

Assessment Plan
SUNY College of Optometry

Overview

Planning and assessment are woven into the fabric of College operations. On a five-year cycle, the entire College community participates in a year-long strategic planning process that culminates in a faculty retreat and published five-year strategic plan. Day-to-day College operations are driven by the mission, goals and objectives included in this plan.

Various assessment strategies are used to track implementation of the strategic plan and monitor College operations. The primary motivation is to identify, obtain, analyze and utilize outcomes data for meaningful programmatic improvement. When available and appropriate, national data serve as benchmarks for assessing performance. Key performance indicators are widely distributed and generally published on the College's webpage. Analysis of data may lead to corrective actions when they are not consistent with expected outcomes.

College assessment processes are designed to meet or exceed accreditation standards published by the Middle States Commission on Higher Education (MSCHE) and Accreditation Council on Optometric Education (ACOE) and to conform to the policies of the State University of New York. Institutional operations and student learning in each of College's educational programs are assessed through multiple mechanisms.

Office of Institutional Research and Planning

Planning and assessment are coordinated by the director of institutional planning and research, who reports directly to the College president. The Committee on Institutional Research and Planning (IRPC) provides counsel and support to the director and president on matters related to planning and assessment by

- coordinating the College's strategic planning processes
- assisting in the design of an institutional assessment program linked to the College's strategic plan
- reviewing institutional outcomes data and advising the administration on action steps to achieve the College's strategic goals
- recommending methods for communicating the results of institutional research and outcomes assessment to the broader College community
- actively consulting with the College administration on the allocation of resources in support of the College's strategic priorities
- supporting the College's accreditation processes

The committee is chaired by the director of institutional planning and research and supported by the coordinator for institutional research. It consists of 9 members (in addition to the director and coordinator). All nominations are subject to review and appointment by the president, and appointments are for 1-year terms (renewable). The composition of the committee is as follows:

- 5 faculty members
 - 1 nominated by each of the 3 academic departments
 - 1 nominated by Research Council
 - 1 UEC faculty member nominated by Clinic Council

- 1 student member nominated by Student Council (the student must be in good academic standing).
- 3 members of the College’s staff as appointed by the president

Institutional Assessment

Institutional assessment is ongoing and may be conceptualized as a cyclical process that starts with the establishment of strategic goals and outcomes measures for these goals. Institutional key performance indicators are assembled by the Office of Institutional Research and Planning, generally published on the College’s website (<http://www.sunyopt.edu/offices/institutional-research/>) and updated annually. These and other data are utilized by the College vice presidents to analyze progress in their respective areas. The analyses are discussed with the IRPC and senior management team at Annual Implementation Meetings (AIM) and published on the College’s website. When analyses reveal shortcomings in attaining institutional goals, corrective actions are initiated by the appropriate administrative unit. The following diagram summarizes the planning and assessment cycle:



Mission, Goals and Objectives

College operations derive from its mission, goals and objectives. These are

- reviewed (mission) and formulated (goals and objectives) every 5 years during a year-long process that includes the entire College community and culminates in a published five-year strategic plan
- modified as necessary
- aligned with the SUNY strategic plan
- the basis for annual institutional goals established for each administrative area
- used to establish outcome measures

Organization by Functional Unit

The College is organized into the following five functional units:

- Academic Affairs
- Finance and Administration
- Institutional Advancement
- Student Affairs
- University Eye Center (UEC)

Each unit is led by a vice president who is responsible for the implementation of the College's mission, goals and objectives in his/her area. The five vice presidents and president constitute the College's senior management team. This team, along with the directors of institutional research and planning, communications and health care development, form President's Council.

The assessment processes employed by each functional unit are similar and consist of the following elements:

- Data Collection
 - Key performance indicators are established for each unit.¹ These are:
 - quantitative measures of College performance in key areas
 - provided to the Office of Institutional Research and Planning on an annual basis
 - intended to provide a longitudinal assessment of progress in meeting the College's mission and goals
 - generally published on the College's website as graphs and charts (<http://www.sunyopt.edu/offices/institutional-research/factbook/>)
 - widely disseminated, particularly to individuals and administrative units that can shape relevant policies
 - when available and appropriate, compared to national data, which serve as benchmarks for assessing performance
 - Results of exit and alumni surveys (provided by the Office of Institutional Research and Planning)
 - Additional quantitative and qualitative outcome measures that the unit believes will be useful. These data are collected on an annual basis and made available to the IRPC and President's Council as needed
- Structured Analysis
 - Key performance indicators and other information (both quantitative and qualitative) are analyzed by each of the five functional units relative to the strategic plan
- Closing the Loop
 - When a substantive lack of progress in reaching a strategic goal is indicated, potential solutions are formulated and implemented

Key Performance Indicators for Functional Units and Analysis/Utilization of Data

- **Academic Affairs**
 - Key performance indicators²
 - Faculty
 - headcount by department and service*

¹ Key performance indicators are subject to change based on their utility in assessing performance.

