resources, policies pertaining to students in general, and educational policy in particular. In addition, the Information Technology Committee, the Alumni Council, and the Library Committee, all Graduate School committees with student representation, lend themselves both to cross-program and cross-department fertilization to benefit all constituencies of the Graduate School. As a sign of this engagement in leadership and governance of graduate students at the Graduate School, the chair of the Graduate Council Committee on Committees has, since 2006, been a student, and in fall 2009, the chair of the Committee on Structure was also a student.

Doctoral and Graduate Students' Council (Doctoral Students' Council or DSC)⁵⁹: The Doctoral Students' Council (DSC) is the sole policymaking body representing students at the Graduate School. It is made up of Graduate School students who are elected by the students in their programs. It serves all students enrolled in the Graduate School doctoral and master's programs or courses who pay a Graduate School student activity fee. The DSC administers the money collected from the student activity fee, publishes the student newspaper, the *Advocate*, six times a year, and has chartered some forty student organizations. In 2009–10, there were sixty-eight student voting members elected by the students in their programs to the DSC.⁶⁰ The DSC meets regularly with the president to discuss ways in which student needs and concerns are and continue to be met and addressed.

Doctoral Program Structure and Governance: According to the Graduate Council bylaws, each stand-alone, degree-granting program at the Graduate School is required to develop its program's governance within one year of its existence. This governance document must be approved by the program's executive committee, the Committee on Structure of the Graduate Council, and Graduate Council itself.⁶¹ Doctoral programs and the M.A. in liberal studies have an executive officer, appointed by the president for a three-year term, and an executive committee made up of students elected by program students, the administrative officers of the program, and elected faculty at large. The executive committee must have a minimum of five faculty members. The initial structure and membership of each executive committee are determined by the program's faculty, subject to approval by the president. Each program must have a minimum of the following four standing committees made up of both faculty and students: elections, admission and awards, curriculum and examinations, and faculty membership. Programs are required to have regular meetings with faculty and students.⁶²

Programs revise their governance as needed, and any changes must be approved by the Executive Committee, the Committee on Structure of the Graduate Council, and the Graduate Council itself. Changes in curriculum must be approved by the Executive Committee, the Graduate Council Committee on Curriculum and Degree Requirements, and the Graduate Council. Doctoral faculty appointments in each program must be recommended by the Faculty Membership Committee and the program's Executive Committee and approved by the Office of the Provost.

⁵⁹ Minutes of recent Doctoral Students' Council are available in the Document Room.

⁶⁰ See the full description of the DSC in the *Student Handbook*, available online at http://www.gc.cuny.edu/current_students/handbook/

⁶¹ Examples of governance structures for several programs are available in the Document Room.

⁶² Minutes from executive committee meetings of selected doctoral programs are available in the Document Room.

Governance and the Science Initiative⁶³

At its March 2009 meeting, the Graduate Council approved the joint awarding of doctoral degrees in biology, chemistry, and physics with City College and biochemistry, biology, chemistry, and physics with Hunter College. It also approved the move of the Ph.D. program in engineering to City College. As a result of these changes, these programs will revise their governance documents consistent with the governance structure of the Graduate School. The biology program has already updated its governance to reflect the new joint granting of degrees. The other science programs that will be jointly awarding degrees are also in the process of revising their governance. Approval of these changes will go through the Graduate School procedures, namely approval by the Graduate Council Committee on Structure and the Graduate Council.

Disseminating Policies, Procedures, and New Initiatives to the Graduate Center Community

The Graduate Center has in place a number of mechanisms to make sure its policies, procedures, and initiatives are effectively and efficiently communicated not only to faculty and students but also to all constituencies at the Graduate School.

The president and other officers hold regular meetings of the Graduate School faculty (twice a year) and the Council of Executive Officers (once a month), as well as open community meetings (usually four times a year). The president also meets with the Doctoral Students' Council and, along with the provost, attends the regular meetings of the assistant program officers, who are equivalent to administrative assistants to the doctoral programs.

The provost holds disciplinary cluster (humanities, social science, and science) meetings with executive officers on a regular basis, which provide an opportunity for faculty to offer input to the provost about programmatic issues, research, and planning. These meetings also foster the exchange of ideas among colleagues within the same cluster or related disciplines. The executive officers in turn share information from these meetings with faculty and students during their program meetings, allowing for a constant exchange of information.

In addition, on the Web site of the Office of Institutional Research and Program Evaluation, there is a "Fact Book" that gives facts on enrollment, degrees conferred, and results of the alumni and exit surveys. This "Fact Book" is available to executive officers, assistant program officers, and various administrative offices, but it is not open to the general public.⁶⁴

Assessment of Leadership and Administration

As described in Chapter 2, the Graduate Center undergoes systemic review every year through the CUNY-administered Performance Management Process (PMP). The yearly PMP process provides the loop of goal setting, assessment, and the setting of new goals. It is also the means by which the leadership of the Graduate Center is assessed by CUNY central. Administrators in the Executive Pay Plan⁶⁵ can have

⁶³ The CUNY Science Initiative is described in the Introduction.

⁶⁴ A copy of the Graduate Center Fact Book is available in the Document Room.

⁶⁵ The administrative positions at the Graduate Center that are on the Executive Pay Plan include the president, the vice presidents, the associate provosts, the assistant vice president for faculty and staff relations, the assistant vice president for finance, the chief librarian, the human resources director, the director of student services, and the senior registrar. The Executive Pay Plan is outside the PSC-CUNY contract.

their compensation adjusted based on PMP performance. All administrative staff have an annual evaluation under union requirements under either the PSC-CUNY or other union contracts.

Assessment of Governance

The governance of the Graduate Center and its programs is assessed in an ongoing way. The Graduate Council Committee on Structure both vets and recommends changes in program and council governance and structure. This committee regularly reminds programs to review their governance and vets proposals to change program governance. Both students and faculty serve on the Graduate Council and can bring to that body or its committees any issues of governance.

An example of how the governance is reviewed in an ongoing way is a recent review of all program governance documents. Though existing program governance documents enable the Graduate School to function smoothly, many of them had not been reviewed for years. Therefore, in 2008–9, all programs were asked by the provost to review their own governance documents and make any changes deemed appropriate. Most found their governance appropriate, but several programs decided on changes, most of them to add an elections committee to their document and to mandate that the executive committee meet with students once a semester and with faculty once a year, both of which are mandated in the Graduate School governance.

Achievements in the Last Five Years

The leadership, administration, and governance of the Graduate School function very well under the governance document, the Graduate Council, and its standing committees.

A regular review of the governance document for the Graduate School and also those of the individual doctoral programs has been instituted by the provost so that they can be aligned with changes in policy, with the makeup of the voting and nonvoting membership, and with other issues that arise as new programs and new initiatives, such as the Science Initiative, are approved and implemented.

Challenges

Since the majority of the faculty and many of the students have obligations at other branches of CUNY, they have many demands on their time in addition to their work at the Graduate Center. As a result, it can be a challenge to find a representative pool of members to serve on various committees of the Graduate Center at large, though at the program level college-based faculty and students are generally more than willing to serve on program committees.

Actions Going Forward

The Committee on Structure will institute a regular review of the current Bylaws of the Graduate Council, with special attention paid to the existing standing committees and the extent to which changes to each of the standing committees could be made to reflect current needs and practices. This will also include a review of the process governing solicitation of nominations of faculty and students to serve as members of its standing committees to assure both continuity and appropriate rotation of members.

FOUR

Integrity

Standard 6. Integrity

In the conduct of its programs and activities involving the public, and the constituencies it serves, the institution demonstrates adherence to ethical standards and its own stated policies, providing support for academic and intellectual freedom.

The Graduate School and University Center strives to be collegial and inclusive and to operate with integrity, fairness, and consistency in all its dealings with its constituencies, including its students, staff members, and faculty members. It also strives to foster the integrity of faculty and student scholarship and of all policies and procedures that affect teaching and learning. Its policies establish the rights of all members of the community to work and study in an environment of mutual respect and intellectual freedom. The principles of academic honesty and academic and intellectual freedom, as well as the protection of the diversity and dignity of all members of its community, are assured by the Graduate Center's adherence to clear and widely disseminated written policies governing the core aspects of its operations. These policies are distributed to students, faculty, and staff, posted on the Graduate Center Web site, published in the *Graduate Center Bulletin* and the *Student Handbook*, and updated regularly.

Issues of Integrity Affecting Faculty

Academic Freedom: The Graduate Center is fully committed to the intellectual policy statement of CUNY⁶⁶ that upholds the right of all faculty members and students to academic freedom and unfettered academic inquiry. This commitment applies very broadly but is also detailed in specific written policies regarding such matters as the rights of faculty members and students to distribute materials in public venues at the Graduate Center.⁶⁷ The Graduate Center encourages free discussion and debate and no controversies have arisen in this area since the last reaccreditation, in 2000.

Policy on Conflicts of Interest: Faculty and staff members at the City University of New York are bound by a formal conflict of interest policy that was adopted by the CUNY Board of Trustees in July 2008.⁶⁸ The policy is detailed and explicit and entails tighter controls and regulations than are found in the general New York State conflict of interest policy. It assures that all of its activities (including hiring policies) are conducted in accordance with the highest standards of integrity and ethics. Specifically, the extensive policy assures that no "covered individual shall have any interest, financial or otherwise, direct or indirect, or engage in any business or transaction or professional activity, or incur any obligation of any nature, which is in substantial conflict with the proper discharge of his or her duties and responsibilities at the University." To ensure the academic and fiscal integrity of faculty and to ensure that CUNY is each faculty member's major professional commitment, instructional staff must complete the Annual Financial

⁶⁶ This policy statement can be found at http://portal.cuny.edu/cms/id/cuny/documents/level_3_page/001173.htm.

⁶⁷ These policies are listed in the *Student Handbook* under the category of "Graduate Center Facilities Access and Use Policy." They include regulations for posting of literature, distribution and sale of literature from tables, meeting spaces, demonstrating/picketing, amplification devices, signs, and security and public safety measures. See the *Student Handbook* online at http://www.gc.cuny.edu/current_students/handbook/

⁶⁸ The CUNY conflict of interest policy is available at <http://web.cuny.edu/academics/info-central/addresources/faculty-staff/conflict-of-interest.html>

Disclosure-NYS Commission on Public Integrity Form⁶⁹ and the Multiple Positions Form.⁷⁰ The vice president for research and sponsored programs serves as the Graduate Center's research integrity officer and also as the conflict of interest officer.

Policy Regarding Research Misconduct: CUNY has a policy, which the Graduate Center follows rigorously, regarding the disposition of allegations of misconduct in research and similar educational activities.⁷¹ The policy contains definitions of research misconduct as well as the procedures for initial evaluation, inquiry, and investigation of allegations of research misconduct involving CUNY faculty, staff, and/or postdoctoral associates who, whether paid by CUNY or through other funding sources, may have engaged in research misconduct. In the last five years, there have been no cases involving allegations of research misconduct at the Graduate Center according to the Office of the Vice President for Research and Sponsored Programs.

Institutional Review Board (IRB) and the Protection of the Rights of Human Subjects: The Graduate Center adheres strictly to federal laws regarding the treatment of research subjects and also to CUNY regulations on the operation of Institutional Review Boards (IRB) at its colleges. All students and faculty members who conduct research with human subjects must undertake Web-based training and receive certification of their knowledge of IRB regulations and their purposes. To receive their degrees, all doctoral students, regardless of field of study or genre of research, must submit forms certifying that they have followed human subject procedures as required; the forms help ensure that no research is conducted without the proper review.⁷²

Dissemination of Policies and Information to Faculty and Staff Regarding Searches, Hiring, Promotion, and Dismissal: The City University of New York maintains strict rules regarding the procedures by which faculty and staff members are recruited, selected, promoted, and dismissed. All personnel actions conform to the stipulations of the PSC-CUNY contract. Employees are given extensive written documentation of their benefits, rights, and employment terms. Search committees follow clearly specified rules governing procedures for advertising jobs, creating a diverse pool of candidates, and conducting interviews. The review of all GC-based faculty appointments by the Academic Review Committee, which approves all GC-based faculty hires and associated salaries, assures an additional layer of scrutiny. For nonteaching professionals, the Higher Education Officer (HEO) Screening Committee reviews all proposals for new positions to ensure they meet CUNY standards for the title, requests for salary step increases, changes in job title and rank, and changes in job responsibilities.

Many of CUNY's employment policies are developed via collective bargaining agreements between CUNY and several unions (including the Professional Staff Congress, which bargains on behalf of faculty and professional staff members).⁷³ These policies are published in the contracts of these various unions.

⁶⁹ The financial disclosure form is available at <http://www.nyintegrity.org>.

⁷⁰ The multiple position form is available at <http://web.gc.cuny.edu/HumanResources/forms/documents/MPRPolicy-2009.pdf>.

⁷¹ The entire policy on research misconduct is available at http://portal.cuny.edu/cms/id/cuny/documents/level_3_page/research_misconduct_policy.pdf

⁷² See Chapter 5 ("Students") for a detailed discussion of the IRB processes.

⁷³ The summary of the PSC-CUNY contract is in the Document Room and online at <http://www.psc-cuny.org/ContractSummaryJuly08.htm> The DC 37 contract is in the Document Room and online at <http://dc37.net/dc37contracts/citywide.pdf>.

The formalized nature of the employment process leads to adherence to clearly stated rules and regulations governing employment. Faculty members or staff members who are dissatisfied with their treatment may initiate grievances up to and including formal arbitration hearings.

Issues of Integrity Affecting Students

The Graduate Center aims to make sure that students understand their rights, are able to act upon them, and receive appropriate services in a supportive environment. The Graduate Center's specific written policies affecting students (nondiscrimination, pluralism and diversity, academic freedom, fair and equitable treatment of students with disabilities, an environment free of violence and sexual harassment) are described in the *Student Handbook*, which is updated every year and given to every entering student. It is also available on the Web.⁷⁴

Academic Integrity and Plagiarism Policies: The Graduate Center upholds principles of academic honesty and its policies explicitly forbid any form of plagiarism, misrepresentation of academic records, fraud, or dishonesty in the pursuit of scholarship or academic achievement. It takes responsibility for educating its students to help them recognize and avoid plagiarism in all its forms. To this end, it widely distributes a booklet, *Avoiding and Detecting Plagiarism: A Guide for Graduate Students and Faculty, With Examples*,⁷⁵ to all entering students. The booklet is also available on the Graduate Center Web site, and copies are found in most program offices and student lounges. The booklet provides clear information on the policy to be followed in response to allegations of plagiarism, including several levels of investigation and appeal. Since 2004, there have been eleven cases of plagiarism brought to the vice president for student affairs, who hears these charges. Ten of these cases were resolved with a disciplinary hearing; one case involved a hearing, and the student, who had plagiarized considerable portions of a dissertation, was dismissed.

Diversity:⁷⁶ The Office of Educational Opportunity and Diversity Programs at the Graduate Center has been established to expand efforts to increase the representation of historically underrepresented students in the Graduate Center's doctoral programs. The executive officer of the office is responsible for initiating recruitment targeted at recent college graduates and for helping the doctoral programs increase their diversity. In addition, the OEODP initiates and supports grant efforts to enhance recruitment, retention, and academic progress of historically underrepresented students.

Procedures for Handling Student Complaints about Faculty Conduct in Academic Settings: CUNY respects the academic freedom of the faculty and will not interfere with it as it relates to the content or style of teaching activities. At the same time, CUNY recognizes its responsibility to provide students with a procedure to address complaints that are not protected by academic freedom and not covered by other procedures. Eight steps and guidelines for addressing such complaints are in the *Student Handbook*.

Enabling Students to Graduate within Published Program Length: The Graduate Center is committed to students moving through their programs in a timely way. To that end, it ensures that all students are provided with the information they need to plan for meeting their degree requirements. All degree requirements are clearly spelled out to students by all programs. In addition, there are several criteria that the registrar uses to flag students who are not making satisfactory progress, requiring them to get their

⁷⁴ Written policies with reference to students are also discussed in detail in Chapter 5 ("Students").

⁷⁵ See <http://web.gc.cuny.edu/provost/pdf/AvoidingPlagiarism.pdf>

⁷⁶ See also Chapter 5 for a full discussion of the OEODP. Diversity of staff is discussed in Chapter 3 and of faculty in Chapter 6.

executive officer’s permission to continue. The students meet with the executive officer or his/her designee to work out a plan for the student to come back into compliance.⁷⁷ This system applies across the board and, by flagging students who are not meeting progress criteria, it helps doctoral programs counsel and mentor their students. The satisfactory progress process serves to communicate the institution’s expectations for, and awareness of, students’ timely progress toward a degree.

Also, as detailed in Chapter 7, “Educational Offerings,” the Graduate School regularly offers a range of courses both required and elective, and programs are responsible for regularly offering required courses and sufficient electives. Regularly offered courses are also listed in each program’s section of the *Bulletin*,⁷⁸ and programs are asked to review these lists periodically and update them as needed. If courses are offered infrequently, this is noted in the *Bulletin*. Students are able to take advantage of the Interuniversity Doctoral Consortium⁷⁹ to fulfill elective requirements that fall beyond the scope of those offered at the Graduate School.

Academic Appeals: The Graduate Center recognizes that individuals must have a clear means of pursuing complaints and grievances and seeking redress when they believe they have been treated unfairly. The Graduate Center has established, and rigorously adheres to, written procedures for handling student complaints. The procedures are fully described in the *Student Handbook*. They are also available on the Web. These academic appeals include procedures for dealing with grade disputes, appeals of failures of qualifying examinations, and terminations from doctoral programs. Students can first appeal to the executive officer of their program, then to the program’s executive committee and then, if not satisfied, to the associate provost and dean of the humanities and social sciences. The next step is a hearing by an ad hoc committee of professors selected from an elected pool. The committee provides a written recommendation to the associate provost who, in consultation with the provost, makes a judgment on the case.⁸⁰ The number of academic appeals over the last five years has varied between three and seven.

Table 1
Academic Appeals 2005–9

Year	Number of Appeals
2005–6	7
2006–7	3
2007–8	4
2008–9	6
2009	6

Student Status Policies and Procedures: There are written policies and procedures in the *Student Handbook* and online about all issues regarding changing levels, deferral of payment of tuition,

⁷⁷ The criteria for the registrar’s intervention are given in detail in Chapter 5.

⁷⁸ See http://www.gc.cuny.edu/current_students/bulletin/index.htm .

⁷⁹ The Interuniversity Doctoral Consortium provides for cross-registration among member institutions. See Chapter 7 (“Educational Offerings”) for a full discussion of this consortium.

⁸⁰ Each of the three separate educational entities that operate under the University Center has similarly articulated policies regarding the handling of student complaints and grievances. See Chapter 8 (“Related Educational Activities”) for the description and analysis of these policies at the Graduate School of Journalism, the School of Professional Studies, and the CUNY B.A./B.S.

procedures for withdrawal and leaves of absence, remission of tuition and fees, and withdrawal from a course.

Disability Nondiscrimination Policy: The policy on services for students with disabilities commits the Graduate Center to providing appropriate accommodations and services and offers examples of the types of services that are available. It is the policy of the Graduate Center to provide auxiliary aids and services and to make appropriate academic accommodations needed by students with disabilities. Information regarding a student's disability is kept confidential unless a student requests otherwise. Adaptive equipment and computer software are available, as well as other devices. The oversight of this policy is in the Office of Student Services. The Mina Rees Library provides students with disabilities with such services as staff assistance in catalog searches and location of books and journals.⁸¹

Student Rights Regarding Access to Education Records: Students have the right to inspect and review their education records within forty-five days of the day the Graduate Center receives a request for access. They have a right to request the amendment of the education records if a student believes that his or her records are inaccurate or misleading and have the right to appeal if the initial request is denied. The Office of the Provost and Senior Vice President of the Graduate Center is responsible for ensuring compliance with regulations of the freedom of information act. The vice president for student affairs has been designated as the records access officer, which includes requests under the freedom of information act.

Fair and Impartial Treatment of Students in the Allocation of Resources: The Graduate School operates a number of fellowship competitions for dissertation fellowships, research grants, and other awards. In these cases, selection criteria and procedures are described in writing, ensuring fair and impartial treatment of students in the allocation of these resources.⁸²

Dissemination of Information on Institutional Practices and Resources to Students: The Graduate Center updates the descriptions of its fellowships, programs of study, and requirements on a regular basis. The two main sources are the *Graduate Center Bulletin* and the *Student Handbook*. The *Bulletin* and *Student Handbook*, as well as all course offerings, are available on the Web. The *Bulletin* provides an authoritative description of each doctoral program, and its statements of offerings and requirements are considered to provide a contract with students. The *Bulletin* is reviewed and updated on a two-year schedule, while the *Student Handbook* is updated every three years. Doctoral programs maintain their own handbooks that provide detailed information on course and exam requirements, procedures for establishing dissertation committees, securing dissertation approval, and arranging a defense.

Issues of Integrity Affecting Everyone

The Graduate Center strives to maintain a civil and collegial work place. The president regularly holds community meetings at which students, staff members, and faculty members can informally raise questions, make complaints, or offer suggestions. The Graduate Center also has an ombudsman, who helps maintain lines of communication in the institution and works to informally resolve disputes or complaints.

Non-discrimination Policy: The Graduate School and University Center is an equal opportunity and affirmative action institution, and, as a constituent unit of the CUNY, adheres to the policy of CUNY to

⁸¹ Chapter 5 ("Student Services") has a full description of student disability services.

⁸² See Chapter 5 for details about the fellowship competitions and other support services.

recruit, employ, retain, promote and provide benefits to employees and admit and provide services for students without regard to race, color, creed, national origin, ethnicity, ancestry, religion, age, sex, sexual orientation, gender identity, marital status, legally registered domestic partnership status, disability, predisposing genetic characteristics, prior record of arrest or conviction, alienage, citizenship, military or veteran status, or status as a victim of domestic abuse, sex offenses, or stalking. Actions that involve discrimination or bias of any sort are subject to disciplinary sanctions in accordance with established regulations (given in full in the *Graduate Center Bulletin*).

Affirmative Action Policy: The Graduate Center is committed to following the letter and spirit of affirmative action laws and adheres to those policies and procedures established by the Graduate Center and the Board of Trustees of CUNY that pertain to promoting pluralism and diversity and combating racism and bigotry. Concerns, questions, and complaints about equal employment and affirmative action may be addressed to any member of the Affirmative Action Committee or the affirmative action officer.

Sexual Harassment Policy: In its sexual harassment policy, the Graduate Center defines sexual harassment and gives examples of prohibited conduct. It commits the Graduate Center to providing “prompt, fair, and thorough” investigations of all harassment allegations through its sexual harassment officer, while also charging the Sexual Harassment Awareness and Intake Committee with resolving complaints informally where appropriate and maintaining confidentiality to the extent possible. A copy of the complete Sexual Harassment Policy and Procedures is available on the Graduate Center’s Web site and from any member of the Sexual Harassment Awareness and Intake Committee. As the numbers below indicate, sexual harassment has not been a significant problem over the last five years.

Table 2
Sexual Harassment Complaints 2004–9

Year	Number
2004–5	2
2005–6	1
2006–7	1
2007–8	1
2008–9	1

Ombudsman: The Graduate Center has an Ombuds Office open to all constituencies, including those in the University Center as well as in the Graduate School, to address issues of fairness and other concerns, including: disagreements about grades; interpersonal conflicts; professional/scientific misconduct; academic dishonesty; safety concerns; sexual harassment; racism or other kinds of discrimination; ethics and whistle-blowing; working conditions; and intellectual property issues. The ombudsman has been designated as a neutral, confidential, independent, informed complaint handler, whose responsibility is to listen, provide information, and clarify institutional procedures for dispute resolution. The ombudsman operates outside the administrative hierarchy and reports directly to the president.

Dissemination of Institutional Information

The Graduate Center makes available on its Web site the self-studies for the decennial MSCHE reaccreditation, the team reports and MSCHE judgments, and the Periodic Review. The institutional *Fact Book* is also available on the Graduate Center Web site for members of the graduate center.

Changes Affecting Structure and Curriculum: All curricular and structural changes at the Graduate School must go through a formal process of review and approval as described in Chapter 3. Information about new courses and programs are routinely published in the Graduate Center’s *Bulletin*, online and in print.

The same procedure applies to changes in Graduate School or doctoral program structure, which is vetted by the Graduate Council Committee on Structure. Approved changes are updated on Web sites as soon as possible. Every Graduate Center administrative office and doctoral program has a publicly available Web site. Each of the related educational entities under the University Center has similar curricular review structures for approval of new courses and modifications in course and degree requirements and includes the information on its Web site.

Institutional Data: The Office of Institutional Research and Program Evaluation supports the Graduate Center's decision-making, strategic planning, and assessment efforts through a variety of research and reporting activities. These include data collection and reporting for internal and external audiences, including the annual submission of the MSCHE Annual Institutional Profile. The Graduate Center also has a Middle States information link on its Web site.⁸³

Periodic Assessment of Integrity and Its Implementation

Assessment of institutional policies and procedures, including those listed above, is built into the processes that the Graduate Center has in place for changes to curriculum, governance, or other institutional matters (as addressed above). Documents such as the *Bulletin* and the *Student Handbook* are regularly updated, and *Bulletin* changes must have been approved by the CDR Committee and Graduate Council. Policies addressing things such as affirmative action and sexual harassment are also posted on the Graduate Center Web site in multiple locations and distributed widely. External program reviews provide another venue for assessment and revision of program policies, and committees of the Graduate School, such as the Committee on Structure, regularly review program adherence to governance, bylaws, and procedures. Finally, the Graduate Center makes an annual report to the Middle States Commission on Higher Education of changes in its annual Institutional Profile.

Achievements in the Last Five Years

The Graduate Center, both in its own governance and in its responsibilities toward CUNY, has made significant efforts to assure the integrity of all its programs, policies, and activities and works to assure that all its actions adhere to all CUNY policies and ethical standards.

Challenges

The Graduate Center needs to assure that all doctoral programs provide to all current and prospective students information about typical time-to-degree and placement of its graduates.

Actions Going Forward

All doctoral programs will be asked to work with the Office of Institutional Research and Program Evaluation to provide prospective and current students with information about the typical time-to-degree for the programs and the placement of their graduates.

⁸³ See http://web.gc.cuny.edu/provost/Middle_States/MiddleStatesPublic.htm.

FIVE

Student Admissions, Financial Aid, Retention (Time-to-Degree), and Support Services

Standard 8. Student Admissions and Retention

The institution seeks to admit students whose interests, goals, and abilities are congruent with its mission and seeks to retain them through the pursuit of the students' educational goals.

Standard 9. Student Support Services

The institution provides student support services reasonably necessary to enable each student to achieve the institution's goals for students.

The education of doctoral students in a broad range of programs and the preparation of these students to be scholars, teachers, experts, and leaders in their fields are the heart of the mission of the Graduate Center and are its central goals. To this end, the Graduate Center seeks to admit the best and most promising students for doctoral education, including those from underrepresented groups, which constitutes another part of its mission, and to offer them the highest quality of training⁸⁴ and support.

Student Admissions, Financial Aid, and Retention (Time-to-Degree)

Admissions

Admissions Process: The procedure for admission is consistent across the Graduate Center. The Office of Admissions receives and processes applications and most other submitted material and makes them available to programs electronically for review. Besides the application, the Office of Admissions requires GRE scores, letters of recommendation, transcripts, and personal statements. Programs may require additional supporting material, such as examples of written work, statements of research interests, and GRE subject exams, as well as interviews.

The Graduate Center admits students into specific doctoral and master's programs. The criteria for admission are determined by programs and are specific to the nature of the discipline. For example, while no programs have numerical cut-offs for GRE scores, in programs where quantitative skills are central to the discipline, such as economics, the quantitative GRE scores are given more weight than they are in, say, English. Further, some programs, such as those in the health sciences, require specific undergraduate courses and professional experience for admission. Students may transfer up to twelve credits towards the master's degree and up to thirty credits for the doctorate. The transfer credit policy of the Graduate Center is published in the *Bulletin*.

