

Self-Study: Narrative

Prepared for the Collaborative Site Visit
to be Conducted by the

Commission on Higher Education

and

*Accreditation Council on
Optometric Education*

April 10 – 13, 2011



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Executive Summary

Background:

The State University of New York State College of Optometry, founded in 1971 by legislative act, is dedicated to the education of optometrists, to the advancement of eye and vision care through research and graduate education, and to the care of communities through the provision of comprehensive visual health services. The College of Optometry is one of the 64 SUNY campuses which constitute the State's comprehensive public university system. The campus is contained in a single 300,000 sq. ft., twenty-floor facility (two below ground) located at 33 West 42nd St. in midtown Manhattan.

The College of Optometry is a doctoral degree granting, research institution with approximately 300 students. Of these, approximately 90% are enrolled in the Doctor of Optometry professional degree program and 10% are pursuing graduate studies through either the Masters or Ph.D. degree programs in vision science. Additionally, the College is heavily vested in post-graduate clinical education offering 13 residency programs with 30 residents.

The professional degree program attracted over 758 applications for 76 seats this past year. Entering classes are among the most academically qualified in the nation and enrolled students consistently show strong performance on the standardized national examinations (NBEO) required for licensure. The NBEO serves as one key indicator of student learning outcomes.

The College's Graduate Center for Vision Research currently attracts approximately \$3.5 M in annual extramural support, with increased funding in each of the last five years. This core of this support consists of federal grants from the National Institutes of Health, including 9 R01s, 2 R21s and a T-35. The graduate research programs have 12 Ph.D. and 28 OD/MS students currently enrolled.

In addition to its educational, research and student life spaces, the building has five floors dedicated to the University Eye Center (UEC), the College's Article 28 patient care facility. The UEC had approximately 73,000 patient visits during the 2010 academic year. Moreover, there is an extensive array of clinical satellites and extramural programs that further broaden the scope and diversity of the patient population (an additional 60,000+ visits).

The College of Optometry had an FY 2009-10 all-funds annual operating budget of approximately \$31.5 million, with approximately 39% coming directly in the form of State support, 16% from tuition and fees, 26% from patient care, 10% from grants and contracts, and 9% from other sources. Even with consistent cuts in State support due to the economy, campus operations over the last five years have had annual surpluses.

Summary of Key Institutional Changes and Developments:

- 1) The most significant change for the College has been within the leadership team. In December 2005, Dr. Alden N. Haffner retired as President of the SUNY College of Optometry. Dr. Haffner served as President on two occasions, for a total of 26 years, with the most recent tenure beginning in 1988. The transition period lasted 18 months, concluding with the appointment of Dr. David A. Heath as the College's 3rd President in March, 2007. The College's *College Council* under the leadership of Gretchen Stone, Chair, led the search process.
- 2) The transition of leadership continued after Dr. Heath's assumption of duties with his appointment of a permanent Vice-President for Clinical Affairs (Dr. Richard Soden – September 2007), a new Vice-President and Dean for Academic Affairs (Dr. David Troilo – July 2008) and most recently a new Vice-President for Student Affairs (Dr. Jeffrey Philpott – July 2010). Thus, four of six senior managers are new to their positions within the last four years.
- 3) During the 2008 AY, the College engaged in a community-wide strategic planning process. The strategic plan, "*A Shared Vision*", was approved September 24, 2008. The strategic planning process placed a renewed emphasis on institutional assessment and ongoing program review.
- 4) The administration and faculty collaboratively reviewed the College's faculty governance and committee structure, with a new structure in effect beginning with the 2009 AY. The goals were to improve effectiveness and efficiency and to elevate the importance of shared-governance, while increasing transparency and communication.
- 5) Capping a four-year process, the College Faculty completed a comprehensive review of the professional degree curriculum with a new curriculum introduced with the fall 2008 incoming class. Core features include a change from a quarter to a semester calendar, decreased lecture time, increased small group learning, and an emphasis on the integration of basic and clinical sciences through team-teaching and the introduction of year-long integrative seminars. The graduate faculty also completed a comprehensive review of the graduate research program. All changes were approved by the NYS Department of Education and SUNY System Administration.
- 6) The institution has expanded its commitment to international programs, supporting the international aspirations of the State University system and reflecting a global agenda for the future of the College of Optometry. The College recently opened its Office for International Programs (July 2010) and is very active in China. In the fall of 2010, the College became a sight for a Confucius Institute supported by the Chinese Government.
- 7) The College has been successful in obtaining capital improvement funding procuring \$36.3 M in support for the period of 2008 – 2013. While significant support has been obtained for critical maintenance, (building control systems, elevator renovations, fire alarm systems, etc.), strategic initiatives have also

received support including a new *Campus Center for Student Life and Learning*, a major renovation of the ground floor, and substantial enhancements to biomedical research space on floors 16 and 17. A contract has been awarded for the Campus Center with construction scheduled to begin in March or April, 2011.

- 8) The College has initiated a Facilities Master Planning process in collaboration with University Administration and the State University Construction Fund (SUCF) for the period of 2013 – 2023.
- 9) The economic downturn has hit New York State hard, resulting significant decreases in support for public higher education. While the College has experienced its share of reductions [gross = -\$3.667M and net (w/ labor cost adjustments) = -\$1.243M] in direct State-support over the past three years, the College of Optometry has compensated through aggressive growth in its patient care and research programs, along with some moderate tuition increases. This growth, along with spending restraint, has offset State reductions and the College has ended each fiscal year with a surplus.
- 10) In September, 2009, the College and its affiliated foundation, the Optometric Center of New York (OCNY) initiated a “first of its kind” \$10M major gifts campaign: *“The Vision and The Promise”*. The public phase of the campaign will commence in March 2011 with \$4.5 - \$5.0M raised to date.
- 11) In April, 2010, the Governor signed legislation requiring all managed Medicaid programs include the College’s University Eye Center on their panels for full medical eye care coverage. This act extended access to the UEC’s services for over 800,000 lives in the NYC area.
- 12) The College’s Center for Vision Care Policy completed an Eye Care Provider Workforce Analysis for New York State (Jan. 2011). The study will serve as the College’s basis for enrollment planning and ensure that we provide for the State’s increasing demand for eye care services.

Institutional Effectiveness:

The Middle States Commission on Higher Education (MSCHE) 2008 report ([Appendix Exec-1](#)) on the College’s 5-year Periodic Review Report (PRR) *“commend[ed] the College for its comprehensive, institutionalized approach to assessment of student learning and institutional effectiveness and the use of data to drive changes.”* The statement served as an early validation of the College community’s increasing commitment to the assessment of institutional effectiveness under new leadership. The five-year PRR review occurred while the College’s strategic plan, *A Shared Vision*, was under development.

The timing of the approval of the College’s strategic plan in September of 2008 allowed several processes to immediately converge to improve the College’s measurement of institutional effectiveness and the acculturation of the community to assessment. These included:

1. The initiation of the College's Self-Study for accreditation review by MSCHE and the ACOE (November 2008).
2. The re-negotiation of the College's MOU with System Administration under the Mission II Review Process (March 2009).
3. The reformation of the College's Institutional Research and Planning Committee to design, develop and effect an ongoing process to oversee implementation of the strategic plan (July 2009).
4. The continued implementation and enhancement of communications with the College community regarding strategic priorities, goals and objectives. These have taken the form of an annual state of the College address at a college-wide meeting, the publication of an annual "State of the College" report, sharing annual objectives developed by the senior management team and development (in process) of a webpage that displays data relative to strategic indicators.
5. Completion of the University-wide Strategic Plan in April 2010, which added a review and communication process to assure mission alignment between the campus and the University.

The implementation and ongoing review of *A Shared Vision* has occurred in three distinct phases.

- Phase I – Implementation of strategies to meet the objectives developed for existing programs (e.g. curriculum review, increases in patient census, development of extramural funding for research);
- Phase II – Design, development and implementation of strategies for new initiatives (e.g. Clinical Research Center, Center for Career Development, Office of International Programs);
- Phase III – Ongoing assessment of strategic goals and objectives, along with an active monitoring of the external environment, which contributes to decision making and continuing evolution of our goals, objectives and strategic initiatives.

Key Findings of Self-Study:

It was within the context of institutional renewal, strategic planning and ongoing assessment that this Self-Study (a joint review of accreditation by MSCHE and ACOE) was conducted. The self-study process, chaired by Dr. Steven Schwartz, is detailed in the introduction. The organization was developed to address the standards of both agencies in an integrated manner, while permitting the reviewers to assess compliance with the standards separately if needed. The result was seven chapters, with each concluding with "Areas for Further Development" specified. While a compilation of each area may be seen in [Appendix Exec-2](#), the following provides a summary of key findings.

- A. Mission, Goals, Objectives & Planning: The College has established a strong and ongoing strategic planning process, with measurable outcomes incorporated into the decision making process. The College's Facilities

Master Plan for 2013 – 2023, which is currently underway, needs to ensure it is based upon its ongoing strategic planning process. The College's strategic plan and outcome measures need to be reviewed and tested for alignment with the strategic priorities of the University.

- B. Curriculum & Student Learning: New curricula for both the professional and graduate degrees have been implemented and assessment strategies for effectiveness are underway. Review needs to be ongoing (annual) and assessment tools revised to increase effectiveness.
- C. Faculty Research and Scholarly Activities: The College has an established and growing basic science research program. Areas for further development include the Center for Clinical Research and the SUNY Eye Institute (SEI), a collaborative research initiative with the four SUNY academic medical center departments of ophthalmology.
- D. Governance, Regional Accreditation, Administration and Finance: The College has a strong fiscal base, but is vulnerable to continuing decline in the State's economy. The College will need to continue to be creative in managing its resources while striving to achieve its strategic goals.
- E. Student Admissions and Services: While continuing to pursue high quality matriculates, the College needs to redouble its efforts to increase diversity among its student body. Efforts to enhance the student experience are underway and the development of the Center for Career Development needs to move from the planning stage into implementation.
- F. Facilities, Equipment and Resources: The College has been very successful at procuring State support for capital improvement construction projects scheduled for the next three years to renovate the 1st, 2nd and 3rd floor mezzanine levels. A new Student Center and improved teaching facilities will be the key result of these projects. The campus is actively participating in a system-wide master planning process for its campus for the period of 2013 – 2023 that needs to be based upon well-developed strategic priorities.
- G. Clinic Management and Patient Care Policies: The University Eye Center is well positioned for future growth, but needs to be proactive, anticipating the impact of health care reform and embracing new technologies. It is important for the purchase of the new EHR to be completed and implemented to achieve greater efficiencies and ease of use, improved record keeping, and the creation of a research patient registry for clinical trials. Efforts to assess patient care operations and compliance against national standards will improve the quality care provided and position the UEC for greater integration into the NY health care system.

In summary:

Since the last accreditation visit, the State University of New York State College of Optometry has undergone the most significant transition of leadership since its establishment in 1971. The College of Optometry has a strong academic program, vigorous patient care enterprise and a growing research community. These programs are supported by a solid resource base from which to increase its effectiveness and impact over the coming years. With the development of its

strategic plan, *A Shared Vision*, the College's effort to assess and improve institutional effectiveness has made significant progress and is an ongoing element of our operations and is increasingly a part of our culture.

***Late Update:** As the self-study goes to press the College's Center for Eye Care Policy has completed a comprehensive work force analysis for New York State. The analysis looks at the current supply of eye care providers, the growing demand for eye care services, and the need for both optometrists and ophthalmologists over the next two decades. The findings are significant for the College, particularly in light of recent studies in NY indicating a decline in the number of ophthalmologists over the next twenty years and a projected shortfall of over 800 providers (ophthalmologists). By the time of the site visit, we anticipate having new 10 year enrollment projections, with a likely increase in entering class size of up to 25 students. Such an increase would bring the number of new students each year up to 100 from the current 76. An early draft of a power point presentation on the analysis is included as [Appendix Exec-3](#).*



Middle States Commission on Higher Education

3624 Market Street, Philadelphia, PA 19104-2680
Phone: 267-284-5000 Fax: 215-662-5501 www.msche.org

**Certification Statement:
Compliance with Federal Title IV Requirements
(For SUNY State-Operated Institutions Effective October 1, 2009)**

An institution seeking **initial accreditation** or **reaffirmation of accreditation** must affirm by completing this certification statement that it meets or continues to meet established federal requirements relating to Title IV program participation, including relevant requirements under the Higher Education Opportunity Act of 2008 such as those on distance education and transfer of credit.

This signed statement should be attached to the executive summary of the institution's self-study report.

If it is not possible to certify compliance with all such requirements, the institution must attach specific details in a separate memorandum.

STATE UNIVERSITY OF NEW YORK STATE COLLEGE OF OPTOMETRY
(Name of Institution)

is seeking (*Check one*): ___ Initial Accreditation Reaffirmation of Accreditation

The undersigned hereby certifies that the institution meets all established federal requirements relating to Title IV program participation, including relevant requirements under the Higher Education Opportunity Act of 2008 such as those on distance education and transfer of credit.

___ Exceptions are noted in the attached memorandum (*Check if applicable*)


(Campus President)
David A. Heath, O.D., Ed.M.

January 15, 2011
(Date)



Middle States Commission on Higher Education

3624 Market Street, Philadelphia, PA 19104-2680

Phone: 267-284-5000 Fax: 215-662-5501 www.msche.org

**Certification Statement:
Compliance with MSCHE Requirements of Affiliation and Related Entities Policy
(For SUNY State-Operated Institutions Effective October 1, 2009)**

An institution seeking **initial accreditation** or **reaffirmation of accreditation** must affirm that it meets or continues to meet established MSCHE requirements of affiliation and “Related Entities” policy.

This signed statement should be attached to the executive summary of the institution's self-study report.

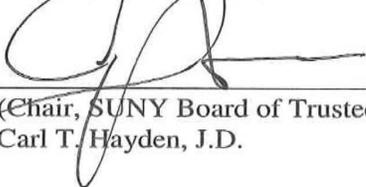
STATE UNIVERSITY OF NEW YORK STATE COLLEGE OF OPTOMETRY
(Name of Institution)

The State University of New York represents that this institution operates within the program of the SUNY System. The undersigned hereby certify that SUNY recognizes the Commission’s compliance requirements for this institution and will uphold State University’s policies pertaining to MSCHE standards and requirements of affiliation.


(Campus President)
David A. Heath, O.D., Ed.M.

January 3, 2011

(Date)



(Chair, SUNY Board of Trustees)
Carl T. Hayden, J.D.