² Not included here are key performance indicators for student learning; these are listed under individual programs in the *Assessment of Student Learning* section of the assessment plan.

* Performance indicators denoted with an asterisk are generally published on the College's website in *FactBook*.

- professional and graduate degrees*
- faculty employment status*
- FTE by department*
- FTE for full- and part-time appointments*
- faculty salary benchmarking
- Faculty demographics*
- student assessments of courses and teaching
- faculty development workshops and attendance
- funds expended for faculty development*
- Library
 - interlibrary activities and document delivery*
 - library expenditures by year*
 - patron assistance*
 - utilization of electronic resources*
 - student satisfaction (survey results)
- Research
 - total grant activity/expenditures*
 - number of grants*
 - publications and presentations*
 - referrals to the Clinical Vision Research Center (CVRC)*
 - grant activity by category: basic, clinical and translational*
 - development of Translational Research Center (sq ft and FTE)*
- Externship Program
 - number of affiliates*
 - number of affiliates visited
 - sites added/removed*
 - number of patients seen by students per site*
 - student assessments of sites
 - externship development activities
- Structured Analysis and Closing the Loop
 - The administrative units and offices within Academic Affairs that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are
 - Dean's Council
 - Clinical Education Council
 - Research Council
 - Associate Dean for Graduate Studies and Research
- **Administration and Finance**
 - Key Performance Indicators
 - annual operating budget*
 - revenues by source*
 - revenues by year*
 - fund balance*
 - capital projects*
 - renovation of UEC facilities – expenditures and square footage*
 - employee demographics*

- results of employment climate surveys
- employee retention data
- employee longevity data
- Structured Analysis and Closing the Loop
 - The administrative units within Administration and Finance that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are the offices of
 - Business Affairs
 - Personnel and Payroll
 - Facilities Operations and Capital Projects
 - University Police
 - Environmental Health and Safety
 - Information Technology
 - Internal Control and Institutional Services
- ***Institutional Advancement***
 - Key Performance Indicators
 - total fundraising year-over-year*
 - fundraising year-over-year by constituency
 - total donors year-over-year
 - alumni giving *
 - alumni giving (percentage)*
 - faculty and staff giving*
 - alumni engagement
 - number of active alumni on SUNY EyeNetwork*
 - overall number of alumni volunteers
 - number of alumni speakers at student focused events
 - number of alumni admissions ambassadors
 - number of job postings by alumni
 - number of scholarship awards (from donations)*
 - active ad placement
 - number of followers on social media
 - number of clicks on digital ads
 - number of clicks and length of time on website
 - Structured Analysis and Closing the Loop
 - The administrative units within Institutional Advancement that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are the offices of the
 - Associate Vice President for Alumni and Government Relations
 - Associate Director of Annual Fund
 - Associate Director of Development
 - Director of Communications

- **Student Affairs**
 - Key Performance Indicators
 - Admissions and Enrollment (OD Program)
 - applications, admissions and enrollment by year*
 - NYS applications, admissions and enrollment by year*
 - entering GPA and science GPA*
 - entering GPAs by school per year*
 - entering OAT TS by school per year*
 - geographical distribution of entering students*
 - under-represented minorities*
 - yield by school per year*
 - first-year enrollment by ethnic-racial category*
 - historic enrollment*
 - Upstate applications*
 - advanced standing applications and enrollment by year
 - Graduate Admissions and Enrollment
 - applicants, acceptances and enrolled (OD-MS Program)*
 - applications, acceptances and enrolled (PhD Program) *
 - first-year and total OD-MS enrollment by year*
 - first-year and total PhD enrollment by year*
 - Residency Program Admissions and Enrollment
 - programs, applications, positions and filled*
 - Completions
 - degrees awarded*
 - demographics of entering and graduating OD classes*
 - percentage of entering students who graduate (OD program)*
 - Time to degree for PhD students*
 - residency certificates awarded*
 - Student Services
 - CDC activities*
 - community service hours*
 - CSTEP program: applicants, acceptances & enrollment in OD program*
 - Student counseling activities
 - results of student climate survey
 - Student Expenses and Financial Aid
 - first-year direct expenses for in-state students*
 - direct expenses for out-of-state students*
 - total costs for in-state students*
 - total costs for out-of-state students*
 - percent of students receiving aid per year*
 - indebtedness by school per year*
 - average indebtedness*
 - categories of student financial aid*
 - default rate
 - total scholarship dollars (including discounts, if applicable)*
 - total number of scholarships by source*