Disseminating Information to Prospective Students: Each year the Office of Admissions, in consultation with the academic programs, publishes a prospectus,⁸⁵ which lists the admissions policies, requirements, and processes of the Graduate Center and individual programs. Each year, programs have a chance to review the prospectus to make changes and ensure its accuracy. In addition, all programs maintain Web sites that list their requirements for admission, along with information about financial aid and links to the Office of Admissions and Financial Aid.

⁸⁴ The educational programs of the Graduate School are discussed in Chapter 7 ("Educational Offerings").

⁸⁵ See in Document Room.

In addition to the prospectus, there is a link on the main Graduate Center Web site for prospective students. That Web page includes links to detailed information about admissions policies and procedures, what doctoral work entails, and student life at the Graduate Center. Through their own Web pages, individual programs also publish information about their offerings, their admissions requirements, degree requirements, and life in the program.

Executive officers and other program representatives routinely answer prospective students' questions about fellowships and financial aid, and information is posted on program Web sites, with links to the Graduate Center's pages about costs and financial aid. Executive officers, faculty, and student liaisons are routinely available to meet with prospective students. In addition, a number of programs use open house/admissions day events, colloquia, recruitment fairs, and professional meetings, as well as advertisements and mailings.

Results from the Doctoral Student Experience Survey⁸⁶ show that the large majority of current students felt they had received accurate information during the admissions process about costs, the likelihood of financial aid, program requirements and expectations, and a timetable for completing the program. However, less than half agreed that they had received information about the percentage completing the program, average time-to-degree, career prospects, and a list of places where graduates are employed. As a result, the provost has asked all programs to work with the Office of Institutional Research and Program Evaluation to make available to prospective students information about program completion and postgraduate outcomes.

Assessment of Admissions Policies and Criteria: As stated earlier, programs shape criteria for admission according to the demands of their disciplines. According to the Executive Officer Survey,⁸⁷ 63 percent of doctoral programs have conducted formal or informal reviews of their admissions criteria or processes in recent years, and 44 percent conduct an annual review. As a result of these reviews, many programs have made changes to their procedures, some of which include admitting fewer students, requiring a writing sample, adding a subject GRE, making the application deadline earlier, or explicitly ranking admitted applicants. Sixty-seven percent of programs have made changes in their admissions processes directly as a result of the new financial aid packages (see below).

Some programs have reviewed performance on admissions criteria such as GPAs and GREs against performance in the program. For example, the Criminal Justice Program revised its GRE requirements because it had observed that students with lower GRE scores tended to perform less well on the program's First Examination. Thus, it is clear from the executive officer survey that programs should periodically review their selection processes in order to make more accurate judgments about an applicant's potential for doctoral-level work.

Recent Admissions Trends: The Graduate Center experienced a significant increase in the number of applicants in recent years. Not counting the increases due to the addition of new programs, applications to existing doctoral programs rose from 2,672 in fall 2001 to 3,154 in fall 2009, an 18 percent increase.

Over this same time period, the Graduate Center's admissions became much more selective and its admissions yield improved significantly. The percentage of applicants offered admissions declined by 16 percent between 2001 and 2009, from 49 percent to 33 percent, and admissions yield rose from 42 percent

⁸⁶ The survey results are in the Document Room.

⁸⁷ See Appendix 5-2.

to 54 percent. Similar patterns were observed when admissions figures for new programs were included. (Appendix 5-1, Table 1).

The only uniform measures of quality across disciplines are GRE scores. Overall, the Graduate Center has seen significant improvements in the GRE scores of its entering classes. GRE verbal scores rose from 534 in 2001 to 556 in 2009, and quantitative scores rose from 606 in 2001 to 639 in 2009. The largest improvements were seen in the humanities and social sciences (see Appendix 5-1, Table 2).

Underrepresented Cohorts of Admits: In terms of overall enrollment, the Graduate Center compares favorably to the diversity statistics of doctoral students nationwide. The national statistics of underrepresented groups in doctoral programs are: African American, 6 percent; Hispanic, 5.8 percent; and Asian, 8.3 percent. In fall 2008, the percentage of doctoral students at the Graduate Center who were underrepresented minorities were: African American, 8.9 percent; Hispanic, 11.7 percent; and Asian, 6.9 percent.

In light of the Graduate Center's commitment to "CUNY's historic mission of educating the 'children of the whole people,'" an issue important to the Graduate Center is the ethnic composition of the admissions pool. As shown in Appendix 5-1, Table 3, over the period 2001–9, among applicants who responded to the racial/ethnic identity question on the application, the percentages who self-identified as Black or Hispanic have fluctuated between 10.1 percent and 13.5 percent (for Black applicants) and 9.9 percent and 12.3 percent (for Hispanic applicants).

Appendix 5-1, Table 4, shows the rates of admission for different ethnic groups over time. In 2009, 33 percent of those who applied to the Graduate Center were admitted. Among citizens and residents, the admissions rates for Whites and Asians were similar (34 percent and 33 percent, respectively), slightly lower for Hispanics (30 percent), and lowest for Blacks (25 percent). International students were admitted at a rate of 34 percent.⁸⁸ Between 2001 and 2009, the yields for Black, Hispanic, and Asian applicants tended to be higher than those of White applicants. The only exception was in 2008, when the rates for all ethnic groups were approximately 50 percent. The difference in admissions rates by ethnicity follows very closely the observed differences in average GRE scores among ethnic groups, with Black applicants having the lowest average GRE scores of the ethnic groups.

Recruitment of Underrepresented Groups: The Graduate Center has taken a number of steps to increase its enrollment of traditionally underrepresented groups. Its Office of Educational Opportunity and Diversity Programs (OEDP) offers fellowships and awards to recruit and support doctoral students from these groups. The office also disperses funds from the CUNY Black Male Initiative to programs to defray the costs of recruitment visits by accepted applicants who are members of groups that have been historically underrepresented in the academy.⁸⁹ The MAGNET five-year fellowships are also a key part of the effort to enroll such students. In 2008, five five-year MAGNET fellowships were awarded, in addition to three new MAGNET four-year packages and four new MAGNET two-year packages.

As of spring 2010, the Graduate Center restructured the five-year MAGNET awards, which will now be called Presidential MAGNET Fellowships. The stipend has been increased to \$24,000 and pays not only

⁸⁸ International students comprise approximately 24 percent of the Graduate Center's doctoral enrollment. Over the last five years, from fall 2003 to fall 2008, they have comprised as much as 26.3 percent of the Graduate Center's doctoral enrollment. See Appendix 5-1, Table 5.

⁸⁹ Applicants must be U.S. citizens or permanent residents. The maximum amount per visit is \$750. This money can be used to cover hotel and transport costs.

full tuition but also fees, plus a \$1,000 signing bonus, \$1,500 for travel or research in the third year, and a reduced teaching load in years two, three, and four.

OEODP also operates a number of support services for students from underrepresented groups, which are directed toward increasing these groups' representation in graduate school. This includes the Pipeline Program, in which undergraduate CUNY students work with a faculty mentor to develop research skills and prepare for doctoral work.⁹⁰

In addition to the efforts of OEODP, 69 percent of Graduate School programs, according to the Executive Officer Survey (see Appendix 5-2), make special efforts to recruit students from underrepresented groups. These include program participation in OEODP events, taking advantage of MAGNET fellowships and other financial aid, recruiting at meetings of professional societies, contacting feeder schools, mentoring programs (including the Pipeline Program), and giving underrepresented applicants priority for recruitment funds.

Financial Aid

The recent additions to the financial aid available to graduate students as described in the Introduction and chapters 1 and 2 have had a large and positive impact on the Graduate Center's ability to recruit the best applicants. In the Executive Officer Survey, many of the EOs attributed their program's increased competitiveness to the new financial aid packages (see Appendix 5-2).

The new five-year Enhanced Chancellor's Fellowships are, however, only a part of the sizable financial aid the Graduate Center offers its students. Financial aid in fact comes in a variety of forms: multi-year fellowships, one-year fellowships, dissertation year fellowships, and other types of aid, including tuition remission and work opportunities for doctoral students within the Graduate Center. There are also awards to support travel to conferences or archives and awards to support student research. Many doctoral programs and research centers also have fellowships and awards that they make in support of students. Overall, the Graduate Center offers financial aid to a large percentage of its students. In spring 2009, 75 percent of doctoral students in their first five years received some institutional financial support, while 63 percent had their full tuition covered by either tuition remission or other forms of institutional aid. See Appendix 5-3 for full description of financial aid available to students at the Graduate School.

Retention and Time-to-Degree

Overview: The issues of retention and time-to-degree have to be considered in light of the Graduate Center's primary mission as a doctorate-granting institution. There are some doctoral students who decide to discontinue or slow their work toward their doctorate, to withdraw completely, or to leave after earning a master's degree. Though the Graduate Center does track retention and graduate rates (see discussion below), the measure of greatest interest to the Graduate Center is time-to-degree. This measure has been reported by the Survey of Earned Doctorates for many years and is employed as part as part of the National Research Council's current assessment of doctoral research institutions.

Time-to-Degree: Though the Graduate Center has time limits for progress toward the doctorate degree (sixteen semesters of attendance if the student entered with a B.A. and fourteen semesters if he or she

⁹⁰ The CUNY Pipeline Program is designed to provide educational and financial support to underrepresented CUNY undergraduates interested in pursuing a Ph.D. Along with a stipend of \$3,250, the CUNY Pipeline Program provides orientation to the academic profession through a summer research institute at the Graduate Center and research projects conducted with doctoral faculty. Pipeline fellows who are accepted into any of the doctoral programs at the Graduate Center receive a tuition waiver for their first year of doctoral study.

entered with an M.A.), it is not unusual for some students to exceed these time limits for various reasons: the need to work full-time to support themselves and/or their families; the impact of adjunct teaching loads on the time available for working on the doctorate; and various personal reasons. Some students may appear to have dropped out only to return some years later.

Some time ago, the Graduate Center made a decision to take steps to reduce time-to-degree by providing additional student support and by identifying and removing roadblocks to student progress. These steps included streamlining curricula where possible, offering workshops on writing the dissertation, encouraging “long-stayers” to complete their degree requirements, and instituting a new measure of satisfactory progress, which provided a trigger for intervention. In addition, the Graduate Center has worked to educate students and faculty on best practices for improving retention and time-to-degree by alerting them to current research in the area.⁹¹ Most importantly, the administration vigorously pursued new funds to enable the Graduate Center to provide increased financial support for doctoral students. All of these efforts have paid off in significant reductions in time-to-degree as discussed in detail in Chapter 9.

Graduation and Retention Rates: The Graduate Center routinely tracks entering cohorts of doctoral students. This tracking started with the fall 1999 cohort, the first to enter since the Graduate Center adopted the Banner student information system. As can be seen in Appendix 5-1, Table 6, for the Graduate Center as whole, the overall graduation rate for the fall 1999 cohort, tracked through ten years, was 43 percent. Another 17 percent were still enrolled after ten years, for a persistence rate (percentage graduated or still enrolled) of 59 percent. As the Graduate Center has undertaken efforts to reduce time-to-degree, it has seen significant improvements in both graduation rates and early attrition rates. (See Chapter 9 for a complete discussion.)

There are no routinely collected national data on doctoral graduation and attrition rates, as there are for undergraduates. The Council of Graduate Schools (CGS) recently published a summary of doctoral completion and attrition rates drawn from major prior studies.⁹² Degree completion rates reported in these studies varied widely, from a low of 13 percent to a high of 82 percent, and attrition rates ranged from 11 to 68 percent. The rates of the Graduate Center fall near the middle of these ranges. The most recent figures published by the CGS are drawn from its own study of a sample of thirty public and private universities participating in the CGS Ph.D. Completion Project.⁹³ The ten-year graduation rate from the CGS study is 57 percent, which varied substantially by discipline, with the lowest rates in the humanities (49 percent) and the highest in engineering (63 percent). The Graduate Center’s own, broad, discipline-specific ten-year graduation rates (for the fall 1999 cohort) varied from 30 percent in the humanities to 59 percent in the sciences. The CGS sample shows an overall ten-year attrition rate of about 31 percent, compared to the Graduate Center’s 41 percent. Until a more broadly based reporting of doctoral graduation rates takes place at the national level, it will be difficult to compare individual institutional experiences against the findings of these uniquely designed studies, including those of the CGS.

Graduation and Retention Rates by Ethnicity: The Graduate Center, because of its mission, has a particular interest in promoting the success of underrepresented students. Identifying and understanding

⁹¹ In April 2007, it hosted a talk for executive officers and deputy executive officers by the nationally known researcher Dr. Catherine Millett, from the Educational Testing Service, about factors facilitating or hindering student progress and retention.

⁹² Council of Graduate Schools, “Ph.D. Completion and Attrition: Policy, Numbers, Leadership, and Next Steps” (2004).

⁹³ Council of Graduate Schools, “Ph.D. Completion and Attrition: Analysis of Baseline Demographic Data from the Ph.D. Completion Project” (2008).

any differences that might exist among ethnic groups in retention and graduation rates is an important part of this process. Figures derived from tracking three cohorts of entering doctoral students by ethnicity allow for comparisons across ethnic groups. Appendix 5-1, Table 7, presents three-year averages of graduation, retention, and attrition rates by ethnic group for the entering cohorts of 1999, 2000, and 2001, each tracked through eight years. These figures show similar average graduation rates across all ethnic groups—27 percent for Blacks, 28 percent for Hispanics, 24 percent for Asians, and 27 percent for Whites. Average attrition rates were similar for Whites and Blacks, at about 36 percent, and for Hispanics and Asians at 43 percent and 45 percent, respectively. International students had the highest average graduation rate, 45 percent, and the lowest attrition rate, 31 percent.

In tracking cohorts of students across time and in disaggregating these rates, the Graduate Center has begun the process of identifying the factors related to retention and graduation. It has also conducted a pilot study of “long-stayers”—currently enrolled students who have been enrolled past the standard time-to-degree of eight years. In addition, it is currently examining the impact that the new financial aid awards have had on early attrition.

Mentoring and Professionalization

Success in a doctoral program—and in the development of a career after the degree is granted—requires more than performing well in course work and on exams; it also requires a commitment to original scholarship. Many of the refinements that have taken place in the admissions process (such as adding interviews and a requirement of written work) have been aimed at assessing an applicant’s capacity and commitment to a career in the academy or in other fields requiring a doctorate. Programs are seriously involved in the professionalization of their doctoral students. Different programs may devise different methods for developing professionalization, but all methods generally involve mentoring, professional development for students as teachers, researchers, and junior colleagues, and supporting students during the most crucial end period of their progress toward the degree—the writing of the dissertation.

Mentoring: Students are mentored from the moment they enter the Graduate Center. In their first semester, they meet with an advisor to discuss the program’s requirements and the specific courses for that semester and to plot out a course of action for the first year or two. Many programs assign faculty and student mentors to all incoming students. These initial mentors work with the student on course selection, examination preparation, and any other issues that come up, such as balancing teaching, student work, and the rest of a student’s life. The faculty mentor continues to work with the student until he or she has selected a dissertation advisor. At that point the dissertation advisor, who has probably had the student in class and developed a relationship with him or her, works closely with the student through the next steps: preparing for the second examination, writing the dissertation, and preparing to get a job. Both the initial assigned mentor and the dissertation advisor advise students about when to begin making conference presentations and submitting work for publication. The executive officer also serves as a mentor for all students in the program, keeping office hours and acting as a support person in most areas of academic and student life.

Many programs have formal or informal placement officers who also mentor students in their job searches and provide practical guidance and training in CV construction, interview techniques, and negotiating offers. Programs also provide forums in which students can practice giving papers and also get practical advice on conference presentation and submitting for publication. A number of programs run teaching workshops in which students new to teaching learn from faculty and more experienced students about teaching.

Professional Development of Doctoral Students as Junior Colleagues, Teachers, and Researchers: As described in Chapter 3 on governance, doctoral students are fully integrated into all of the formal and

informal governance activities of the Graduate Center and thus can develop significant experience in the governance and administration of the institution. All Standing Committees of Graduate Council have five faculty and four student members, while the Doctoral Students' Council (DSC), also described in Chapter 3, is another body that gives students the opportunity for professionalization.

Teaching: Doctoral students on fellowships start teaching at a CUNY undergraduate college in their second year and, in the vast majority of cases, have total responsibility for planning, grading, and teaching their classes. All students can teach beginning in their first year if they wish. To support students in developing their teaching skills, the Graduate Center offers a range of noncredit courses each semester. The courses are ungraded and do not appear on the student's transcript. The offerings are updated each semester. Regularly offered courses organized through the Provost's office include: teaching strategies (practical advice and hands-on exercises to help design future courses and prepare for classroom teaching); colloquium on college teaching (critically examines teaching responsibilities and related collegial obligations, including such subjects as academic freedom, governance, teaching strategies, testing and grading, research responsibilities, and departmental duties); and improvisation techniques (to develop the ability to initiate and sustain dynamic classroom discussions, learn the art of adaptability, and enhance communication skills). Additional courses are designed to help students in speaking and writing: advanced spoken English; teaching and presentation skills; and effective academic writing (with sections for both native English speakers and non-native English speakers).⁹⁴

The doctoral programs also offer a range of discipline-specific professional development courses, seminars, and workshops. For example, English has a four-credit teaching practicum for students teaching for the first time, and the Criminal Justice Program has "how to teach" workshops each semester. Music, philosophy, and anthropology offer discipline-specific teaching courses. History has a teaching workshop each year, and theatre has a teaching peer-support group. A number of the CUNY college departments also support Graduate Center doctoral students who are teaching on their campuses by providing faculty mentors, orientation sessions, and teaching workshops.⁹⁵

Research: Most doctoral programs have research methods courses to provide students with both discipline-specific methods of research and help in defining research topics. Students are also constantly mentored while they conduct the research for their dissertations, particularly by their dissertation advisors, who work closely with them from the beginning of defining a project through to its final presentation in dissertation form. Also, many students work as research assistants for faculty and/or research centers, which further helps them develop research skills.

Finally, the Graduate Center offers grant-writing workshops, six-session minicourses intended for students in their second year and beyond or students who want to write dissertation proposals for which they will seek external funding. Individual programs also offer discipline proposal writing workshops and classes. Two other programs that support student research—the Doctoral Student Travel and Research Fund and the Doctoral Student Research Grant Program—are described in Appendix 5-3. The process for applying to the latter provides an occasion for additional faculty-student mentoring relationships in developing and executing research. Prior to the competition, seminars are offered each year (with seventy-five students participating) to provide information to students who want to learn more about the grants and proposal writing process, including IRB procedures.

⁹⁴ See <http://web.gc.cuny.edu/provost/Prof-Dev.htm>.

⁹⁵ The Graduate Center receives teaching observation reports for Enhanced Chancellor's Fellows teaching at CUNY colleges, but the contractual teaching observation reports for adjuncts remain at the college where they teach.

Writing the Dissertation: The final stage of a student's doctoral study is the completion of an original piece of work, usually a dissertation. The dissertation is a key element in any doctoral student's initiation into the world of professional scholarship and academic employment. It is also a point at which some students' progress in their program slows. In order to support students at the dissertation stage, the Graduate Center offers dissertation fellowships (described in Appendix 5-3), which give students the income and time to focus on their dissertations. The funds for most of these fellowships come from income on endowments held by the Graduate Center.

Students are mentored and monitored by their advisors intensively during the dissertation writing stage; frequently, the advisors' readers also read and respond to chapters of the dissertation in progress. A number of programs and other academic units, such as Certificate Programs and Interdisciplinary Concentrations, offer noncredit dissertation workshops each year to support the writing and provide feedback. Research indicates that students who submit work regularly to such a workshop and receive feedback from both faculty and students are more likely to progress expeditiously on their dissertations.⁹⁶ The Graduate Center encourages programs to offer such courses and students to take them.

Student Support Services⁹⁷

While the following discussion outlines the structure, functions, and assessment of student services at the Graduate Center, it is important to remember that the students so served have had, and continue to have, many ways to shape, change, and develop such services.

Overview of Graduate Center Student Services

Student support services are largely, but not entirely, under the oversight of the vice president for student affairs and ultimately the provost. More specifically, the following entities are overseen by the Office of the Vice President for Student Affairs: the Office of the Registrar, the Office of Admissions, the Office of International Students, student disability services, residence life, the Wellness Center (Student Health Services [SHS] and the Psychological Counseling and Adult Development Center [PCAD]),⁹⁸ the Child Development and Learning Center, and student activities.⁹⁹ The Office of Financial Aid, while working closely with the Office of Student Affairs, reports directly to the senior vice president for finance and administration.

Academic Advisement

Most academic advisement takes place within the students' doctoral programs. (See above under "Mentoring and Professionalization.") Some advising related to academic progress, however, is provided in conjunction with the Office of Student Affairs' informal "ombuds" role and its international students,

⁹⁶ See the "Report on Time to Degree," prepared for President Kelly when he was provost, available in the Document Room.

⁹⁷ The Fundamental Element in Standard 9, "If offered, athletic programs that are regulated by the same academic, fiscal, and administrative principles, norms, and procedures that govern other institutional programs," is not relevant since there are no athletic programs at the Graduate Center.

⁹⁸ In fall 2009, these two entities were joined together under the directorship of a new appointment, Dr. Robert Hatcher.

⁹⁹ See Appendix 5-4 for the organization of student affairs.

student disability and, to some extent, psychological counseling and adult development services. If a student is judged as not making satisfactory academic progress as specified by the individual doctoral program or by the general requirements of the Graduate Center,¹⁰⁰ the student's registration must be cleared by the program and approved by the vice president for student affairs. Also, the vice president is charged with initially advising students who have complaints or grievances.

The Office of the Vice President for Student Affairs answers students' questions about academic policies and procedures. This ombuds function enables students who have questions related to academic policies affecting their academic progress to understand the policies and procedures related to their particular circumstances so that the student can then proceed better informed with the academic advisor. Executive officers also consult frequently with the vice president for student affairs for policy guidance in counseling students on satisfactory progress issues, financial support options, options for leaves of absence or withdrawal, and readmissions.

The Registrar's Office and the Director of Student Services

Administrative student support services are directed by the director of student services, a seasoned professional who is also the senior registrar. The director manages all registrarial functions of the Graduate Center, admissions, and the international students office. Having all registration, admissions, and international student matters directly supervised by the director of student services/senior registrar, assisted by the deputy director, makes it structurally possible to resolve even unique student status problems with on-the-spot decisions. Further, such a structure allows these administrators to respond quickly to academic programs' questions about the effect of academic status issues on financial aid and registration status. Most of the front-line counter staff for admissions, the registrar, and international students are part-time employees who are themselves Graduate Center students.

The director and the deputy director—who is also the division's information systems specialist—in consultation with the director of student affairs and, as necessary, CUNY counsel, direct the proper and secure maintenance of student records,¹⁰¹ collaborating with the information technology office to secure student services files as well as doctoral program office student files as required by CUNY IT protocols.¹⁰² (The current data system software is Banner, the most widely used proprietary software package in the U.S., which has security features built into the product.)

¹⁰⁰ Students are considered to be out of compliance with the Graduate Center satisfactory progress requirements if their GPA falls below 3.00; if they have more than two or more open (i.e., incomplete) grades; have completed forty-five credits without having passed the First Examination; have completed ten semesters without having passed the Second Examination; have received two NPR (No Record of Progress) grades in succession, or have exceeded the time limit for the degree (sixteen semesters if they entered with a B.A. and fourteen semesters if entered with an M.A.)

¹⁰¹ The Graduate Center publishes Graduate Center/CUNY policies on student records annually in the *Graduate Center Student Handbook*, available online at http://www.gc.cuny.edu/current_students/handbook/index.htm (see "Student Rights Concerning Access to Education Records") and biannually in the *Graduate Center Bulletin* online at http://www.gc.cuny.edu/current_students/bulletin/index.htm under http://www.gc.cuny.edu/current_students/bulletin/bulletin_pdfs/GeneralInfo.pdf. Hard copies of the *Handbook* and *Bulletin* are archived; there are also monthly backup CDs of all Web versions of the publications.

¹⁰² The Graduate Center uses Iron Mountain, a leading records management firm, for secure disposal of confidential information that exists in physical form. All records for students admitted in fall 2007 to present are digitized. IT staff regularly backs up the data. See http://web.gc.cuny.edu/Informationtechnology/tech_svs/knowledge_base/docs/Security_Highlights.rtf

The director of student services also manages the ongoing development and deployment of online services for students and faculty. Even with an online system, the Registrar's Office does whatever is necessary to support a student's progress. The Registrar's Office is able to respond to last-minute changes in students' academic status, as well as to eleventh-hour questions from students and faculty about what is needed to move to the next academic level.

In addition to the senior registrar and director of student services in the registrar/student services office, there are an associate and assistant registrar, a database manager, two CUNY office assistants, two college assistants, and four part-time student employees.

Assessment of the Registrar's Office: The organizational structure in the Registrar's Office allows students to talk directly with senior staff if they have problems or need direct assistance in negotiating online or off-line registration services. Complaints about registration or transcript services are rare. The recent Doctoral Student Experience Survey asked students to rate the adequacy of the support services that have been available to them. More than 70 percent rated the Registrar's Office available "support" as good or excellent, with 22.6 percent fair and 5.4 percent poor¹⁰³.

The Office of International Students

The Office of International Students provides advice and assistance to students from outside the United States, particularly with regard to immigration issues relating to F-1 student status and J-1 exchange visitor student category. Each semester the office conducts an orientation session for international students. The Office of International Students maintains the required online Student and Exchange Visitor Information System (SEVIS).

The professional staffing level (one director, two international student counselors, and four part-time student employees) in the office is sufficient for international student advising needs as well as for orientation programs and workshops that the office offers, including certified workshops on income tax preparation and employment.¹⁰⁴

Assessment of the Office of International Students: In order to understand its capacity to anticipate student needs, the Office of International Students makes it a practice to question international students on their experiences with various bureaucratic entities.¹⁰⁵ The feedback that the office gets directly from students in terms of the level and accuracy of information that they receive is consistent with the results of a recent student survey in which 76 percent rated their experiences as good or excellent.¹⁰⁶

Student Disability Services

Student disability services are provided by the Office of Student Affairs. The services are administered and overseen by the director of student affairs, assisted by the associate director of student affairs/director of student activities. Part-time student employees complete the staffing. Assistive technology services are

¹⁰³ The Doctoral Student Experience Survey results are in the Document Room.

¹⁰⁴ See sample notices in the Document Room.

¹⁰⁵ See Intake Form in the Document Room.

¹⁰⁶ See full results of the Doctoral Student Experience Survey in the Document Room.

a joint effort of the offices of Student Affairs and Information Technology, with no designated formal infrastructure.

Over the past five years, some eighty to one hundred students a semester have identified themselves as having a disability that may require accommodations. To date, the Student Affairs Office has been successful in providing reasonable accommodations to all students or applicants. The current director of student affairs is trained in the legal compliance issues associated with students with disabilities.

Assessing Student Disability Services: Because student disability services are provided on a case-by-case basis, the delivery of disability services involves collaboration with and ongoing feedback from the students receiving the services. The Student Affairs Disability Service providers consistently receive feedback that students are satisfied. In the very rare case when there is dissatisfaction, the services are adjusted accordingly and as rapidly as possible. Information about disability services are communicated to current students, their faculty, and doctoral program offices through publications such as the *Student Affairs Newsletter*.¹⁰⁷

Students who have disabilities effectively access the information, but recent feedback from the Graduate Center's Committee on Student Services suggests that more communication via e-mails and electronic links is needed to inform the more general population of faculty and students about issues relating to students with disabilities. A revised CUNY publication, available electronically as well as in hard copy, "Reasonable Accommodation: A Faculty Guide to Teaching College Students with Disabilities," has been completed and will be sent out to faculty periodically via electronic link and used as a tool in reaching out to students as well.

Housing

More than 30 percent of entering students for the years 2003 through 2008 were from out of state (from a high of 36 percent in fall 2003 to a low of 32 percent in fall 2008).¹⁰⁸ It has been a goal for many years (as documented in the 2001 "The Fifth Decade" document) to provide affordable student housing for doctoral students.

A housing survey of Graduate Center students was conducted by consultants as part of a larger CUNY survey under the auspices of finance and administration.¹⁰⁹ The results of the survey provided important documentation of student interest in and need for affordable housing.