January 5, 2011

(Date)

Institutional Profile 2010-11

[0450] SUNY College of Optometry

A. General Information

	Data on File (as of 4/19/2010)	IP Data (2010-11)
Institution Name	SUNY College of Optometry	SUNY College of Optometry
Address	33 West 42nd Street New York, NY 10036 8003	33 West 42nd Street New York, NY 10036 8003
Telephone	212 938 4000	212 938 4000
Fax	212 938 5699	212 938 5699
Website	www.sunyopt.edu	www.sunyopt.edu
Control	Public	Public
Carnegie Classification	Special Focus - Other Health Professions Schools	Special Focus - Other Health Professions Schools
Affiliation	State	State
Calendar	Semester	Semester
Degree Granting Authority	New York	New York
Licensed to Operate in	NY	NY
Programs		
How many degree/certificate programs (distinct CIP codes) does your institution offer?	0	3
Degrees/Certificates Offered		
Certificate/Diploma	yes	yes
Associate's	no	no
Bachelor's	no	no
Master's	yes	yes
Doctor's - Professional Practice	yes	yes
Doctor's - Research/Scholarship	yes	yes
Doctor's - Other	no	no
Related Institutions		
Name, State, Country	none	none
Next Self-Study Visit		
Next Self-Study Visit	2010-11	2010-11
Next Periodic Review Report (PRR)		
Next Periodic Review Report (PRR)	June 2016	June 2016
CHE Staff Liaison		
CHE Staff Liaison	Dr. Debra G. Klinman	Dr. Debra G. Klinman

Notes

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

B. Key Contacts

Key Contact	Data on File (as of 4/19/2010)	IP Data (2010-11)
System/District Chief Exec Officer	<p>Dr. Nancy L. Zimpher <i>Chancellor</i> State University Plaza Albany, NY 12246</p> <p>Phone: 518 443 5355 Fax: 518 443 5360 Email: Nancy.Zimpher@SUNY.edu</p>	<p>Dr. Nancy L. Zimpher <i>Chancellor</i> State University Plaza Albany, NY 12246</p> <p>Phone: 518 320 1355 Fax: 518 320 1560 Email: chancellor@suny.edu</p>
Chief Executive Officer	<p>Dr. David A. Heath <i>President</i> 33 West 42nd Street New York, NY 10036-8003</p> <p>Phone: 212 938 5650 Fax: 212 938 5699 Email: dheath@sunyopt.edu</p>	<p>Dr. David A. Heath <i>President</i> 33 West 42nd Street New York, NY 10036-8003</p> <p>Phone: 212 938 5650 Fax: 212 938 5699 Email: dheath@sunyopt.edu</p>
Chief Academic Officer	<p>Dr. David Troilo <i>Vice President and Dean for Academic Affairs</i> 33 West 42nd Street New York, NY 100368003</p> <p>Phone: 212 938 5658 Fax: none Email: dtroilo@sunyopt.edu</p>	<p>Dr. David Troilo <i>Vice President/Dean for Academic Affairs</i> 33 West 42nd Street New York, NY 10036-8003</p> <p>Phone: 212 938 5658 Fax: none Email: dtroilo@sunyopt.edu</p>
Chief Financial Officer	<p>Mr. David Bowers <i>Vice President for Administration and Finance</i> 33 West 42nd Street New York, NY 100368003</p> <p>Phone: 212 938 5666 Fax: 212 938 5678 Email: dbowers@sunyopt.edu</p>	<p>Mr. David Bowers <i>Vice President for Administration and Finance</i> 33 West 42nd Street New York, NY 100368003</p> <p>Phone: 212 938 5666 Fax: 212 938 5678 Email: dbowers@sunyopt.edu</p>
Accreditation Liaison Officer	<p>Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003</p> <p>Phone: 212 938 1317 Fax: 212 938 5504 Email: heiberg@sunyopt.edu</p>	<p>Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003</p> <p>Phone: 212 938 5712 Fax: 212 938 5699 Email: heiberg@sunyopt.edu</p>
Director of the Library	<p>Ms. Elaine Wells <i>Director of The Library</i></p>	<p>Ms. Elaine Wells <i>Director of The Library</i></p>

	Harold Kohn Vision Science Library 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5691 Fax: none Email: ewells@sunyopt.edu	Harold Kohn Vision Science Library 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5691 Fax: none Email: ewells@sunyopt.edu
Coordinator of Outcomes Assessment	Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 1317 Fax: 212 938 5504 Email: heiberger@sunyopt.edu	Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5712 Fax: 212 938 5699 Email: heiberger@sunyopt.edu
Coordinator of Institutional Research Functions	Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 1317 Fax: 212 938 5504 Email: heiberger@sunyopt.edu	Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5712 Fax: 212 938 5699 Email: heiberger@sunyopt.edu
Chair: Self-Study Steering Committee	none	Dr. Steven Schwartz <i>Chair: Self Study Steering Committee</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5788 Fax: 212 938 5699 Email: sschwartz@sunyopt.edu
Co-Chair: Self-Study Steering Committee	none	none
Person in the President's Office To Whom MSCHE Invoices Should be Sent	Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 1317 Fax: 212 938 5504 Email: heiberger@sunyopt.edu	Dr. Michael H. Heiberger <i>Director of Institutional Research and Planning</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5712 Fax: 212 938 5699 Email: heiberger@sunyopt.edu
Person Completing IP Financials	Mr. David Bowers <i>Vice President for Administration and Finance</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5666 Fax: 212 938 5678 Email: dbowers@sunyopt.edu	Mr. Marcel Catafago <i>Director of Business Affairs</i> 33 West 42nd Street New York, NY 100368003 Phone: 212 938 5670 Fax: none Email: mcatafago@sunyopt.edu
Person Completing IP (Key User)	Dr. Michael H. Heiberger <i>Director of Institutional Research</i>	Dr. Michael H. Heiberger <i>Director of Institutional</i>

and Planning
33 West 42nd Street
New York, NY 100368003

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Email: heiberg@sunyopt.edu

Research and Planning
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Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

C. Graduation Data

Awards Granted

Report all degrees or other formal awards conferred by your institution between July 1, 2009, and June 30, 2010. If an individual received two degrees at different levels during the specified time period, report each degree in the appropriate category.

Include earned degrees and awards conferred by branches of your institution located within or outside the Middle States region, including foreign countries.

Exclude honorary degrees and awards.

Awards	Data on File (as of 4/19/2010)	IP Data (2010- 11)
Diploma/Certificate	0	0
Associate's	0	0
Bachelor's	0	0
Master's	3	10
Doctor's - Professional Practice	75	69
Doctor's - Research/Scholarship	2	0
Doctor's - Other	0	0
Does your institution have undergraduate programs?	no	no
Do your undergraduate programs serve only transfer students? See instructions if the answer is yes.	no	no

Notes

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

D. Enrollment

	Data on File (as of 4/19/2010)		IP Data (2010-11)	
	Undergraduate	Graduate	Undergraduate	Graduate
Total credit hours of all part-time students	0	9	0	2
Minimum credit load to be considered a full time student	0	12	0	12
Full-Time Head Count	0	299	0	299
Part-Time Head Count	0	3	0	2

Credit Enrollment

	Data on File (as of 4/19/2010)	IP Data (2010- 11)
Number of Students matriculated, enrolled in degree programs (Undergraduate + Graduate)	302	301
Number of Students not matriculated, enrolled in credit-bearing courses	0	0

Non-Credit Enrollment

	Data on File (as of 4/19/2010)	IP Data (2010- 11)
Number of Students enrolled in non-credit, graduate level courses	0	0
Number of Students enrolled in non-credit, undergraduate level and other continuing education (excluding avocational) courses	0	0
Number of Students in non-credit avocational continuing education courses	0	0

Notes

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

E. Distance Education

Distance education means education that uses one or more technologies to deliver instructions to students who are separated from the instructor and to support regular and substantive interaction between the students and the instructor. See the Instructions for a full explanation.

	Data on File (as of 4/19/2010)	IP Data (2010- 11)
Did your institution, in the most recent prior year (as of 4/19/2010), offer distance education or correspondence courses?	No	No

Notes

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

F. Regional, National, and Specialized Accreditation

Please list the name of the regional, national, and specialized accrediting organizations that accredit your institution or its programs.

It is not necessary to report the Middle States Commission on Higher Education, and it is excluded from this list.

Data on File (as of 4/19/2010)	IP Data (2010-11) Accreditors Recognized by U.S. Secretary of Education
<ul style="list-style-type: none">American Optometric Association (AOA), Council on Optometric Education	<ul style="list-style-type: none">American Optometric Association, Accreditation Council on Optometric Education

Other Accreditors

Please list any other accrediting organizations that accredit your institution or its programs.

Please separate each accreditor by semi-colon (;).

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

G. Instructional Personnel (as of Fall 2010)

	Data on File (as of 4/19/2010)		IP Data (2010-11)	
	Full-Time Headcount	Part-Time Headcount	Full-Time Headcount	Part-Time Headcount
Tenured Faculty	27	0	27	0
Non-Tenured Faculty <i>(On Tenure Track)</i>	4	0	3	0
Non-Tenured Faculty <i>(Not On Tenure Track)</i>	53	82	32	80

Notes

The full-time non-tenured faculty number in 2008-09 is greater than in 2009-10 because it included optometry residents. This was an oversight and has been corrected this year. Residents are one year trainees and are not considered non-tenured faculty.

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

H. Related Educational Activities

H-1. Study Abroad

This section is only required if your institution's Self-Study Visit is scheduled for 2011-12 or 2012-13, or if your institution's Periodic Review Report (PRR) is due to be submitted in June 2012.

Note:

Your institution's next Self-Study Visit is scheduled for 2010-11.

Your institution's next Periodic Review Report (PRR) is due to be submitted in June 2016.

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

H-2. Branch Campuses *(as of Fall 2010)*

Data on File (as of 4/19/2010)	IP Data (2010-11)
No Branch Campuses.	No Branch Campuses.

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

H-3. Additional Locations *(as of Fall 2010)*

Data on File (as of 4/19/2010)	IP Data (2010-11)
No Additional Locations.	No Additional Locations.

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

H-4. Other Instructional Sites (as of Fall 2010)

Data on File (as of 4/19/2010)	IP Data (2010-11)
No Other Instructional Sites.	

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

I. Financial Information

Report the same data for Educational and General (E&G) expenses and assets on the Institutional Profile that your institution reports to the Integrated Postsecondary Higher Education Data Systems (IPEDS).

Verify the beginning and ending date for your institution's fiscal year. The default dates are 7/1/2008 through 6/30/2009 (the most recent year for which you would have an audited financial report). If your institution uses different dates, please change the default dates accordingly.

Report financial data in whole dollars. Round cents to the nearest whole dollar. For example, enter 124, not 123.65. Do not enter data in thousands of dollars. For example, enter 1,250,000 not 1,250.

Report educational and general expenses by expense category (e.g., instruction, research, public service, etc.). The expense for each category is the sum of restricted and unrestricted expenses.

	Data on File (as of 4/19/2010)	IP Data (2010- 11)	
Which reporting standard is used to prepare your institution's financial statements? Your selection determines the value in the column IPED-Line below. FASB (Financial Accounting Standard Board) GASB (Government Accounting Standard Board)		GASB	
Note: For Private Institutions the value is set automatically and the field is disabled.			
Is your institution's audited Financial Report Qualified or Unqualified?	Unqualified	Unqualified	
Fiscal Year Begin	7/1/2007	7/1/2008	
Fiscal Year End	6/30/2008	6/30/2009	
Does your institution allocate Operation & Maintenance of Plant expense?	No	No	
Does your institution allocate Depreciation Expense?	No	No	
	IPEDS Part-Line	Data on File (as of 4/19/2010)	IP Data (2010-11)
		Expenses	Expenses
1. Instruction	C-01	\$12,730,942	\$13,772,142
2. Research	C-02	\$1,768,608	\$2,211,941
3. Public Services	C-03	\$0	\$19,033
4. Academic Services	C-05	\$592,990	\$551,711
4a. Included Library Expense		\$518,116	\$503,181
5. Student Services	C-06	\$844,300	\$846,349
6. Institutional Support	C-07	\$5,980,951	\$6,319,786
7. Scholarships and Fellowships	C-10	\$123,140	\$95,514
8. Operation and Maintenance of Plant	C-08	\$4,542,061	\$4,262,663

9. Depreciation Expense		\$1,897,549	\$2,220,121
Total E&G Expenses		\$28,480,541	\$30,299,260
Net Assets (Beginning of Year)	D-04	\$82,530,958	\$80,645,787
Change in Net Assets	D-03	(\$1,885,171)	(\$6,475,454)
Net Assets (End of Year)	D-06	\$80,645,787	\$74,170,333

Notes

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

J. Significant Developments

Please provide the Commission with early notice of any significant developments your institution is considering for academic years 2011-12 or 2012-13, limited to the topics listed below.

Include potential changes that:

- significantly alter the mission, goals, or objectives of the institution;
- alter the legal status, form of control, or ownership;
- establish instruction constituting at least 50% of a degree program in a significantly different format/method of delivery;
- establish instruction at a new degree or credential level;
- replace clock hours with credit hours;
- increase substantially the number of clock or credit hours awarded for successful completion of a program;
- establish instruction constituting at least 50% of a degree program at a new geographic location;
- relocate the primary campus or an existing branch campus (See definition in Section H, above);
- otherwise affect significantly the institution's ability to continue the support of existing and proposed programs.

In addition, please describe any other major developments taking place at the institution. The information provided should focus on important institutional issues (e.g., development of a new strategic plan, initiation of a capital campaign, establishment of a new academic unit such as a school or college, significant shifts in institutional enrollment or finances, etc.) Please DO NOT include matters related to the day-to-day operation of the institution.

Middle States Commission on Higher Education Institutional Profile 2010-11

[0450] SUNY College of Optometry

K. Required Attachments

Please mail the entire package of required attachments **as soon as all of the items are available** but no later than **May 1, 2011**.

- A copy of the institution's most recent audited financial statement, including any management letter that the auditors may have attached to the statement.
- Provide the exact web address for the home page of the catalog. If the catalog is not available on-line provide a digital copy of the catalog on a CD/DVD or a printed version if a digital copy does not exist.
- If you submit annual financial data to IPEDS provide a copy of the financial section of the IPEDS submission.

Uploaded Files (*Optional*)

File Name	File Type	File Size	Last Updated
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Mail the required attachments to:

Mr. Tze Joe
Information Associate
Middle States Commission on Higher Education
3624 Market Street, Philadelphia, PA 19104

Introduction

Brief Institutional Overview

The State University of New York State College of Optometry, founded in 1971 by legislative act, is dedicated to the education of optometrists, to the advancement of eye and vision care through research and graduate education, and to the care of communities through the provision of comprehensive visual health services. The College is a center of excellence within the State University of New York (SUNY) system and is the only institution of its kind in New York State and the surrounding region.

The College of Optometry is a doctoral degree granting, research institution with approximately 300 students. Of these, approximately 90% are enrolled in the Doctor of Optometry professional degree program and 10% are pursuing graduate studies through either the Masters or Ph.D. degree programs in vision science. The Professional degree program attracted over 758 applications for 75 seats this past year. The average entrance examination score (the Optometric Admissions Test – Total Science) of 364 for the fall 2009 incoming class was the second highest in the nation (out of 20 schools and colleges of optometry), while the average entering G.P.A. was 3.49. For the fall of 2010, these were 354 and 3.50 respectively.