- Structured Analysis and Closing the Loop
 - The administrative units within Student Affairs that are responsible for (1) analyzing outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing policy are the offices of the
 - Registrar
 - Director of Financial Aid
 - Director of Admissions and Marketing
 - Director of Career Development and Minority Enrichment
- **Patient Care**
 - Key Performance Indicators
 - UEC
 - active referring providers*
 - age distribution of patients*
 - charitable care*
 - revenues by service location*
 - new referring providers*
 - patient residency*
 - payer mix*
 - public service by year - events*
 - public service by year – participants*
 - referral visits and unique patients*
 - total patient encounters by year*
 - total revenues by year*
 - new UEC patients by year*
 - new vs established patients*
 - encounters by service*
 - number enrolled in patient portal
 - staff development programs and attendance
 - Satellite (Contract) Clinics
 - Revenues*
 - number of patients seen*
 - number of students rotating through clinics*
 - number of residents rotating through clinics*
 - Structured Analysis and Closing the Loop
 - The administrative units within the University Eye Center Clinical Administration that are responsible for (1) analyzing UEC outcomes data to determine if progress on strategic goals is satisfactory and (2) formulating and implementing UEC policy are
 - Clinic Council
 - Offices of the Service Chiefs
 - Office of the Chief Medical Officer
 - Office of the Director of Clinical Operations
 - Office of the Director of Patient Financial Services
 - The Office for Health Care development working in collaboration with the Offices of the President, VP for Academic Affairs, VP of Administration & Finance, along with the Directors of Externship Program and Residency Programs, is responsible for analyzing the annual data and the continual improvement program quality.

Assessment at the Institutional Level

In addition to assessment at the unit level, assessment occurs at the institutional level. The key performance indicators listed previously as well as other relevant quantitative and qualitative information are employed in this process. The goals of institutional level assessment are to (1) analyze outcomes to determine if progress on institutional strategic goals is satisfactory and (2) formulate and implement policy when the analysis reveals a substantive lack of progress in meeting institutional strategic goals. The mechanisms employed in this process and closing of the loop include:

- Dissemination of analyses and opportunity for feedback
- Discussions at meetings of President's Council and Round Table
- Annual Implementation Meetings (AIM) in which each vice president presents a data-driven analysis to the Committee on Institutional Research and Planning and senior management team that addresses progress on the strategic plan in the vice president's area of responsibility. These reports are published on the College's website (<http://www.sunyopt.edu/offices/institutional-research/annual-implementation-meetings/>)
- Annual presidential evaluations of progress in each vice president's area of responsibility
- Establishment by the president and each unit vice-president of annual goals for the unit that are derivative of institutional strategic goals. These annual institutional goals
 - are linked to the College's strategic plan
 - reorient each unit with the College's strategic goals
 - provide an opportunity to utilize assessment results and analyses to develop and implement policies to ensure that strategic goals are met
 - are published on the College's website (<http://www.sunyopt.edu/offices/institutional-research/annual-institutional-goals/>)
- Linkage to Resource Allocation
 - Resource allocation is driven by the College's mission, goals and objectives. When submitting annual budget requests, vice-presidents are required to justify each request by linking it to a specific component of the strategic plan.

Assessment of Student Learning

Doctor of Optometry (OD) Program

Curricular Learning Objectives

Curricular learning objectives for the OD program are aligned with College's mission and relevant institutional goals and objectives. They are defined and published in *Competencies and Attributes for Optometrists Graduating from SUNY College of Optometry*. This document

- states entry level competencies and attributes
- is published on the College's website
- is periodically reviewed by Clinical Education Council and Dean's Council
- serves as the basis for course learning objectives
- serves as basis for clinical learning objectives that are developed by Clinical Education Council and published in the *Table of Intern Clinical Competencies*

Student Learning at the Course and Clinic Level

Student learning with respect to course and clinic leaning objectives is assessed with multiple mechanisms, including

- Course level
 - written examinations

- pre-clinical practical examinations
- papers, oral presentations and class participation
- student course surveys
- Clinical patient care level
 - evaluations by clinical instructors who supervise the student
 - evaluation by 3rd year Clinical Instructor of Record
 - evaluation by 4th year Clinical Instructor of Record
 - evaluation by Clinical Education Council