In fall 2009, plans were finalized for a student residence as part of the CUNY East Harlem Campus, where the CUNY Schools of Public Health and the School of Social Work will be housed. The site is located at East 118 Street and Lexington Avenue in Manhattan. The unit will include 77 residential units as studio, one-, two-, or three-bedroom apartments. The anticipated completion of the residence is 2011.

In the meantime, housing guidance is provided through the Admissions Office by the assistant director of admissions, who has a background in college residential life and works closely with the doctoral

¹⁰⁷ Online, see "Disabilities and Access: Know Your Rights and Options" in the *Student Affairs Newsletter* (http://www.gc.cuny.edu/current_students/newsletter/index.htm), published every semester, as well as the *Graduate Center Bulletin* at http://www.gc.cuny.edu/current_students/bulletin/index.htm ("Student Disability Services").

¹⁰⁸ See *The Graduate Center Fact Book* in the Document Room.

¹⁰⁹ See CUNY Manhattan Student Housing—Graduate Center data summary, 10/12/2007, in the Document Room.

programs, as well as one-on-one with the students. The assistant director collaborates with student government on their online listing, which is limited to Graduate Center students.

Wellness

Student psychological and health service needs are served by the Graduate Center Wellness Center, which consists of the Psychological Counseling and Adult Development Center (PCAD) and Student Health Services (SHS). The Wellness Center (as of November 1, 2009) has one director, one staff psychologist, one coordinator, one nurse practitioner, four graduate assistant B positions, one graduate assistant A position, one half-time visiting associate professor, one part-time staff psychologist, and two postdocs (half-time visiting assistant professors).

The Psychological Counseling and Adult Development Center (PCAD): The PCAD offers short-term therapy, crisis intervention, and a variety of workshops (to help students with writer's block, stress, teaching issues, and other matters affecting their performance and ability to stay in school) and group therapy sessions.¹¹⁰ PCAD underwent an external review in 2008 in which the reviewers recommended that having an overall director for the wellness center would help to provide a better balance of services for students. A national search was conducted and a director who has extensive experience in the administration, direct delivery of services, and research in student health services settings was hired in fall 2009.

Student Health Services (SHS): SHS is not a comprehensive health center but it provides a critical safety net for students. SHS is staffed by a part-time nurse practitioner and is an affordable model for on-site delivery of health services that has thus far met student needs in that it offers primary health care on a by-appointment or, as available, walk-in basis. Student government shares the funding responsibility for Student Health Services with the Graduate Center's administration. Ever since the institution of SHS nearly two decades ago, the feedback from student government is that SHS is fulfilling its role as a critical safety net and helps to make health care affordable for Graduate Center students.

Student Health Insurance: A major goal of the Graduate Center for some time has been to find a way to provide students with affordable health insurance.¹¹¹ This goal was met in the spring 2009 semester when specific categories of Graduate Center student employees (that is, doctoral students teaching or working at one of the CUNY colleges) became eligible for health insurance through the New York State Health Insurance Program (NYSHIP). This insurance is available to all students, regardless of how many semesters they have been enrolled, who provide service at a CUNY college and earn a minimum of \$2,500 in a semester. In spring 2009, some 1,200 students took advantage of the offer. In fall 2009, approximately 1,400 opted for it.

Child Care

A small number of students avail themselves of quality child care at the Child Development and Learning Center, which serves twenty-four children, two and a half to five years old, in two classrooms. Licensed by the New York City Department of Health, the center offers a full-day early childhood program

¹¹⁰ See also <http://web.gc.cuny.edu/wellness/counseling/index.html>.

¹¹¹ A fall 2008 student affairs survey of students indicated that just under 60 percent of respondents were insured, and of those not covered by health insurance, cost was the reason (85 percent). See the Student Health Insurance Survey Summary in the Document Room.

Monday–Friday. The child care center has one director, two head teachers, two assistant teachers, and three part-time student employees.

The child care center also serves as a training site for student teachers and interns and as a laboratory school for research by faculty and students. In addition to the documentation required as part of its licensing, the Child Development and Learning Center asks parents to complete a family survey and/or exit questionnaire as part of its assessment practices.¹¹² A very high level of satisfaction is indicated by these surveys.

Employment-related Services for Students

The Office of Student Affairs and the Office of Financial Aid maintain listings of part-time and full-time non-academic employment opportunities for students at the Graduate Center. Many of these positions are in Graduate Center administrative offices or the library. There are also opportunities for students to serve as college assistants, as described in Appendix 5-3.

For students applying for professional positions, the Graduate Center partnered with Interfolio¹¹³ in August 2008 to provide online dossier services. Using Interfolio, student portfolios can be placed online in an Interfolio account and accessed twenty-four hours a day. Students work directly with Interfolio to establish a portfolio that includes letters of recommendation, curricula vitae, writing samples, dissertation abstracts, and additional material.

Student Disciplinary Policy and Procedures¹¹⁴

The CUNY student disciplinary policy and procedures are administered by the Office of Student Affairs and are the responsibility of the vice president for student affairs as the chief student affairs officer, assisted by the director of student affairs.

In general, students at the Graduate Center do not present many disciplinary problems. Since 2004, there have been sixteen cases, primarily involving plagiarism or cheating.

Student Government

Participation in student government provides an important institution-wide base for interdisciplinary and intercampus student contact and a significant professional development opportunity for the advanced graduate student.

Doctoral Students' Council: The Doctoral Students' Council (the student government) works closely with high-level administrators and faculty on committees and extra-committee policy development, develops and manages a student fee budget, and is responsible for oversight and funding of student extracurricular groups.

The director of student activities as well as the director of student affairs and the vice president for student affairs (i.e., the full professional staff of student affairs) hold monthly meetings with the student

¹¹² See the Child Development and Learning Center family survey in the Document Room.

¹¹³ www.interfolio.com.

¹¹⁴ Disciplinary policy and procedures are also discussed with tables in Chapter 4 (“Integrity”) and are outlined in detail in the *Student Handbook*.

government leadership. The vice president for student affairs also meets bimonthly with the Graduate Council Committee on Student Services. The frank discussion of issues by students among a large group of their peers, joined by administrators, is a valuable feedback mechanism.

One example of this feedback was the continuous consultation with student leadership, who affirmed the significance of an on-site nurse practitioner to the personal and academic wellbeing of students. The Office of Student Affairs worked with student government during 2005–6 to carry out a referendum on increasing the student activity fee and earmarking part of it for student health services. This provided the financial resources necessary to maintain part-time nurse practitioner services.

Communications Infrastructure

An effective communications infrastructure is essential to the functioning of student support services. Students receive information about support services and all policies and procedures through handbooks, the Graduate Center Web site, newsletters, and periodic e-mails disseminated through their doctoral program offices. The Office of Student Affairs annually publishes the comprehensive *Graduate Center Student Handbook* (hard copy and online) that contains all Graduate Center policies and procedures, as well as descriptions of services and staff/office contact information. A student affairs semester *Newsletter*,¹¹⁵ as well as periodic e-mails to the student community, keeps students reminded and updated about ongoing as well as new policies and procedures. All e-mails to students disseminated by the Office of Student Affairs are copied to student government and promulgated by them on their Web site. In addition, information is provided by student affairs to the Graduate Center student newspaper, the *Advocate*.¹¹⁶

Every year student affairs publishes “Student Health Insurance and Selected Resources: A Guide,”¹¹⁷ a comprehensive guide to health insurance and health care resources. The Office of International Students maintains a list to keep all students up to date on new information that may affect their immigration status. The Graduate Center publishes all policies related to filing complaints or grievances on the Graduate Center Web site by way of the *Student Handbook*.¹¹⁸ Annual orientations for new students include a general student affairs orientation and/or orientation programs for international students (International Students Office), science fellows (Provost’s Office), and a planned program for entering five-year chancellor’s fellows.

Library Support Services¹¹⁹

Funding: The consortial model assumes that the library needs of doctoral students will be provided by the collective CUNY libraries, particularly the senior college libraries. Those libraries, however, are not funded to support doctoral research and, in fact, funding for book collection development has been flat for over a decade. Nonetheless, though the Mina Rees Library at the Graduate Center is not intended to be a

¹¹⁵ See http://www.gc.cuny.edu/current_students/newsletter/index.htm .

¹¹⁶ See <http://web.gc.cuny.edu/advocate/about.htm>.

¹¹⁷ See http://www.gc.cuny.edu/current_students/StudentHealth/index.htm.

¹¹⁸ See http://www.gc.cuny.edu/current_students/handbook/complaints.htm.

¹¹⁹ Chapter 2, “Planning, Resources, and Institutional Renewal,” has an extended discussion of a recent self-study of the Mina Rees Library in terms of its support of student learning as well as a description of the library’s staff and holdings. See also Chapter 7, “Educational Offerings” for a complete description of the library’s holdings.

research library and is not funded as such, it has a continually expanding number of electronic databases. It runs workshops for students and has a 24/7 chat room with a librarian, plus a comprehensive interlibrary loan system and weekend and evening hours. The Graduate Center is, furthermore, eight blocks from the New York Public Library, which has significant rare book and manuscript holdings in addition to its large holdings of contemporary and earlier periodicals. In addition, the NYPL's science and business branch is in the same building as the Graduate Center, on Madison and 34 Street. Access to the NYPL's materials is free.

There are two areas in which the availability of library services could be improved for Graduate Center doctoral students: the licensing of electronic resources and coordinating library borrowing privileges.

Electronic Databases: Although the Graduate Center, through the student technology fee, has made a significant investment in electronic databases available for students and faculty at the Graduate Center, the three commonly used methods for licensing electronic resources in CUNY do not guarantee that all doctoral students and faculty have access to all the databases they need. Given the dispersion of doctoral students across CUNY as students, teachers, and fellows, as well as the increasing interdisciplinary nature of much of the research, broadening database access is imperative.

Variable Library Privileges Accorded to Doctoral Students: In terms of library service, doctoral students are officially "graduate students," with a six-week loan period and varying renewal periods by campus. In reality, many doctoral students have multiple identities depending upon the program in which they are enrolled and whether they are teaching as adjuncts or as fellows and so, depending on where they are teaching, doctoral students have differing borrowing privileges. This differential treatment at the campus libraries, particularly in regard to loan and renewal privileges, and, in some cases, database access and interlibrary loan privileges, undercuts some of the usefulness of the consortial CUNY library system for doctoral students.

Institutional Review Board (IRB) Process

Any research involving human subjects, whether funded or not, must be approved by the Graduate Center Institutional Review Board (IRB),¹²⁰ as required by the U.S. Department of Health and Human Services.

In the last eight years, the Graduate Center has improved time of review for applications and streamlined the process for submission. The Principal Investigator's (PI's) *Manual for Submissions*, available online at <http://web.gc.cuny.edu/orup/humansubjects.html>, has been revised and updated. Also, CUNY has now standardized the application for all campuses to clarify what PIs need to include as primary information for reviewers so that pertinent information is not inadvertently omitted.¹²¹

The Graduate Center's IRB receives about 300 applications per year (280 in 2006; 385 in 2007; 245 in 2008), which puts the office of the IRB in the position of being among the busiest for research clearance requests at CUNY.

¹²⁰ This board is also known as the Committee for the Protection of Human Subjects.

¹²¹ The consortial model of the Graduate Center assumes that the needs of faculty and students can be met by collective collaboration and the sharing of resources among the colleges of CUNY. The process for submitting to the IRB is not, however, necessarily a consortial one. Applications for clearance for the use of human subjects are primarily submitted to one campus. This is usually the faculty member's home campus or the campus at which most of the data collection (interaction with human subjects) will take place. In cases of multicampus and collaborative grants, the IRB application is submitted to one campus committee or the CUNY-wide IRB (usually reserved for appeals but also receives submissions) for approval, with the signed approvals filed with the faculty's campus IRB office.

Achievements in the Last Five Years

In terms of student admissions, retention, and support services, the Graduate Center has in place excellent policies and procedures. These student support services are functioning appropriately, and students receive timely notice of available services and how to access them. The strong “junior-colleague”-based relationships of student leaders and the student body with the administration facilitates open and productive communication and supports the Graduate Center in meeting its mission, as well as provides many opportunities for students to convey concerns and have an impact on outcomes.

- As stated in several places in this document (Introduction, Chapter 1, “Mission and Goals”), the Graduate Center has significantly increased the financial aid available to students. .
- For the past nine years, the Graduate Center has implemented programs and policies to assist doctoral students in shortening their time-to-degree.
- In fall 2009, the Graduate Center hired a full-time professional to head the Psychological Counseling Center.
- The Graduate Center has finalized plans for a student residence. The building is expected to open in 2011.
- As of fall 2010, there will be newly configured, more competitive MAGNET minority recruitment packages that will include a \$24,000 stipend for five years and the payment of all fees for the five years, as well as full tuition. The award will include a \$1,000 signing bonus in year one and a travel/study stipend of \$1,500 in the third year.

Challenges

Despite the significant achievements in student support, there are inevitably challenges that the Graduate Center faces in terms of its support of students.

- Like the faculty, students are dispersed throughout the New York City area. It is possible for a student to have three bases: home, the Graduate Center, and a college where they are teaching. The dispersal of students’ responsibilities remains a challenge for them and for the Graduate Center.
- As has been indicated, the teaching load attached to ECFs is too heavy. Thus, despite great strides in increasing financial aid, it is a challenge to do more—to reduce the teaching load (which involves both the PSC-CUNY union and CUNY central) and increase stipends.
- In the next three years, the Graduate Center will need to develop policies regarding the new student-faculty housing unit and also expand the housing oversight function of student affairs.
- Graduate Center students can have difficulty accessing library materials and databases located at the college campuses because different college campuses have different rules about the status of doctoral students even if they are teaching at that college.

Actions Going Forward¹²²

- To continue to enable students to finish their degrees in a timely way, the Graduate Center will continue to work to increase the amount of the stipends for Enhanced Chancellor’s Fellowships, to reduce the teaching requirements in years two through four for these fellowships, and to increase funds available for dissertation-year fellowships.

¹²² The Doctoral Students’ Council prepared a two-page response to the early draft of the self-study, which was posted on the Graduate Center Web site on December 8, 2009. This response included some six recommendations in the areas of funding for students, communication, and faculty hiring. Most of these recommendations are part of the self-study, but a few, though growing out of issues discussed in the self-study, are not. The president or the provost, who generally meet with the DSC at one of its plenary meetings, will use the spring 2010 plenary to discuss these issues raised by the DSC response to the self-study. The full DSC response is Appendix 5-5.

- The Graduate Center will seek ways to decrease the teaching loads of Enhanced Chancellor's Fellows.
- The Graduate Center will work to develop and implement appropriate policies regarding student housing.
- The Graduate Center will work with all constituencies of CUNY toward a solution of the issue of library access for doctoral students. This effort will include giving doctoral students a special status that would be recognized as the equivalent of CUNY faculty status in terms of library privileges and services throughout CUNY.
- The Office of Student Affairs will conduct a survey in 2010-11 that will assess student satisfaction with the services provided by the offices within student affairs, including the registrar's office and the admissions office.

SIX

Faculty and Research

Standard 10: Faculty

The institution's instructional, research, and service programs are devised, developed, monitored, and supported by qualified professionals.

The faculty is at the heart of any institution of higher learning. This is especially true at the Graduate Center, whose focus is on doctoral education, the production of new knowledge, and the training of the academic leaders of the future. Over the last ten years—and especially over the last five—there has been a dramatic expansion of the Graduate Center faculty through the appointment of senior faculty with significant research records and stature in their disciplines.

Description of Doctoral Faculty

While the Graduate Center draws the great majority of its 1,706 faculty members from the CUNY colleges (campus-based faculty) and, to a lesser extent, its affiliated faculty from cultural and scientific institutions throughout New York City, as of fall 2009, it employs a GC-based faculty of 142 scholars.¹²³ Of these, forty-three hold the rank of distinguished professor,¹²⁴ reflecting the highest level of research and scholarly attainment. (Almost one-third of all the distinguished professors at CUNY are on GC-based lines.)

Responsibilities of Graduate Faculty

Both campus-based and GC-based doctoral faculty are not only teachers and mentors but also leaders in their scholarly fields, setting a standard of excellence, by their practice and example, in the training of new scholars. Through their participation in both professional and discipline-oriented national organizations and through their doctoral classes and mentoring of students, faculty members participate in shaping the future of doctoral education in the United States.

Graduate Center faculty members mentor doctoral students at every stage of their development. They are responsible for the grading of comprehensive examinations, serving on oral examinations, and supervising and reading dissertations. They are also, through program and Graduate Center committee structures, involved in the development, execution, and review of the academic mission of the Graduate Center.

Faculty members are also deeply involved in designing, maintaining, reviewing, and improving a curriculum covering all the main specializations in their respective fields. The members of the Curriculum and Examination committees within each doctoral program regularly discuss, review, and revise aspects of the program curricula. Program-based Curriculum and Examination committees consist of both faculty and students, and all are committed to monitoring and maintaining a curriculum that is current and meets the highest standards.

¹²³ This consortial system of appointing both campus-based and GC-based faculty to the Graduate Center is described in detail, along with the allocation system for compensation for the colleges, in Appendix I-1. The number of all Graduate Center-based faculty members is as of spring 2009.

¹²⁴ See the Introduction for a full description of the distinguished professor rank.

Faculty Appointment at the Graduate Center¹²⁵

Recruitment of Faculty in General: In the appointment of both GC-based and college-based faculty, each program takes the lead in its own recruitment, though the Office of the Provost plays a lead role in every GC-based recruitment effort and offers advice and support to each program as it recruits faculty of the highest possible quality. The programs also often work closely together in recruitment. Approximately 500 of the doctoral faculty members, both GC-based and college-based, have appointments in more than one program.

GC-based Faculty Appointments: For GC-based appointments, a doctoral program, having received permission from the provost to recruit, constitutes its own search committee, made up of both GC-based and college-based doctoral faculty and doctoral students. The committee's goal is to identify the most highly qualified faculty available in their field. The search committee makes a recommendation to the program's Executive Committee, also constituted of GC-based and college-based faculty as well as students, which votes on the recommended candidate and forwards the names to the provost. The Academic Review Committee, elected by executive officers and made up of executive officers, reviews and recommends to the president GC-based faculty appointments, promotions, and tenure. In this way, both GC-based and college-based faculty play a role in hiring GC-based faculty.

College-based Faculty Appointments: For college-based faculty appointments to the doctoral faculty, each doctoral program has a Doctoral Faculty Membership Committee that reviews the qualifications, including research, publications, teaching, and mentoring, of college-based faculty nominated for membership on the doctoral faculty and recommends whether these persons should be appointed. Normally the Doctoral Faculty Membership Committee is also made up of GC-based and college-based faculty and students.

Because of its scale and efficiency, the consortial system¹²⁶ enables the Graduate Center to assemble a very large, highly qualified doctoral faculty. It also enables doctoral programs to achieve depth and flexibility in their course offerings and enables them to offer new courses as new disciplines and fields emerge. The colleges also benefit from the system because they are compensated for their faculty teaching doctoral courses through the allocation system,¹²⁷ and this compensation allows them to build up their own faculty.

Retention of College-based and GC-based Faculty: An indication of the quality of the Graduate Center's faculty is that it is not uncommon for other universities to attempt to recruit them. In working to retain them, the Graduate Center uses three basic tools: (1) transferring a college-based position to the Graduate Center; (2) giving a promotion in rank; and/or (3) increasing the salary of a GC-based faculty member.

¹²⁵ All CUNY faculty and staff are covered by union contracts that determine pay scales, workload, and working conditions. The bargaining unit for CUNY faculty and some nonteaching academic staff is the Professional Staff Congress (PSC). The PSC-CUNY contract sets the salary steps for all ranks and also the required teaching and/or administrative loads for all faculty members. GC-based distinguished professors have a one/one course load; other GC-based faculty a two/two course load. In addition, all GC-based faculty members have included in their workload a requirement to mentor students in one-on-one settings for one course equivalent each semester. College-based faculty members have a twenty-one-hour-a-year teaching load, with no workload requirement for mentoring. They receive credit for released time for supervising dissertations and conducting independent study doctoral courses. See the Appendix I-1 for a description of the allocation system by which colleges are compensated for releasing their faculty to teach at the Graduate Center.

¹²⁶ See Appendix I-1 for a description of the consortial system.

¹²⁷ See Appendix I-1 for a description of the allocation system.

The Graduate Center may also provide summer salary and/or a research and travel fund as additional incentives to retain or recruit faculty.

Efforts to retain outstanding faculty members by bringing them from one of the undergraduate colleges to be full-time at the Graduate Center have been particularly important in maintaining the standing of several programs. Since spring 2005 alone, the Graduate Center has retained six key faculty members by moving their lines from a college-based line to a GC-based line.

Faculty Renewal: The CUNY Initiative on Faculty Replenishment 1999–2009

Since the last Graduate Center reaccreditation, CUNY Chancellor Matthew Goldstein has led CUNY through an ambitious institutional renewal, in which a key element was to hire additional full-time faculty members. There were, in fact, 1,700 full-time faculty hired between 2000 and fall 2009. As part of this effort, the Graduate Center's doctoral programs have been able to identify and pursue senior researchers with distinguished records to strengthen its faculty, adding a net of thirty-nine new GC-based faculty members between 2003 and 2009 (bringing the total from 103 to 142). These GC-based appointments complement the 988 college-based faculty members who were appointed to the doctoral faculty during the same period.

New GC-based appointments have been made in the anthropology, art history, economics, educational psychology, music, philosophy, and sociology programs, which enhanced their quality and eminence. In making many of these GC-based appointments, the Graduate Center has been able to offer competitive salaries, enabled by a 2002 change in CUNY's collective bargaining agreement with the Professional Staff Congress. This union-supported change now provides for overscale payments of up to 65 percent above the top base contractual salary, which has greatly improved the Graduate Center's ability to attract and retain faculty of the highest quality and reputation.

Results of Renewal of Faculty in Last Ten Years: The examples for newfound excellence in the Graduate Center's doctoral programs are considerable. Here, we mention only a select few.

- *Philosophy:* After the departure of two eminent members at the end of the 1990s, the ranking of the program had fallen. To correct this trend, the Graduate Center moved to rebuild the program through a number a significant GC-based hires, including world-famous philosopher Saul Kripke. In 2007, the Saul Kripke Center was established. According to the Leiter Report,¹²⁸ these efforts enabled the Philosophy Program to raise its ranking to fifteenth in the nation and to become the number one ranked program in the world in mathematical logic and philosophy of art.
- *Music:* At its founding, the music doctoral program drew on a distinguished faculty from the colleges. As these retired and were replaced by more junior faculty at the colleges, the program added two GC-based faculty, and subsequently several other GC-based hires were made. The strength of the Music Performance Program (offering a DMA in performance) was considerably enhanced in 2006 with the recruitment on a newly created GC-based line of theorist and pianist, who developed a strength in chamber music and a wildly successful chamber music series. In 2007, the Ph.D. program in music was ranked in the top ten among programs of its type nationally by the Faculty Scholarly Productivity Index, developed by Academic Analytics and released in 2007.
- *Anthropology:* This program was ranked number ten in the 1980 National Research Council (NRC) survey of doctoral programs, while in the 1990 rankings, the program ranked number twenty-one. In the decade between these two rankings, all three of the Anthropology Program's

¹²⁸ The Leiter Report is a reputational survey conducted by Brian Leiter, University of Chicago, which surveys philosophy faculty across all English-speaking institutions, asking them to rate the quality of philosophy programs based on the quality of the faculty. See <http://www.philosophicalgourmet.com/reportdesc.asp>

distinguished professors left and none had been replaced. In 1999, the Graduate Center made a commitment, with much assistance from the chancellor, to renew and strengthen the anthropology faculty through a series of senior faculty hires. In every one of these searches save one, the Anthropology Program successfully recruited its first-choice candidate despite many other offers. No anthropology GC-based faculty member who came as part of this hiring initiative has departed.

Faculty Renewal Going Forward: As described in detail in the Introduction, in 2008–9, President Kelly and Provost Robinson secured eighteen new GC-based lines (six in each of the next three years, beginning in fall 2009) to be the base of the development of three new research committees, which will involve not only these new GC-based faculty but also college-based doctoral faculty. These three new committees include the Committee for Science Studies, the Committee for the Study of Religion, and the Committee for the Study of Globalization and Social Change and will be launched in January 2011. This new initiative will be supported by a five-year grant of \$2,415,000 from the Andrew W. Mellon Foundation. The initiative also includes opportunities to provide support for new doctoral students, postdocs, and junior faculty.

Standards and Procedures Related to Faculty

In the CUNY Bylaws and the PSC-CUNY Contract,¹²⁹ there are published standards and procedures for all faculty and other professionals related to appointment, promotion, tenure,¹³⁰ grievance, discipline, and dismissal.¹³¹ These policies and procedures ensure that all faculty, and indeed all employees, of the Graduate Center are treated with fairness and are accorded all rights due employees. The Graduate Center and CUNY have in place mechanisms to ensure the faculty is aware of these policies and procedures relevant to their employment. Offer letters to new faculty and nonteaching instructional staff reference the collective bargaining agreement. The Office of Human Resources provides contract booklets to new executive officers and administrative officers whenever new ones are published. In fall 2009, the provost reintroduced orientation sessions for all new executive officers, at which time the standards and requirements for faculty appointment and other procedures are discussed in full.¹³²

In addition to the broad availability of defined criteria for faculty and employment decisions, the Graduate Center has a labor designee appointed by the president and a chapter chairperson elected by PSC

¹²⁹ CUNY Bylaws are at <http://policy.cuny.edu/toc/btb/>. A summary of the current PSC-CUNY contract is available in the Document Room and online at <http://www.psc-cuny.org/ContractSummaryJuly08.htm>.

¹³⁰ Article 6 of the CUNY Bylaws contains provisions on tenure and permanency; Article 7 of the bylaws provides for “Academic Due Process,” while Article 9 of the PSC-CUNY Collective Bargaining Agreement provides information on appointment and reappointment, and Article 10 outlines the schedule for notification of reappointment and nonreappointment decisions. Article 18 of the contract outlines “Professional Evaluation” for all full- and part-time instructional titles covered under the agreement, including details regarding teaching observations and annual evaluations.

¹³¹ Articles 20 and 21 of the PSC contract detail the “Complaint, Grievance, and Arbitration and Disciplinary Procedures.”

¹³² Article 11 of the CUNY Bylaws sets forth the “Duties and Qualifications of the Administrative Officers and Members of the Instructional Staff.” New GC-based faculty members receive offer letters that clearly define the terms of their appointments and core responsibilities. These letters reference CUNY’s Bylaws and the PSC-CUNY Collective Bargaining Agreement as providing details of the rights and responsibilities of all CUNY faculty members.

members. Both are well informed about the criteria and procedures governing employment decisions and available to all faculty for consultation.

Faculty Diversity at the Graduate Center

CUNY in general and the Graduate Center in particular are dedicated to creating a faculty and staff that represent the diversity of New York City. There is a full-time affirmative action officer who oversees the procedure for GC-based and administrative appointments to assure a representative pool of applicants. The Graduate Center has made vigorous efforts to recruit and retain GC-based faculty members from underrepresented groups. Since the last Middle States reaccreditation process in 2000, the Graduate Center has recruited seven new faculty members on GC-based lines from underrepresented groups. The racial, ethnic, and gender composition of the current GC-based faculty (and students) are given in Appendix 6-1.

It should be noted that women make up a large share of both groups and that women have long played crucial leadership roles at the Graduate Center, including president, provost, and executive officer. The Graduate Center has as one of its goals increasing the number of senior faculty from underrepresented groups.

Support for Faculty Research

The Graduate Center recognizes that doctoral education at its core requires a faculty active in research and strong in scholarship. Such a faculty is central to student learning at the most advanced level. The Graduate Center supports faculty research by making available released time, travel funds, physical space, computers and IT infrastructure, and graduate student research assistance. Faculty members can seek financial and other support from the Graduate Center's Provost's Office, their program executive officers, and/or the Office of Research and Sponsored Programs. The CUNY executive vice chancellor for academic affairs and the vice chancellor for research also provide funding for faculty research through several individual and cooperative grant programs. The PSC-CUNY Research Award Program was established as a major vehicle for CUNY's support of faculty research and to leverage external funding. Both the union and CUNY contribute funds annually to this project each year. They are distributed on a competitive basis by the CUNY Committee on Research Awards, a faculty committee, and administered by the Research Foundation of CUNY. Preference is given to junior faculty in the allocation of PSC/CUNY research awards.