The College of Optometry is one of the 64 campuses which constitute the State's comprehensive public university system. The campus is contained in a single 300,000 sq. ft., twenty-floor facility (two below ground) located at 33 West 42nd St. in midtown Manhattan. In addition to its educational, research and student life spaces, the building has five floors dedicated to the University Eye Center (UEC), the College's patient care unit.

The UEC had approximately 73,000 patient visits during the 2010 academic year. In addition to primary eye care, the UEC is well known for its unique clinical services including traumatic brain injury, infant vision, pediatrics, visually-related learning disabilities, children with special needs, vision rehabilitation, ocular disease and special testing, vision therapy, specialty contact lenses and laser refractive surgery. Moreover, there is an extensive array of clinical satellites and extramural programs which further broaden the scope and diversity of the patient population (an additional 60,000+ visits), enhancing the clinical experience of our students and extending our reach to underserved populations.

The College's Graduate Center for Vision Research attracted approximately \$3.5M in extramural support for FY 2009-10, with increased funding in each of the last five years. This support includes 14 grants from the National Eye Institute including 12 R01s, 1 R21 and a T-35. The Graduate Center for Vision Research also serves as the home for the College's graduate research programs with 12 PhD and 28 OD/MS students currently enrolled.

The College recently established the Office of International Programs and is highly engaged in China. Programs currently include international clinical education opportunities for our doctor of optometry degree students at the Wenzhou Medical College Eye Hospital, a collaborative program to develop a Center of Excellence in Low Vision and Vision Rehabilitation in Wenzhou and the establishment of a Confucius Institute on our campus in Manhattan.

The College of Optometry had an FY 2009-10 all-funds operating budget of approximately \$31.5 million, with 39% coming directly in the form of State support, 16% from tuition and fees, 26% from patient care, 10% from grants and contracts, and 9% from other sources. Campus-generated revenue, therefore, accounted for 61% of the total all-funds operating budget. Even with consistent cuts in State support, campus operations over the last five years have resulted in annual surpluses.

New capital investments in the building for the five year period from 2008-2013 are budgeted at 36.3 million. Of this amount roughly 16 million is for new strategic initiative projects with the \$20.3 million balance being targeted for critical maintenance projects throughout the building.

Brief Overview of Self-Study Process

The self-study process was formally initiated in November, 2008 when Dean David Troilo and Dr. Steven Schwartz (who would later be designated as director of institutional research and planning) attended the MSCHE Self-Study Institute in Philadelphia. Following the meeting, Drs. Troilo and Schwartz along with Dr. Michael Heiberger (who then served as director of institutional research and planning), met throughout November, 2008 – March 2009 as a planning group to initiate the self-study process. This group formulated the following goals for the self-study process:

1. To unite the College community and deepen its commitment to the College's mission of excellence, innovation, and leadership in education, research, patient care, and public service.
2. To identify the College's strengths and weaknesses as guided by its mission and the MSCHE and ACOE accreditation standards.
3. To heighten the visibility of and to strengthen the College's culture of assessment, particularly as it relates to the ongoing strategic planning process.

Because the College undergoes both regional (MSCHE) and professional [Accreditation Council on Optometric Education (ACOE)] accreditation, the Planning Group elected to go forward with a collaborative self-study model, which was used by the College for its 2003 self-study. ACOE accreditation standards can be found in its *Accreditation Manual* http://www.aoa.org/documents/OD_Manual_08_2009.pdf and the standards for MSCHE are in the publication *Characteristics of Excellence in Education* (http://www.msche.org/publications/CHX06_Aug08REVMarch09.pdf). MSCHE

policies governing collaborative reviews are in *Handbook for Collaborative Reviews* (<http://www.msche.org/publications/collab02060928115344.pdf>).

The current fourteen MSCHE standards and eight ACOE standards were combined into seven categories to form the basis for working groups to evaluate the standards. For each of the working groups, a tentative set of questions was developed to guide the self-study process. These questions, which are based on the MSCHE and ACOE standards, were written to support analytical assessment and the assembling of documentary evidence. Please see *Design for Self-Study* (revised June, 2009), a document prepared for and approved by MSCHE, for these questions and a more detailed description of the self-study process ([Appendix Intro-1](#)).

The Planning Group selected members of the faculty and staff to serve as chairs and co-chairs of the various working groups and to constitute the Steering Committee to guide the self-study process. The working groups and chairs are as follows:

1. Mission, Goals and Planning (ACOE I; MSCHE 1, 2, & 7)
 - Ms. Elaine Wells, Library Director
2. Curriculum and Student Learning (ACOE II; MSCHE 11, 13, & 14)
 - Dr. Leon Nehmad, Associate Clinical Professor, Clinical Sciences
 - Dr. Julia Appel, Assistant Clinical Professor, Clinical Sciences
3. Faculty, Research and Scholarly Activities (ACOE III & V; MSCHE 10)
 - Dr. Mitchell Dul, Chair and Associate Professor, Clinical Sciences
4. Governance, Regional Accreditation , Administration and Finance (ACOE IV; MSCHE 3*, 4, 5 & 6)
 - Dr. Diane Adamczyk, Director, Residency Programs and Associate Professor, Clinical Sciences
5. Student Admissions and Services (ACOE VI; MSCHE 8, 9 & 12)
 - Mr. Vito Cavallaro, Director, Financial Aid
 - Dr. Ida Chung, Associate Professor, Clinical Sciences
6. Facilities, Equipment, and Resources (ACOE VII; MSCHE 3*)
 - Dr. Robert Duckman, Chair and Professor, Vision Sciences
 - Mr. Robert Pellot, Chief Information Officer
7. Clinic Management and Patient Care Policies (ACOE VIII)
 - Dr. Cathy Pace, Chief of Staff/Director of Professional Services, University Eye Center (UEC)

Following consultation with President Heath, Dean Troilo appointed Dr. Schwartz as Chair of the Steering Committee. With input from the Steering Committee, the Planning Group assigned faculty and staff members to working groups. The working groups were asked to address the questions in the *Design for Self-Study*; gather information pertinent to the ACOE and MSCHE standards; meet with relevant individuals and committees; review documents that speak to the

standards; and draft the corresponding section of the self-study. The timetable for the self-study process can be found in [Appendix Intro-2](#).

During the time-frame of September, 2009 through March 2010, the working groups completed their assignments. The Steering Committee met periodically throughout this period to assess the progress being made and to provide guidance. As part of this process, members of the Steering Committee were asked to critically review drafts prepared by other working groups (e.g., the Steering Group member who coordinated the Curriculum and Student Learning was asked to review the section on Faculty, Research and Scholarly Activities). Working groups submitted drafts for their areas to the chair of the Steering Committee in late March. These were compiled and edited into a self-study draft that was reviewed by the Steering Committee and President's Council, who were encouraged to share the document with any other individuals or groups. Based on the feedback received the document was further revised. The resulting draft was then made available to the wider College community through the College's website. Comments and feedback were solicited from faculty, students and staff.

Organization of the Collaborative Self-Study Document

The self-study document is organized into 7 sections (A-G) that correspond to each of the 7 working groups. Each of these sections is organized by MSCHE institutional standards with ACOE professional program standards included under the umbrella of a MSCHE standard. **Please note that within a section or a portion of a section, ACOE standards may not be listed in numerical order, but all are listed.**

A. Mission, Goals, Objectives and Planning

ACOE Standard I; MSCHE Standards 1, 2, and 7

Mission and Goals (MSCHE 1)

1.1 The program has a statement of its mission, and the goals and objectives by which it intends to fulfill its mission.

The College's mission (<http://www.sunyopt.edu/about/mission.shtml>), which was most recently updated in September, 2008, is as follows:

The State University of New York, State College of Optometry excels, innovates, and leads in Optometry and Vision Science by:

- *Developing outstanding optometrists and vision scientists*
- *Making new discoveries that advance vision science and patient care*
- *Improving patients' lives by providing exceptional general and specialized optometric care*

- *Enhancing public health through education and service to a broad range of communities.*

The College's mission, goals and objectives are included in its five-year strategic plan, *A Shared Vision*, which was adopted in September, 2008 (see [Appendix A-1](#) or http://www.sunyopt.edu/about/five_year_plan.shtml). The process whereby this plan was developed is described in section 1.5.

1.1.1 The program publishes its mission and goals.

The College's most public presence is its Web site. By going to the College's homepage (www.sunyopt.edu) and clicking on the "About Us" link, visitors are taken directly to the links for the College's mission statement and strategic plan, *A Shared Vision*, which includes the institution's goals and objectives. The mission statement is also published in the Faculty Handbook (www.sunyopt.edu/faculty/hb/mission.html).

With the College's new administration, there has been a heightened emphasis on sharing the institution's mission with both internal and external constituencies. In 2009, the College, for the first time, produced a four-color Annual Report, *A Shared Vision*, which was widely distributed within and outside of the institution or [Appendix A-2a](#). Prominently displayed within this document (page 7) are the four components of the College's mission. The 2010 report is in [Appendix A-2b](#) (or http://www.sunyopt.edu/news/pdf/annual_report_2010.pdf).

As a free-standing campus of State University of New York, the College of Optometry is required to enter into a Memorandum of Understanding (MOU) with the University. This document, which can be found in [Appendix A-3](#) or on the College's Web site (http://www.sunyopt.edu/about/Optomerty_MOU.pdf) provides information on the campus's role and distinctiveness, national context, economic impact, enrollment and admissions, faculty, academic programs, student outcomes, student support and student life, technology, facilities, administrative structure and resource management, community relations and service and overall institutional reputation. Many of the goals/objectives in the College's strategic plan, *A Shared Vision*, are included in the MOU.

The original MOU was signed in January 2007. The MOU was rewritten after approval of the strategic plan to reflect its vision, and the revised version of the MOU was signed in March, 2009.

1.1.2 The goals and objectives include teaching and learning, research or scholarly activity, and community and public service.

The Mission Statement, which has four components, addresses learning, research, community and public service with the following sets of strategic goals:

Teaching and Learning: Develop Outstanding Optometrists and Vision Scientists

- To provide innovative, exciting, and attractive educational programs that meet the evolving needs of our students and the public.

- To deliver clinical education programs which are competency based.
- To provide an environment that develops critical thinking and life-long learning skills
- To develop future leaders in optometry.
- To provide students, residents and alumni with the services to succeed in their careers.
- To provide residency education that will train individuals to develop advanced clinical competencies to meet current and future health care needs.
- To become a leader in continuing optometric education.
- To attract and enroll highly qualified students for the professional program.
- To attract and retain highly qualified, full-time faculty members.
- To increase cultural sensitivity in all College operations.
- To encourage, recognize and reward outstanding achievement

Research: Make New Discoveries that Advance Vision Science and Patient Care

- To develop and maintain the most productive basic and clinical research programs among schools and colleges of Optometry.
- To establish a Center for Clinical Research.
- To provide resources to attract and retain outstanding research faculty.
- To enhance the PhD program in Vision Science.
- To integrate the OD/MS Program in Vision Science with clinical research and the development of clinical faculty.

Community and Public Service: Improve Patients' Lives

- To provide clinical programs that attract a large, diverse patient population to support clinical education and enhance the visual welfare of the community.
- To provide clinical care that is contemporary, efficient, ethical and of the highest quality.
- To train interns, residents, and faculty to function as members of an integrated health care team.

Community and Public Service: Global Health

- To increase SUNY Optometry's international presence.
- To promote public health.

Within *A Shared Vision*, each goal is subdivided into supporting objectives (http://www.sunyopt.edu/about/five_year_plan.shtml or [Appendix A-1](#).)

1.2 The mission, goals, and objectives [of the professional program] give emphasis to a professional optometric degree program whose graduates possess the attributes, knowledge, skills, and ethical values required for entry level practice of optometry as defined by the program.

As stated in the Mission Statement, a fundamental priority of the College is to “develop outstanding optometrists.” Goals and objectives supportive of this mission are listed above and included in the strategic plan, *A Shared Vision*.

The attributes, knowledge, skills and ethical values required for the entry level practice of optometry as defined by SUNY Optometry are detailed in *Expected Competencies and Attributes for Optometrists Graduating from the State College of Optometry, State University of New York* ([Appendix A-4](#)). Based on the 2000 Association of Schools and Colleges (ASCO) *Attributes of Students Graduating from Schools and Colleges of Optometry*, this document was adopted in April, 2003. It was reviewed as part of the curriculum planning process and continues to serve as a resource for curriculum development.

1.5 As part of its ongoing process of planning and self-study, the college reviews on a regular basis its program mission, goals, and objectives and revises them as necessary.

Over the past decade, the College has undergone two major strategic planning processes. The first resulted in *A Vision for A New Millennium* (1999-2004), while the most recent produced the current five-year strategic plan, *A Shared Vision*. The development of this latter plan was coordinated in 2007-2008 by the Strategic Planning Task Force, a group that included broad representation from the academic, clinical, and administrative areas of the College ([Appendix A-5](#)). Subgroups of the Task Force worked with administrators, faculty and staff during the planning process and requested their review of the feasibility of the goals/objectives being proposed. A large component of the 2008 Faculty Retreat (IBM Headquarters, Armonk, NY) was dedicated to discussion of the strategic plan, resulting in input from faculty and administration. The retreat agenda and a summary of the strategic planning discussion that occurred at the retreat can be found in Appendices [A-6a](#) and [A-6b](#), respectively. Prior to formal adoption of the plan, there was a period of comment during which a draft was circulated throughout the College, thereby encouraging broad-based community participation in the review and development of goals and objectives.

With the commencement of President Heath’s tenure in 2007, there was a renewed emphasis on strategic planning as a driving force of the institution’s operations. Dr. Heath’s formal inauguration in September 2008 was timed to coincide with the adoption of the new strategic plan (developed during Dr. Heath’s first year in office) to highlight the role of planning and assessment.

Under the auspices of the newly formed Institutional Research and Planning Committee (IRPC) (described in [Appendix A-7](#)), which is charged with overseeing the implementation of *A Shared Vision*, assessment data is collected through a number of mechanisms that are described later in this section. The routine collection of data supports the identification of critical issues. Recent examples of critical issues identified through the IRPC’s data collection activities are faculty salaries, workforce issues, (e.g. the importance of coordinating

recruitment and enrollment to meet healthcare needs), and international students. The IRPC has identified the following critical issues to be addressed during the 2010/2011 academic year:

- Alignment of the *A Shared Vision* with the University's recent completed strategic plan: *The Power of SUNY*.
- Development of a webpage that serves as the centralized repository of College strategic indicators
- Completion of a workforce analysis of vision care providers in New York State to guide enrollment targets, educational programming and career development opportunities.