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms including

- key performance Indicators
 - performance on national licensing examination (NBEO)*
 - Part 1: Applied Basic Science
 - Part 2: Patient Assessment and Management
 - Part 3: Clinical Skills
 - The percentage of students who have taken all 3 parts of the NBEO passing all 3 parts*
 - percentage of graduates who enter a residency program*
 - retention/attrition rates*
 - percentage of matriculating students who have graduated passed all three parts of the NBEO licensing exam (or who are actively practicing in another country) six years after enrolling*c
- other sources of information
 - quantity and quality of each student's patient-care experiences
 - annual exit surveys
 - annual alumni surveys

Closing the Loop

Data collected for the OD program are analyzed to determine if students are meeting the program's educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels related to the OD program, the forums/offices best suited for analysis, planning and implementation are:

- Curriculum Committee
- Dean's Council
- Clinical Education Council
- Department Chairs

External Review

The OD program undergoes external evaluation by the Accreditation Council on Optometric Education (ACOE), which is recognized by both the US Department of Education and Council on Higher Education Accreditation, on an 8-year cycle. The eight accreditation standards evaluated by the ACOE are

- Mission, Goals and Objectives
- Curriculum
- Research and Scholarly Activity
- Governance, Regional Accreditation, Administration and Finance
- Faculty

- Students
- Facilities, Equipment and Resources
- Clinic Management and Patient Care Policies

A complete list of the ACOE accreditation standards and sub-standards may be found in the *Accreditation Manual: Professional Optometric Degree Programs* at <https://www.aoa.org/optometrists/for-educators/accreditation-council-on-optometric-education/accreditation-resources-and-guidance/optometric-degree-programs->.

Combined OD-MS Program (Vision Science)

Curricular Learning Objectives

Curricular learning objectives for the combined OD-MS program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College's website
- reviewed regularly by Dean's Council, the associate dean for graduate studies and research and the graduate faculty Committee on Graduate Programs, Policy, Admissions and Standing
- the basis for learning objectives that are established for each course

Student Learning at the Course Level

Student learning at the course level is assessed through multiple mechanisms, including

- written examinations
- assigned papers
- oral presentations at seminar courses
- class participation in seminar courses
- graduate advisor's assessment of student progress
- thesis committee's review of required research paper

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms, including

- key performance indicators
 - primary place of employment of graduates*
 - primary positions of graduates*
 - teaching and work effort of graduates*
- Other sources of information
 - review of MS thesis papers by thesis examination committee
 - annual compilation and review of published papers and abstracts by the associate dean for graduate studies and research and graduate faculty
 - assessments by Committee on Graduate Program, Policy, Admissions, and Standing
 - exit and alumni surveys

Closing the Loop

Data collected for the combined OD-MS program are analyzed to determine if students are meeting its educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels related to the combined OD-MS program, the forums/offices best suited for analysis, planning and implementation are:

- Committee on Graduate Program, Policy, Admissions, and Standing

- Dean's Council
- Associate Dean for Graduate Studies and Research

External Review

External reviews are performed as needed and in accordance with SUNY policy

PhD Program (Vision Science)

Curricular Learning Objectives

Curricular learning objectives for the PhD program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College's website
- reviewed regularly
- the basis for the learning objectives that are established for each course

Student Learning at the Course Level

Student learning at the course level is assessed through multiple mechanisms, including

- written course examinations
- assigned papers
- oral presentations at seminar courses
- class participation in seminar courses
- faculty review of performance in research laboratories
- annual oral research presentations to faculty
- graduate advisors' assessments of student progress
- specialty examinations
- dissertation committees' reviews of research proposals
- public PhD defenses
- dissertation committees' reviews of required research paper

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms and data sources, including

- key performance indicators
 - primary place of employment of graduates*
 - primary positions of graduates*
 - teaching and work effort of graduates*
 - time to degree completion*
- other sources of information
 - review of PhD thesis and papers by the thesis examination committee with oversight by the graduate faculty Committee on Graduate Program, Policy, Admissions and Standing
 - annual compilation and review of published papers and abstracts by the associate dean for graduate studies and research
 - assessments by Committee on Graduate Program, Policy, Admissions, and Standing
 - exit and alumni surveys

Closing the Loop

Data collected for the PhD program are analyzed to determine if students are meeting its educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various

administrative levels related to the PhD program, the forums/offices best suited for analysis, planning and implementation are:

- Committee on Graduate Program, Policy, Admissions, and Standing
- Dean's Council
- Office of the Associate Dean for Graduate Studies and Research

External Review

External reviews are performed as needed and in accordance with SUNY policy

Residency Programs (Post-Doctoral Clinical Education)

Curricular Learning Objectives

Curricular learning objectives for each residency program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College's website
- reviewed regularly

Student Learning at the Program Level

Assessment of student learning at the program level occurs through multiple mechanisms and data sources, including

- key performance indicators
 - ACOE accreditation
 - number of applicants for each residency program*
 - number and percentage of programs that develop and integrate advanced competency statements*
- other sources of information
 - evaluations by clinic supervisors
 - quantity and quality of each resident's patient-care experiences
 - program evaluations completed by residents
 - review of oral presentations
 - review of research papers
 - annual exit survey
 - alumni surveys

Closing the Loop

Data collected for each residency program are analyzed to determine if residents are meeting its educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels related to the residency program, the offices best suited for analysis, planning and implementation are the:

- Individual Residency Supervisors
- Director of Residency programs

External Review

Each residency program undergoes external evaluation by the Accreditation Council on Optometric Education (ACOE), which is recognized by both the US Department of Education and Council on Higher Education Accreditation, on an approximately 8-year cycle. The 6 standards evaluated by the ACOE are

- Mission, Goals, Objectives, Outcomes, and Program Improvement

- Curriculum
- Administration
- Faculty
- Residents
- Resources and Facilities

A complete list of the ACOE residency program accreditation standards and sub-standards may be found in the *Accreditation Manual: Optometric Residency Programs* at <https://www.aoa.org/optometrists/for-educators/accreditation-council-on-optometric-education/accreditation-resources-and-guidance/optometric-residency-programs>.

The following table lists the College’s residency programs and the month and year of the most recent ACOE accreditation visit:

Residency Program	Most Recent ACOE Accreditation Visit
New Jersey VA Residency	May 2011
Pediatric Optometry Residency, SUNY	Apr 2012
Vision Rehabilitation/Neuro-Op Residency, SUNY	May 2012
Bronx-Lebanon Hospital Residency	May 2012
Northport VA Residency	Oct 2012
Cornea/Contact Lens Residency, SUNY	May 2013
Fromer Eye Centers Residency	May 2013
Hudson Valley VA Residency	Jun 2014
East New York Diagnostic & Treatment Center Residency	Jun 2015
Ocular Disease Residency, SUNY	Jun 2015
Primary Eye Care Residency, SUNY	Apr 2016
Vision Therapy & Rehabilitation Residency, SUNY	Apr 2017
Womack Army Medical Center	May 2017
Low Vision Residency, SUNY	Nov 2017
Combined Residency/Graduate Program, SUNY	Nov 2017
Harbor Health VA Residency	Jan 2018
Atlantic Eye Physicians Residency	April 2018
EyeCare Associates Residency	April 2018

Continuing Professional Education for Practicing Optometrists

Program Goals

The program goals for the continuing professional education program are

- aligned with College mission and relevant strategic plan goals/objectives
- published on the College’s website
- reviewed regularly
- the basis for the learning objectives that are established for each continuing education course

Student Learning

Assessment of student learning occurs through multiple mechanisms and data sources, including

- key performance indicator published on College’s website
 - Envision attendance*
 - CME course attendance*
 - number of participants in all webinars

- attendance at continuing education events other than Envision
- other sources of information
 - completion of written examinations (certain courses)
 - surveys completed by course attendees
 - observation of courses by the director of continuing professional education

Closing the Loop

Data collected for each continuing education course are analyzed to determine if it is meeting its educational learning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented through the Office of Continuing Professional Education.

External Review

All continuing professional education courses are submitted for approval to the Council on Optometric Practitioner Education (COPE), a national clearing house for optometric continuing education.

Assessment of the College's Assessment Process

The College's assessment program is effective to the extent that the following three conditions are met:

- outcomes data are identified, routinely collected and made available to appropriate individuals and governing councils
- data are analyzed with respect to College's strategic plan
- when data suggest substantive shortcomings
 - potential solutions are formulated and effective corrective actions are implemented and/or
 - strategic priorities are reassessed

The Committee on Institutional Research and Planning and President's Council monitor the effectiveness of the College's assessment process. As part of the College's strategic planning process, extant outcome measures are reviewed with the goal of ensuring that relevant and actionable data are employed to assess the new strategic plan. Outcome measures for the new strategic plan are developed during the strategic planning process taking into account the effectiveness of extant measures in leading to programmatic improvement.

11.16.18