The Graduate Center Office of Research and Sponsored Programs: The staff of the Office of Research and Sponsored Programs (ORSP) at the Graduate Center assists faculty in applying for external funding and provides modest annual support to centers and institutes to support their research activities.

ORSP provides access to grant opportunity databases and sometimes assists with proposal writing. The director of sponsored research reviews all grants for completeness and accuracy, manages their submission to funding agencies, maintains familiarity with changing submission formats and requirements, and serves as the authorized institutional official responsible for signing all grant proposals. The president of the Graduate Center has authorized a return on overhead policy, developed by the vice president for sponsored research, granting principal investigators a share of the overhead generated in excess of 20 percent.

The majority of GC-based faculty members are in humanities and social science fields that do not attract high overhead support on their grants. Although the Graduate Center currently has a federal overhead rate of 52 percent, ORSP accepts reduced overhead (20 percent or lower) in nearly 90 percent of the grants awarded, so as not to jeopardize the securing of external funding. (Most federal grants that pay full

overhead go to investigators in the laboratory sciences who are based at the colleges, not at the Graduate Center.)

The Research Foundation:¹³³ The Research Foundation (RF) of CUNY, a separate corporation, serves as the fiscal agent for almost all grants awarded to the Graduate Center. It also manages the University-wide PSC-CUNY Research Award Program of \$3 million per year. The RF provides administrative, payroll, and accounting services and manages the fiscal relationship between the funding agencies and the principal investigators. An RF staff member spends 40 percent of his time at the Graduate Center assisting the Graduate Center's principal investigators and research staff.

The Graduate Center's Research Institutes and Centers: Established at various points in time for varying purposes, the Graduate Center's thirty-one centers and institutes carry out a wide range of research activities and public programming. The centers support the research interests of the doctoral faculty; all are headed by faculty; and some have full-time support staff. The centers also employ large numbers of doctoral students. Together, they have employed an average of 225 graduate students per year over the last four years, at an average total compensation of \$2.2 million, contributing greatly to student financial support. Following are a few examples of these institutes and centers.¹³⁴

- *The Center for the Humanities* was founded in 1993 as a public forum to bring together CUNY students and faculty with prominent journalists, artists, and civic leaders. Along with the Leon Levy Center for Biography, it cosponsors public lectures, symposia, and seminars, hires graduate students to work in the office, and seeks to promote the humanities and humanistic perspectives in the social sciences.¹³⁵
- *Gotham Center for New York City History* was founded in 2000 by Pulitzer Prize-winning historian Distinguished Professor Mike Wallace. Its mission is to examine the city's rich history and to make it accessible to citizens and scholars, teachers and students, by bringing together an array of talented historians, curators, archivists, librarians, teachers, filmmakers, and preservationists to study, preserve, and present New York City's past.
- *The Ralph Bunche Institute for International Studies* engages in research, graduate training, and public education concerning international affairs and contemporary global problem-solving. Founded in 1973 as the Ralph Bunche Institute on the United Nations, it was renamed in 2001 and given a broader interdisciplinary scope with the mandate to support and strengthen international studies at the Graduate Center.
- *Center for Urban Research*, founded in 1991, carries out basic and applied research on the challenges facing New York City and other large metropolitan areas in the U.S. and elsewhere. It has conducted a large number of grant-supported research projects related to immigration, labor market trends, demographic change, political participation, and the urban environment. It hosts OASIS, one of the nation's premier Web-based interactive neighborhood information delivery systems.

¹³³ The role of the Research Foundation in the financial arrangements of the Graduate Center is also discussed in Chapter 2.

¹³⁴ See the list of centers and institutes on the Graduate Center Web site:
http://www.gc.cuny.edu/other_programs/index_research.htm

¹³⁵ In 2009, the Center for the Humanities received a \$491,000 grant from the Andrew Mellon Foundation for the fourth cycle of a three-year grant for "Seminars in the Humanities," which brings faculty and dissertation students together to discuss a theme across disciplinary boundaries.

Faculty Development

CUNY and the Graduate Center are attentive to sustaining and enhancing the quality of the Graduate Center's faculty and fostering its development in several ways. Provisions of the 2002–7 PSC-CUNY Collective Bargaining Agreement improved support for faculty development by increasing pay during fellowship leaves of absence (sabbaticals) from 50 percent to 80 percent of annual salary. The same contract provided untenured faculty in tenure track titles with reassigned time (release time from teaching) of up to twelve contact hours for those hired before September 1, 2006, and up to twenty-four contact hours for those hired after September 1, 2006. This reassigned time can be used by untenured faculty in their first three annual appointments.¹³⁶ The PSC-CUNY agreement also provides for Scholar Incentive Awards for full-time tenured and untenured faculty, with up to 25 percent of annual salary for scholarly research in conjunction with some external award of support.

The Graduate Center liberally approves requests for fellowship leaves of absences and Scholar Incentive Awards for GC-based faculty with support from their academic programs. (College-based faculty members receive their leaves from their colleges.) Travel funds, administered through the provost's office, are available to GC-based Graduate Center faculty and executive officers for presentations at professional conferences. (College-based faculty members receive travel funds from their colleges.)

Program executive officers are responsible for guiding and fostering the development of their faculty. The best practices to encourage faculty development are periodically discussed at the Graduate Center's Council of Executive Officers meetings and the provost's meetings with clusters of EOs in the humanities, social sciences, and sciences.

National Rankings of Doctoral Programs

Reflecting the strength and quality of the doctoral faculties that results from the unique consortial model, the Faculty Scholarly Productivity Index, developed by Academic Analytics and most recently released in 2007,¹³⁷ ranked nearly one-third of the Graduate Center's Ph.D. programs among the top twenty in the country, with two ranked in the top ten. Eleven programs ranking among the top twenty included biomedical engineering, criminal justice, English, French, Hispanic and Luso-Brazilian, history, theater, music, social work, theater, and urban education. The Graduate Center's doctoral programs were also highly ranked in the National Research Council's 1995 *Research Doctorate Programs in the United States*, with nine in the top twenty nationwide. (Results of the 2006 NRC ranking have not been released as of this writing.) While the Graduate Center notes the shortcoming inherent in all ranking schemes, the results nonetheless reflect the significant achievements of the faculty and their demonstrated excellence in research.

Faculty Awards and Honors: Summary

Members of the Graduate Center faculty, both GC-based and college-based, have published many books and articles, won many awards and honors, and been involved in many research projects. See the link on the Graduate Center Web site for a detailed listing of faculty activities and achievements for 2000–2009: <http://www.gc.cuny.edu/faculty/activities.htm>.

¹³⁶ The latest PSC-CUNY agreement included professional development for nonline (i.e., adjunct) faculty, of whom there are few at the Graduate Center. The agreement set up an Adjunct Professional Development Fund that provides CUNY adjuncts with opportunities to compete along with higher education officers (professional administrative staff) and college laboratory technicians for grants of up to \$3,000 each year.

¹³⁷ See article on rankings in *Chronicle of Higher Education*, January 12, 2007, in the Document Room.

A selected summary includes:

- Between 2000 and 2008, faculty members have won one Academy Award, six American Society of Composers, Authors, and Publishers (ASCAP) awards; one Bancroft Prize, five Fulbright awards, one Getty Scholarship, a *Grand Prix Humanitaire de France*, the \$200,000 Grawemeyer Award for educational research, twelve Guggenheim awards, the Lincoln Prize, a MacArthur Foundation Fellowship, a National Medal of the Arts, two Pulitzer Prizes, and a National Science Prize.
- Faculty elected to distinguished society memberships include one member of the National Academy of Sciences, one member of the National Academy of Medicine, three members of the American Academy of Arts and Letters, twelve members of the American Academy of Arts and Sciences, two members of the American Physical Society, and two members of the American Philosophical Society.
- One faculty member was awarded four honorary degrees, the Centenary Medal from the Royal Scottish Geographical Society, and gave the Wellek (University of California at Irvine) and the Hettner (Heidelberg) lectures.

Faculty Editorships and Leadership Positions

Many Graduate Center faculty hold or have held important editorships and offices in major organizations. A summary includes:

- Over 165 doctoral faculty members serve on editorial boards of major journals and some of them for more than one journal.
- Over sixty doctoral faculty members now serve or have served in the last decade as editor of significant academic journals including the *Yearbook of Physical Anthropology*, the *Journal of African American Studies*, the *Journal of Basic Writing*, the *International Journal of Middle East Studies*, *History Now*, and *Ethnomusicology*.
- Over thirty doctoral faculty have served as president of major organizations in the last decade, including the American Anthropological Association (the last two presidents were from the Graduate Center), the American Philological Association, Association of Literary Scholars and Critics, International Association of Hispanists, the Society for American Music, American Society for Aesthetics, Association for the Philosophy of Education, the American Sociology Society, the American Psychological Association (Division of Health Psychology), the Society for the Psychological Study of Social Issues (Division 9 of the American Psychological Association), the Association of Black Sociologists, and the American Sociological Association.¹³⁸

Evaluation of Faculty

Untenured faculty are subject to an evaluation procedure as mandated in the PSC-CUNY contract, which involves an annual review by the executive officer or chair¹³⁹ and an evaluation of their teaching.¹⁴⁰ These

¹³⁸ See the Document Room for a list of doctoral faculty on editorial boards, as editors of journals, and as officers of professional organizations.

¹³⁹ The contract specifies the areas of this evaluation to include classroom instruction and related activities; administrative assignments; research; scholarly writing; departmental, college, and university assignments; student guidance; course and curricula development; creative works; and public and professional activities in field of specialty.

formal observations provide an opportunity for less-seasoned faculty members to receive feedback on both the strengths of their teaching and, of critical importance, areas where some adjustments might be needed.

The contract mandates observation and evaluation of only untenured faculty. Under the contract, tenured faculty are not required to be evaluated or have their teaching observed.¹⁴¹

In addition to these evaluations of untenured faculty, there are other occasions on which doctoral faculty teaching is evaluated.

- Many doctoral programs organize student evaluations of all courses each semester. The executive officer, who has sole authority to assign classes to individual faculty members, may consult these evaluations in deciding course assignments. (There is no presumption that any college-based faculty member will teach regularly at the Graduate Center.)
- Students elected by their peers to their program's executive committees can bring to that committee student concerns concerning doctoral teaching.

Achievements in the Last Five Years

The Graduate Center has had remarkable success in the last ten years in strengthening the doctoral faculty through recruitment of leading scholars, retaining some of its most productive scholars, and expanding into new areas of research.

- Between 2003 and 2009, the Graduate Center added thirty-nine GC-based doctoral faculty at the Graduate Center, all internationally renowned scholars, eight of whom are distinguished professors.
- Through philanthropy, the Graduate Center raised enough money that it could allocate \$400,000 in 2008–9 for faculty research and travel.
- In spring 2009, Provost Robinson and President Kelly secured funding from CUNY for eighteen new GC-based lines (six each for three years) to establish three new interdisciplinary initiatives: science; religion; and globalization and social change.
- In fall 2009, the Andrew W. Mellon Foundation awarded the Graduate Center a grant of \$2.415 million to be spent over three years to support the work of these new research committees—the Committee for Science Studies, the Committee for the Study of Religion, and the Committee for the Study of Globalization and Social Change.

Challenges

- In the last five years, the Graduate Center has added over twenty new GC-based faculty, with the result that many more Graduate Center courses are being taught by GC-based faculty, which has resulted in greater teaching stability. However, at the same time that the Graduate Center was hiring new faculty, so were the CUNY colleges, and the Graduate Center now needs to develop ways of integrating the highly qualified college-based faculty by providing them opportunities to be involved in the work of the Graduate Center;

¹⁴⁰ They are to be observed in a class once a semester by a member of the faculty, who submits a written report as feedback to the faculty member; each observation and report are followed by a post-observation conference. The results of the conference are also written as a report that is signed by both the observer and faculty member.

¹⁴¹ There are, as of September 2009, only five untenured faculty in GC-based appointments. Three are in educational psychology, one in speech, language, and hearing sciences, and one in urban education. Untenured college-based faculty members are evaluated at their home colleges.

- Related to this challenge is one that comes from one of the Graduate Center’s greatest strengths—the consortial system. College-based faculty, still a majority of the Graduate Center faculty, have their appointments, tenure, promotion, and grants at one of the CUNY colleges. The advantages of this system are obvious in terms of the scope and range of academic talent available to the Graduate Center, but there are also challenges in this system, namely:
 1. College-based (consortial) faculty do most of their teaching at their undergraduate college, with the result that they are not necessarily available at the Graduate Center on a regular basis.
 2. College-based faculty receive course remission for some administrative positions at the Graduate Center, but they do not receive any compensation for participating in Second Examinations or being second or third readers on dissertations.
 3. Since the compensation for CUNY colleges who release their faculty to teach a course at the Graduate Center goes to the provost of the college and not the faculty member’s department, department chairs many not necessarily receive the funds to replace that faculty member with an adjunct, which can put a strain on the college department in terms of its undergraduate offerings. Nonetheless, there is goodwill between the college chairs and the Graduate Center executive officers, and for the most part, requests from EOs to chairs for faculty to teach doctoral courses are readily granted.
 4. Another challenge that results from the consortial system is that if a campus-based senior faculty member with a specialization that is important to the doctoral program retires or leaves CUNY, the college in question may hire a candidate at the assistant professor level, with a specialization that is appropriate to the college rather than to the doctoral program. However, college and doctoral programs can and do work together in hiring. The Graduate Center has sometimes been helpful in a college’s recruitment effort by offering the opportunity for the candidate to join the relevant doctoral program, which can positively affect the candidate’s decision to accept appointment at the college.
- An additional challenge for the Graduate Center is also part of its strength—that is, its location in New York City. Housing and schooling are expensive in New York City, and these issues can sometimes come into play in the Graduate Center’s recruitment of senior faculty for GC-based appointments. Nonetheless, the advantages of an appointment to a mainly doctoral-granting institution with a first-rate faculty, excellent students, and the rich cultural life of New York City more often than not counterbalance the higher living expenses.

Actions Going Forward

- Through the three new interdisciplinary research committees, beginning in fall 2010, the Graduate Center will bring together newly hired GC-based appointments with college-based faculty and doctoral students in new seminars and research projects. This initiative will have the effect of bringing more college-based faculty to the Graduate Center on a regular basis;
- Pending funding from CUNY central, the Graduate Center will also begin another new initiative in 2010, the Graduate Center Mid-Career Fellows Program, which will bring recently tenured faculty to the Graduate Center for semester-long residences for intensive research connected to the three new committees, which will also lead to enhance GC-based and college-based faculty interaction.

SEVEN

Educational Offerings

Standard 11: Educational Offerings¹⁴²

The institution's educational offerings display academic content, rigor, and coherence that are appropriate to its higher education mission. The institution identifies student learning goals and objectives, including knowledge and skill, for its educational offerings.

Overview of the Graduate School Educational Offerings¹⁴³

The rich array of course offerings provided by individual Ph.D. and M.A. programs at the Graduate School is the main focus of this chapter, but not the only one. The Graduate School provides important educational offerings in other ways as well. For example, the provost's office, together with the Ph.D. programs, provides students with professional development courses that prepare them to teach in the undergraduate colleges and to compete successfully for grants and fellowships.¹⁴⁴ The centers and institutes and individual academic programs engage students in their research and conference planning. The Doctoral Students' Council (DSC) funds competitive grants, student publications, and twenty-five student-run conferences that provide important professional training. These activities are actively supported by the Graduate School to prepare students for their future professional responsibilities and are educational in every sense of the word.

¹⁴² Since Standard 12 is clearly focused on undergraduate education and all of the Graduate School's programs require at least a bachelor's degree for admission, this chapter deals only with Standard 11. The two undergraduate programs related to the University Center, the CUNY B.A./B.S. and the online B.A. in the School of Professional Studies, are discussed in Chapter 8 ("Related Educational Activities"). Also, some of the fundamental elements within Standard 11 are covered in other chapters. The element on the credentials of the faculty is covered in Chapter 6 ("Faculty"). The element on distance learning is addressed in Chapter 8 ("Related Educational Activities").

¹⁴³ The fundamental element for Graduate Education in Standard 11, namely that "graduate curricula providing for the development of research and independent thinking that studies at the advanced level presupposes," is the subject of this chapter. Other fundamental elements of Standard 11, "program goals that are stated in terms of student learning outcomes" and "course syllabi incorporate expected learning outcomes," are addressed in the section on assessment of student learning in Chapter 9 ("Institutional Assessment and Assessment of Student Learning"), as well as the goal of having course syllabi incorporate expected learning outcomes. The fundamental elements on "faculty with credentials appropriate to the graduate curricula" are discussed in Chapter 6 ("Faculty and Research") and "assessment of student learning and program outcomes relative to the goals and objectives of the graduate programs and the use of the results to improve student learning and program effectiveness" in Chapter 9 ("Institutional Assessment and Assessment of Student Learning").

¹⁴⁴ In addition, the Office of Sponsored Research supports student research through a program of internal grants, while the Office of the Vice President for Student Affairs helps students promulgate the results of their research with student travel funds. These activities are described in Chapter 5 ("Students: Admissions, Time-to-Degree [Retention], and Student Support Services").

Creating and Maintaining the Graduate School Curriculum¹⁴⁵

In accordance with the Graduate Center's Mission Statement, each Graduate School program develops its own curriculum, which is planned by faculty holding advanced degrees, with a view to credentialing graduates as experts in their fields. The courses offered each semester (1,391 in spring of 2009) are selected by the faculty to provide students with an attractive and balanced array of options and requirements. The curriculum, as a whole, is wide-ranging and dynamic. It is constantly measured against current needs in each field. New degrees, programs, and courses are added or deleted as necessary.

A description of each program, its faculty, goals, special requirements, and course list is published biannually in the *Bulletin* and frequently updated online. Master's programs all require a minimum of thirty graduate credits plus relevant examinations and papers, such as a thesis, and doctoral programs require a minimum of sixty credits, plus First and Second examinations and a dissertation or, in the case of the health sciences doctorates, an analogous research experience. Students may transfer up to twelve graduate credits toward the M.A. degree and up to thirty toward the doctorate. The transcripts of incoming students who request such a transfer are evaluated by the individual programs, and recommendations are sent to the Office of the Registrar.¹⁴⁶

Mechanisms for Curricular Change

Requirements for Changes within Programs: All programs at the Graduate School regularly review their curricular offerings, both in response to changes in the discipline and in response to the external review process (described in chapters 2 and 9). All curricular changes must originate from a recognized body at the Graduate School.

- Once the executive committee of a program decides on a change in a course, requirements, or offerings, there is a rigorous process of evaluation and review at the Graduate School level through the Committee on Curriculum and Degree Requirements (CDR).¹⁴⁷
- The CDR considers all proposed changes according to a template required by the central office of CUNY.
- The CDR then meets to discuss all changes and will invite representatives of the programs or others with an interest in the changes to attend its meetings, as appropriate.

Requirements for Making Significant Curricular Changes: Proposals for new programs are required to have a planning committee composed of current and/or possible future members of the doctoral faculty. Typically, the CDR will suggest major or minor revisions to the submitted documents, whether for new programs or changes in current programs, and proposals for especially significant changes (e.g., new programs) may go through several redactions before being approved.

¹⁴⁵ A complete list of the Graduate School's thirty-five doctoral programs (plus four professional doctoral programs in health sciences), seven master's programs, and seven certificate programs, can be found in Appendix 7-1.

¹⁴⁶ The policy regarding transfer credit is found in the *Graduate Center Bulletin*: "A maximum of thirty acceptable graduate credits taken prior to admission to the doctoral program at the City University may be applied toward the degree provided the courses were completed with a grade of B or higher within an appropriate period preceding the time of application and are equivalent to comparable courses at the City University. In the case of master's programs, a total of twelve credits may be approved for transfer. Exceptions to the above regulations may be considered under special circumstances. An evaluation of previously earned credits may be made before the end of the student's first year in residence by the student's program."

¹⁴⁷ The CDR has both faculty and student representation, with the associate provost and dean of the humanities and social sciences sitting in as a nonvoting member and acting as liaison with the administration.

New programs go through a minimum of two stages of consideration:

- a “Letter of Intent” (circulated within CUNY) and
- a full “Proposal” (subject to review and approval by the Graduate School’s Graduate Council, the CUNY Office of Academic Affairs, the CUNY Board of Trustees, and the State Education Department in Albany). Guidelines for both the letter of intent and the proposal are generated by the CUNY central office.¹⁴⁸

The Approval Process for Curricular Changes: Once items have been approved by the CDR, they are transmitted to the Executive Committee of the Graduate Council, which puts the items on the agenda for Graduate Council. Those items approved by Graduate Council are then sent on, with the approval of the president, to the CUNY central office. After a review by the CUNY Committee on Academic Policy, Programs, and Research, the items are presented, by way of the chancellor’s report,¹⁴⁹ to CUNY’s Board of Trustees for a vote. The result of this process is a forward-looking curriculum that has met the approval of faculty, students, and administrators alike.

Recent Changes in the Curriculum

The dynamic nature of the curriculum can be illustrated by various kinds of changes that have been made over the past five years. These include the addition of new types of degrees; new programs; substantial changes in the disciplinary coverage and curricular administration of existing programs; and changes in courses of study and academic requirements.¹⁵⁰

New Types of Degrees:

- *The En-route M.A.* The Graduate Center has recently encouraged doctoral programs to add en-route M.A.s to acknowledge the work doctoral students are doing for their Ph.D. with an M.A. Prior arrangements had required one of the senior colleges to award master’s degrees to such students. The four psychology subprograms (developmental, environmental, social personality, and forensic psychology) have recently sent forward proposals to award this degree.
- *Joint Degrees in the Natural Sciences (the Science Initiative).* In response to the chancellor’s strategic plan for a “Decade of the Sciences” expressed in the CUNY Master Plan of 2004–5, and with its goal of strengthening science offerings across CUNY, in 2009 the Graduate Center began offering joint degrees in the natural sciences (biology, biochemistry, chemistry, and physics) with Hunter College and City College. A new joint degree in public health has also been approved for Hunter College and the Graduate Center.¹⁵¹

¹⁴⁸ As an example, see the letter of intent and the proposal for the M.A. degree in Middle Eastern studies in the Document Room.

¹⁴⁹ The chancellor’s report is a university document that records all personnel, routine academic, and fiscal matters that require board of trustee approval.

¹⁵⁰ All of these categories are recorded statistically in Appendix 7-2, which illustrates how active the programs are in making changes of all kinds in the last five years.

¹⁵¹ The Science Initiative is described in the Introduction.

New Programs Since 2000:

- *Health Sciences Doctoral Programs*. Since 2005, four new health sciences doctoral programs (HSDPs) have been established at the Graduate Center, in audiology, physical therapy, nursing science, and public health. At the time that the first of these programs was developed, the Graduate Center was the only CUNY institution that was entitled to offer the doctoral degree. However, these programs were developed in partnership with other CUNY campuses, are financed primarily by the partner colleges, and award their professional doctorates jointly with the partner campuses.¹⁵²
 1. The *Audiology Program* (Au.D.) began in 2005 with six full-time students and has grown to a program with nearly forty-eight students, most of whom are full-time. The first three cohorts of students graduated in May 2009. The Graduate Center program replaced master's programs in audiology at Hunter and Brooklyn colleges, partners in this program.
 2. Similarly, the *Physical Therapy Program* (DPT) was established in response to a trend in physical therapy education away from the master's degree, with rapid conversion to the clinical doctorate, the DPT, as the entry-level degree. This program was developed jointly with Hunter College and the College of Staten Island. In 2006 the Graduate Center admitted its first two classes of DPT students, one at Hunter College and one at the College of Staten Island.
 3. The *Nursing Science Program* (DNS) was established in response to the nationwide need for nurse educators, who are required, in turn, to address the shortage of nurses in the healthcare industry. The DNS program is a collaboration of three CUNY master's programs in nursing: Hunter College, Lehman College, and the College of Staten Island. The Graduate Center admitted its first class in 2006.
 4. Finally, the *Public Health Program* (DPH), the linchpin of the proposed CUNY School of Public Health (to be sited at Hunter College), admitted its first class of students in 2007. The Graduate Center awards the DPH degree jointly with Hunter College and serves as home to the program, with courses taught by faculty from the public health programs at Brooklyn, Hunter, and Lehman colleges and by faculty from the Graduate Center and other participating CUNY campuses.
- A new Ph.D. in forensic psychology was added to the psychology subprograms,¹⁵³ which required the addition of thirty-four new courses to its offerings and twenty-two new courses in the Criminal Justice Program.
- A new M.A. in Middle Eastern studies was added as a reflection of the increased interest in and importance of research in this area.
- A Certificate Program in Interactive Technology was established in 2002.

Changes in Curricular Organization and Courses of Study: Several programs have made major adjustments in response to the changing curricular identity within the discipline and in response to ongoing assessments of curricula.

¹⁵² These professional doctorate programs were established with a different financing structure than the "allocation system" (see Appendix I-1.). In brief, for these four professional programs, the Graduate Center collects the students' tuition and fees and, after reimbursing itself for the costs of administering the programs, returns the remaining tuition revenue to the partner CUNY college in proportion to the teaching contributions made by their faculty to those four programs. With the exception of the DPH program, no provision was made for financial aid for students beyond loans.

¹⁵³ There are eleven subprograms within the Psychology Doctoral Program, eight of which are housed at one of the CUNY senior colleges.

- Earth and environmental sciences has been reorganized into two specializations (geological sciences and geography), and this has resulted in twenty-three new courses and a revision of the First and Second examinations.
- A new concentration in computational linguistics within the M.A. in linguistics has been added.
- The Art History Program has changed its designation of periods and specializations, resulting in twenty-four new courses.
- The Ph.D. in speech and hearing changed its title to speech-language-hearing sciences in response to the curricular redefinition of the field.
- In response to requirements from the American Psychological Association, the Psychology Program's subprogram of clinical psychology has added courses in diversity studies and in professional issues.

Virtually every program has made changes in the *Bulletin* description of its course of study and requirements at some time over the past ten years.

- Changes in the First and/or Second examinations have been made by audiology, classics, economics, educational psychology, French, history, psychology, and physical therapy.
- Most programs have now instituted "special studies" generic titles or "independent studies" courses, under which new developments in the disciplines can be offered experimentally before being formally added to the list of curricular offerings. An example of this is the introduction of independent study within public health, which resulted from recognition of the broad (and changing) range of methodologies in the field.
- Another type of change has been the shift from three- to four-credit courses in French, Hispanic and Luso-Brazilian, and comparative literature, to bring their courses into line with those in other research universities.

Finally, it should be noted that this description of curricular changes is illustrative rather than exhaustive, and not all proposals for curricular change are approved (even with suggested revisions) and put into effect. A proposal for an en-route M.A. in American studies, administratively connected to the Certificate Program in American Studies, has not yet formally passed the Committee on Curriculum and Degree Requirements, and a proposed M.A. in French translation has similarly yet to be approved for submission to Graduate Council.

As new courses are added, courses that are no longer deemed to be useful are removed, resulting in a more focused, relevant set of offerings. For example, the Women's Studies Certificate Program, when it revised its curriculum in response to an external review, dropped three courses and added two new courses, to reduce the required courses from six to five.

Supplementing the Curriculum

Although the Graduate School has a comprehensive, dynamic curriculum with robust mechanisms for change, gaps do exist and multiple strategies are used to address them in the short term. These include

- Topics Courses: As noted above, every program has selected topics courses that allow doctoral programs to change the contents of courses on a temporary or rotating basis. In this way, they can offer experimental courses or modify existing courses to reflect current research. A recent query to the GC's database found over 840 topics courses in the *Bulletin*.
- Consortia Arrangements with Other Institutions: These offer students an opportunity to enroll in a variety of courses that could not be supported by the faculty of one institution. The Graduate School currently participates in thirteen consortium or exchange programs.¹⁵⁴ The Inter-

¹⁵⁴ These are listed in Appendix 7-3.