[Note: The work force analysis for eye care providers in New York State was being completed as the Self-Study went to press. The full results will be available during the time of the Team's visit, but preliminary conclusions suggest the College needs to look at increasing its per class enrollment in the Doctor of Optometry program from 75 to approximately 100 students within 5 years to meet the future eye care needs of New York . This projection is based upon a 2010 census of optometrists in the State of New York, an analysis of future demand for eye care services and an anticipated shortfall of over 800 ophthalmologists by 2030 state-wide.]

Planning, Resource Allocation, and Institutional Renewal (MSCHE 2)

Institutional priorities and resource allocation, both institution-wide and for individual units, are driven by the strategic planning process. The document *Strategic Planning Process for SUNY College of Optometry* ([Appendix A-8](#)) provides an overview of the planning process. The four attributes of this process as listed in this document are as follows:

- The planning process is to have the widest possible participation
- The planning process must function through the College's governance structure
- The planning process will be ongoing
- The planning process will be linked to budget allocation and the assessment of outcomes

In the section entitled "Linking Planning with Budgeting" the planning document explicitly links institutional priorities and resource allocation to the strategic planning process:

- Budget requests are supported by their relation to established unit goals and objectives
- Budget requests for new or expanded initiatives are linked to institutional strategic objectives and must address institutional priorities
- Program and unit outcomes are an essential element in the budget request and resource allocation processes

On an annual basis, the president requests each area represented on

President's Council (Academic Affairs, Student Affairs, Finance and Administration, Clinical Administration, Institutional Development, Institutional Research and Planning) and International Programs to articulate short-term goals relevant to the strategic plan. These are referred to as institutional goals and are specific to the coming academic year. The president initiated this process in 2007, shortly after his arrival and continued the practice after the completion of the *A Shared Vision*. Institutional goals for 07-08, 08-09, 09-10 and 10-11 are in [Appendix A-9](#). These goals are developed by the College's senior managers in consultation with the faculty and staff members of relevant units working through the College's administrative and faculty governance structure and are distributed annually through email to the College Community. They represent a significant investment on the part of those who are charged with their implementation. The responsibility for unit improvement rests with the senior managers, and accomplishment of the annual institutional goals is a key basis upon which each senior manager is evaluated by the president.

The *Budget Call Letter*, issued by the vice president of administration to the vice presidents, initiates the annual budgeting process for operating units of the College. This letter states "as much as possible, link your request to institutional priorities set forth in the College's Strategic Plan" ([Appendix A-10](#)). In addition to the written submission of budget requests, separate budget hearings are held with the president, the vice president for administration, the business affairs officer, and the vice president of each unit. In these negotiations, each vice president must discuss linkages between his/her budget request and goals/objectives of the strategic plan. During times of budgetary uncertainty, multiple meetings may be required. Linking expenditures to the strategic plan also facilitates decisions as to what requests are clearly outside the parameters of the plan.

Through its strategic planning process and the linkage of resource allocations to this process, the College has a history of institutional and unit improvement efforts in the areas of education, scholarship and service. These efforts are described in the relevant sections of this self-study.

Institutional Assessment (MSCHE 7)

1.3 The program identifies and uses outcomes measures to evaluate effectiveness by documenting the extent to which its goals and objectives have been met, and uses such assessment to improve its performance. Such measures include but are not limited to graduation rates, National Board of Examiners in Optometry scores, licensing examination results and career placement.

The last decade has seen the College place an increased emphasis on the use of outcomes measures to assess institutional effectiveness and student learning and to drive resource allocation. The pace accelerated significantly with the inauguration of President Heath in 2007. The primary motivation is to identify,

obtain and utilize meaningful data for programmatic improvement (i.e., the focus is on “actionable information”).

Institutional assessment efforts are headed by the director of institutional research and planning (DIRP) working in conjunction with the Institutional Research and Planning Committee (IRPC). The DIRP, who formerly served as chief academic officer and assumed his current responsibilities on July 1, 2010, holds a faculty appointment with approximately 50% of his time assigned to assessment and related activities (see [Appendix A-11](#) for a position description). Faculty representatives, staff members and a student constitute the IRPC ([Appendix A-7](#)).

To assist in the implementation of the strategic plan and the assessment of its implementation, outcome measures have been established for each of the strategic objectives. Many objectives have multiple outcome measures. These measures were developed by the responsible vice president in collaboration with the DIRP and IRPC and may be modified with the concurrence of the vice president and DIRP.

The goals and objectives of the strategic plan, along with the identified outcome measures, were configured as a Web based grid in spring 2010, which is referred to as the *Strategic Planning Grid*. [Appendix A-12](#) provides sample pages of the grid. Goals/objectives form rows in the grid while outcome measures constitute columns. There are also columns that designate the vice president/senior manager and administrator who have primary responsibility for the goal/objective. Administrators may upload documents and enter comments relevant to each outcome measure by clicking on the outcome measure. They may also enter an annual summary and action plan in a column designated for this purpose. Managers have found the grid to be more cumbersome to use than had been anticipated, limiting its utility. This has led to the development of other vehicles, which are intended to be more user-friendly and compatible with routine data collection within functional units, to track implementation of the strategic plan. These are described below.

In the summer of 2010, the IRPC, working with the vice presidents and president, developed a set of key indicators that will be used to track performance longitudinally for various College functions related to implementation of the strategic plan ([Appendix A-13](#)). On a predetermined schedule, each area head provides to the DIRP data relevant to the key indicators for his/her area. These data are formatted as charts, bar graphs, trend lines and/or pie charts to form dashboard indicators that will be posted on the Office of Institutional Research and Planning’s webpage (in process). Access will also be provided through links on the relevant pages of the College website. Much of the data will be available to the public, while other data will be password protected and accessible to appropriate segments of the College community. A few examples of data that are currently or soon to be tracked (grouped by College mission) include:

Developing outstanding optometrists and vision scientists

- Scores on National Board of Examiners in Optometry
- Student patient encounters
- Entering class profiles, including applicant profile and yields
- Student attrition rates
- Placement/success of graduates

Making new discoveries that advance vision science and patient care

- Extramural research funding
- Research publications and presentations

Improving patients' lives by providing exceptional general and specialized optometric care

- Clinical patient visits
- Clinical income

Enhancing public health through education and service to a broad range of communities

- Attendance at continuing education events sponsored by the College
- Outreach program profile
- Number of foreign externship rotations

The IRPC and president monitor the dashboard indicators relative to the goals of the strategic plan. As described in the relevant sections of the Self-Study, these data are used to measure success in reaching institutional goals/objectives and to improve program performance. When necessary and appropriate, these data will drive changes in implementation strategies and/or reevaluation of goals/objectives.

Starting in fall of 2010 and to continue on an annual basis in future years, each vice president is invited to attend a meeting with the IRPC, DIRP and president to review implementation in his/her area relevant to the strategic plan (annual implementation meeting or AIM). These meetings are intended to:

- Identify areas of progress
- Identify areas where progress is not as expected
- Determine if there are strategic goals/objectives that should be modified
- Identify and understand challenges to making progress

The president, DIRP and IRPC follow up on these meetings as necessary. Minutes for the fall 2010 AIMs for clinical operations, student affairs, research, academic programs, institutional advancement and finance and administration are given in Appendices [A-14a](#), [A14b](#), [A-14c](#), [A-14d](#), [A-14e](#) and [A-14f](#), respectively.

In addition to ongoing assessment of institutional outcomes, the IRPC undertakes focused studies on issues of particular relevance to College operations. For example, a comprehensive workforce analysis of optometrists and ophthalmologists in the state of New York that will serve to inform future College enrollment trends is nearing completion.

The College has a variety of other vehicles for collecting and disseminating data relevant to its goals and objectives. These include the College's Annual Report, fundraising reports issued by the Office of Institutional Advancement, the Association of College and Research Libraries Report, the Integrated Postsecondary Data System (IPEDs) report, and Association of Schools and Colleges of Optometry surveys.

1.4 The program publishes current and reliable information on its performance, including student achievement, as defined by the program.

The College's Web site (www.sunyopt.edu) publishes information on the curriculum, student organizations, faculty credentials and ongoing research projects. Student demographics and performance data on the standardized licensing examinations administered by the National Board of Examiners in Optometry (NBEO) can be found, respectively, at http://www.sunyopt.edu/admissions/od_demographics.shtml and <http://www.sunyopt.edu/admissions/NBEOPassRates.shtml>. The Annual Report (http://www.sunyopt.edu/news/pdf/SunyOpt_State_College_09.pdf) summarizes information on NBEO performance, student admissions, patient encounters in the University Eye Center and research funding.

There are also a number of community meeting opportunities where information is readily shared. These include the monthly President's Roundtable meeting, the Annual Faculty Retreat, Faculty Meetings and open College-wide meetings. At the fall College-wide meeting each year, the president provides a formal "State of the College" report to the community.

The College also publishes a monthly electronic newsletter, *FY EYE*, with an online circulation of approximately 1200. Those receiving the newsletter include SUNY faculty, staff and students, SUNY Optometry alumni, members of SUNY System Administration, the Board of Trustees, the College Council, State legislators, and industry professionals. Archived issues can be found at <http://www.sunyopt.edu/news/index.shtml>.

Areas for Further Development

- In ongoing institutional strategic planning processes, participation and buy-in at the unit level should be further strengthened while continuing to maintain an institutional perspective.
- Efforts to link strategic plan outcomes to routinely collected and monitored strategic indicators should continue, resulting in dashboards to monitor institutional effectiveness.

- With the completion of the SUNY system-wide strategic plan, the College needs to review its own plan and establish explicit links.
- The new facilities master planning process for 2013-2023 needs to be informed by and articulated with the College's Strategic Plan to maximize benefits to the College's educational, research and patient care programs.

B. Curriculum and Student Learning

ACOE Standard II; MSCHE Standards 11, 13 & 14

This section is divided into Educational Offerings (MSCHE 11), Related Educational Activities (MSCHE 13) and Assessment of Student Learning (MSCHE 14). Please note, however, that aspects of assessment of student learning are included throughout Section B. The relevant College programs are presented separately under each of these headings.

When discussing the professional (OD) program, ACOE standards are referenced. Please note that ACOE Standards are not covered in numerical sequence.

Educational Offerings (MSCHE 11)

The College offers a limited number of programs in support of its educational mission to “develop outstanding optometrists and vision scientists.” The primary programs are as follows:

- Doctor of Optometry (OD)
- MS in Vision Science
- PhD in Vision Science
- Combined OD/MS in Vision Science
- Combined OD/PhD in Vision Science
- Post-graduate Residencies
- Continuing Professional Education

Professional (OD) Program

2.1 The optometric curriculum fulfills the intent of the mission statement of the program to prepare graduates for entry level practice as defined by the program.

A fundamental element of the College's published mission is to develop outstanding optometrists (http://www.sunyopt.edu/about/five_year_plan.shtml). The attributes, knowledge, skills and ethical values required for the entry level practice of optometry, as detailed in *Expected Competencies and Attributes for Optometrists Graduating from the State College of Optometry, State University of New York* ([Appendix A-4](#)), inform course and curricular learning objectives and

assessment of learning outcomes. Details are provided under the appropriate standards.

SUNY College of Optometry is highly successful at recruiting strong students and educating and graduating qualified entry-level practitioners. Evidence supporting this assessment is provided in response to the specific standards in this and other sections of the Self-Study. In brief, data will be provided that demonstrate that:¹

- The professional program attracts and enrolls one of the most highly qualified optometric student bodies in the nation (page 69)
- The attrition rate is very low ([Appendix E-5](#))
- Learning objectives and expected competencies have been established for all courses and clinical experiences (pages 32)
- Learning objectives and expected competencies are informed by entry level practice as defined by the College (page 32)
- The curriculum is continuously evaluated and regularly revised based on these evaluations (page 14)
- Pass rates on the national licensing examination administered by the National Board of Examiners in Optometry (NBEO) have consistently been strong (page 36)
- The College's clinical facility, the University Eye Center, provides students with the opportunity to train in one of the nation's most high-volume, clinically diverse and challenging eye clinics (Section G)
- Students rotate through external clinics selected to complement on-campus training (page 22)
- Graduates are successful and express a high degree of satisfaction with their professional education (page 39)

2.2 & 2.5 The minimal length of the professional optometric curriculum is four academic years or its equivalent. Instruction in the optometric program is not shared with another program or institution.

The professional (doctor of optometry) program is four academic years in length including summer sessions following the second and third years. As a free standing campus of State University of New York, the College has full authority and responsibility for all educational programs and does not share instruction with any other program.

2.4 The program engages in periodic and systematic curricular evaluations by students, faculty and administrators.

The professional program is reviewed periodically and systematically with various assessment tools by the diverse constituencies within the College. The results of these assessments are employed to improve the curriculum and student learning experience.

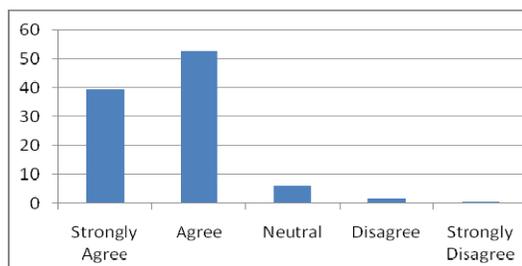
¹ Pages and sections given below are provided for quick reference purposes. Additional information is provided in the appropriate sections of the Self-Study document.

Students have the opportunity to evaluate all aspects of courses (lecture, lab, examinations, guest lecturers, etc) using surveys with multiple choice type answers and open ended questions. The results are tabulated and distributed to the instructor of record (course coordinators), appropriate department chair and dean for academic affairs. Beginning in 2009-2010 and going forward, the course surveys, which were previously administered using printed Scantron forms, have been web-based (CoursEval). Appendices [B-1a](#), [B-1b](#), [B-1c](#), [B-1d](#) and [B-1e](#) have samples of surveys employed for lecture/lab courses and clinic rotations. In addition to these formal course surveys, the dean periodically conducts web-based surveys on specific issues. These have been especially helpful in the implementation of the professional program's new curriculum (described later in this section) starting in fall 2008. Examples of such surveys can be found in Appendices [B-2a](#) and [B-2b](#).

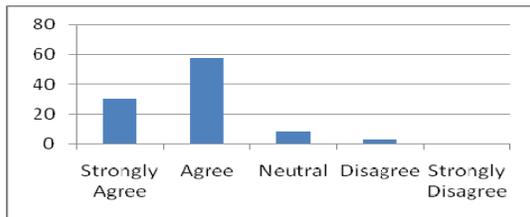
The dean typically meets with each professional class twice a semester to hear student concerns and answer questions. Once a semester, the dean meets with student officers and department chairs. The officers are asked to identify problems and give suggestions concerning courses, instructors, and curriculum. These meetings are used to facilitate solutions working with the department chairs. After the term has ended, the outcomes of these meetings are discussed at Track Coordinator meetings, which are open to the Faculty, and disseminated to the pertinent instructors of record as needed. (Curricular tracks and track coordinators are discussed below.)