University Doctoral Consortium (IUDC) is the largest and broadest based of these agreements.¹⁵⁵ On average, 200 Graduate School students representing 80 percent of our doctoral programs enroll in a diverse range of courses in forty-five to fifty different subject areas per academic year.¹⁵⁶

- **The CUNY Permit Process.** The CUNY permit system allows students throughout CUNY to enroll in courses offered at any campus. Such an arrangement allows Graduate School students to strengthen foreign language skills and enroll in specialized lab courses in the absence of an undergraduate foreign language program or laboratories at the Graduate School. This arrangement also enables Graduate School students to enroll in introductory or master's level courses in other disciplines, thus fostering and encouraging opportunities for interdisciplinary study and research. On average, 140 Graduate School students enroll in CUNY permit courses per semester in a diverse range of courses that represent on average thirty-seven different subject areas.¹⁵⁷

These short-term opportunities for expanding the curriculum are consistent with the consortial nature of the Graduate School itself. They give students an opportunity to reach beyond the limits of the Graduate School curriculum and at the same time give the Graduate School an opportunity to serve a larger academic community by offering facilities and expertise to the students of other institutions.

Connections Across the Curriculum: Interdisciplinary Study

Interdisciplinarity has reached critical mass in academic life in the past two decades. The emergence of new forms of academic scholarship and intellectual inquiry has helped make previously fixed disciplinary boundaries more fluid, allowing faculty and students to explore and incorporate diverse modes of academic inquiry into their teaching and research. Virtually every doctoral program includes some interdisciplinary courses. In addition to these, a variety of special programs are built around interdisciplinary studies: seven doctoral certificate programs,¹⁵⁸ twelve IDS Concentrations (see below), the M.A. in Liberal Studies Program, interdisciplinary lecture series, and the provost's three-year Interdisciplinary Initiative, including three new committees as described in the Introduction and Chapter 1.

The Interdisciplinary Concentrations: The Interdisciplinary Studies (IDS) Concentrations are ancillary to the doctoral programs and offer students yet another way to explore interdisciplinary inquiry. They also serve as a "proving ground" for new interdisciplinary endeavors, which, if successful, could in principle become certificate programs. The concentrations include the following: advanced social research; Africana studies; cognitive science; European Union studies; fashion studies; language and literacy; Latin American and Caribbean studies; lesbian/gay/queer studies; psychology of political behavior; public policy and urban studies; twentieth-century studies; urban health and society. Some of these concentrations offer their students core courses in the area and all recommend to their students other relevant courses offered by the Graduate

¹⁵⁵ Through the process described in the IUDC agreement, students may enroll in courses in the graduate programs at any of the following universities: Columbia University, Teacher's College, Fordham University, The New School University, New York University (also Steinhardt School of Education), Princeton University, Rutgers, and State University of New York, Stony Brook.

¹⁵⁶ Appendix 7-4 tabulates the enrollment in consortia courses over four fall semesters, grouped by the Graduate School program in which the student is enrolled.

¹⁵⁷ Appendix 7-5 shows the academic subjects at other CUNY colleges in which Graduate Center students took courses over five fall semesters.

¹⁵⁸ The Certificate Programs are discussed in Chapter 8, "Related Educational Offerings."

School. While several of the existing IDS Concentrations continue to offer courses for students, a number have become inactive, and a systematic review of the IDS Concentrations would be appropriate.

Interdisciplinary Courses: The Provost’s Special IDS Initiative: Linked to the IDS Concentrations are IDS courses designed to enhance interdisciplinary study opportunities for graduate students and to encourage doctoral faculty members to experiment with new interdisciplinary approaches in doctoral instruction. These courses, sponsored by the provost’s office, result from a special competitive initiative for doctoral faculty members to submit courses that are specially designed for interdisciplinarity.¹⁵⁹

The Master of Arts in Liberal Studies (MALS) Program: Established in 1981, the CUNY Master of Arts in Liberal Studies Program offers interdisciplinary courses of study in ten areas of concentration: American studies; approaches to modernity; bioethics, science, and society; biography, autobiography, and memoir; film studies; international studies; landmarks of Western thought; Latin American, Caribbean, and Latino studies; urban education; and women’s studies. The required courses each student must complete are the designated core courses in their concentration; otherwise, students have their choice of courses from across all of the disciplines and programs offered by the Graduate School.

As the following chart shows, the registration in MALS has climbed steadily over the last ten years, as has the number of graduates.

Table 1
Registration and Degrees Conferred

Year	Registrants	Graduates
2000	59	8
2005	89	19
2008	99	20

Interdisciplinary Lecture Series: The provost’s office has sponsored several interdisciplinary lecture series that featured distinguished scholars from across the country speaking about their intellectual work and the ways in which interdisciplinarity transformed their research and teaching.¹⁶⁰ In fall 2008, a very successful collection of symposia and seminars was initiated by the vice president for research and sponsored programs and coordinated with the Metropolitan Opera in conjunction with the premiere of the new John Adams opera about Dr. J. Robert Oppenheimer, *Dr. Atomic*.

Interdisciplinary Research Centers and Institutes: Much interdisciplinary research and public programming is carried on by the Graduate Center’s thirty-one centers and institutes.¹⁶¹ These are focused on a wide variety of

¹⁵⁹ The eight special IDS courses offered in the spring 2009 semester were: Introduction to Lesbian & Gay/Queer Studies; Introduction to Africana Studies; The Psychology of Immigration and American National Identity; Latin American Society & Literature; U.S. Memorials from Vietnam to 9/11; Empires and Their Ends: Colonial and Post-Colonial Identities within an Atlantic Frame; and Community Survey Methods I: Sexuality and Law.

¹⁶⁰ Among these were “Interdisciplinary Conversations,” which included talks by Randy Bass (Georgetown University), Paula Treichler (University of Illinois at Urbana-Champaign), and Robert O’Meally (Columbia University). A recent “Distinguished Lecturer Series” featured presentations by Judith Butler (University of California, Berkeley), David W. Deamer (University of California, Santa Cruz), Barbara J. Fields (Columbia University), Iris Marion Young (University of Chicago), and Jack Snyder (Columbia University).

¹⁶¹ A complete list of the research centers and institutes may be found in Appendix 7-6.

subjects that are often cross-disciplinary, such as theater; philanthropy; politics; technology; environmental, ethnic, and urban studies; and more. The institutes and centers have grown directly out of the doctoral programs and are staffed, for the most part, by faculty and students.

Assessing Educational Offerings

The individual programs are responsible for creating, maintaining, and updating the curriculum and so the task of assessing it is also theirs. To assess the success of their educational offerings, the programs employ a number of methods, including both informal (discussions with program students and faculty in open meetings and committees) and formal assessments (student course evaluations and comprehensive/qualifying examinations).

An example of how this input is used to improve courses and programs can be found in the minutes of Graduate Council, November 12, 2008, which record the following rationale for a new, required course in audiology (AUD 71000a Diagnostic Audiology):

- The audiology supervisors of students in audiology practicum (AUD 79001, AUD 79002, and AUD 79003) have raised concerns over the past three years based on their observations of student performance that the students are inadequately prepared to enter AUD 79001 because of insufficient hands-on experience with audiologic instrumentation. The student feedback for this course substantiates the instructor feedback. This laboratory provides expanded hands-on experiences with the audiologic instrumentation and an overview of practicum protocols and procedures so that students can maximize their clinical learning from subsequent practica.

Other means of assessing the educational offerings include:

- *The First and Second Examinations.* The ultimate success of a program's course of study is how well it prepares its students in their doctoral work, of which the most important benchmarks are a student's performance on the First and Second examinations. These are qualifying or comprehensive exams required by every doctoral program in the Graduate School. The Graduate School has determined that these examinations are the most important instruments in assessing student learning and they are discussed and analyzed in detail in Chapter 9 ("Institutional Assessment and Assessment of Student Learning").
- *External Program Reviews.* Also crucial in assessing the adequacy and appropriateness of a program's curriculum are the periodic external program reviews. As described in chapters 2 and 9, the Office of the Provost oversees formal external reviews of each program every ten years, organized and administered by the Office of Institutional Research and Program Evaluation. As an example of the usefulness of such a report, in response to the external review, the Criminal Justice Doctoral Program made several important modifications to its program to enhance student learning, give students a better understanding of the foundational courses in criminal justice, and assess whether student learning goals are met.
- *Program Reviews of Curriculum.* All programs have a curriculum committee made up of both GC-based and college-based faculty as well as students. This committee reports to the executive committee and undertakes reviews of courses as well as initiates proposals for new courses at the request of the executive committee of the program. For example, in 2008–9, the Philosophy Program revised their requirements for both the M.A. and the Ph.D. after a survey of students, an open meeting of the curriculum committee, and finally a vote in the executive committee. The changes were approved by Graduate Council in spring 2009.
- *Student Course Evaluations.* Student course evaluations are used by approximately 50 percent of the doctoral programs; these evaluations are discussed in terms of assessment of faculty in Chapter 6 ("Faculty and Research").

Advising of Students on Course of Study

When students enter the Graduate School, the individual programs generally assign students faculty advisors, though as the students progress through their course of study, they usually choose their own advisors. Advisors help the students select appropriate courses with an eye to the students' interests, course requirements, and preparation for the First and Second examinations. At the beginning of the registration period each semester, the programs make available course descriptions, usually on their Web pages, with pertinent details about each course.¹⁶² In most programs, students cannot register online without first consulting a designated advisor, who approves their course selection and gives them a PIN number, which is required for registration.

Public Programming in Relation to Educational Offerings

The Graduate Center is also committed to the principle that public programming enhances the education of its students and provides a vital link between the academy and the broader community. The Graduate Center public offerings stimulate individual achievement and help create a public bridge to the issues and ideas that animate the higher education community.

Beginning with the 2008 academic year, the focus of Graduate Center public programming shifted. It decided to transition its traditional continuing education programming into free public programming connected more coherently to its academic mission. Thus, the public programs are now linked directly to the larger intellectual enterprise of the Graduate Center, relying on the research centers and institutes and doctoral programs to conceive and conduct public programs that speak to and demonstrate the highest intellectual aspirations of our faculty and students. This new public programming initiative is designed to further engage the general public in an ongoing intellectual and cultural dialogue with the Graduate Center.

Toward this end, the Center for the Humanities offered the "Great Issues Forum" in 2008–9, which was a series of public programs focused on a single issue, "Power".¹⁶³ In 2009–10, the Office of Institutional Advancement took over the "Great Issues Forum," which this year is on religion. Other public programs are also being offered based upon the extraordinary New York City history collection at the Seymour B. Durst Old York Library, housed at the Graduate Center's Mina Rees Library, and upon various Gotham Center on New York City History's program offerings. These events explore New York City's rich history and make that history accessible to teachers, students, scholars, and the general public. Additional public programs made available recently include: a series on the Civil Rights struggles in the 1960s; various presentations and performances under the broad rubric of Science & the Arts; and the acclaimed "Music in Midtown" daytime concert series featuring guest artists and the Ph.D. Program in Music's faculty and doctoral students. All of these programs are offered at no charge to the public and are examples of the expansion of the Graduate Center's educational offerings beyond the classroom and beyond the immediate Graduate Center community.

¹⁶² As an example, see the course descriptions for the Ph.D. Program in Theater for the spring semester of 2009 on <http://web.gc.cuny.edu/theatre/courses/s2009.html>.

¹⁶³ Future Center for the Humanities programs involving Graduate Center faculty, graduate students, and members of the public are discussed in Chapter 6.

Resources in Support of Educational Offerings

There has been a dramatic improvement in the resources available to support the educational offerings in the last five years.

Mina Rees Library: The Mina Rees Library supports the academic programs offered at the Graduate Center by providing the resources needed for dissertation research, course work, and preparation for qualifying exams. The library houses 315,000 print volumes and provides access to over 125 electronic reference and aggregation services and 12,119 current serial titles in all disciplines. The library, however, is neither designed nor maintained as a research library and functions in a consortial fashion with all of the other CUNY libraries. All students and faculty have borrowing privileges at all other CUNY libraries, and there is a patron-initiated document delivery service through which patrons can request books to be delivered to the campus library of choice. The library provides additional access through a robust interlibrary loan service that includes delivery to desktop of articles available in other scholarly collections. The library also participates in a New York State-wide document delivery project, which often has a turnaround time from request to delivery of less than one day.

Open eighty-three hours a week, the library facility contains adequate student seating and provides areas for quiet study as well as use of computers networked to Graduate Center software and networked drives. There are connections for laptops as well as Wi-Fi.

With a staff of approximately twenty-eight full-time employees, there are nine professional positions, and the latter group all possess subject master's or doctoral degrees in addition to the MLS degree. All librarians serve as liaisons to assigned programs, offer workshops in effective research methods, and work individually with students to identify and frame search strategies and incorporate the use of tools such as Endnote and Zotero into their research processes. Librarians have also participated in the workshops for chancellors fellows, providing a framework to these new students for incorporating information literacy in their teaching.

Information Technology Service: There is always a need to replace, update, and increase equipment in support of student learning. The IT office plans, on the basis of a four-year life cycle, to replace desktop computers with updated equipment. With the current enrollment trends, only marginal increases are anticipated in the overall number of desktop computers at the Graduate Center, which now total 1,800. On the advice of the registrar, the one hundred "smart classrooms" (equipped with computers at each station) are also considered adequate. Classrooms and meeting spaces now all feature "smart room" resources such as Wi-Fi and DVD players. All student lounges and the library have computer facilities and printers. Students may also check out laptops and portable audiovisual equipment. Training activities, in the form of workshops and minicourses, are being expanded. In short, the maintenance and enhancement of IT resources in support of student learning are under constant review, updating, and enhancement.

Audiovisual Services: Equipment resources in support of educational offerings include data projectors, DVD and VCR players, document cameras, digital cameras, TVs, portable PA and music systems, and related items. Equipment available for student checkout includes Marantz tape recorders, audio transcribers, digital still cameras, digital video cameras (digital 8 format), and conventional 35mm still cameras and tripods. Necessary upgrades to AV resources for large meeting rooms, video Web streaming, and videoconferencing will be rolled out in the near future.

Achievements in the Last Five Years

- As part of CUNY's Decade of the Sciences, the Graduate Center has established joint degrees in biology, biochemistry, chemistry, and physics with Hunter and City colleges, and the Engineering Program was successfully moved to City College and has as of spring 2010 launched an Institute of Theoretical Sciences.
- Four new health sciences doctoral programs were established at the Graduate Center in partnership with four other CUNY campuses: audiology, physical therapy, nursing science, and public health. The governance documents for audiology and nursing science were approved by Graduate Council in December 2009.
- A new Ph.D. in Forensic Psychology was added to the psychology subprograms.
- A new M.A. in Middle Eastern Studies was added, as well as a number of en-route M.A.s
- A Certificate Program in Interactive Technology was established in 2002.

Challenges

- The Graduate Center offers advanced study of six European languages: French, Spanish, Luso-Brazilian, Italian, Latin, and ancient Greek. However, while Graduate Center students can and do study Japanese, Chinese, Arabic, and Russian in other CUNY colleges and take courses in Middle Eastern studies, East Asian studies, and Slavic studies in other local universities through the Interuniversity Consortium,¹⁶⁴ the Graduate Center needs to consider expanding offerings in these latter areas, especially with the increased emphasis on globalization studies.
- As the Graduate Center moves toward increased interdisciplinary work through its three new committees and its current interdisciplinary studies, there will be a need for a thorough review of the coherence of interdisciplinary work at the Graduate Center.
- The Graduate Center and CUNY will need to work with Hunter College to integrate the joint Ph.D. degree in public health with the newly established CUNY School of Public Health.

Actions Going Forward

- The provost and the associate provost and dean for the humanities and social sciences will investigate the feasibility of expanding the Graduate Center's graduate level offerings in Middle Eastern and Asian languages and culture, including Hebrew.
- The associate provost and dean for humanities and social sciences will review the interdisciplinary offerings of the Graduate Center and assess the adequacy of the Graduate Center's present and future offerings and recommend changes where appropriate. They will also review the IDS concentrations to determine which are still active.

¹⁶⁴ See Appendix 7-3.

EIGHT

Related Educational Activities

Standard 13: Related Educational Activities

The institution's programs or activities that are characterized by particular content, focus, location, mode of delivery, or sponsorship meet appropriate standards.

The Graduate School and University Center is made up of two entities, the “Graduate School,” which is the M.A.- and especially Ph.D.-granting arm of the institution, and the “University Center,” which refers to three CUNY-wide programs that cover a broader and more diverse educational audience. This chapter describes the three entities in the University Center (the long-standing CUNY B.A./B.S., along with two new entities, the Graduate School of Journalism [GSJ] and the School of Professional Studies [SPS]), as well as the certificate programs that are part of the Graduate School.¹⁶⁵

The Three Units of the University Center

At the time of the last Middle States self-study in 2000, the University Center had not been established as a separate entity within the Graduate School and University Center. Since then, the CUNY Board of Trustees adopted a governance plan for the University Center. The CUNY Baccalaureate Program (CUNY B.A./B.S.) was placed within the University Center, and the School of Professional Studies and the Graduate School of Journalism were also established with the University Center. This arrangement has provided the CUNY system and the CUNY Chancellery with a flexible mechanism for establishing, governing, and supporting new and innovative academic and public programs that do not easily or comfortably fit into the traditional academic structures of CUNY's constituent senior and community college campuses.

The three educational entities considered in this chapter are constituted and governed¹⁶⁶ separately from the Graduate School's faculty and administrative governance structures.¹⁶⁷ The appointments of the heads of the Graduate School of Journalism and the School of Professional Studies are made by the chancellor and both heads report directly to the chancellor. They also have a budget and Performance Management Process (PMP) completely separate from the Graduate School. The Graduate School of Journalism has its own building at 219 West 40th Street in Manhattan, and the School of Professional Studies has its administrative offices at 101 West 31st Street in Manhattan. SPS offers classes both online and at other instructional sites.¹⁶⁸

The appointment of the head of the CUNY B.A./B.S. is made by the president of the Graduate Center in consultation with the chancellor of CUNY, and the head reports to the president of the Graduate Center. The CUNY B.A./B.S. budget is contained within the budget of the Graduate Center. The CUNY B.A./B.S. has its administrative offices in the Graduate Center building.

¹⁶⁵ For a history of the Graduate Center, see the Introduction.

¹⁶⁶ See governance documents for the University Center in Appendix 8-1.

¹⁶⁷ See Appendix 8-2 for organizational charts for all three University Centers.

¹⁶⁸ See the MSCHE annual institutional profile in the Document Room.

Each of the educational entities targets a different nondoctorate degree audience and level of instruction that CUNY is committed to serving.

- The Graduate School of Journalism offers a master’s program that prepares and credentials print and digital journalists.
- The School of Professional Studies offers nontraditional students credit-based, nondegree certificate programs, as well as B.A. and M.A. degree programs, some of them delivered online, in subject matters and areas of interest not currently available elsewhere in CUNY.
- CUNY B.A./B.S.’s target audience is returning and new CUNY undergraduates interested in designing and pursuing unique interdisciplinary courses of study leading to specialized B.A. or B.S. degrees.

The Graduate School of Journalism

The CUNY Graduate School of Journalism opened in September 2006, offering a Master of Arts Degree in Journalism. The Graduate Center received formal approval in September 2005 from the New York State Education Department to open the program. Stephen Shepard, the editor-in-chief of *Business Week* for twenty years, serves as the school’s founding dean. The GSJ’s mission is to provide the highest quality of journalism instruction to a diverse student body, to serve students who might otherwise be denied the opportunity to enter the field of journalism, and to bring greater diversity to the news profession.

The program is full-time only and spans three semesters plus a summer, during which students are required to serve a news internship. The curriculum includes required core courses in reporting and writing, journalistic ethics and law, and basic broadcast and interactive skills. Students also take courses in a variety of media formats (e.g., print, broadcast, and interactive) and select one content specialization in which they can focus their reporting efforts (urban, business/economics, health/medicine, arts/culture, or international reporting).

Governance: The chief academic and administrative officer of the Graduate School of Journalism is the dean, who is appointed by and reports to the CUNY chancellor. The dean may appoint an associate and assistant, as well as program directors for each media track and subject concentration. The GSJ is governed by a Governance Council, whose voting members are made up of full-time faculty constituting 60 percent of the faculty membership, 20 percent of the consortial faculty,¹⁶⁹ and 20 percent of the adjunct faculty. Consortial and adjunct faculty elect their representatives for the council for one-year terms. Two students are elected by the entire student body for one-year terms, and a third student is elected by the incoming class. The dean presides as president of the council and reports directly to the chancellor of CUNY, who reports to the CUNY Board of Trustees.

GSJ Budget and Planning Process: At the end of each semester, the faculty gather for a half-day “retreat” to review the work of the previous semester and discuss plans for the upcoming semester and issues of the curriculum. These discussions inform the development of the goals and targets for the GSJ’s PMP¹⁷⁰, and those targets in turn help guide budget plans for the coming year. The GSJ’s Personnel and Budget Committee provides input to the dean on the GSJ’s budget proposal, and each spring the dean reports to the Governance Council on the budget request to CUNY and the budget approved by New York State.

Applicant Pool and Admissions: In its first year of operation, the GSJ attracted more than 200 applicants and successfully competed for students along with the nation’s best graduate schools of journalism, with

¹⁶⁹ See Appendix I-1 for a description of the consortial and allocation systems.

¹⁷⁰ See the Graduate School of Journalism’s PMP for 2008–9 in the Document Room.

about one-third of the new students coming directly from undergraduate study, another third from within the journalism profession, and a final third drawn from workers seeking credentials for a new career. In the most recent recruitment cycle, 320 students applied for 80 seats.

The average age of students at the GSJ is twenty-seven, with many students having freelanced previously or worked at small publications or broadcast outlets. The male-female ratio is roughly 35 to 65 percent, which is in line with graduate programs in journalism nationally. Three-quarters of the first three GSJ classes have been New York State residents; the remainder hail from around the country. Each of the classes has had a handful of international students. In line with the GSJ's mission, the number of underrepresented students enrolled in the first three classes has averaged 43 percent.

The GSJ's admission process is holistic, based on GREs, GPAs, writing samples, personal essays, interviews, references, and an exam administered by the GSJ that tests grammar and news fluency, as well as writing and analytical abilities. In the classes admitted to date, the trend has been toward a slight increase in quantifiable scores like GREs and GPAs, even as the entering class increased in size from fifty in the first two classes to sixty-two in the Class of 2009 and an expected eighty in the Class of 2010.

As a publicly supported institution, the GSJ charges a fraction of other graduate journalism programs: \$11,000 in total tuition and fees, spread over three semesters. Because GSJ students are discouraged from working or interning more than one day a week to generate income during the three-semester M.A. program, the GSJ dean has raised \$9 million in private support for scholarships. In each of the first three classes, 80 percent of students received some form of scholarship assistance from the school.

Faculty and Staff of the GSJ: New York is arguably the media capital of the world, which helps the school attract not only talented students, but also faculty members experienced in journalism as well as teaching.

- By fall 2009, the GSJ had ten full-time faculty members, all of whom were highly successful journalists before joining GSJ and all continue to practice their journalist craft. They gained experience in institutions ranging from the *New York Times*, *Business Week*, *Newsweek*, *Newsday*, the *Daily News*, the *Economist*, *Time*, *Miami Herald*, *Advance Publications*, *PBS*, *Advance.net*, *Fortune*, and *Oxygen Media*. The GSJ faculty includes a full-time librarian, who has developed an excellent journalism research center and has helped infuse instruction in research methods into the curriculum. In fulfillment of the school's mission, half of the faculty members are from underrepresented groups.
- The GSJ benefits greatly from the consortial faculty model created by the Graduate Center, which allows the GSJ to draw on undergraduate journalism faculty members from around CUNY. Approximately ten professors from other CUNY colleges have taught courses at GSJ in the first three years.
- The GSJ also attracts a superb class of adjunct faculty members—professionals who leave their newsrooms for a few hours a week to share their deep experience with GSJ students. The list of institutions from which these adjuncts hail is broad—the *New York Times*, the *Daily News*, *Bloomberg News*, *NBC*, *New York 1*, *Crain's New York Business*, *NPR*, *ABC*, *Time*, *CBS*, *Newark Star Ledger*, *Newsday*, and *Haitian Times*

Publication and Research: The faculty of the Graduate School of Journalism are active in publishing on a wide variety of topics.

- In 2008-9, in addition to producing lengthy magazine articles, Web sites, and blogs on journalistic and nonjournalistic topics, full-time and consortial faculty have authored five books and edited two more.

- In 2008-9, the school has won four grants to study ways to sustain quality journalism at a time when changes wrought by the Internet threaten the financial health of many legacy news organizations.
- GSJ hosted a conference on New Business Models for News in October 2008 under a MacArthur grant and, in August 2009, presented research findings on sustainable business models for news to a group of media leaders at the Aspen Institute. This work, funded by the Knight Foundation, will continue.
- The school is also involved in a hyper local news research project in partnership with the *New York Times*, funded through the Carnegie Corporation.
- In the GSJ's first three years, faculty have attracted seven research and other grants from institutions ranging from the Knight Foundation, McCormick Foundation, MacArthur Foundation, the Robert Wood Johnson Foundation, and J-Lab: The Institute for Interactive Journalism, as well as a \$6 million matching grant from the Tow Foundation to establish a Center for Journalistic Innovation.

To support the faculty, the school employs a dozen full-time technical staff members who are available to assist in and out of class when students are facing technical issues with interactive and broadcast projects or need advice on using the equipment in a journalistic context. Students may also seek supplemental instruction from print, broadcast, interactive, and photography coaches who are part of the adjunct faculty. Each of the media tracks and the subject concentrations has a program director who closely monitors instruction by adjuncts and consortial faculty to ensure that the faculty's vision is carried out and to ensure an evenly high level of instruction in all courses and sections.

GSJ Curriculum: Faculty members at the Graduate School of Journalism had the benefit of creating the school's curriculum from scratch, based on the needs and challenges facing journalism in the twenty-first century.

- All GSJ faculty members were in accord about the need to create a curriculum that first educated students in the foundations of journalism—reporting, writing, and editing—as well as in how to tell journalistic stories in a wide variety of media, as is increasingly demanded by journalism employers.
- The faculty also agreed that students in the second and third semesters of the program should take courses in a specific content area to give them experience delving deeply into a particular “beat” or subject area and to provide them with a reporting specialty that could assist them in landing a job following graduation. Those specialty content areas are: urban, business-economics, health-medicine, arts-culture, and international.
- A defining aspect of the GSJ is its converged media curriculum. All students must learn multimedia storytelling and online presentation and must then use those skills in assignments for their content courses. No student may graduate without having gained experience in the new vocabulary of journalism, including photojournalism, filming and editing video, gathering and mixing audio, writing narration, designing and editing for the Web, and using the Internet as a publication vehicle.
- Supplementing the curriculum is the January Academy, a series of twelve one- to three-day noncredit workshops offered during the January break. Funded by a \$100 student fee, the academy introduces students to discrete topics that may not warrant a full course, such as using Excel spreadsheets in reporting or techniques reporters use to manage their time. Also included are seminars in specialized areas of writing, such as food, travel, personal finance, and sports. Student participation is voluntary, and academy offerings are also open to alumni.
- As the Internet rewrites how journalism is practiced, it also challenges how it is funded. The curriculum ensures that all students understand these changes and gives all students the

opportunity to become news entrepreneurs, pioneers in online hyperlocal journalism, or participants in grant-funded work exploring new business models for news.

- A board of advisors has been in place from before the school opened to provide valuable guidance to the GSJ faculty and administration as the curriculum was being shaped and as it continues to be adjusted based on newsroom needs, realities, and challenges. The board includes the news executives from a broad array of journalism institutions based in New York.

Transfer Credit: The GSJ has a relatively short program that requires students to attend full-time and graduate as a cohort. Therefore, in the short time of its existence, the GSJ has not had transfer students apply. Long-range plans include the option of a fourth semester to spread out course work, and in that event the program might be able to accommodate transfer students. The faculty will discuss transfer policy in the next academic year.

Relationship of the GSJ and the Graduate Center: Its status as a component of the larger Graduate Center enhances the GSJ's ability to provide the high-quality instruction demanded of it by its students, CUNY at large, and the news profession. While the school is not located at the Graduate Center's main campus at Fifth Avenue and 34th Street, it is only a ten-minute walk away. GSJ's all-wireless complex includes a cutting-edge newsroom, television and radio studios and control rooms, broadcast and interactive editing classrooms and suites, eight smart classrooms, faculty and administrative offices, and working cubicles for adjuncts.

The Graduate Center provides critical support and business functions for the GSJ, including: hiring and benefits processing through its human resources office; accounting; auditing; purchasing; inventory control; and registrar and bursar functions. Graduate Center facilities, especially the Mina Rees Library and the Student Health Center, and its public programs, speakers and conferences, are open to GSJ students. Additionally, space at the Graduate Center is made available to the GSJ for meetings and conferences when the GSJ's own smaller facility proves inadequate.

Within the broader picture, both the Graduate Center and the GSJ benefit from CUNY-wide collaborations and services. These range from academic and programmatic collaborations (e.g., consortial faculty who teach at GSJ and development of a health reporting certificate at Hunter College's Graduate School of Health Services), to services (GSJ students use the Baruch College gym facilities), to administrative and technical assistance (CUNY's computing and information services office provides CUNY's overall Internet connectivity, which serves the GSJ, the Graduate Center, and all CUNY campuses; CUNY TV, physically housed at the Graduate Center, provides technical support staff for the GSJ broadcast laboratory; and some GSJ marketing/outreach services are provided by CUNY's office of external affairs).

With these shared services in place, the GSJ has its own budget within CUNY's overall budgetary structure, ensuring that the Graduate Center's fiscal resources are not affected by GSJ needs and priorities. In fact, GSJ's Research Center/Library has added hundreds of new data streams and publications to the offerings available to doctoral students and faculty from the Graduate Center and across CUNY. Further, some Graduate School students have enrolled in GSJ courses to enhance their writing skills and expand their options upon receipt of their doctorates; others have been employed at GSJ as graduate assistants; and others have attended conferences or have spoken at various programs at the GSJ.

Retention, Graduation Rates, and Job Placement in the GSJ: Because this is a full-time program, students move through as a cohort (with few exceptions) and most complete the program within the designated three semesters. The one-year retention rate for the first two classes was 86 percent and 96 percent, respectively. Graduation rates were 79 percent and 96 percent, respectively.

GSJ regularly monitors retention and graduation rates of underrepresented groups to ensure they are roughly equal to the overall population at large and has committed to instituting special support programs if those rates diverge significantly. Happily, the graduation rate for underrepresented groups was 73 percent in the first class and 95 percent in the second class, very close to the overall student population.

In the first class, almost 70 percent received paying journalism jobs within their first three months following graduation; a year later, that number rose to 80 percent, despite a high level of layoffs in the journalism field at the time. Six months after graduation, 75 percent of the members of the Class of 2008 were employed full-time in the field of journalism or are freelancing full-time on their own volition. Every one of the members of the first two classes received a paid summer internship (supported by a grant from the Knight Foundation).

Assessment and Improvement:

Student Satisfaction: In the most recent student satisfaction survey, completed by the Class of 2008, 80.7 percent of students were very satisfied or somewhat satisfied with academic advising and 80.6 percent were very satisfied or somewhat satisfied with library services. This survey showed that the Graduate School of Journalism had some work to do with the career services office (which had a change of leadership halfway through that academic year), with only 50 percent of students reporting they were very or somewhat satisfied with career services. One hundred percent of students said they were either very or somewhat satisfied with the admissions process; overall satisfaction with student support services at the GSJ was 88.5 percent

Curricular Review: At the end of each semester, the faculty gathers for a one-day retreat to discuss how the curriculum could be updated and how suggestions from external groups, including prospective journalism employers or the GSJ Board of Advisors, could be implemented.

In the three years that the GSJ has been open, the curriculum has been altered, and more than half of the courses have been rewritten in response to assessment findings and external recommendations. An example is the research methods course that started as part of the core curriculum. Concerns voiced by students led to a restructuring of the course and the hiring of professional researchers from journalism publications as instructors. When results were not much better by the third year, material covered was embedded throughout the overall GSJ curriculum. At the end of the first semester implementing this new approach, research faculty members believe this was a positive move, and students are adopting more research methodology in their reporting. This approach may well be revised again, but each time we have reviewed our approach, GSJ leadership has learned something and has gotten closer to the mark. GSJ faculty agree on one critical point: research methods must remain a core skill taught in the school, whatever format is used to teach it.

Evaluating Teaching: Faculty members receive feedback on the efficacy of their teaching techniques through the above-mentioned peer observations and student ratings. Additionally, all new adjuncts are assigned a senior faculty member as a mentor (usually a program director). Because of the hands-on nature of much of the instruction, less experienced adjuncts are also teamed up with more senior faculty members in a teaching team, allowing them to observe accomplished teaching even as they teach themselves.

Assessment of Student Learning: Currently, mastery of media-focused course materials is judged on the sophistication and timeliness of reporting, writing, and multimedia assignments. Mastery of courses focused on content specialties (e.g., urban or international reporting) is assessed by quizzes, drills, class discussions, and the quality of news stories produced for class assignments. Faculty expectations and grading standards are clearly stated in course syllabi.

In the spring 2009 semester, the GSJ embarked on an outcomes assessment process. The skills and content that students are expected to have at graduation are incorporated within existing course syllabi.¹⁷¹ The outcomes process is an assessment and enhancement of these goals for student learning and expected outcomes. The outcomes assessment allows for more detailed guidelines and assessment in each course and adds clarity to how courses must build upon each other toward a final outcome.

Student Learning Goals: In January 2010, the Faculty Committee on Student Outcomes approved a list of competencies expected of students who complete the program, which is being presented to the faculty and Governance Council for comment and approval in spring 2010.¹⁷² This committee is currently examining the stated outcomes of all courses in terms of competencies and plans to have a report ready to submit to the faculty and Governance Council in fall 2010.

Looking Forward: The Graduate School of Journalism will:

- Work toward its accreditation by the Accrediting Council on Education in Journalism and Mass Communications (ACEJMC), the recognized accrediting agency for the journalism profession, in the next three years. The GSJ had its first visit by an ACEJMC representative and has identified three areas to address: updating the mission, continuing work on outcomes assessment, and strengthening governance and budgeting procedures.
- Continue to recruit, especially in communities of diversity, to ensure that the applicant pool remains at a high level.
- Add to the number of full-time instructors.
- Expand student service offices to accommodate a planned increase in enrollment, including a continuing and professional education office.
- Investigate the feasibility of a new entrepreneurial journalism concentration that would be offered in a fourth semester.
- Expand resources through fundraising and grant awards through the activity of the new development office.

School of Professional Studies (SPS)

Overview of School of Professional Studies (SPS): Established in 2003, the CUNY School of Professional Studies has since developed a wide range of noncredit courses, credit-bearing certificate programs, and bachelor's and master's degree programs. It currently serves more than 1,500 students whose educational needs cannot be met by conventional programs or conventional forms of instructional delivery. SPS provides these students with integrated academic and student support services, including advisement, tutoring, and library services, all guided by an accomplished team of faculty and staff.

Governance:¹⁷³ The dean of the School of Professional Studies is appointed by and reports to the chancellor. The dean may appoint associate and assistant deans and recommends academic directors for each program to the CUNY Board of Trustees for three-year terms. The governing body is the School of Professional Studies Council.¹⁷⁴

¹⁷¹ Sample syllabi of courses with goals for student learning and outcomes are available in the Document Room.

¹⁷² See Appendix 8-3 for "Report from the Outcomes Committee."

¹⁷³ The SPS organizational chart is available in the Appendix 8-2.

¹⁷⁴ The members of this council include the dean, who serves as chair; the president of the Graduate School and University Center; the academic directors; nine full-time faculty appointed by the University Faculty Senate, the

Budgeting and Planning:

Budgeting: The CUNY associate dean for administration and finance establishes and maintains the approved operational budget for SPS and its academic and grant-funded programs, as well as the Joseph S. Murphy Institute. SPS utilizes incremental budgeting, building on the recurring budget from the prior year. A summary budget is drafted in early spring for review by senior administrators and CUNY's budget office. During the year, there are weekly meetings with senior administrators to monitor the budget, evaluate the current status of revenues, expenditures, and receivables, and plan for the coming fiscal year. There are also monthly fiscal, enrollment, and performance meetings with the academic program directors. Finally, the associate dean for administration and finance and the director of fiscal and business operations meet twice a year with senior administrators from the CUNY Budget Office to review current and future budgets.

Planning: The planning process, under the leadership of the dean of SPS, takes place over the course of the year and is guided by CUNY's PMP. The PMP¹⁷⁵ provides a road map for SPS's programmatic and operational growth and for aligning established goals and targets with specific outcomes.

Faculty: Though SPS does not have a resident full-time faculty, its faculty includes many full-time faculty members at CUNY who teach courses at SPS in addition to, or in partial fulfillment of, their regular faculty appointments.

Students: In spring 2009, there were 1,449 students enrolled in all SPS programs. The SPS student body reflects the population of CUNY at large: it is ethnically, culturally, and academically diverse and is representative of the national trend of adults returning to school to enhance their career opportunities. A cross-section of marketing and course evaluation data¹⁷⁶ reveals that there is no typical SPS student—they are diverse in age, educational background, and occupation. However, the majority, regardless of what program or course they enroll in, work full-time and are typically seeking career advancement. Most students are between the ages of twenty-five and thirty-four (with those thirty-five to forty-four being the next largest age bracket); most are female, and nearly half are raising children.

*Overview of Educational Offerings:*¹⁷⁷ SPS is a point of entry to the educational resources of the whole City University of New York. Its rapid growth stems from its initial goal: to provide flexible educational services to working adults, employers, and organizations. SPS began in the summer of 2003 with the Literacy Leader Certificate Program and 213 students.

It currently offers an array of credit-bearing programs:

- Online baccalaureate and master's programs: B.A. in Communication and Culture (started in fall 2006); B.S. in Business (spring 2008); M.S. in Business Management and Leadership (fall 2009);

president, and the chancellor (three by each), serving three-year terms; consortial faculty elected by the consortial faculty for each program (and equal in number to a quarter of such faculty); two students elected annually by students enrolled in degree programs; two adjunct faculty members appointed annually by the dean; two representatives from CUNY's Adult and Continuing Education Programs (one representing the senior colleges and one representing the community colleges, both appointed by the dean).

¹⁷⁵ See SPS PMP for 2008–9 in the Document Room.

¹⁷⁶ See SPS Spring 2009 Marketing Survey and sample course evaluations in the Document Room.

¹⁷⁷ A full list of SPS's constituent programs is attached as Appendix 8-4.

master's programs offered in conventional classrooms (but by no means conventional in focus): M.A.s in Applied Theatre (started in fall 2008), Disability Studies (spring 2009), and Labor Studies (spring 2009).

- Certificate programs, both advanced or postbaccalaureate (five)¹⁷⁸ and undergraduate (six).¹⁷⁹
- Individual credit courses and noncredit training programs.¹⁸⁰

Often, individual courses and especially the certificate programs are educational pathways to full degrees: both the M.A. in Disability Studies and the M.A. in Labor Studies grew out of success with advanced certificates in those fields.

Equivalency Agreements with Other CUNY Colleges: SPS has established nearly a dozen articulation agreements with other CUNY colleges that allow SPS students to transfer SPS courses and certificate credits to other CUNY degree programs. For example:

- Hunter College's Graduate Programs in Counselor Education, Lehman College's M.S.Ed. Program in Recreation Education, and the Graduate School's Master of Arts in Liberal Studies all accept credits earned in the interdisciplinary Advanced Certificate in Disability Studies.
- SPS's Labor Studies Certificate Programs have articulation agreements with the Labor Studies Programs offered at Queens College,
- The School of Education at City College accepts course credit in SPS's Master of Arts in Applied Theatre for City College students enrolled in the Master of Education and Theater.
- SPS requires each individual stand-alone course or certificate to have at least one articulation agreement prior to presentation to the SPS's Governing Council for approval. All the online science education courses are offered in partnership with the American Museum of Natural History articulated with Brooklyn College's School of Education.
- Finally, CUNY students may take SPS courses through the CUNY's e-Permit System, which allows CUNY students to request approval to take a course at any CUNY college (including SPS) and have that course count as part of their academic requirements at their home college.

Online Baccalaureate Transfer Credit Policy:¹⁸¹ All online baccalaureate candidates are eligible to transfer ninety academic credits. Courses taken at other institutions will be evaluated by the director of admissions and students services and used, if they are equivalent to required courses, to fulfill the requirements where possible. Advanced placement and life experience credit awarded by other institutions and officially noted on transcripts will be considered for transfer credit. Transfer credits do not compute into the online baccalaureate grade point average.

Contractual Relationships and SPS: The existence of SPS has enabled CUNY to offer unique credit-bearing courses in partnership with prestigious outside organizations, including the American Museum of Natural History and the Lincoln Center Institute for the Arts in Education. It may be, as with Lincoln Center, that the partnering institution has already developed a high-quality program but one that leads to

¹⁷⁸ Advanced certificate programs include public administration I and II, CUNY/Cornell labor relations, disability studies, and immigration law.

¹⁷⁹ Undergraduate certificate programs include public administration, health care policy and administration, labor studies, disabilities studies, and project management.

¹⁸⁰ SPS courses and programs are listed on the school's website: <http://sps.cuny.edu>

¹⁸¹ See the *School of Professional Studies Bulletin 2009-2010* in the Document Room or at <http://sps.gc.cuny.edu/pdf/Bulletin.pdf>. The transfer credit policy is described on page 14 (17 of online version).

no credits or credential; SPS can then develop that into a program of graduate credit-bearing courses. In other cases, as with the United Federation of Teachers, SPS and the partner organization may jointly sponsor the development of an entirely new program. The Literacy Leader Certificate Program was one such program that was then articulated with an existing program in the Education School at CUNY's City College of New York. SPS has also partnered with local government agencies to develop noncredit courses and programs.¹⁸²

Online SPS Degree Programs and Their Assessment: SPS's two online bachelor's degree programs¹⁸³ (joined in fall 2009 by CUNY's first online graduate degree) grew out of efforts to create online courses at various CUNY campuses at the start of the new century. This online development work, supported by a major grant from the Alfred P. Sloan Foundation and guided by the recommendations of CUNY's Task Force on Educational Technology, resulted in the online courses guaranteed to achieve the same goals (and to be subject to the same standards, procedures, and policies) as traditional face-to-face courses taught at CUNY. What the SPS faculty actually created, as demonstrated through years of ongoing evaluations by the Center for the Advanced Study of Education (a nationally recognized research center based at the Graduate Center), were courses that were in fact equal if not stronger teaching and learning experiences than their conventional counterparts, largely because a model of highly interactive online instruction was established. The same faculty members who led the development of those CUNY online courses developed the online degrees for SPS, and many, as consortial faculty for those degrees, exercise curricular oversight over the online programs and guide program assessment and faculty development.

The quality of online instruction is also ensured by student and peer evaluations, individualized training of new faculty, ongoing discussions and resource sharing in online sites, and major faculty development events held each term. Student evaluations have shown a high level of student satisfaction: nearly three-quarters of the students report they find their courses richer learning experiences than their previous classroom-based instruction. Most students report no technical difficulties. Faculty development events feature student feedback (actual panels of students as well as the results of student evaluations) on the quality of the online instruction. This same feedback has led consortial faculty to develop a guidelines booklet (now widely circulated throughout CUNY), as well as a standards document that must be endorsed by all newly hired faculty.

Online Course Identity Verification: All students in the online instruction offered by SPS must log in through an LDAP (Lightweight Directory Access Protocol) that uses IDs and passwords to invoke an authentication triangulated against name, date of birth, and social security number. This secure login is a student's only means of access to Blackboard, the course management system. Every action within a course site registers on Blackboard's extensive tracking features, which track each user in terms of time and duration of the action and part of the site involved, even if there is no posting by the student. SPS will continue to monitor the evolution of identity verification technologies.

¹⁸² SPS's current roster of program partners includes Dale Grant Associates—Better Energy and Family Shares Workshops, Money Concepts Workshops, Customized Courses; NYC Office of Emergency Management—Coastal Storm Plan Training Project; NYC Department of Homeless Services—HOPE Street Learning Program; NYC Housing Authority—Executive Leadership Program; NYC Housing Authority—Leadership Academy; NYC Human Resources Administration—Office of Child Support Enforcement; NYC Human Resources Administration—Food Stamps Training Initiative; NYC Department of Citywide Administrative Services—Project Management; NYS Public Authorities Training Program; Metropolitan Transit Authority Training Program; NYS Office of Children and Family Services Training Program; CUNY Fund-Raising Academy; CUNY first Supplemental Training (for new databases and procedures for human resources, financial management, and student information systems being implemented university-wide).

¹⁸³ The online bachelor's degrees are for "degree completers," i.e., students who have at least thirty credits of prior college instruction.

Assessment of All SPS Courses and Programs: Like the online programs, all SPS programs are expected to follow a cycle of defining clear goals, monitoring their attainment, and using evaluation to revise and refine curricular objectives. Every SPS course syllabus must clearly identify the learning objectives for the course (see example in Document Room). Each program defines program objectives as well as course objectives.¹⁸⁴ At the end of the term, SPS faculty members for each program meet with the associate dean for academic affairs of SPS and staff for “Academic Review,” a full day of reviewing student performance. These academic reviews have resulted in the resetting of prerequisites, the resequencing of courses, and significant course revisions, including the addition of new courses as well the proposal of a faculty mentoring program for students nearing the end of their degree work in the degree programs.

In the online degree programs, assessment also includes midterm evaluation for every student. Approximately half the students who seem headed for unsatisfactory grades at midterm are able to complete their course work successfully, largely because of the “wake-up call” the midterm evaluation represents. The online degree programs are also piloting e-portfolio projects that exemplify performance on core competencies throughout a student’s progress in a program. Using the evidence of learning accumulated in each student’s e-portfolio, faculty will be able to assess relative success in achieving outcomes. Results of this ongoing assessment process will be used to revise and improve both the content and methods of delivering the curriculum.

Arguably, the critical as well as the culminating assessment of outcomes is the capstone project in the degree programs. Before the term of their capstone project, students in the online B.A. are required to have developed a research plan, a review of the literature, and an IRB proposal (when necessary) and to have all this reviewed and signed off on by a faculty mentor. There are similar approaches now in the online B.S. in Business and in the four master’s degrees.

Graduation and Retention Rates: The first of SPS’s degree programs (it now has six), the online B.A. in Communication and Culture, is too new to have five-year data, having just started its fourth year; the online B.S. in Business is in its second). The first person to graduate with the online B.A. in Communication and Culture did so in September 2007, and to date, there have been a total of fifty-five graduates. The first graduates of the online B.S. in Business were in February 2009; sixteen students have graduated to date.¹⁸⁵ The M.A. programs in SPS are also too new for there to be trend data on graduation rates (the oldest, the M.A. in Applied Theater, is only in its second year). The first graduates in the M.A. programs are expected at the end of spring 2010.

Support Services for SPS Programs: The student service area is one of the most important elements in SPS’s success. The School’s Admissions and Advisement Center and Student Services Office handle all aspects of student affairs for both degree and nondegree students. This challenge is overseen by SPS’s director of admissions and student services. Services within this area include admissions, financial aid, and academic counseling, as well as registrar and bursar services. Admissions and academic advisement are also provided through each academic program.

SPS has established a centralized Inquiry and Admission Services Center that provides expanded access to information about the school’s academic programs into the evenings and weekends. Supported by four full-time and four part-time advisors, as well as eight part-time inquiry specialists, the center is able to

¹⁸⁴ See these objectives in the Document Room.

¹⁸⁵ Students come into the online baccalaureate programs with a minimum of thirty credits.

provide information and advisement to enrolled and prospective students via telephone, live online chat, or face-to-face meetings.

While supported by the SPS's Admissions and Advisement Center and Student Services offices, SPS's Joseph S. Murphy Institute for Worker Education¹⁸⁶ and the Off-Campus College¹⁸⁷ have similar services especially designed to bring students into their programs and support their success at SPS. Counselors in these programs provide academic and career advisement as well as on-site support to students.

SPS Facilities: Outside of its main administrative offices at West 31st Street, SPS does not have what might be called a campus. Arrangements have been made with both CUNY and non-CUNY institutions to allow SPS to use their space. It is true that multiple locations for SPS's administrative staff and for instruction create operational and logistical challenges, as do the space requirements of a rapidly growing student body and faculty.

Technical and Staff Resources in SPS: Like other elements of SPS, the information technology and operations team is resourceful in providing support and not just to SPS's online degree offerings. SPS has created an Information Technology Department with considerable experience in everything from online registration and advisement to online document delivery and library services. The Information Technology Department comprises the school's help desk, the instructional technology team supporting Blackboard as a course management system for SPS faculty and students, the technology staff providing support to the school's Web sites, and the staffing and support for the broader online resources available to all of SPS's students, faculty, and staff. SPS has, with the cooperation of CUNY central's Computing and Information Services (CIS), pioneered online infrastructural and personnel support of SPS admissions and registration. Work in bringing CUNY's first online degree program into being ensured that SPS has state-of-the-art registrar and bursar services, as well as student support services (counseling, advising, tutoring, orientation, and library services) all available online.

CUNY Baccalaureate for Unique and Interdisciplinary Studies (CUNY B.A./B.S.)

Overview: In 1971, in an effort to better integrate the various colleges comprising the CUNY system, the Board of Higher Education authorized CUNY to award a University-wide bachelor's degree in accordance with recommendations made by a subcommittee of the University Faculty Senate. Originally called the CUNY Baccalaureate Program, the name was changed in 2008 to CUNY Baccalaureate for Unique and Interdisciplinary Studies (known as CUNY B.A./B.S.) to better represent its specialized role within the CUNY system. Under its new name, CUNY B.A./B.S. continues its original mission of offering students a flexible and academically challenging way to earn their degrees while giving them a share of the responsibility for the design and content of those degrees. More than thirty-five years after it was founded, the program continues to have three basic goals:

- to encourage students to take advantage of the resources and learning opportunities available at the CUNY's seventeen community and senior colleges and at the Graduate Center;

¹⁸⁶ The Joseph S. Murphy Institute for Worker Education and Labor Studies, named after a former university chancellor who was a strong proponent of organized labor, serves the educational, policy, and research needs of unions and their members and increases access to higher education, as well as retention and graduation of union members enrolled in CUNY colleges.

¹⁸⁷ The Off-Campus College (OCC) offers working students access to a college education by providing workplace-related, credit-bearing courses and certificates. Founded in 1980 as part of Cornell University's Institute for Women and Work, the Off-Campus College provides college courses for women and men in preparation for advancement in the workplace.

- to allow self-directed, academically talented students to design an individualized program of study that complements their academic, professional, and personal goals; and
- to foster intellectual exploration and responsible educational innovation.

CUNY B.A./B.S. is for highly motivated, academically strong students who want areas of concentration (majors) not available in typical departments at the four-year CUNY colleges. Each student can pursue one or two areas of concentration; for each area, students must have at least one faculty mentor (two in the cases of interdisciplinary areas).

Most CUNY B.A./B.S. students are working adults, and many are raising families; 80 per cent are over twenty-five years old (49 percent are over thirty-five years old); and a significant number are returning to school, often after a hiatus of from five to thirty years.¹⁸⁸

Governance: The academic director of CUNY B.A./B.S. is appointed by the president of the Graduate Center in consultation with the chancellor. The governing body of CUNY B.A./B.S. is the University Committee, made up of fourteen members and two alternates.¹⁸⁹ CUNY B.A./B.S.'s degree requirements are established by the faculty on the CUNY Committee on the CUNY B.A./B.S.; those same members also vote on approving the candidates for their degrees each semester.

Recruitment and Admissions to CUNY B.A./B.S.: A student who wishes to apply to the CUNY B.A./B.S. must

- have fifteen college credits in an accredited college;
- submit a personal statement explaining the desire for an interdisciplinary or unique course of study;
- submit a proposal for a single or dual area(s) of concentration in an interdisciplinary or otherwise unique field(s) of study;
- have a minimum 2.50 GPA;
- be registered at a CUNY college (students can apply to CUNY at the same time they apply to CUNY B.A./B.S.); and
- submit a faculty (or employer for students out of school) letter of recommendation.

The program encourages prospective students, who generally come from CUNY colleges, to attend an informational session at the Graduate Center, held eight to ten times per semester, in order to help them understand the program's mission and goals, as well as its criteria for admission and successful completion of the degree. Students unable to attend a session generally speak with someone in the

¹⁸⁸ CUNY B.A./B.S. students have been recipients of many prestigious fellowships and awards. These include John F. Kennedy, Jr. Fellows Program Scholarships, Thurgood Marshall Scholarships, Ronald E. McNair Post-CUNY B.A./B.S. Research Fellowships, Fulbright Fellowships, Mellon Fellowships, and Louis Stokes Alliance for Minority Participation Fellowships. Other awards include CUNY Women's Coalition Scholarships, CUNY Pipeline Fellowships, Women's Educational Forum Scholarships, Minority Access to Research Careers Program Scholarships, CUNY Student Senate Awards, CUNY Alumni Scholarships, CUNY Study Abroad Travel Grants, and Phi Beta Kappa and other honor society memberships.

¹⁸⁹ These include the president of the Graduate Center, the executive vice chancellor for academic affairs, a CUNY college president chosen by the Council of Presidents for a one-year term, six faculty members and two alternates from different colleges and different disciplines chosen by the University Faculty Senate for staggered three-year terms, and five students nominated by the academic director and approved by the University Student Senate for one-year terms. The committee is chaired by a faculty member chosen by the committee (by vote) each year.

program office prior to submitting an application. The students who apply to CUNY B.A./B.S. are self-selecting, and the average GPA from previous college work upon entry is 3.20 (considerably higher than the 2.50 minimum required).

The academic director reviews and passes judgment on all completed applications (occasionally after consultation with the admissions coordinator and/or the deputy director). If so approved, every student must be personally interviewed by an academic advisor prior to final admission. Those admitted are required to attend an orientation meeting at the beginning of the fall or spring semesters. These sessions introduce the students to each other (because they enter with different numbers of credits and with different programs of study, each cohort of new students is singly and collectively diverse and therefore may never cross paths again) and to the entire CUNY B.A./B.S. staff.

Advisement and Curriculum: Once accepted, students are advised by full-time professional academic advisors at the program office, in addition to campus-based faculty mentors, who are full-time professors at CUNY. Students are tracked in cohorts according to their entry class and remain with their assigned academic advisors and chosen faculty mentors until they graduate.

CUNY B.A./B.S. Courses: CUNY B.A./B.S. does not offer courses; the students' degrees are comprised of courses taken at CUNY colleges, and via alternative means, such as credit-by-exam and life experience.

Courses taken on the various CUNY campuses are vetted, approved, and evaluated by each CUNY college's faculty. The coherence of all the AOC courses and their pertinence to the individual learning goal of each of the students is determined by the student's faculty mentor(s) and the program's academic director. The faculty mentors make decisions regarding specific areas of study and the director decides which of the AOC courses are rigorous enough to warrant approval for an area of concentration. A monthly newsletter for mentors highlights newly established, high-quality AOCs.¹⁹⁰

General Education: In addition to the area of concentration, students must complete a thirteen-course liberal arts and sciences general education distribution, which is divided into five categories: literature, humanities, social science, foreign language, and math/science.

Area of Concentration: Students are given one semester's time in which to submit their detailed Area of Concentration (AOC) form, listing all of the courses that will apply to their area and signed by their faculty mentors. Within the areas of concentration, the learning goals are for the students to:

- develop knowledge of a particular subject (typically one that is interdisciplinary);
- integrate increasingly complex ideas (courses must progress from intermediate to advanced levels); and
- establish an intellectual foundation for further academic study and/or professional activities.

Each submitted Area of Concentration form, signed by the student and his or her mentor, is reviewed first by the student's academic advisor, who then submits it, along with any comments, to the academic director for final review and approval.

Other courses: In addition to completing the distribution and area of concentration courses, students may need to take elective credits to reach the minimum requirement of at least 120 credits for the degree. Students are often encouraged by program staff and especially by their faculty mentors to pursue

¹⁹⁰ See the checklist for faculty members for area of concentration in the Document Room.

independent study, internships, graduate-level courses, and honors courses. Students can also take courses offered online and credit-by-exam to fulfill part of their degree requirements.