There are four student representatives (one from each class) on the Curriculum Committee who collectively have one vote (out of 9). These students bring new ideas to the committee and have the opportunity to participate in discussions of all proposed curricular changes. They play an important liaison function by bringing curricular proposals back to their classmates for discussion and sharing the results of these discussions with the Curriculum Committee.

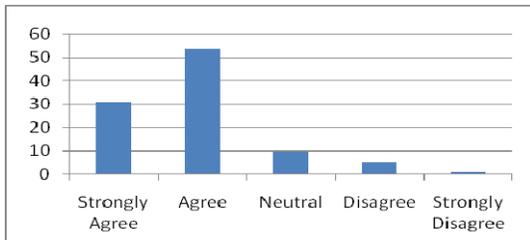
Student input regarding the curriculum is additionally obtained through the campus-wide student surveys that are conducted about every five years (please see 2010 Student Survey in [Appendix B-3](#)). (Consideration is being given to conducting annual exit surveys.) Results from these surveys are used in conjunction with the course and dean's surveys. Alumni are also periodically surveyed to determine their views on the curriculum (please see 2010 Alumni Survey in [Appendix B-4](#)).



In the most recent alumni survey, 92% of respondents (n = 512) strongly agree or agree that “The professional program at SUNY fulfilled my goals.”



More than 88% of alumni strongly agree or agree that "In general, the lecture/lab faculty were good teachers."



Additionally, more than 84% strongly agreed or agreed that "In general, the clinical faculty were good teachers."

All these sources of student and alumni input are used by the faculty, dean and Curriculum Committee in conjunction with other sources of information (e.g., NBEO scores) to assess and modify the curriculum to improve student learning. The Curriculum Committee, which reports directly to the dean, took a leading role in the development of the new professional program curriculum that was implemented in 2008 and continues to play an integral role in the curriculum review process. Input from the larger faculty is solicited through open faculty meetings and sessions at off-campus faculty retreats devoted to this purpose ([Appendix B-5](#)).

The most recent major curricular revision was initiated in May, 2004 with a charge from the dean to the Curriculum Committee ([Appendix B-6](#)) that was largely rooted in student concerns (elicited in student surveys and quarterly meetings with students) regarding the structure of the curriculum (Strategic Plan Goal 1.3). The review was expected to result in a curriculum that embraced reforms in medical education pedagogy (e.g., increased emphasis on small group discussions and integration of basic science material with its clinical applications) and anticipated changes in assessment of entry-level preparedness as measured by the NBEO that follow from these reforms. A flowchart showing the review process is given in [Appendix B-7](#). Curriculum Committee minutes will be available on campus for review.

Whereas the previous curriculum was on a quarter system for all four years, the new curriculum is on a semester system for the first three.² A spreadsheet showing the curriculum layout is in [Appendix B-8a](#). It is organized into the following tracks:

- Systemic and ocular health

² The fourth year is divided into four clinical rotations, two of which are at externship sites.

- Refractive
- Visual perception/sensorimotor
- Public health/community optometry
- Clinical examination
- Clinic
- Integrative

The first four tracks are organized around common content while the last three are more skill centered. The implementation of each track is facilitated by two faculty members designated by the dean as track coordinators. [Appendix B-8b](#) outlines how the track coordinators, department chairs, course coordinators and curriculum committee work together to oversee the administration of the curriculum. As initial implementation of the curriculum nears completion, the role of track coordinator, which originated with the new curriculum, is under review. (As discussed on page 60, the College's academic structure is undergoing a comprehensive assessment.)

The curriculum is published on the College's Web site (http://www.sunyopt.edu/academics/od_curriculum.shtml) as are the individual course descriptions (http://www.sunyopt.edu/academics/od_course.shtml). (These documents can be found in Appendices [B-9a](#) and [B-9b](#).) Syllabi and outlines for courses are posted on Moodle, the College's course management system. Faculty members as well as students have access to all the courses on Moodle. The capability to search the entire curriculum on Moodle for a particular topic is under development.

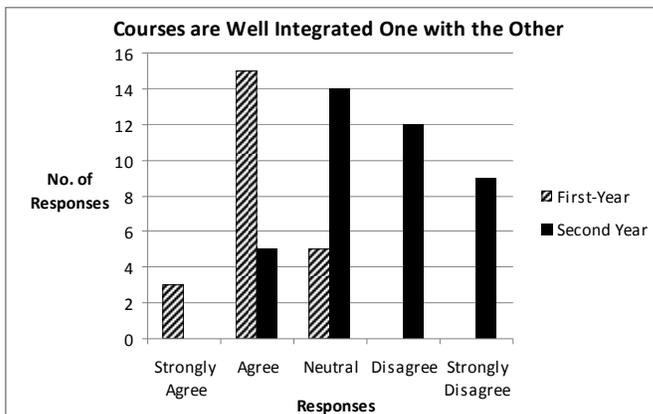
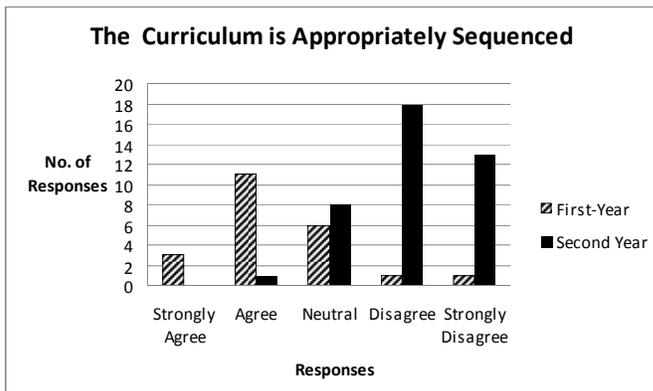
Although the recent implementation of the new curriculum limits the data available for its assessment, assessment processes are in place and ongoing. It is already evident that the new curriculum has successfully addressed most of the objectives put forward in the dean's original charge to the Curriculum Committee and that support Goal 1.3 of the Strategic Plan. Specifically, the number of courses per term has been substantially reduced; students are in clinic earlier and required to integrate and apply critically what they learn in the classroom to these clinical experiences (during *Integrative Seminar*); there is greater emphasis on small group (student-centered) learning; and there are significantly more opportunities for the integration of basic and clinical sciences (particularly in the integration track, which runs through all four years of the curriculum).

A major goal of the new curriculum is to integrate basic sciences with clinical cases. To assess its success, a case-driven integration examination has been developed. This examination, which is administered in the third year, uses clinical case scenarios to test the student's ability to integrate basic science concepts with clinical conditions. The examination was piloted with the Class of 2010 and subsequently modified and administered to the Class of 2011. Performance of the Class of 2011, the class most recently trained under the old curriculum, will

be compared to that of students trained under the new curriculum. The first class to be trained under the new curriculum (Class of 2012) will take the integration exam in early 2011.

As with any major curricular change, there have been challenges, particularly with respect to the balancing of student course loads. The administration has been proactive at seeking feedback from students to resolve the inevitable implementation challenges. Through meetings with the professional classes and focused Web-based surveys that were described previously (Appendices [B-2a](#) and [B-2b](#)), the dean has been able to identify these challenges. Implementation issues are discussed at the well-attended meetings of the dean and track coordinators (initially held bi-monthly and currently monthly). All faculty members, including course coordinators and instructors, are invited to participate in these meetings.

Although limited by the sample size, the Student Survey ([Appendix B-3](#)) administered in the spring of 2010 to all classes shows that students in the Class of 2013 (first-year students in the two graphs that follow) are considerably more satisfied with course sequencing and integration than the first class to take the new curriculum (Class of 2012: second-year class in graphs below).



These data are consistent with feedback that the dean has received from the Class of 2013 that the modifications put in place to improve implementation of the new curriculum have been effective. It will be important to continue to carefully monitor implementation through the mechanisms described previously.

An example of how input solicited from students by the dean is used at the Track Coordinator meeting is the placement *Neuroanatomy*. Initially, this course was offered in the second module (Module B) of the fall semester of the first year. Gross anatomy was taken concurrently with this course, and with the substantially increased workload of the optometry curriculum (compared to their undergraduate experiences), entering students felt overwhelmed. Following discussions with the track coordinators and review by the faculty-elected Curriculum Committee, the dean relocated *Neuroanatomy* to the summer following the second year where the course load is lighter and students are better acclimated to the rigors of the professional curriculum. Additional adjustments to the course sequence for better integration between courses and to lighten the student work load as much as possible may be considered by the track coordinators and Curriculum Committee.

2.6 Basic science instruction provides a foundation of knowledge in physical, biological and behavioral sciences essential for clinical optometric care.

Courses in the basic sciences are taught by content experts who hold an OD, PhD or both. Courses designated by *B* are offered by the Department of Biological Sciences and those demarked by *V* are in the Department of Vision Sciences (http://www.sunyopt.edu/academics/od_curriculum.shtml). Courses in Biological Sciences are considered to be basic science while certain courses in Vision Sciences are basic (e.g., optics and basic visual processes), while others (e.g., contact lenses, vision therapy, methods and procedures, ophthalmic optics) are clinical in nature. All courses have learning objectives that are included in the syllabus. Syllabi can be found on the College's course management system, Moodle and will be available on-site.

One of the goals of the new curriculum is to facilitate the meaningful integration of the basic and clinical sciences. Traditionally, basic science material tends to be front-loaded in the first part of the optometric curriculum, while clinical material is emphasized later on. To facilitate integration, an integrative track has been added in which students participate in clinical activities and subsequently discuss their experiences in small group meetings groups facilitated by at least one faculty member. This track, which also has a lecture component in the first two years, runs through the first three years of the curriculum. (Please refer to [Appendix B-8a](#) for the curriculum grid.) Discussions at the regularly scheduled track coordinator meetings indicate this approach has helped students develop the outlook and skills to better apply their understanding of the basic sciences to patient care.

The first-year integrative seminar includes clinical observations in the University Eye Center (UEC) followed by discussions in which students link observed cases to basic science principles. Students participate in vision screenings in the spring semester. During second-year integrative seminar, students participate in vision screenings and act as scribes to more senior students in the UEC. After a student has successfully completed certain requirements for the second-year spring-semester *Optometric Theory and Procedures* course, including a comprehensive clinical practical examination (Strategic Plan Goal 1.2), he/she is assigned patients in the UEC. This generally occurs in the middle of the spring semester. The second-year integrative seminar discussions place greater stress on problem solving and case presentation while continuing to encourage linkage to underlying basic science concepts. Patient communication is emphasized by having UEC patients participate with students in small group settings to allow students to work on interviewing skills. Students also perform practice exams on each other which are recorded and discussed within groups. In the third-year integrative seminar, which is scheduled on the same day that students are assigned to clinic, students present and analyze their cases with the faculty who supervised them on the cases. Students are required to make a presentation on a topic of interest that incorporates basic and clinical science information.

In their fourth year, students participate in Senior Seminar, which is structured as a highly interactive, evidence-based grand rounds approach to clinical education. It consists of presentations of current clinical research topics, case discussions and clinical presentations of cases managed by the students. It is offered during one quarter of the senior year during one of two in-house clinical rotations and consists of a one-hour pre-clinic discussion and a post-clinic 3 hour grand rounds. Each week, a current clinical topic of interest at the forefront of clinical research is introduced and discussed. Students are expected to consult and critically analyze peer reviewed publications during class discussions, clinical presentations, and case analysis.

Part I of the standardized national examination administered by the National Board of Examiners in Optometry (NBEO) tests student knowledge of the physical, biological and behavioral sciences. SUNY College of Optometry students have consistently performed above the national average on this examination, which is discussed in more detail on page 36.

2.7. Clinical instruction and practice consists of didactic, laboratory, and supervised clinical experience in the examination, diagnosis, treatment, and management of patients.

With the establishment of the new curriculum, early direct clinical experience has increased while at the same time there has been a heightened emphasis on teaching students to integrate what is being learned in the basic sciences classroom with what is seen in the clinic and to develop critical thinking and life-long learning skills (Strategic Plan Goal 1.3). Clinical experiences begin in the fall

semester of the first year when, as part of *Integrative Seminar*, students observe patient care in the UEC and participate in vision screenings.

Courses that cover the examination, diagnosis, treatment, and management of patients are taught in the Departments of Vision and Clinical Sciences. Basic examination techniques are covered in the four-semester course *Optometric Theory & Procedures* that constitutes the clinical examination track. This course, which spans the first two years of the curriculum, includes both lectures and weekly clinical laboratories (student to doctor ratio of 4:1 to 6:1) and culminates in the second half of the second-year spring semester with students performing complete examinations on patients in the UEC under faculty supervision with a student to doctor ratio of 2:1. During the second and third years, students take additional courses that develop diagnostic, treatment, and management skills in the areas of ocular and systemic disease, contact lenses, visual rehabilitation, vision therapy, pediatrics and pharmacology. All courses have learning objectives. Sequencing and descriptions of courses are given in Appendices [B-9a](#) and [B-9b](#). Syllabi can be found on Moodle.

Following up on their initial experiences of examining patients in the spring semester of the second year (as part of *Optometric Theory & Procedures*), students are required to participate in a 6-week summer clinical rotation in the Primary Care clinic of UEC. This summer clinic requirement was inaugurated in 2005. Students are assigned to 20 patient-care sessions (at least 3 hours per session) over the 6-week period. In addition, students participate in one session of grand rounds per week in which they focus on various commonly encountered patient populations that they may have heretofore had relatively little exposure to, but will be encountered in clinic (e.g., geriatric, pediatric, and diabetic patients) and one session of clinical decision making in which they discuss their cases with supervisors in small groups. The student to doctor ratio for third-year students in Primary Care is about 3 to 1. Based on feedback from students and faculty members indicating that the patient care experiences in the 6-week sessions are too condensed, the summer session following the second year will be increased to 10-weeks starting in 2011. Clinic sessions will be extended to full days and will have an associated clinical Integrative Seminar.

During the fall and spring semesters of the third year, students are assigned to two sessions per week in Primary Care. Third-year students are also assigned to seven eight-week rotations (one session per week) in the Vision Therapy, Pediatric, Ocular Disease, Specialty Contact Lenses, and Eyewear services. Each student must complete one rotation through each of these services with additional rotations through two of them (for a total of seven rotations). Recent changes in the structure of third-year clinic are discussed on page 34. Clinical assignments are in addition to coursework. Third-year Integrative Seminar, which meets weekly, provides students with the opportunity to discuss their patients with their supervising clinical instructors. Consistent with Goal 1.3 of the strategic plan, evidenced-based patient care is emphasized.