IP Credits by Examination: Within the program, the two most common methods of earning credit-by-exam are completion of CLEP exams (College-Level Examination Program, offered by the College Board) and exams offered by New York University's Foreign Language Proficiency Testing Program.

Prior Experiential Learning: Life Experience Credits, has been a part of CUNY B.A./B.S. since its inception; the program's life experience credit philosophy, policies, and procedures are based on recommendations made by the Council on Adult and Experiential Learning (CAEL).

Criteria and Procedures for Awarding Course Credit for Life Experience:¹⁹¹ The purpose of CUNY B.A./B.S.'s life experience evaluation process is to provide a mechanism for recognizing appropriate noncollegiate learning experiences that have taken place prior to a student's entry into college or during a hiatus of at least one year in the college career. Attendance at a seminar, followed by the preparation of an outline, which is reviewed by the academic director, with comments to the student, and then the submission of a portfolio and a \$50 administrative payment are required before the awarding of credits. The academic director assures, through the evaluation of the submitted narratives, that the learning experiences are equivalent to college-level courses and that all necessary documentation is provided before the determination of the number of credits to be awarded. Learning experiences are typically grouped by subjects, with the student proposing specific college courses as equivalents. The credits, therefore, are posted with appropriate titles for each of the learning experiences, typically three credits for each, although the number of credits for each "course" title may vary. A maximum of fifteen credits can be awarded by the academic director. Credit cannot be granted for work that duplicates courses in the program that have been or will be completed. All such credits are electives, which cannot be used to satisfy the area of concentration or liberal arts and sciences requirements. Since 2000, the academic director has evaluated an annual average of fourteen life experience portfolios, while granting an annual average of 152 total life experience credits, approximately eleven credits per student.¹⁹²

Monitoring Student Progress and Achievements: Students enter the program as either full-time or part-time students and with between fifteen and ninety transfer credits. The CUNY B.A./B.S. administration has begun tracking cohorts in terms of how long it takes to have an approved concentration, the entering GPA of students and their average graduate GPAs, as well as other potentially useful information.

In the early weeks of each semester, after grades for the prior semester are posted, the registrar and academic director review the records of students whose GPAs have fallen below 2.50. All students who do not meet the 2.50 GPA requirement are placed on academic probation and have one semester to bring up their grades or face dismissal. Because of a rigorous admissions review, the diligent advising and monitoring of the students, and the high level of students' ability, focus, and motivation, the number of dismissals for insufficient GPAs or lack of progress is extremely low; the percentage of students on

¹⁹¹ See the document "Credit for Prior Experiential Learning" in Appendix 8-5.

¹⁹² In summer 2009, CUNY B.A./B.S. participated in a national study funded by the Lumina Foundation and carried out by CAEL on the academic outcomes of students who had been awarded credit for life experience by examination or by evaluation by agencies such as the National Program on Noncollegiate Sponsored Instruction or the American Council on Education. The final report is due out in early 2010. The preliminary report, however, indicates that students who earned credits through these alternative methods: (1) have better graduation rates than other students, regardless of institutional size, level, or control; (2) have higher rates of persistence compared with other students; and (3) earned bachelor's degrees in a shorter period of time compared with other students—a difference of between 2.5 and 10.1 months, depending upon the number of special assessment credits earned.

academic probation each year has varied from 3 percent to 7 percent since 2003, with only one or two students dismissed because of poor academic performance each semester, if any. (Students who are dismissed from the program may choose to pursue their studies at one of the CUNY colleges and can also reapply to CUNY B.A./B.S. if they show proof of improved grades.)

There is great inconsistency among campuses as to whether CUNY B.A./B.S. students are permitted to be placed on the dean's list or receive departmental honors at the home colleges. Fortunately, the CUNY B.A./B.S. registrar prepares the program's own dean's list, an honor awarded to CUNY B.A./B.S. students who maintain a 3.5 average for thirty consecutive CUNY credits (with no incomplete grades). For each subsequent twelve consecutive credits earned with a 3.5 GPA, the student is placed on the CUNY B.A./B.S.'s dean's list again.

The program's standard for graduation honors is rigorous, taking into consideration both the GPA achieved while in the program and the GPA for all prior-to-entry college credits. Students whose prior-to-entry work disqualifies them from graduation honors may earn the dean's certificate for academic excellence. From 2003 to 2009, 59 percent of graduating students earned *cum laude*, *magna cum laude*, *summa cum laude*, or the dean's certificate.

Graduation Rates: More than six thousand CUNY B.A./B.S. students have completed CUNY B.A./B.S. degrees in a wide array of student-generated interdisciplinary areas of study. The number of CUNY B.A./B.S. students enrolled in the program in any given year is between 450 and 500. On average, they graduate with their degrees in 2.2 years. Over the past twenty years, the percent of students who enter and then graduate has been between 65 and 72 per cent.

Table 1
The CUNY Baccalaureate Program
Number of Students and Cumulative Percent Graduated after N Years in the Program, 2000-2005

Entering Year	Admitted		1 Year		2 Year		3 Year		4 Year		5 Year		Total
	N	N	Cum %	N									
2000/01	264	11	4.2	79	34.1	56	55.3	20	62.9	7	65.5	173	
2001/02	242	22	9.1	63	35.1	48	55.0	25	65.3	--	--	158	
2002/03	294	26	8.8	63	30.3	51	47.6	--	--	--	--	140	
2003/04	257	17	6.6	67	32.7	--	--	--	--	--	--	84	
2004/05	273	9	3.4	--	--	--	--	--	--	--	--	9	

Support Services for CUNY B.A./B.S. Students: For the first decades of CUNY B.A./B.S., the program operated with a largely part-time staff. In 2007, CUNY's central administration recognized the program's many achievements and increased its operating budget by 30 percent, allowing part-time positions, such as those in academic advising and recruitment, to be converted to full-time professional lines. Students rely on their home college specifically for financial aid, health services, class registration, career counseling, and job placement. Recently CUNY B.A./B.S. was successful in securing home college alumni rights and benefits for graduated students.

Although students are expected to be active participants in managing their academic program, there is a full-time staff of professional advisors, registrars, admissions personnel, and others to make sure requirements are fulfilled and that the individualized program of study is being followed. In addition, each campus has either a faculty member or administrator designated as the CUNY B.A./B.S. campus

coordinator, who monitors the operation of CUNY B.A./B.S. on their campuses, provides information about the program to students, staff and faculty, and offers guidance to students as requested.

Students are expected to meet periodically with their faculty mentors and with their assigned academic advisors. When a student completes between ninety and one hundred credits, he/she must have a graduation audit with an advisor in order to determine the remaining requirements to be completed and to project their graduation date. Students have access to their CUNY B.A./B.S. academic progress through an online advisement report that is kept up-to-date with all pertinent data (coursework completed, core requirements, concentration courses, liberal arts and science credits, grade point average, etc.) and is accessible via password protection through the Graduate Center's online Banner administrative system. Students are expected to review their records each semester and discuss any inconsistencies or questions with their advisors.

CUNY B.A./B.S. also maintains an active blog on which both student achievements and announcements about jobs, internships, and other opportunities are posted. The program is now creating a new feature that will function as a virtual community for students to communicate with each other on a broad range of topics.

For a number of years, CUNY B.A./B.S. has had several distinct scholarships, all funded by private donors.¹⁹³ At any given time, 10 to 12 percent of enrolled CUNY B.A./B.S. students receive one of these scholarships. In January 2009, CUNY B.A./B.S. received a grant from the International Foundation for Study Abroad, which will permit nine grants of \$5,000 to \$5,500 each to students studying abroad for full-semester programs.

Career Paths of Recent Graduates in Relation to CUNY Undergraduate Colleges: The majority of students who are attracted to CUNY B.A./B.S. tend to have clear career paths in mind before they enter the program. Many are seeking career advancement within the field in which they are already employed, while others are seeking to make a specific career change. Upon graduation, more than half of CUNY B.A./B.S. graduates report having received promotions or raises in their current positions or starting new careers. Moreover, annual alumni surveys show that the majority of CUNY B.A./B.S. students report that they are working in fields related to the areas of concentration they completed in the program.¹⁹⁴

The Relationship of the CUNY B.A./B.S. and the Graduate Center: CUNY B.A./B.S. occupies a main office at the Graduate Center, a second large space with cubicles, and four independent offices, all within a single corridor. The Graduate Center also provides the program with computer and phone equipment and ongoing technical support, as well as the use of Graduate Center facilities, such as meeting spaces and the print shop.

¹⁹³ These include the Thomas W. Smith Academic Fellowships; the Diego Hidalgo Scholarship for Political Science/International Affairs; the Diego Hidalgo Scholarship for the Arts; the Harriet Brows Scholarship for Social Change; the Daniel E. Smith Scholarship for Returning Women; and the Memorial Scholarship for Students in Education or Human Services. Some scholarships—namely the largest one, the Thomas W. Smith Academic Fellowship—are awarded for more than one semester. For those awards, students have to submit semester progress reports and show continued eligibility. Another scholarship has been added recently for students entering CUNY B.A./B.S. in spring 2009, The Albert Simic Scholarship for Actors. This is the first CUNY B.A./B.S. scholarship available to entering students.

¹⁹⁴ These surveys are available in the Document Room.

As an undergraduate program, CUNY B.A./B.S. is something of an anomaly at an institution that is devoted primarily to advanced graduate work. However, as an example of the interplay of the CUNY B.A./B.S. and the Graduate School, in 2005, the Middle Eastern and Middle Eastern American Center (MEMEAC) at the Graduate Center received a U.S. Department of Education Title VIA grant of over \$450,000 to, among other activities, establish an undergraduate specialization in Middle Eastern studies through CUNY B.A./B.S. CUNY B.A./B.S. students are also frequent participants in the CUNY Pipeline Program at the Graduate Center, which is designed to provide educational and financial support to underrepresented CUNY undergraduates interested in pursuing the Ph.D.

Certificate Programs in the Graduate School

The Graduate Center’s seven doctoral certificate programs¹⁹⁵ offer doctoral students an opportunity to extend the intellectual reach of their studies beyond their principal academic discipline by focusing on particular areas of interdisciplinary inquiry. The certificate is granted simultaneously with the awarding of doctoral degrees and is listed on the student’s doctoral diploma and transcript. Ranging from nine to fifteen credits, each certificate program allows doctoral students to broaden their knowledge and increase their opportunities for future academic employment.

All the certificate programs have been approved through the regular processes of the Committee on Doctoral Requirements, the Graduate Council, and ultimately the CUNY Board of Trustees and New York State. All certificate programs are part of the external review process, and all have published lists of requirements to complete the certificate. All have Web sites¹⁹⁶ on which the requirements are specified. Each certificate program has a coordinator who is a member of the graduate faculty and who is appointed for a three-year term by the president in consultation with faculty and students in the program. There is also an assistant program officer (APO) for the certificate programs. Both the coordinator and the APO advise students who are in the program and those who are considering taking the certificate. The certificate programs require core courses in the subject of the certificate and also electives, which are courses offered by doctoral programs and which can be counted toward the credits for their Ph.D. work.

As part of the Graduate Center’s development of the assessment of student learning, the provost will require the certificate programs to include the program’s learning goals on its Web site and to include expectations of student learning goals on all core course syllabi.

Approximately 4 percent of doctoral graduates also receive certificates.

Table 2
Students Graduating with Certificates

Academic Year	Certificates Conferred
2000–1	266 graduates, 4 certificates (1.5 percent)
2004–5	298 graduates, 13 certificates (4.4 percent)
2008–9	409 graduates, 14 certificates (3.4 percent)

¹⁹⁵ The Graduate School offers certificates in the following fields of study: American studies, demography, film studies, interactive technology and pedagogy, medieval studies, renaissance studies, and women’s studies.

¹⁹⁶ These are listed in Appendix 7-1.

Achievements in the Last Five Years

- Established in 2003, the CUNY School of Professional Studies has, since fall 2006 (before which SPS had no degrees), launched six degrees (four master's degrees and two bachelor's). The most recent degree, the online M.S. in Business Management and Leadership, was launched in fall 2009.
- CUNY received formal approval in September 2005 from the New York State Education Department to open the Graduate School of Journalism, which is part of the University Center. It offers a master's program.
- With funds supplied by U.S. Department of Education Title VIA grant of over \$450,000 awarded to the Middle Eastern and Middle Eastern American Center (MEMEAC) at the Graduate Center in 2005, CUNY B.A./B.S. is in the process of establishing an undergraduate specialization in Middle Eastern studies.

Challenges

- With the recent additions of the Graduate School of Journalism and the expansion of the School of Professional Studies to the University Center of the Graduate School and University Center, it has become clear that the lines of reporting in the University Center entities need to be examined.
- The CUNY B.A./B.S., which is physically located at the Graduate Center building at 365 Fifth Avenue, needs additional space.
- SPS has outgrown administrative and classroom space available at the Graduate Center and needs its operations to be consolidated in terms of space.

Actions Going Forward

- The review of reporting lines between GSJ and SPS and the Graduate Center has already begun with initial discussion between the president of the Graduate Center and CUNY's University Council.
- As the Graduate School of Journalism pursues accreditation by ACEJMC, it will strengthen its assessment, governance, and budgetary processes.
- SPS is working with the CUNY central administration to find new space. Significant space is targeted for the school at 101 West 31st Street.
- SPS will develop a full strategic plan to match the recently adopted mission and vision statements, which is due to the dean by the end of the 2009–10 academic year.
- The administration of the Graduate Center will work with the central administration of CUNY to secure additional space for the CUNY B.A./B.S.
- CUNY B.A./B.S. will work on outcome assessment to establish learning goals for general education and assess general education and a mechanism to evaluate success in individualized study (AOC).
- The provost will require the Graduate School certificate programs to include the program's learning goals on its Web site and to include expectations of student learning goals on all core course syllabi.

NINE

Institutional Assessment¹⁹⁷ and Student Learning Assessment

Standard 7: Institutional Assessment

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

Standard 14: Assessment of Student Learning

Assessment of student learning demonstrates that, at graduation, or other appropriate points, the institution's students have knowledge, skills, and competencies consistent with institutional and appropriate higher education.

Institutional Assessment

The Graduate Center has in place documented, organized, and sustained processes for institutional assessment of its administrative and academic functions, largely comprised of the CUNY Performance Management Process (PMP), a regular cycle of academic program reviews, and periodic reviews of its administrative offices. These processes have the support of faculty and administration and provide clear guidance for the use of institutional resources. The results of these assessments are shared with relevant constituencies and play an important role in planning.

The Performance Management Process¹⁹⁸

The planning activities of the Graduate Center are fully described in Chapter 2. A significant part of those activities is the CUNY Performance Management Process (PMP). It is within the PMP that the Graduate Center sets annual goals and targets that further the achievement of its broader institutional goals. The PMP also forms a significant part of the Graduate Center's assessment of its institutional effectiveness.

At the end of each year, the Graduate Center reviews the progress it has made toward reaching its PMP goals and targets for the year. This review informs the setting of goals for the next year, or for the next several years, in the case of multiyear goals, and the actions to be taken to reach those goals. It also results in a PMP progress report that the Graduate Center delivers to CUNY central, describing the progress it has made in reaching its goals. These reports form the basis of CUNY's annual evaluation of the Graduate Center's performance.¹⁹⁹

¹⁹⁷ This chapter deals with institutional assessment for the Graduate School. The three entities in the University Center, discussed in Chapter 8 ("Related Educational Activities"), have their own assessment and reporting procedures. Only the CUNY B.A./B.S. reports to the Graduate Center president and takes part in the Graduate Center external review process.

¹⁹⁸ The Graduate Center and CUNY's planning processes are described fully in Chapter 2 ("Planning, Resources, and Institutional Renewal"). However, since the PMP is central to institutional assessment, details of the process are repeated here as well. A description of the PMP process can be found at <http://www.cuny.edu/about/administration/chancellor/performance-goals.html>

¹⁹⁹ See Appendix 2-1 for the most recent PMP progress report of the Graduate Center.

Examples of Institutional Assessment Within the PMP:

Faculty Recruitment: Each year since its last Middle States reaccreditation, the Graduate Center has set annual PMP goals for hiring distinguished faculty, in response to the CUNY chancellor's initiative to replenish CUNY faculty. The priorities for hiring in any given year are established, in part, as a result of academic program reviews, discussed more fully below. The results of each search are reported back to the University at the end of each year as part of the PMP.

Development of New Programs: Since the last Middle States reaccreditation, six new doctoral programs have been added to the Graduate Center's program offerings. Each stage of the development of these new programs became a target set within the framework of the annual PMP, from preparation of the program proposal to the admission of the first entering class.

Planning for the development of joint degree programs in the lab sciences and for the move of the engineering program to City College all became targets within the annual PMP, and progress toward reaching these targets was monitored and reported within the PMP progress reports.

Increasing Student Financial Support: Beginning with the PMP goals and targets of 2003–4, the Graduate Center set annual targets for increasing the financial support it provided to its students and for expanding the number of students receiving aid. Starting with the goal set in 2003–4 to “develop five-year fellowship packages to support student recruitment and retention,” and continuing to the present day, the Graduate Center set annual goals for expanding student financial support, while working each year to raise funds to support such goals. Most recently, in spring 2008, the Graduate Center set the goal of reaching a total of 340 five-year recruitment packages by fall 2009, a target it has achieved.²⁰⁰ In 2012, when this plan is fully phased in, and thereafter, there will be at any one time a total of 1,700 students receiving funding through a five-year financial aid package. In late spring 2010, the Graduate Center will review its progress toward meeting that target and report back to CUNY.

Increasing Retention and Graduation Rates (Improving Time-to-Degree): In another example, under the CUNY objective to “increase retention and graduation rates,” the Graduate Center set as a continuing objective “to monitor and analyze student progress and completion, with the objective to identify barriers to success.” Several years ago, in looking at its time-to-degree figures, it was clear there was room for improvement. The Graduate Center decided to undertake efforts to reduce time-to-degree and to add several measures of time-to-degree to the PMP, along with annual targets for each measure. The issue of time-to-degree was discussed in executive officer (EO) cluster meetings, and perspectives were shared on possible barriers to students' progress and on ways to improve time-to-degree. Over the last several years, significant new initiatives were introduced to improve time-to-degree, not the least of which was a major increase in student financial support, including tuition remission, but which also included such things as implementing more streamlined curricula where possible, offering workshops on writing the dissertation, asking programs to provide students with an expected timeline of student progress, encouraging “long-stayers” to complete their degree requirements, and instituting a new satisfactory progress indicator, the “No Record of Progress” grade.

Concurrent with these efforts, and continuing over a period of three years, indicators of student progress were identified and adopted, based in part on the best available national research on doctoral education. Three of these indicators focus on entering cohorts of students: the percentage of the cohort who withdrew before completing four semesters of study; the percentage who were advanced to candidacy by the end of the eighth semester; and the percentage who graduate within sixteen semesters. These three

²⁰⁰ The PMP progress report for 2008–9 is available in Appendix 2-1.

indicators allow the Graduate Center to monitor student progress in the early, middle, and late stages of their careers.

Data for these measures appear in Table 1 and document the dramatic improvements we have made in advancing students' progress. Over the past five years, we reduced early attrition by nearly five percentage points. The percentage of students who withdrew before completing four semesters fell from 14.4 percent in 2004–5 to 9.5 percent in 2008–9. In addition, we made significant improvements in our graduation rates. The percentage of students graduating in eight or fewer years rose from 28.8 percent in 2006–7 to 35.5 percent in 2008–9.

While these three progress indicators focus on entering cohorts of students, the Graduate Center uses two somewhat different indicators to monitor the extent to which students make timely progress toward obtaining their degrees. These two indicators do not pertain to an entering cohort but rather to existing students who have attained a particular benchmark. The two measures are: (1) the percentage of Level III students (those who have met all requirements for advancing to candidacy) who have been enrolled for fewer than sixteen semesters; and (2) the percentage of graduates who completed their degree within the Graduate Center time limit. Both of these measures improved significantly between 2003–4 and 2008–9, indicating the effectiveness of the Graduate Center's efforts to enhance student progress.

Table 1
Summary of Cohort Progress and PMP On-Time-To-Degree Measures
2003–4 through 2008–9

	Reporting Years					
	2003–4	2004–5	2005–6	2006–7	2007–8	2008–9
Cohort progress measures*						
Percent withdrawing before completing 4 semesters (4-year averages) ¹		14.4	12.2	12.0	10.3	9.5
Percent admitted to candidacy by end of 8 th semester (2-year averages) ²		40.5	43.6	40.2	36.3	39.0
Percent graduating within 16 semesters (2-year averages) ³		--	--	28.8	32.1	35.5
On-time degree measures						
Percent of Level III students on-time to degree	61.4	63.6	65.6	65.1	67.2	69.3
Percent of recent graduates who received their degree within the GC time limit	62.8	62.1	62.9	66.6	69.4	71.4

* For some cohort measures, the number of years averaged and reported in the annual PMP progress reports was revised over time. The figures reported here were calculated in the same manner across time, to facilitate trend comparisons, and therefore in some cases these figures may differ slightly from those appearing in the annual PMP progress reports.

¹ Averages for cohorts entering in the four years immediately prior to the reporting year.

² Averages for cohorts entering four and five years immediately prior to the reporting year.

³ Averages for cohorts entering seven and eight years immediately prior to the reporting year (figures in 2006–7 are for the 1999 cohort only).

Source: Performance Management Process (PMP) reports and cohort tracking file.

Improving Postgraduation Success: In line with its mission to prepare students for leadership positions, the Graduate Center also measures students' success by way of their postgraduation experiences. Another set of PMP measures allows us to follow the postgraduation outcomes for our graduates. Each year, the Graduate Center surveys its alumni five years after graduation. Three measures taken from the results of these surveys are monitored and reported regularly as part of the PMP. The percentage of graduates who

report that their employment utilizes their degree and the percentage of graduates employed in education who are in tenure-track positions have been monitored for several years. Last year a third indicator was added for graduates employed in nonacademic positions—the percent employed in leadership positions.

As shown in Table 2 below, we have seen a significant increase in the number of graduates establishing themselves in careers in higher education, and of those who are choosing careers outside of the academy, more are attaining leadership positions. In 2008–9, the proportion of graduates saying that they are employed in a job that utilizes their degree was at 97 percent, up from 89.7 percent five years ago. There has also been an increase in the percentage of students reporting they are employed in education, 73.0 percent, compared to 58.2 percent five years ago. Additionally, of those employed in education, there has been an increase in the percentage in tenure track positions, 72.0 percent, compared to 63.3 percent five years ago. Finally, there has been an increase in the number of alumni employed outside the academy who hold management positions, now 25.0 percent, compared to 18.0 percent five years ago.

Table 2
Summary of Alumni Survey Outcomes Measures
2003–4 through 2008–9

	Reporting Years					
	2003–4	2004–5	2005–6	2006–7	2007–8	2008–9
Graduate outcome measures (5 years after graduation)						
Graduation year	1997–8	1998–9	1999–0	2000–1	2001–2	2002–3
Percent reporting their employment utilizes their doctoral training	89.7	94.5	91.6	94.5	96.1	97.0
Percent employed in education sector	58.2	66.9	64.9	66.0	73.6	73.0
Percent of those employed in education who are in tenure track positions	63.3	76.3	71.9	67.4	69.6	72.0
Percent of those employed outside education who are in management positions	18.0	15.5	20.0	33.3	34.2	25.0

Source: Surveys of alumni five years after graduation.

The results of our surveys of alumni five years after graduation were instrumental in documenting that significant numbers of graduates were pursuing careers outside of the academy. This led to a decision to add to the Graduate Center’s professional development activities a workshop, “Working Outside the Academy,” taught by a professor from Baruch College of Business, who brought in a series of outside speakers to talk about opportunities in business or nonprofit organizations.

Broad Use of the PMP in Assessment: In addition to these specific examples, in the PMP the Graduate Center has set—and monitored its progress toward achieving—a host of other goals: the CUNY Science Initiative; the development of new degree programs; improving the quality of new students; building student professional development opportunities; improving the information technology infrastructure; providing better student support services; expanding faculty hiring; tracking faculty scholarly activity; improving administrative services; and improving fundraising. Detailed descriptions of goals set and progress made can be found in the PMP progress reports for 2000 through 2008.²⁰¹

²⁰¹ Available in the Document Room.

Periodic Evaluation of the PMP: The PMP has evolved over the years, as CUNY and member colleges review each year's progress reports and work together to make the PMP and the colleges' evaluations more transparent. CUNY and the Graduate Center have also worked over the years to improve the setting of goals to make them more easily measurable. CUNY staff members have met with Graduate Center staff to review the PMP, the Graduate Center's evaluation, and to discuss ways that the Graduate Center can best align its goals with those of CUNY.

The PMP goals and targets are discussed each year at the level of the president and vice presidents, and elements of the PMP are shared with the executive officers of doctoral programs. However, the PMP goals and targets and the Graduate Center's end-of-year progress reports are not widely disseminated, though the goals and targets of all CUNY colleges are posted to the University chancellor's Web site.²⁰²

External Reviews of Academic Programs²⁰³

Each academic program undergoes a self-study and external review every ten years. The schedule of reviews is available in Appendix 9-1. The process begins with the program preparing a set of self-study documents that includes a description of the program, a statement of issues that the members of the faculty of the program think most important to discuss with the reviewers, and profiles of faculty, students, and graduates. Two reviewers are selected from peer programs across the country to form a visiting team. The team spends two days at the Graduate Center meeting with faculty, students, and administrators to discuss the program. The team prepares a report to the provost and program, following which the program prepares a response. The reviewers' report and the program's response form the basis of discussions between the program and the provost, during which plans are made for actions that the program and/or the provost will take.

The reviews have a near- to medium-term planning focus. They have set the stage for program-specific decisions regarding faculty replenishment, curricular revisions, and student professional development (examples discussed in detail below). Beyond aiding planning for the individual program under review, however, these reviews also provide direction for institution-level planning. A significant example is the case of doctoral student financial aid. Specifically, the visiting teams for many of the academic reviews repeatedly noted that the Graduate Center was offering aid far below the national norms, impairing student progress and reducing the Graduate Center's student recruiting. The teams' recommendations that doctoral student support be enhanced provided important evidence of need when the Graduate Center made its (successful) request to CUNY central for added financial aid funding.

Examples of Outcomes from External Reviews of Academic Programs: The external reviews play a crucial role in the Graduate Center academic planning and resource allocation, as well as doctoral program planning. These assessments provided by the external reviews have led to improvements in teaching and learning and, in some cases, to recommendations for added faculty recruitment.

For example, in 2003-4 the Music Program had its most recent external review. One key set of issues that emerged in the self-study prepared for the review was in the operation of the Doctor of Musical Arts (DMA) Program in Performance. Three issues related to the DMA emerged:

- The DMA Program needed to be more centralized at the Graduate Center. Although students were taking classes with other doctoral students, they were not making music with each other but with master's and bachelor's students at the colleges.

²⁰² See <http://web.cuny.edu/administration/chancellor/performance-goals.html>.

²⁰³ External reviews of programs and their role in planning are described in Chapter 2 ("Planning, Resources, and Institutional Renewal"), and samples of them are available in the Document Room.

- In addition, with the need to create a Chamber Music Program based at the Graduate Center, there was a need for a GC-based faculty member whose attention could be devoted more fully to directing the program.
- In the original operating model for the program, students taking lessons at the campuses performed some kind of service at the college, such as coaching chamber music or playing in the orchestra. Students were in effect paying twice for their lessons, through tuition and service.

As a result of the external review, the following changes were made:

- The Music Program immediately began a process of centralizing the individual lessons of DMA students at the Graduate Center and eliminating the service requirement. The provost provided funding for hiring adjuncts.
- In place of the service requirement, students were organized into chamber groups with each other and rehearsed, performed, and were coached at the Graduate Center.
- The provost gave the Music Program a new line, and a successful search was launched in 2005–6 for a faculty member on a central line to direct the program. Under his leadership, the program is thriving with more and better applicants and an active Chamber Music Program, including the new “Music in Midtown” series.

Another example of how assessment results lead to substantive change comes from the first external review of the Women’s Studies Certificate Program, in April 2007.