The fourth year, which commences in the summer following the third year, consists of four clinical rotations with no classes (other than Senior Seminar). Typically, two of the rotations are in the UEC and two are at external sites (discussed in Sections 2.10, 2.10.1, 2.10.2 and 2.10.3). For the UEC rotations students are assigned to the in-house clinics as follows:

<u>Fourth-Year UEC Rotations</u>	<u>Number of Sessions/Year (approximate)</u>
Primary Care ³	120
Ocular Disease ⁴	84
Pediatrics	36
Vision Therapy	48
Low Vision	15

The student to doctor ratio for the fourth-year students for on-campus rotations is about 4:1 in Primary Care and ranges from 3:1 to 4:1 in the specialty clinics. Information on student-patient encounters can be found in Section 2.8 (page 40).

One of the fourth-year external rotations must emphasize primary eye care, while the other may focus more on specialty care (Strategic Plan Goals 1.1 and 3.3). To obtain additional clinical experience in an on-campus specialty clinic beyond that provided by the in-house fourth-year rotations, students may elect to rotate through a UEC specialty clinic as one of their external rotations.

Students at SUNY College of Optometry have consistently performed well on Parts II (Patient Assessment and Management or PAM) and III (Clinical Skills) of the standardized national examination administered by the National Board of Examiners in Optometry (NBEO). Results on the NBEO are discussed in more detail on page 36.

2.10 Written and signed affiliation agreements between the program and its clinical affiliates or externship sites define, at minimum, the responsibilities of each party related to the educational program for optometry students.

The chair of the Department of Clinical Sciences serves as director of the externship program. A memorandum of understanding (MOU) that addresses respective responsibilities of all parties is signed by the College and each externship site. These are housed in the director’s office and available for review.

2.10.1. The program has established criteria for the selection of clinical affiliates or externship sites.

Selection criteria for externship sites include faculty qualifications, appropriateness of facilities and patient demographics. Each prospective site is required to complete a detailed application describing, among other information, the nature of the patient care services provided at the site, faculty qualifications

³ Several of these sessions may be in the Eyewear Center, which is administratively part of Primary Care.

⁴ Includes 12 Ocular Disease/Low Vision grand rounds sessions.

and student resources. Criteria for the selection of sites and the application that sites must complete can be found in [Appendix B-10](#). Individuals who supervise students at the site must complete an *Initial Application for Adjunct Faculty Appointment* (page 8 of [Appendix B-10](#)) and be granted adjunct faculty status by the vice president for academic affairs per established policy.

As mentioned previously, one of the fourth-year external rotations must emphasize primary eye care, while the other may focus more on specialty care (Strategic Plan Goals 1.1 and 3.3). Students may elect to rotate through a UEC specialty clinic as one of their external rotations. In line with its mission to develop outstanding optometrists and provide services to a broad range of communities, the College has recently expanded its externship sites to international locations (strategic plan goal 4.1; objective – “Within five years, at least 30% of fourth-year students will experience foreign clinical rotations each year.”). Students may now rotate through the School of Optometry and Ophthalmology of Wenzhou Medical College in the People’s Republic of China, with 4 students to participate in 2010-2011. Rotation through these sites exposes students to alternative approaches to the delivery of eye care and global issues related to public health. Additional international affiliations are under consideration in China as well as with institutions in Australia, Nigeria, United Kingdom and India. A list of current primary and elective sites can be found on page 15 of [Appendix B-10](#).

2.10.2 The program uses a monitoring system to assure that clinical affiliates or externship sites are providing clinical experiences that meet the program’s mission, goals, and objectives.

Externship sites are monitored using a number of mechanisms. As described previously, there is an initial review process. Students are required to log each patient encounter, including demographic, diagnostic and treatment information, using the Meditrek web-based system, a commercially available product designed to track and analyze patient encounters (page 16 of [Appendix B-10](#)). It provides summary data for each site that are regularly reviewed by the director of externship programs. At the conclusion of a rotation, students complete (using Meditrek) a detailed evaluation of the site and the adjunct faculty at the site (page 19 of [Appendix B-10](#)) that is reviewed by the director of externship programs and made available to third-year students to assist in site selection. As an additional level of oversight, site visits are conducted by the director of externships.

Decisions to modify, retain or discontinue externship sites are made on an ongoing basis by the director of externship programs in consultation with the dean taking into account student clinical experiences and feedback. The director compares student experiences both within and across sites for consistency and quality.

Very rarely is a site discontinued for lack of student interest, pointing to the effectiveness of the site selection and review process. It is extremely uncommon

for a student not to complete an externship rotation due to issues of performance or site compatibility.

2.10.3 The program provides educational direction to the externship and affiliated sites.

Students and externship programs are provided with a detailed Externship Manual (Appendices [B-11](#) and [B-12](#)) that includes a history of the program, goals and objectives, grading guidelines, instructions for the use of Meditrek, extern and clinical instructor responsibilities and assorted program policies and forms. The student manual is at <http://www.sunyopt.edu/academics/ExternManual.pdf>. As described in Section 2.10.2, data is collected on student-patient encounters and students complete evaluations of the site and supervising faculty. This information is regularly reviewed by the director of externship programs with feedback provided to sites as indicated. Affiliation agreements, which are present on campus, detail the responsibilities of the site.

Graduate Program

Consistent with its mission to “develop outstanding optometrists and vision scientists” and to “make new discoveries that advance vision science and patient care” the College offers the following research-oriented graduate programs:

- PhD in Vision Science
- MS in Vision Science
- Combined OD/MS in Vision Science
- Combined OD/PhD in Vision Science

A brief overview of each program is given below. Detailed requirements are given in the Graduate Policy Document that is published on the College’s Web site (<http://www.sunyopt.edu/research/docs/POLICYDOC.pdf>) or can be found in [Appendix B-13](#)).

PhD in Vision Science

Goals and Overview

This program seeks to attract applicants with strong academic backgrounds in math and science or engineering who wish to develop research skills and knowledge in basic and applied vision science (Strategic Plan Goal 2.4). Through interaction with faculty, postdoctoral fellows, and other students, the curriculum is designed to support the program’s primary objectives of developing student knowledge and skills required for a research career in academia or industry and developing outstanding contributors to vision science as evidenced by published communications and externally supported research. There is currently a total enrollment of 11 students. The graduate stipend was increased to \$30,000 per year in 2009 (Strategic Objective 2.4c) to become competitive with similar programs in the NYC area (also see page 78). All students receive a full tuition waiver.

The PhD program recently (2007) underwent a major review and revision as described later in this section (Strategic Plan Goal 2.4). In the newly implemented program, doctoral students fulfill eighty semester-hour credits of core courses and seminars/tutorials, laboratory rotations, and research as part of degree requirements. Students are required to complete *Introduction to Vision Science* (Parts I and II) aimed at providing a broad understanding of different aspects of vision science as well as *Introduction to Statistical Methods and Ethics in Research*. During the first year, each student must complete rotations in two different research labs, one in the fall and one in the spring. In addition to the core courses, students are required to pass tutorials and seminars in more specialized areas. Course listings and program requirements are detailed in the previously cited Graduate Policy Document.

To promote the development of analytical and presentation skills, each May all students are required to make an oral presentation on their research over the past year. Graduate faculty members, as well as other students, attend these presentations. Formative feedback is provided to each presenter. Starting in the second year, students are required to give at least one Journal Club presentation. (The Journal Club is a student club that brings together full-time graduate students and faculty in an informal colloquium type setting to discuss recent journal articles.) A list of 2009-2010 Journal Club presentations can be found in [Appendix B-14](#).

In lieu of a specialty area exam, a dissertation proposal written in National Research Service Award (NRSA) grant proposal form to include aims, significance of area, and background (up to 10 pages) must be submitted at the end of year 2. This is done to provide students training in writing grant proposals. Students are required to provide an oral defense of this written material, which is graded by the student's dissertation research committee. The PhD dissertation is expected to take the form of published or submitted journal articles. The defense consists of an hour-long public presentation, to include a question period, followed by a meeting with the student's committee. [Appendix B-15](#) (or http://www.sunyopt.edu/academics/Grad_StudentHandbook.pdf) gives the Graduate Student Handbook, which includes yearly benchmarks required for satisfactory progress in the Graduate Program.

The credentials of all faculty members who teach in the PhD program or supervise dissertation research are reviewed by the Graduate Qualifications Committee, a three-member committee elected by Faculty of The Graduate Program. A list of faculty members currently qualified for graduate program participation can be found in [Appendix B-16](#) or on the College's Web site at <http://www.sunyopt.edu/research/phdadvisors.shtml>.

Curricular Evaluation and Program Assessment

The Committee on Graduate Program, Policy, Admissions and Standing, which is elected by faculty who participate in the graduate program, has primary

responsibility for assessment of the various graduate programs. It meets periodically to consider changes in the Graduate Policy Document and to make recommendations concerning curriculum, educational and admissions policy to the associate dean for research and graduate studies. The committee is expected to:

- develop criteria for the evaluation of the curriculum
- periodically review the curriculum
- assess any proposed changes in the curriculum
- suggest course sequencing and scheduling to provide the most efficient learning opportunities

When making recommendations, the committee considers the results of surveys of courses and graduates of the PhD program (discussed under *Assessment of Student Learning*). The Committee on Graduate Program, Policy, Admissions and Standing initiated a comprehensive review of the PhD curriculum in 2007 (Strategic Plan Goal 2.4). Although the previous curriculum was effective in meeting the needs of graduate students, the program was primarily tailored to educate students who entered the program with prior training in optometry, medicine/ophthalmology or biology. After numerous discussions with faculty members and reviewing similar programs at other institutions, it was determined that the program was too restrictive in its admissions criteria (compared to similar programs) and would benefit by attracting students with broader backgrounds and interests, particularly students with training in psychology and mathematics. The admissions requirements were changed to eliminate the requirement for specific courses (e.g. biology and chemistry), thereby broadening the potential applicant pool to include students with strong quantitative skills who may not have a background in the life sciences. With the recent hiring of faculty members with strengths in computational neuroscience and visual psychophysics, it was thought that the program was well positioned to attract and train such students. The change in admissions requirements was deemed consistent with our mission (and strategic plan goal 2.4).

All entering students must hold a baccalaureate degree (or a professional degree in a health science); obtain acceptable scores on the Graduate Record Examination (aptitude test), or at the discretion of the Committee on Graduate Program, Policy, Admissions and Standing, the OAT or other similar examination; and demonstrate the ability to express oneself clearly in both written and spoken English. Foreign applicants from non-English speaking countries are required to submit the Test of English as a Foreign Language (TOEFL) scores.

The Committee on Graduate Program, Policy, Admissions and Standing recommended reconfiguring the PhD curriculum to promote interdisciplinary study and greater flexibility consistent with the College's strategic plan (Goal 2.4). It differs from the old curriculum in several ways. *Introduction to Vision Science*, the first year proseminar that provides a broad background in visual

neuroscience, perception and psychophysics, ocular physiology and anatomy, and computational theory, replaced the optometry curriculum lecture courses that were previously required. Tutorials that provide for individualized instruction and emphasize critical thinking and writing skills were introduced with topics ranging from physiology and pharmacology of the visual system to perception and processing of visual signals. Mandatory lab rotations are now required. Greater emphasis is placed on oral presentations with annual research and journal club presentations now mandatory. To develop grant writing skills, the specialty examination was replaced with the requirement to write a dissertation proposal in the form of a grant proposal that must be orally defended. The renewed emphasis on critical thinking, writing skills and oral presentations builds upon and reinforces undergraduate general education

Faculty in the Graduate Program in Vision Research and the Office of the Associate Dean continue to monitor effectiveness of the new curriculum (implemented in Fall 2008) primarily through student surveys and direct student feedback that is possible due to the small size of the program. Program implementation is reviewed at the annual September meeting of the graduate faculty. (Graduate program assessment is discussed in more detail on page 42.)

MS in Vision Science

The MS in vision sciences is typically awarded to students in the combined OD/MS program that is described below. Infrequently, a faculty member or former student may enroll in the program.

Combined OD/MS in Vision Science

Goals and Overview

The goals of this program are as follows:

- Provide students with a deeper understanding of the empirical basis of clinical & scientific knowledge through seminars that examine the primary literature in various areas of vision science.
- Provide students with a deeper understanding of the process of vision science research through carrying out a substantial research project.
- Provide students with experience in formulating and presenting research through making seminar presentations and writing a research paper.
- Prepare students for careers in academic optometry and the ophthalmic research and development.

Students must complete forty semester-hour credits and a research project as outlined in *Graduate Policy Document* ([Appendix B-13](#) or <http://www.sunyopt.edu/research/docs/POLICYDOC.pdf>). A number of the required courses are part of the OD program (these provide basic background information analogous to the *Introduction to Vision Science* sequence completed by PhD students) while the remaining courses include *Introduction to Statistical Methods* and *Ethics in Research* and five specialty graduate seminars. Students

are required to attend at least 6 Journal Clubs and Schnurmacher Institute for Vision Research (SIVR) colloquia every year and are encouraged to present their findings at international and national conferences. Most students present at the Association for Research in Vision and Ophthalmology (ARVO), American Academy of Optometry (AAO) or Vision Science Society (VSS).

Each OD/MS student must write a paper of publishable quality based on his/her research activities. Students take graduate courses and participate in research during elective time in the regular academic year and summers, permitting most to fulfill OD and MS degree requirements within four years of study. For 2010-2011, six new students were enrolled in the program. The total number of OD/MS students is currently 28.

Curricular Evaluation and Program Assessment

The most recent comprehensive review of the OD/MS curriculum was undertaken in 2008 by an ad hoc committee appointed by the associate dean for research and graduate studies (Strategic Plan Goal 2.5). A copy of the committee's report is in [Appendix B-17](#). Most of the implemented changes are in response to revisions in the OD curriculum and the migration from a quarter to semester system. (Graduate program assessment is discussed in more detail on page 42.)

Combined OD/PhD in Vision Science

Goals and Overview

The primary goal of the OD/PhD program is to prepare optometrists for careers in academia and research. Students commence graduate training concurrent with enrollment in the OD program. At the end of his/her third year, the student works full-time on graduate studies, receiving a \$30,000 graduate assistantship stipend and tuition waiver. Following 2-3 years of fulltime PhD work, the student re-enters the optometry program to complete his/her final clinical year while also completing requirements for the PhD.

By its nature the OD/PhD program is highly demanding and selective and attracts a limited number of applicants. The goal is to enroll 1 new student per year, but even this goal has been difficult to attain. No students are currently enrolled in this program. The OD/MS program provides an opportunity to recruit optometry students into the OD/PhD program.

Curricular Evaluation and Program Assessment

Please refer to section above on *PhD in Vision Science*.

Related Educational Activities (MSCHE 13)

Residency Program

Goals and Overview

The residency program supports the college's mission to "develop outstanding optometrists" and "improve patients' lives by providing exceptional general and specialized optometric care." From the time it established a post-graduate clinical program in vision therapy, the first optometric residency in the nation, SUNY College of Optometry has been a leader in optometric residency education. It offers among the largest and most diverse selection of residencies in the country. Over 500 optometrists have completed residencies affiliated with SUNY College of Optometry. A list and descriptions of current residencies can be found at http://www.sunyopt.edu/academics/res_descript.shtml#PEC or in [Appendix B-18a](#). A certificate of advanced clinical competency is awarded upon graduation from any of the College's residency programs.