- It became clear in preparing the self-study that not all students who entered the Women’s Studies Certificate Program completed the certificate. In discussions with the external reviewers, it was noted that the WSCP required more courses than any other certificate program. As a result, some students reached Level III without having been able to take all the WSCP-required courses. In order to finish the certificate program, they would thus have had to take WSCP courses while working on their dissertations and also have to pay extra for the courses. As a result, some students in this position decided not to finish the certificate requirements.
- The WSCP Advisory Board then set up an Ad Hoc Curriculum Committee to look into the feasibility of reducing the number of required courses for the WSCP from six to five. This resulted in a recommendation to combine the two prerequisite courses into one new course, Introduction to Women’s Studies.

Closing the Loop in External Reviews of Academic Programs: The external reviews serve to focus the attention of the program faculty on ways to improve teaching and learning, in terms of making curricular revisions and guiding faculty-hiring decisions. However, there is not at present within the external program review process a systematic follow-up mechanism for assessing the changes made as a result of the external review and thereby closing the assessment loop.²⁰⁴

External Reviews of Centers and Institutes

Every center and institute submits an annual report in a standard format that is sent for review to the vice president for research and sponsored programs. Additionally, each year the center and institute directors meet to discuss new issues and concerns. Each of the centers and institutes is more extensively reviewed in a process similar to that of the external reviews of doctoral programs in a cycle of ten years. The review of centers and institutes began in 2006–7, and to date there have been reviews of the Center for Jewish Studies, the Ralph Bunche Institute for International Studies, the Gotham Center for New York

²⁰⁴ Additional, detailed information about how the Graduate School assesses educational offerings can be found in Chapter 7 (“Educational Offerings”).

History, the Research Institute for the Study of Languages in Urban Society, the Center for the Study of Women and Society, the Samuels Center, the Martin E. Segal Theatre Center, the CUNY Institute for Software Design and Development, the Center on Philanthropy and Civil Society, and the Center for Place, Culture, and Politics. The review process includes a self-study and a visit from an outside reviewer, who writes a formal report that is shared with the president, provost, and vice president for research and sponsored programs. Copies of center self-studies are available in the Document Room.

The reviews of the centers so far have been strongly positive. In general, the reviewers have recommended infusions of funding be made so that the centers and institutes can continue to do their work. However, in one review there was a suggestion that the center's administrative structure and the titles of some center personnel be changed. These recommendations were implemented, resulting in a smoother and more efficient organizational structure for the center. In another case, the suggestion was to ask the institute to become more involved in the small business sector of the New York City economy. As a result, considerable involvement in small business by faculty and students has led to additional funding for the institute and new employment opportunities for interns and graduating students.

Reviews of Other Offices and Services

Since its last Periodic Review, the Graduate Center has conducted several reviews of other offices and services as issues arose that indicated a need for outside advice. The Office of Educational Opportunity and Development, the Student Counseling Center, and the Office of Research and Sponsored Programs have each undergone reviews, bringing in outside experts to evaluate the offices and make recommendations for improvement. In each case, changes have been made that improved office services. The review of the OEODP led to a decision to alter the organization of the office, so that the office would be headed by an executive officer in much the same way as academic programs. The counseling center review led to a decision to reorganize the office and hire a new director. The review of the Office of Research and Sponsored Programs led to a new initiative to increase grant application rates. Copies of office self-studies are available in the Document Room.

Other Forms of Institutional Assessment

As reported in previous chapters, other forms of institutional assessment relevant to Middle States standards are evident at the Graduate Center. The mission statement of the Graduate Center, as part of this self-study process, was reviewed and revised by representatives of the Graduate Center community and presented to the Graduate Council for endorsement.

The performance of all Graduate Center leadership, staff, and faculty is evaluated annually in accordance with the PSC-CUNY contract and CUNY policies. The leadership of the Graduate Center is evaluated by way of the PMP process. Staff receive annual reviews of their performance, and untenured faculty are evaluated by their program.

The governance of the Graduate Center is reviewed in an ongoing way. The Graduate Council Committee on Structure regularly reminds programs to review and update their governance, and recently a review was undertaken of the governance document of all programs. Other Graduate Center documents, such as the *Bulletin* and *Student Handbook*, are regularly reviewed and updated to reflect the latest changes in policies and procedures.

The Graduate Center abides by all requirements of the PSC-CUNY contract in recruitment and hiring of the GC-based faculty. Each contract renewal is an occasion to review the existing procedures and policies regarding the qualifications of faculty employed at the University. All programs have in place written criteria and procedures for ensuring the quality of campus faculty appointed to the doctoral faculty.

In addition to its annual surveys of graduating students and alumni, since 2000 the Graduate Center has conducted a biennial survey²⁰⁵ of enrolled students, to monitor their experiences in a wide range of areas, including student services. The results of these surveys were instrumental in the decision to offer workshops preparing students for nonacademic careers and in documenting the time students spend teaching and commuting, an issue now being addressed by seeking to reduce students' workload obligations. Individual offices with responsibilities for student services conduct ongoing reviews of the adequacy of their services to students.

A survey conducted in 2008, in turn, examined how various Graduate Center constituencies themselves evaluated the planning processes.

As described below, the Graduate Center academic programs are engaged in assessing the effectiveness of their educational programs and using the results of that assessment to improve student success.

Assessment of Student Learning

Overview

Historically, there has been a strong national consensus about how doctoral student learning is to be fostered and assessed. The process is based on the mentoring of doctoral students as they move through a program's course and examination requirements, culminating in writing and defending a dissertation under the close supervision of a dissertation advisor and dissertation committee. At all stages of a student's career, the institution, the program, and the faculty have the responsibility to monitor the progress of a student and to find ways to aid the student to succeed.

The Graduate Center embraces the widely accepted mentoring model of fostering doctoral student learning. Additionally, it has adopted a systematic and sustained set of procedures by which it assesses the learning of its students, both in terms of the learning that occurs in meeting program degree requirements and also in terms of the professional development that occurs as students become colleagues.

Since its inception, the Graduate Center has evaluated doctoral student performance through a combination of examinations given at critical times in the student's graduate career, culminating in the capstone requirement of a dissertation that demonstrates scholarly originality and research skills. These assessment practices are so engrained in the life of faculty and students as to be seen as a natural part of doctoral education. The Graduate Center also looks to teaching experience, presentation of research, and contributions to the academic community as evidence that students are developing as professionals. All of these indicators of learning and development receive broad support and involvement from faculty, students, and administration. A similar set of assessments, though more limited in terms of professionalization, are in place for master's students, namely specific course requirements, a comprehensive examination in some M.A. programs, and an M.A. thesis.²⁰⁶

²⁰⁵ In 2000, 2002, and 2004, the Graduate Center administered the National Association of Graduate and Professional Students survey. In 2006, it did not conduct a survey of students, in favor of participating in the National Research Council's Assessment of Doctoral Programs. In 2008, it administered its own Doctoral Student Experience Survey.

²⁰⁶ A full description of doctoral and master's assessments and requirements is given in the *Bulletin* of the Graduate Center at http://www.gc.cuny.edu/current_students/bulletin/index.htm.

More specifically, doctoral students at the Graduate Center must pass a First Examination in their field of study. The purpose of the First Examination is to assess student competence across a broad set of skills and body of knowledge within the discipline. A student may continue in the doctoral program after completing forty-five credits only if he or she has passed this examination. Students must also pass a Second Examination within ten registered semesters of enrollment in a doctoral program, usually after completing all remaining course requirements. The Second Examination tests students' knowledge of one or more areas of specialization within the discipline. Once a student completes the Second Examination and all other requirements except the dissertation, he or she has advanced to candidacy.

Each student must also complete a dissertation. The dissertation tests the ability of the student to carry out substantial original research or scholarship and to integrate this research into a coherent written work. The dissertation must be defended at an oral Final Examination. The preparation of a dissertation and a defense of it form the final evaluation of a candidate's qualification for the Ph.D. degree.²⁰⁷

In addition, though not part of formal requirements for graduation, most programs have the expectation that their students will exhibit professional accomplishments in terms of publications, presentations, or other scholarly activities. For those pursuing academic careers, the development of teaching skills is also expected.

Doctoral Student Learning Expectations

Expectations at the Institutional Level: As stated in its Mission Statement, the Graduate Center “prepares students to be scholars, teachers, experts, and leaders in the academy, the arts and in the private, nonprofit, and government sectors.” The faculty expectations for student learning, commonly shared across all doctoral programs, are consistent with this statement. At the institutional level, the Graduate Center has the expectation that all students:

- master the appropriate body of knowledge of the discipline as demonstrated through a series of courses and examinations;
- produce a substantial piece of original research in dissertation form; and
- engage in appropriate professional activities.

The particulars of these expectations as they apply to individual doctoral programs are expressed through the specific goals of the program, its First and Second examinations, and its courses, outlined below.

Expectations for Student Learning of Individual Programs: Since the Graduate Center conceives of student learning as taking place in three distinct stages, each with a different focus, it makes sense to express faculty expectations for student learning organized in accordance with these three stages of students' careers. At the time of the beginning of this self-study, some Graduate Center programs, notably those in the health sciences and others with professional accreditation, already had written statements of program-level expectations for student learning. These statements can be found on these programs' Web sites.²⁰⁸ However, although all programs have in place well-established and sustained processes and

²⁰⁷ As of 2009, students in the Physical Therapy Program must prepare “a manuscript acceptable for submission for publication,” and in the Audiology Program, students complete an oral and written capstone project rather than a traditional dissertation.

²⁰⁸ See Nursing: <http://web.gc.cuny.edu/ClinicalDoctoral/ns-overview.asp>
Physical Therapy: <http://web.gc.cuny.edu/ClinicalDoctoral/pt-overview.asp>
Public Health: <http://web.gc.cuny.edu/ClinicalDoctoral/ph-coursework.asp>
School Psychology (see brochure): <http://web.gc.cuny.edu/content/EdPsychology/pages/documents.htm>

methods for assessing student learning, not all have made explicit faculty expectations for student learning. Starting in fall 2008, all programs were asked to make explicit the competencies students were expected to achieve at each stage of the program.²⁰⁹ In addition, all programs were asked to conduct comprehensive reviews of their First and Second exams.

Review of the First Exam

Faculty Expectations for Learning at the Time of the First Examination: Many programs routinely review the adequacy and appropriateness of their First Exam and revise the exam itself, the instructions on how to prepare for the exam, and/or the program's curriculum leading to the First Exam. These reviews, their findings, and the responses made by the program, with the exception of curricular changes, are generally not reported outside the program. However, in spring 2008, as part of the Graduate Center's PMP for 2008–9, a goal was set to have all programs review their First Examination and report back to the provost. In addition to providing a description of the examination process and grading methods, programs were asked to prepare a statement of the expectations for student learning that the First Exam was meant to assess, as well as describe the learning opportunities provided for students in order to prepare them for the First Exam. They were also asked to provide a description of the feedback students receive regarding their First Exam results. Finally, they were asked to provide a summary of the 2007–8 First Exam results and to discuss the extent to which the program was achieving its goals for student learning associated with the First Exam.

Each program submitted a response to this request, including its statements of expectations for student learning pertinent to the First Exam.²¹⁰ A few representative examples are presented here.

- The First Exam expectations for student learning of the Psychology Program are that students should exhibit “a solid foundation in past and current theory, paradigms, and frameworks used in the field” and “have a basic knowledge of the research design and data analysis methods that are necessary to conduct research in the area and make a contribution to new knowledge.” Also, at the time of the First Exam students, should meet the program's goals for student learning related to critical thinking—to “respect and use critical and creative thinking, skeptical inquiry, and, when possible, use the scientific approach”—and that related to communications skills—to “be able to communicate effectively in a variety of formats, including written and oral presentations to colleagues and the general public.”
- As another example, at the time of the First Exam, students in the Art History Program should be able to exhibit four key skills: “(1) visual recognition and familiarity with key visual documents in the history of art, including paintings, prints, photographs, sculptures, buildings, and moving images; (2) clear verbal expression, the ability to put observations of the visual into textual form; (3) analysis, specifically the ability to analyze texts written from a variety of positions and authorial points of view; and (4) synthetic skills, or the ability to integrate an array of historical and theoretical material.”

Performance on the First Exam:²¹¹ The data provided by the programs in their assessments of their First Exams show that in most programs 90 to 100 percent of students pass the First Exam, either on the first or

²⁰⁹ These statements are available in the Document Room.

²¹⁰ A complete set of program responses to First Exam request is available in the Document Room.

²¹¹ A compilation of the First Exam results for 2007-2008 and each program's assessment of these results can be found in the Document Room.

second try. With these results, it is not surprising that it was the judgment of most programs that a large majority of their students demonstrated the competencies that were expected of them by the time of the First Exam. It wasn't unusual, however, for programs to say that they had discovered their First Exam results to be useful in identifying issues that required their attention, either with the First Exam itself or with coursework leading up to the exam. An example of this comes from the History Program:

- When unusual patterns of exam results occur, the program tries to determine their cause and consider whether they stem from problems with the courses in which students were prepared for the exam or possibly with the exam itself and then to make appropriate adjustments. Most recently, an unusually high number of failures among modern European history students in the First Exam was discussed at length at a meeting of European history faculty members as well as at the executive committee. The faculty agreed that renewed attention needs to be paid to both admissions criteria and the content of the first-year literature course in light of the exam results.

First Exam Results and Student Learning—Closing the Loop: As important as the periodic reviews of the First Exams are to enhancing student learning, student learning is also enhanced by the routine discussions of individual student's First Exam results. In these cases, the use of assessment results for improving student learning is immediate and direct, tailored to the needs of individual students. Each program has a process by which a student's exam results are shared with the student, and the student is given feedback on how to improve his or her performance on the exam if he or she needs to take it again.

- In the Educational Psychology Program, students who fail the First Exam meet with their advisors as well as specialty area heads to receive feedback regarding the examination, and students may review their written exam. During that discussion, students are given information regarding the answers they provided to the exam and an explanation of what they needed to do in order to pass the exam. The executive officer also meets with students on a case-by-case basis as recommended by the executive committee.
- In political science, students are encouraged to contact the first exam committee chair in their area in order to hear the comments made about their exam. Students who fail the exam typically have an extended conversation with the committee chair and devise strategies to improve their performance.

Appraising the Results of the First Exam Review: In responding to the request for a review of their First Exam, a number of programs reported how the program had benefited from having reviewed the exam. In the Anthropology Program, for example, the review brought to light that three learning goals of the program were not being effectively met. In reviewing the answers students provided to the exam, the program's First Exam and Curriculum Committee noted that while students exhibited satisfactory achievement of some goals for student learning, they did not satisfactorily achieve others.

- The First Exam and Curriculum Committee considered modifications to the core course curriculum to address these problems. The committee recommended that fewer issues and topics be covered in both the Contemporary Theory and Topics courses in order for the issues to be addressed more critically and in greater depth over more than one session. These changes were introduced in the teaching and examination cycle beginning in fall 2009.

The English Program engages in a continuous process of reviewing the results of its First Exam. In conducting the current assessment, they report that over the years many revisions have been made to the exam.

- The English Program First Examination has been completely rethought several times, beginning in the early 1990s. The specific examination texts and questions (i.e., the poems presented in part IB and the five questions presented as options under the general

rubrics in parts IC and II) are revised twice a year, for each iteration of the examination, and previous results—questions judged more or less successful in demonstrating that students have reached the goals described above—help shape the new questions formulated for the exam.

Doctoral Program Course Level Expectations for Student Learning: Because the First Exam is an important early-stage assessment of student learning and because the bulk of student course work is completed prior to the First Exam, faculty teaching courses that prepare students for the First Exam were asked to include written descriptions of their expectations for student learning on the syllabi for those courses being offered in fall 2009.²¹²

Review of the Second Exam

Faculty Expectations for Learning at the Time of the Second Examination: In spring 2009, programs were asked to complete an assessment of their Second Examination, in a manner that was parallel to their assessment of their First Examination. As with the First Exam, programs prepared written expectations for student learning that were assessed by the Second Exam.²¹³ A few examples are presented here.

In the Comparative Literature Program, the Second Examination is intended not only to assess a student's knowledge of a series of very specific domains but also his or her readiness to engage in advanced scholarly work in the profession as a whole. The exam measures whether:

- students can demonstrate that they master an approved principal literature, reflecting an in-depth study of one period in the early history of the literature, one period in the later literary history, and one major author or genre or equivalent area or period of study;
- students can demonstrate that they are in possession of theoretical and interpretative skills to engage in serious research and analysis; and
- a student possesses linguistic fluency in his or her principal literature.

In the Social Work Program, the purpose of the Second Examination is for the student to produce independent scholarly work and prepare a dissertation proposal. The examination parallels the elements of a formal dissertation proposal. Students are expected to exhibit the abilities to do the following:

- produce a logically constructed problem/issue statement that provides the rationale for the relevance of a problem for social welfare practice, education, or policy;
- document the significance of the problem/issue through references to major literature, demographic trends, or policies that frame its appropriateness for further inquiry;
- demonstrate knowledge of social policies or historical events that exemplify important changes and different responses;
- incorporate major sociological, economic, psychological, or other social science theories and demonstrate their relevance to the identified problem/issue;
- develop integrated synthesis of the research literature;
- present major research trends and debates relevant to the problem/issue;
- critically examine both the methodology and findings of the studies included in the review and identify major gaps;
- identify gaps in the empirical literature or the need for further study and state research questions or hypotheses that would lead to new knowledge related to the problem; and

²¹² Samples of course syllabi are available in the Document Room.

²¹³ A complete set of program responses to Second Exam request is available in the Document Room.

- propose at least two options for research design that demonstrate basic research concepts, including sampling, data collection, instrumentation, feasibility of proposed studies, and human subject considerations.

Performance on the Second Exam: Programs reported that a high percentage of students who sit for the Second Exam pass it; in most cases, 100 percent of students taking the exam passed it on either the first or second attempt.²¹⁴ This is not surprising since many programs have in place some mechanism by which students are advised as to whether they are ready to take the Second Exam. There is a range of criteria that doctoral programs use to determine whether a student is eligible to sit for the Second Examination, though almost all are some combination of the following.

- The Audiology Program criteria for the oral Second Exam eligibility include: satisfactory progress and completion of all coursework, completion of all required clinical practica, and passing the First Exam.
- In the Economics Program, students are eligible to take the written Second Exam only after they have passed the First Exam and have completed two courses in two different fields of specialization courses listed in the *Student Handbook* of the Economics Program.
- In the Speech-Language-Hearing Program, upon completion of all course and program requirements:
 1. a student must form a Second Exam Committee;
 2. the committee must approve the specific areas of specialization that the student chooses to focus on;
 3. the Curriculum and Examination Committee of the program must review the areas of specialization; and
 4. the Second Exam Committee must agree that the student is prepared to take the oral exam.

Second Exam Results and Student Learning—Closing the Loop: As is the case with the First Exam, each program has a process by which a student’s Second Exam results are shared with the student, and the student is given feedback on how to improve his or her performance on the exam if he or she needs to take it again.

- In the Economics Program, if a student fails a Second Examination component, he or she is encouraged by the executive officer to approach members of the examination committee individually to discuss the reasons for failure. The student is provided with a photocopy of his or her written answers for purposes of that discussion. The student is strongly encouraged to audit the courses or course segments that would be most helpful in preparing for a second attempt.
- In the Psychology Program, feedback is either written or oral, occasionally both. In most cases it is presented to students by their faculty advisor immediately after the grades are decided for the examination. Students with grades of “low/qualified pass” or “fail” on the Second Examination receive more intensive feedback. At least one retake of the exam is allowed, and support is provided for the retake. This support may involve intensive tutorial work with an advisor on the revision of a paper or on a particular question that was failed, providing additional readings, or coaching on communication skills.

The Dissertation and Professional Development

All doctoral students must complete a dissertation that embodies original research. The dissertation must be defended at an oral Final Examination before the degree is granted. For all programs, the acceptance of

²¹⁴ A compilation of the Second Exam results for 2007-2008 and each program's assessment of these results are available in the Document Room.

the dissertation by the student's dissertation committee and the executive officer of the program documents that the student has demonstrated the requisite research skills for a doctoral degree and has met the program faculty's learning expectations. The program's approval of the dissertation is typically confirmed by action of the Graduate Council and the City University's Board of Trustees. Regardless of the outcome of the dissertation defense, the program submits a record of the outcome to the provost's office, which submits it to the registrar, where it becomes part of the student's record.

While the successful defense of the dissertation is the ultimate indication of a student having met the program's learning expectations, the Graduate Center recognizes the need to make these expectations, as reflected in the dissertation, explicit, and to assess in a systematic way whether or not they are being met.

In addition to the learning expectations assessed by the dissertation, all programs have expectations related to the professional accomplishments of their students. Most programs (84 percent) have in place mechanisms for tracking student progress in these areas (see Executive Officer Survey summary in Appendix 5-2). Some programs are required to collect this information as part of their professional accreditation process. Many programs make annual requests for such information from their students, and others gather the information more informally. Some publish newsletters of student accomplishments; others celebrate student accomplishments in special events. There is, however, no centralized routine collection of information on student professional activity by which to judge the success of promoting such activities.

Learning Assessment as Part of Institutional Assessment

As fully described earlier in this chapter in the first section, on institutional assessment, the Graduate Center incorporates several measures of degree completion and postgraduate success in its institutional assessment process, embodied in the PMP. Though these are indirect measures of student learning, they play an important role in the Graduate Center's assessment of whether it is meeting its institutional level goals expressed in the PMP.

In addition, starting in the 2009–10 academic year, the University added an additional item to the PMP, specifically related to the assessment of student learning, namely that the “Colleges will show progress on implementing faculty-driven assessment of student learning.” The related goal for the Graduate Center for 2009–10 is that “All faculty members who teach courses preparing students for their First Exam will write faculty expectations for courses and submit course syllabi, within which are included the goals for student learning for the course, to the provost.”

Achievements in the Last Five Years

- The Graduate Center has integrated within its planning processes the goal-setting and institutional assessment mechanisms of the PMP. Through the PMP the Graduate Center has set goals and assessed its progress in meeting those goals, including those related to faculty replenishment, enhanced student support, and program development.
- Though the external review of doctoral programs has been in place since the mid-1990s, the Graduate Center expanded that process beginning in 2006 to include its research centers and institutes, its master's programs, and its certificate programs.
- In terms of assessment related to student learning, the Graduate Center has accomplished the following:
 1. The Graduate Center established benchmarks and targets for reducing time-to-degree and early attrition and implemented new initiatives to enable it to reach these targets. Its progress, monitored within the framework of the PMP, has been highly successful: over the past five

- years, it reduced early attrition by five percentage points and increased on-time degree completion by seven percentage points.
2. Responding to student needs identified in its alumni surveys, the Graduate Center instituted new professional development opportunities. There has been a corresponding increase in the percentage of graduates who report that they are employed in a job that is appropriate to their degree and/or are in tenure-track positions.
 3. In fall 2008, as one of the institutional goals within the PMP, all programs were required to provide written statements of the expectations for student learning associated with their First Exam, as part of a comprehensive review of these exams.
 4. In spring 2009, programs were required to complete a similar assessment of their Second Examination, which also included written statements of expectations for student learning assessed by the Second Exam. Programs were also asked to provide written statements of their overall program-level expectations for student learning.
 5. As of fall 2009, faculty teaching courses that prepare students for the First (Comprehensive) Exam were asked to include written descriptions of their expectations for student learning on the syllabi for those courses.
 6. As of fall 2009, the Graduate Center revised its external program review procedures to require that all programs include a discussion of student learning assessment as part of their self-study.
 7. As of fall 2009, the Graduate Center required that all new course proposals include statements of expectations for student learning.

Challenges

Although there has been a strong national consensus about how doctoral student learning is to be fostered and how the assessment of individual students is to take place, there are few examples of using the results of these assessments for doctoral program or institutional improvement. There are also few examples of explicit statements of faculty's expectations for student learning related to comprehensive exams and the dissertation. Faculty at the Graduate Center certainly know what their expectations are for student learning, as evidenced by the dissertation, but these are not generally made explicit. Further, though programs have records of student performance on written examinations, which they can use to assess the strengths and weaknesses of the examination itself or the degree to which the program is preparing students for the exam, they typically do not have written results on oral examinations or the defense of the dissertation. The challenge for the Graduate Center is to complete the process we have started, to make explicit what is sometimes implicit in terms of learning expectations, to develop program plans for using assessment of learning as a means for program assessment, to regularize the reviews of exams to build in a sustained process of closing the loop on assessment, and to gain consensus on a culture of assessment at the doctoral level.

Actions Going Forward

In terms of institutional assessment, the Graduate Center will:

- Institute a schedule of follow-up reports to programs' external reviews, which discuss the programs' progress in responding to recommendations coming out of external program reviews, beginning in 2010.
- Review the satisfactory progress indicators in the next five years through a committee of faculty reporting to the provost and charged with examining the usefulness of each indicator and the ways in which the process could be improved to facilitate student progress and mentoring.

- Investigate a mechanism to achieve a central collection of student scholarly activity, perhaps through the new software (Digital Measures) recently purchased by the Graduate Center for collecting faculty scholarly activity, beginning in 2010.

In terms of the assessment of student learning, the Graduate Center will:²¹⁵

- Appoint an assessment coordinator as soon as possible to coordinate the Graduate Center’s assessment activities. The assessment coordinator will:
 1. work with the Assessment Committee to review and refine the existing statements of institutional-level learning goals;
 2. ask programs to review and refine their statements of program-level learning goals to ensure that they are in alignment with institutional-level learning expectations;
 3. collect appropriate program-level assessment results and employ these at the institutional level to assess whether institutional level learning expectations are being met;
 4. arrange to provide additional appropriate professional development activities for programs and faculty related to assessment;
 5. work with programs to make explicit their expectations for student learning related to the dissertation;
 6. examine the results of the First and Second exam reviews and establish a regular cycle of reviews of the exams; and
 7. require that faculty expectations for learning be explicitly stated on all course syllabi, a process that has already begun and which will continue throughout 2009–10.
- Provide institutional support for faculty and staff development related to assessment of student learning. This began with the visit on February 8, 2010, of Professor Gita Ramaswamy, former associate dean at the Graduate School at Purdue, during which she presented to faculty and members of the assessment committee on how to develop a program of Graduate Student Learning Outcomes Assessment.
- Send a team of representatives to attend the Middle States workshop “Fostering a Campus Culture of Assessment” on February 22, 2010;
- Strive to contribute to a nationwide conversation on learning assessment at the doctoral level.

²¹⁵ See Appendix 9-2 for a more detailed description of the Graduate Center’s assessment plans.

CONCLUSION

The Graduate School and University Center of the City University of New York was founded almost fifty years ago. Since its last Middle States self-study, it has achieved a distinctive presence in the city and grown significantly in size and stature: between 2000 and 2009, the Graduate Center increased its GC-based faculty by 39 percent and in fall 2009 enrolled nearly 1,100 more students than in fall 2000, while retaining an intimate quality that makes it an appealing place to work and study. It remains true to its core mission—now refined and updated—of providing access to advanced graduate education, of fostering original research and scholarship, and of engaging with the community.

The Graduate Center has a newly invigorated and reorganized leadership, as well as major new initiatives that will bring new faculty and students to enrich the intellectual life of the institution. Building on its traditional strengths, the Graduate Center will now work toward forging a globally distinctive identity in order to establish an academic environment equal to the scholarly challenges of tomorrow. To that end, the Graduate Center will continue to:

- expand, enrich, and support a distinguished faculty, with carefully targeted GC-based faculty hires and increased opportunities for college-based faculty;
- work to attract talented students, with increased levels of student support;
- use its strategic planning processes to draw on the findings of this self-study to achieve, as President Frances Horowitz did in 2001 with “The Fifth Decade,” a vision and a strategic plan to set the goals and the means for meeting those goals for 2010–20;
- develop the next phase of its “Campaign for the Graduate Center” as part of CUNY’s \$3-billion “Expanding the Vision” campaign (the Graduate Center goal of \$128 million by 2015 has already been more than half met, with \$70 million raised to date); and
- expand its already developed processes for the assessment of student learning.

All of the past achievements and future goals will be recognized and celebrated when the Graduate Center marks its fiftieth anniversary with a series of major events in 2011–12. Indeed, the next ten years could easily be seen as the “Decade of the Graduate Center, City University of New York.”