Residency education is overseen by the director of residency education who reports directly to the dean of academic affairs and is a member of Dean's Council. Detailed policies and guidance regarding the residency program can be found in the *Manual of Procedures for Residency Programs* ([Appendix B-18b](#) or <http://www.sunyopt.edu/academics/ResidentsManual.pdf>).

All residencies offered at or affiliated with the college are individually accredited by the Accreditation Council on Optometric Education (ACOE). The residency standards employed by this DOE recognized accrediting agency can be found at http://www.aoa.org/documents/Residency_Manual_08_2009.pdf or in [Appendix B-19](#). As part of the accreditation process, each program must prepare a detailed self-study that details its goals and objectives. An example of such a self-study is available on-site upon request.

Distinctive features of the SUNY College of Optometry residency program include the required Friday on-campus didactic component that includes workshops, lectures and seminars and the SUNY Major Resident Presentations. For the latter, a two-day program is hosted on campus in which each resident gives a Council on Optometric Practitioner Education (COPE) approved continuing education lecture. The most recent program can be seen at <http://www.sunyopt.edu/ceprog/SUNYs%20Major%20Resident%20Presentations%20schedule%202010.pdf> or in [Appendix B-20](#).

Most residents are funded to attend at least one national meeting per year. The in-house residents are members of the United University Professions (UUP) and receive all the health benefits associated with this union membership. The Veterans Administration and Military residents receive health benefits through the federal government. Assistance with housing is provided informally on a program-by-program basis.

Curricular Evaluation and Program Assessment

As mentioned previously, all college residencies are individually accredited by ACOE. To achieve and maintain accreditation, each program “must annually review the fulfillment of its objectives to determine the degree to which it has attained its mission and goals.” This is accomplished through review of the detailed patient encounter information tabulated through the Meditrek system (pages 37-39 in *Manual of Procedures for Residency Programs* -- [Appendix B-18b](#)); review and evaluation of the resident’s oral and written presentations; exit interviews conducted through the office of Institutional Research and Planning (Appendices [B-21a](#), [B-21b](#) and [B-21c](#)); alumni surveys typically conducted once every seven years in conjunction with the ACOE mandated self-study ([Appendix B-22](#)); and annual evaluations of faculty supervisors completed by residents (pages 44-48 in residency manual). Recent modifications that have resulted from formal and informal evaluation of each residency program are given in [Appendix B-23](#). The College is developing a feasibility/funding model to increase the number of programs and residents (strategic goal 1.6).

Continuing Professional Education

Goals and Overview

Continuing professional education is mandatory in all states in order for optometrists to maintain a professional license to practice. Many states require that specific amounts of course work must be taken in individual topics, such as glaucoma or oral medications.

As stated in the College’s strategic plan (goal 1.7), the College seeks “to become a leader in continuing optometric education.” In particular, “The College will become the first choice for obtaining continuing education credits for the majority of New York State optometrists...” In addition to helping optometrists meet licensure requirements, the Office of Continuing Professional Education (OCPE) also seeks to enhance the quality of optometric care and the standing of the optometric profession. A description of the OCPE and programs/courses that are currently being offered can be found at <http://www.sunyopt.edu/ceprog/index.shtml>. Continuing education courses offered by the College are not credit-bearing.

The College’s Office of Continuing Professional Education (OCPE) offers a wide variety of ongoing programs in all areas of optometric education to support the College’s mission. These include:

- Courses at society meetings
- Evening and weekend programs at SUNY and throughout the State
- Courses at conferences such as Vision Expo
- A yearly Envision New York (ENY) three-day program
- On-line courses

- Specialized programs in both classroom and clinic-based formats to support expanded scope of practice in areas such as oral pharmaceuticals and glaucoma management
- Starting in May 2010, a newly-designed collaborative effort with the New York State Optometric Association called Continuing Education-New York (CE-NY) will provide five full-day courses at five different sites around New York State.

Courses taught through the OCPE are submitted for approval to the Council on Optometric Practitioner Education (COPE), a national clearinghouse for all continuing education courses of a state-wide, regional or national scope. This requirement applies to each offering on the above bulleted list. COPE is a committee of the Association of Regulatory Boards of Optometry (ARBO), which is the association that currently represents 50 US optometry boards, 4 US territories/jurisdictions, and 2 Canadian boards. To obtain COPE approval, submissions must list course learning objectives and include a topical outline. An example of a course proposal is given in [Appendix B-24](#).

Curricular Evaluation and Program Assessment

Optometrists have the opportunity to obtain required continuing education credits through a large variety of local, state and national organizations. Competition among continuing education providers is keen, making enrollment and enrollment trends an important aspect of program assessment. In 2002, SUNY College of Optometry launched *Envision New York*, an annual three day program, as its premier continuing education event. As indicated in [Appendix B-25](#), this program has steadily grown in size from 241 attendees to over 500 attendees, placing the College well on its way to becoming the first-choice continuing education provider for the majority of New York optometrists (Strategic Plan Goal 1.7).

For all of the 2009-2010 live continuing education programs, there were 1,711 attendees who completed at total of 10,621 hours (for an average of 6.21 hours/attendee/event). The total number of subscribers for the online programs was 477, who completed 2,139 hours (for an average of 4.48 hours/subscriber).

Historically, the director of the OCPE has been in ongoing communication with optometrists who take courses to obtain their feedback. The director is present at the courses and is well-known to the attendees. Speakers are selected based on their expertise on topics, feedback from senior faculty, reputation within the profession, and academic credentials. Although no formal surveys of courses are now conducted, an online survey is under development that will be available to participants when they receive an online certificate of course completion. This has been undertaken by the newly appointed Director of the OCPE, Dr. Richard Madonna, and an expanded OCPE staff. The salaries of the director and staff of the OCPE come from revenues generated by the activities of this office.

Assessment of Student Learning (MSCHE 14)

Professional (OD) Program

2.3. Each student's achievement of curricular outcomes is assessed.

Assessment of Student Learning at Course Level

Assessment of student learning with respect to curricular objectives occurs continuously and at all levels of the program. Knowledge-based aspects of the previously discussed *Competencies and Attributes for Optometrists Graduating from the State College of Optometry, State University of New York* (Appendix A-4) are mapped onto the curriculum ([Appendix B-26](#)). Course learning objectives are informed by the expectations set forth in this document, and students are assessed with respect to these learning objectives. At the course level, assessment of student learning occurs through:

- Written examinations
- Papers
- Oral presentations
- Class participation (particularly in small group learning environments such as laboratories and integrative seminar)
- Performance in practical pre-clinical examinations
- Evaluations of clinical performance by clinical instructors
- Oversight of progress by educational facilitators
- Student course evaluations
- Dean's surveys and meetings with classes and class officers
- Case driven integration examination in third year

As discussed in sections 2.6 and 2.7, learning objectives and methods of assessment are included in course syllabi, which are posted on Moodle. Hard copies of syllabi are available on campus.

A central component of the optometry program is the development of clinical skills that enable the student to participate in patient care. Student attainment of these skills is continuously and rigorously evaluated in the laboratory portion of the four-semester *Optometric Theory and Procedures* course. To achieve a passing grade in each semester of this sequence, a student must pass practical examinations. Additionally, the student must pass a comprehensive practical in the middle of the second-year spring semester prior to being granted privileges to examine clinic patients during the remainder of that semester (Strategic Plan Goal 1.2).

A large portion of student clinical education occurs in the UEC where students render care under the supervision of a licensed practitioner. This is a complex environment for assessing students in that there are multiple instructors, an unpredictable mix of patient conditions and the need to constantly make time to draw out the student in order to assess his/her clinical decision making strategy.

Besides the National Board examinations and an in-house case-based integration examination given in the middle of third year, the clinical educational experience of third and fourth year students is assessed by several processes including:

- Tracking of student-patient encounters both on-campus and at externship sites using the Meditrek system (please see page 40).
- Grading students in clinic with standards that derive from the College's definition of entry-level optometry. These standards are well defined for Primary Care Clinic and need further development elsewhere.
- Oversight of each student's clinical experience by an educational facilitator (see below) who tracks the student's patient encounters and intervenes to work with students who are having difficulties in clinic.

Each student-patient encounter is supervised by a licensed clinical faculty member who evaluates the student's performance. In addition, all third- and fourth- year students are assigned an educational facilitator, who is a licensed optometrist and member of the faculty responsible for overseeing the student's overall clinical performance as the student progresses through his/her clinical experience. Educational facilitators report directly to the chair of the department of clinical sciences and are provided with administrative time. There are two facilitators assigned to the third year of the program and one to the fourth year. Please see [Appendix B-27](#) for the educational facilitators' role and responsibilities.

Expectations for student clinical skills achievement are derived from *Competencies and Attributes for Optometrists Graduating from the State College of Optometry, State University of New York* ([Appendix A-4](#)). This document forms the basis for the *Table of Intern Clinical Competencies* ([Appendix B-28](#)) that is employed to evaluate student clinical performance in Primary Care Clinic during the third and fourth years (Strategic Plan Goal 1.2). As can be seen in the table, expectations for student performance increase as they gain clinical experience and advance through the curriculum.

The *Table of Intern Clinical Competencies*, which contains clinical learning objectives for each stage of the student clinical experience formulated so that they correspond to the "SOAP" format⁵ of patient examination, was developed in a collaborative manner by the clinical faculty with the objective of standardizing clinical learning objectives and the grading process. The learning objectives were last reviewed in 2010 by the dean and the chair of the Department of Clinical Sciences, discussed at a meeting the Department of Clinical Sciences and subsequently revised ([Appendix B-28](#)). A section on *Professional Responsibility*, which includes professional ethics, is included. The electronic clinical grading forms reflect these expectations ([Appendix B-29](#)).

⁵ SOAP, referring to Subjective, Objective, Assessment, and Plan, is a commonly used terminology for patient record keeping.

Given the large number of clinical instructors, it is not surprising that consistency in grading of intern clinical performance is a challenge. A Faculty Calibration Meeting, at which grading data, grading criteria and case examples will be reviewed, has been scheduled for May 2011.

To provide stronger linkage to the didactic curriculum, course syllabi were reviewed and a list of clinical conditions and procedures taught in each semester was formulated ([Appendix B-30](#)). This material was then correlated with the levels of clinical development and integrated into the *Table of Intern Clinical Competencies* where it is most apparent in the Assessment and Plan columns.

A student who is having difficulty meeting clinical performance expectations meets with his/her educational facilitator to develop an individualized education plan (IEP). These plans are designed by the facilitator to remediate particular weaknesses as reported by clinic supervisors (see [Appendix B-31](#) for an example of an IEP). Progress in meeting the objectives of this plan is monitored by the educational facilitator, who may meet with the department chair and Committee on Course and Standing as necessary.

Routine collection of data relevant to student learning led to a major reconfiguration of the third-year clinic that was launched in fall 2010. Surveys indicated that third-year students were being supervised by many different instructors early in their clinical training rather than being consistently supervised by a small number of instructors. These data led to concern that student learning may be limited by the lack of consistent instruction during the time that students were first applying newly learned techniques and clinical reasoning to a clinical population.

To further investigate this concern, the dean appointed an ad-hoc committee to review the third-year clinical experience. In its report ([Appendix B-32](#)), the committee recommended the creation of clinical teams (now called pods) consisting of 2 faculty members and a group of third-year students who would work together over a period of 8 or 16 weeks. Consistency of instruction and evaluation of student performance would be addressed by having the same two instructors work with the same students for an entire day over an extended period of time (8 weeks). Based on its observations, the committee proposed that the integrative seminar, which provides students with an opportunity to discuss cases, be built into the one-day clinical experience. A trial of the new structure was piloted in winter 2010 and results discussed at the March 2010 faculty retreat. The presentation at the retreat made by the faculty members who participated in the pilot is given in [Appendix B-33](#). Based on the positive pilot results, the pod system was instituted for the fall semester of 2010. Its implementation will be monitored through course/instructor surveys, regular meetings of the dean with students, Meditrek (the student-patient encounter tracking system) and performance on the third-year, case-driven integration

examination (page 17) and Part III NBEO results. One challenge already identified through student and faculty surveys is the uneven distribution of patients assigned to the different pods. Modifications in the strategies, software and training of staff that schedule patients have been made. While these interventions have resulted in a more even distribution of patients, this will need to be monitored long-term to ensure continuing improvement.

Assessment of Student Learning at Program Level

At the program level, the primary assessments of student learning include:

- Performance on standardized national licensing examinations [National Board of Examiners in Optometry (NBEO)]
- Tracking of student patient encounters (see Section 2.8, below)
- Attrition rate (see Section 6.1)
- Percentage of graduates who go onto residency training
- Default rate on federal loans⁶
- Alumni surveys

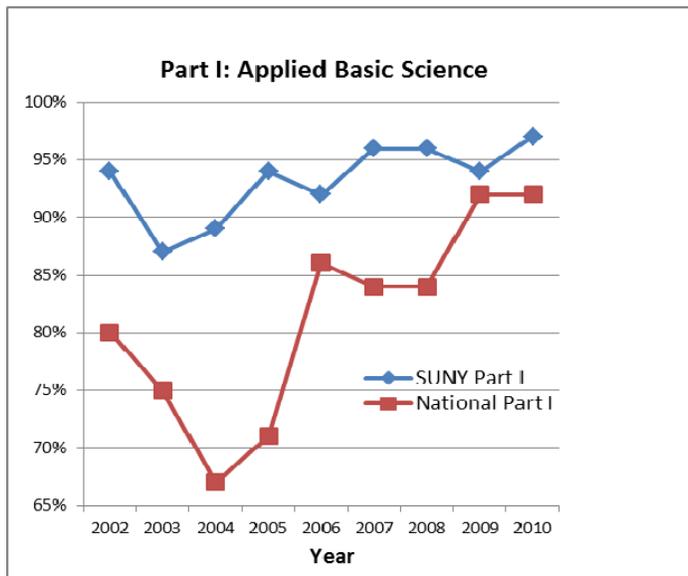
A key assessment of student learning with respect to curricular objectives is performance on the national licensing examinations administered by the National Board of Examiners in Optometry (NBEO) (www.optometry.org). Founded in 1951 as a private, nonprofit 501(c)3 organization, the NBEO develops, administers, and scores examinations, and reports the results to state regulatory boards authorized to license optometrists to practice eye care. All 50 states and Puerto Rico use portions of these examinations in the licensing of optometrists.

The College is provided with detailed information regarding the performance of its students and aggregate nationwide data for students at all the schools and colleges of optometry. These data allow the College to analyze performance of its students in the various subject areas and to utilize this information to improve student learning at both the course and program level. Due to the importance of the NBEO exams as an assessment tool, it is discussed in detail.

The exam is currently comprised of three components: Part I (Applied Basic Science), Part II (Patient Management and Assessment or PAM), and Part III (Clinical Skills). Part I, which has a targeted administration for the spring term of the third professional year, consists of 500 multiple-choice items administered across four 3.50-hour sessions. Commencing with the 2009 administration, Part I, which was previously referred to as “Basic Science” underwent a major restructuring to place a greater emphasis on clinical application of basic science material. Part II (formerly called “Clinical Sciences”) was restructured to focus on analysis of clinical cases.

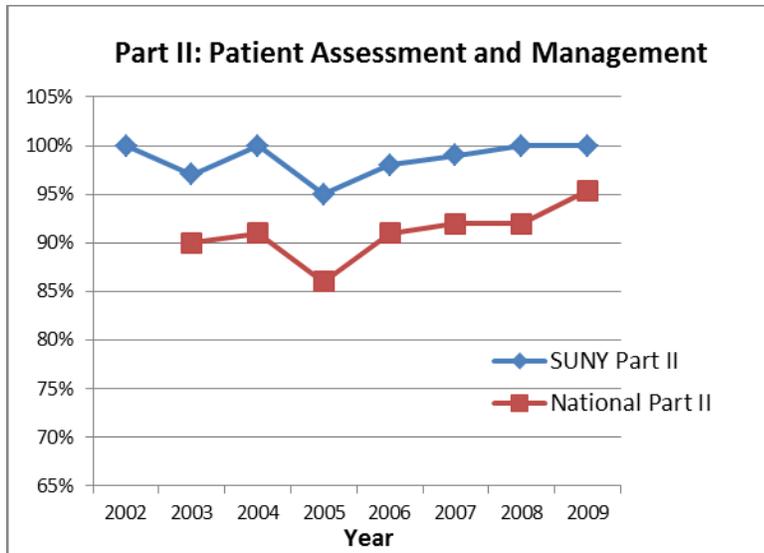
⁶ While not a primary indicator of student learning, default rates may be used to assess graduates’ success at applying their education (including patient care and practice management) upon graduation.

The five main disciplines tested in Part I are (a) anatomy (b) biochemistry/physiology (c) immunology/microbiology/pathology, (d) optics and (e) pharmacology. NBEO provides the College with the average scores (number correct) and standard deviations for SUNY students in each of these disciplines and their sub-disciplines, as well as comparable national performance. As indicated by the comparative data below for first-time takers, SUNY pass rates consistently surpass the national averages.

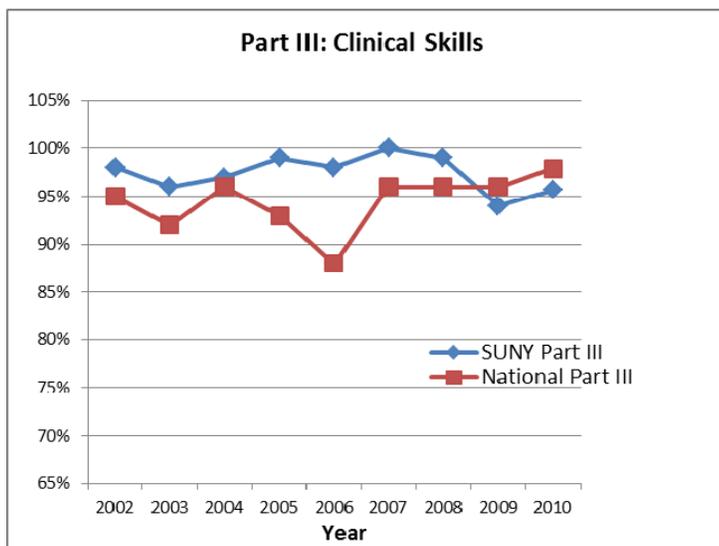


With the 2009 implementation of the newly restructured Part I, students who sat for the exam were surveyed by the dean to determine how well prepared they felt they were for the exam. The dean and interested faculty members also met with the class to learn of the students' experiences with the exam. The results of the survey and meeting were shared at track coordinator's meetings as well as at Dean's Council. The general consensus, which has been borne out by student 2009 and 2010 performance, was that students were well prepared for the newly reconfigured examination. (The dean also surveyed and met with students after they sat for the 2010 Part I exam.)

Part II (PAM), which has a targeted administration in December of the fourth professional year, consists of 60 simulated patient cases and is administered over two sessions, each 3½ hours in length. The examination covers (a) clinical presentation, (b) clinical correlation of basic science principles, (c) diagnosis, (d) treatment/management and (e) legal issues/ethics/public health for refractive/sensory/oculomotor and disease/trauma conditions. As with Part I (and Part III), the NBEO provides the College with the average scores (number correct) and standard deviations for SUNY students in each of the subject areas (and topics within these broader categories), as well as comparable national performance. SUNY pass rates are compared with national rates below:



Clinical Skills (Part III), a clinical practical in which candidates examine patients selected by the testing agency, is targeted for the spring of the fourth year. Although it measures primarily psychomotor skills, the exam contains an assessment of affective (i.e., clinical habits and attitudes) and communication skills, as well as some interpretation of clinical findings. [Appendix B-34](#) shows a form used by NBEO examiners to evaluate candidate performance in one of the four stations that constitute the exam. Recent pass rates are as follows:



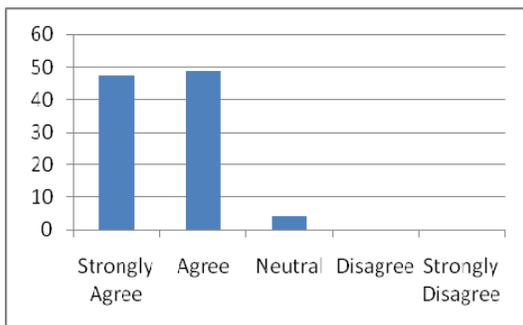
The College recognizes performance on the NBEO licensing examinations as an important outcome assessment of student learning because it (1) provides a comparison with a national database, (2) allows the longitudinal tracking of student performance, (3) currently provides our most objective measure of entry level competence and (4) must be passed (all three parts) for licensure. For

SUNY students graduating in 2010, 97.1% had passed all three parts of the NBEO licensing exam at about the time of graduation. Despite its usefulness as an outcome measure of program performance, the College and its Faculty are careful not to allow teaching (and curriculum) considerations to be unduly driven by the content of the NBEO or student performance on this examination.

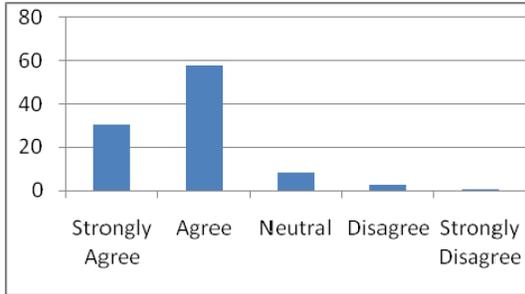
[Appendix B-35](#) provides a flowchart that summarizes how the College utilizes NBEO scores for assessment and program improvement. NBEO data are provided to the president to present to President's Council and the dean for discussion at Dean's Council and track coordinator meetings. The department chairs, who are members of Dean's Council, subsequently discuss any areas of concern with the faculty members responsible for teaching the material. These meetings are held in a collegial manner with the goal of removing any impediments and providing additional resources where indicated. Student performance is a consideration (one of several) for faculty promotion and tenure.

Board results are discussed with the Curriculum Committee. Analysis of student performance allows the College to monitor longitudinally effectiveness of the curriculum as well as to assess the impact of curricular changes. To foster independent learning, for example, there has been no increase in the number of student hours in class and labs over the past 12 years despite the continuing expansion of the scope of optometric practice. New course hours must be offset by equal reductions elsewhere in the curriculum that are undertaken due to unnecessary redundancy or lack of relevance. Nonetheless, NBEO performance has remained at high levels, suggesting this strategy has not resulted in reduced student learning as measured by this examination.

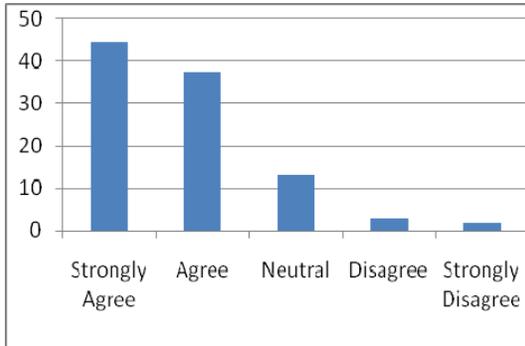
The newly implemented NBEO Part I has a greater emphasis on the clinical application of basic science information/concepts, which has been a major thrust of curricular reform at the college beginning with the receipt of a United States Department of Education Fund for Improvement of Post-Secondary Education (FIPSE) grant in 2003 to address this issue. Consistent with this institutional value and partially in anticipation of the restructuring of the NBEO, the newly implemented professional curriculum includes an integrative track that runs through the first three years.



The solid performance of SUNY students on licensing examinations is reflected in the 2010 Alumni Survey. More than 95% of respondents strongly agreed or agreed with the statement “I felt prepared for my licensing practical examination.”



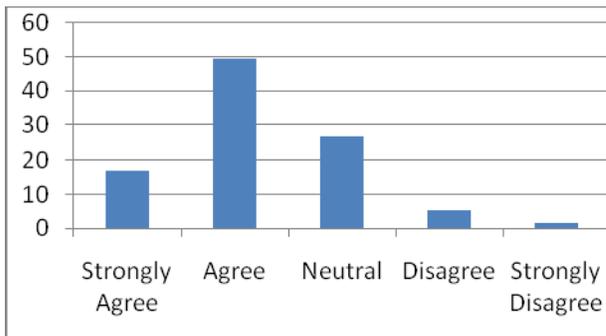
Importantly, the alumni survey revealed that more than 88% strongly agreed or agreed that “The curriculum prepared me to remain up to date in my clinical knowledge and skills.”



Overall, alumni expressed satisfaction with the SUNY optometry program, with over 81% strongly agreeing or agreeing that “If I had it to do over again, I would choose SUNY.”

Other programmatic indicators such as attrition rate (less than 4.5% -- see section 6.1) (Strategic Goal 1.8) and default rate on federal loans (< 1% over the past 8 years) are very positive and continue to be monitored. From 2002-2009, an average of 36% of the graduating class has indicated intent to complete a residency ([Appendix E-14](#)). This value compares very favorably to the commonly cited national average of 20% and supports our mission to improve “patients’ lives by providing...specialized optometric care” (also see strategic plan goal 1.1).

More than 93% of respondents to the 2010 Alumni Survey report finding a position within 6 months of graduation, and more than 84% strongly agree or agree that “I am happy in my current position.” Of those alumni who practiced at least 35 hours per week, more than 69% had an annual net tax income derived from optometry of \$100,000 or more per year, while for those practicing 41 hours per week or more, over 52% had incomes of \$120,000 or higher.



Only slightly more than 7% strongly disagree or disagree that “I have found my student loan payments to be manageable.”

2.8 The quantity, quality and variety of experiences in the supervised care of patients are sufficient for each student to develop clinical competency for entry level practice.

Students' first-, second- and third-year clinical experience and half of their fourth-year experience occurs in the UEC, the patient care facility of the SUNY College of Optometry, which has over 75,000 on campus patient visits per year. The UEC's location in the heart of the nation's most densely populated metropolis, with an extraordinarily diverse clinical population, affords an unparalleled training opportunity.

The College tracks the number and nature of patient encounters for each student in the UEC Primary Care Clinic and at externship site rotations. Primary care encounters have been tracked with a self-developed web-based system while externship sites have utilized the Meditrek system. Tracking of student-patient encounters during on-campus specialty clinic rotations and dispensing has been through internal tracking systems developed by the clinic or based on estimates of the service chief. It is estimated that average graduating student sees about 1,500 patients. To ensure uniformity in the collection of data, commencing in fall, 2010 student-patient encounters in Primary Care Clinic and specialty clinics will be recorded by students using the Meditrek system.

During clinic rotations and screenings in years 1 and 2, the average student observes or actively participates in the care of about 51 patients, with about 5 of these being complete eye examinations. In 2009-2010, the average third-year student saw approximately 96 patients in Primary Care (range of 72-129) while the average fourth-year student examined 115 patients in Primary Care and 820 patients during externship rotations.

With the implementation of the new curriculum, there is an increase in the number of hours that third-year students will be in clinic. Going forward, it is a curricular goal for third-year students to see approximately 120 Primary Care patients during their assigned rotations (in addition to those patients seen in specialty clinics). If this goal for Primary Care patient encounters is not met for a student, he/she will be assigned to additional sessions. As more experience is obtained with the new curriculum and newly implemented third year pod system (Section 2.3), this number will be reassessed.

In addition to these primary care student-patient experiences, third- and fourth-year students rotate through the campus UEC Eyewear Center and specialty clinics. Student patient encounters in the Eyewear center are estimated at 55 and 35 for third- and fourth-year students, respectively. During third-year specialty clinic rotations, it is estimated that the average student sees about 50 patients. For fourth-year specialty rotations, it is estimated that the average student sees 135 patients each in the pediatrics/vision therapy and ocular disease/low vision rotations (270 total). With the full implementation of the Meditek tracking system,

which is now underway, more detailed data will be available for the specialty clinics.

The quantity, quality and variety of each student's clinical experience are carefully overseen by his/her educational facilitator. Students meet with their facilitator each semester to review their progress and clinical experience. Examples of the tabulated patient-encounter information that is discussed with individual students are given in [Appendix B-36](#). The facilitators monitor each student's patient encounters to ensure that he/she is receiving an appropriate mix of patients. In the past, the longitudinal tracking of student-patient encounters from year-to-year has not been strong (e.g., it is difficult to know if a student who graduated in 2009 saw more patients than a student who graduated in 2005). The recent implementation of the Meditrek tracking system will provide data to allow such analysis going forward.

2.9 The program has established a set of clinical outcomes for entry level practice [as set forth in ACOE standards 2.9.1 – 2.9.8] and evaluates student's attainment of these competencies.

As discussed in section 2.3, expectations for student achievement of clinical proficiency for entry level practice are informed by *Competencies and Attributes for Optometrists Graduating from the State College of Optometry, State University of New York* ([Appendix A-4](#)). The clinical competencies listed in this document have been operationalized through the development of the *Table of Intern Clinical Competencies* ([Appendices B-28](#)) that is employed to evaluate student clinical performance in Primary Care Clinic during the third and fourth years (Strategic Plan Goal 1.2). Expectations for performance increase as a student gains clinical experience and advances through the curriculum. ACOE standards 2.9.1-2.9.8 are subsumed into the *Table of Intern Clinical Competencies*.

To provide stronger linkage to the didactic curriculum, a list of clinical conditions and procedures learned in each semester has been formulated and integrated into the *Table of Intern Clinical Competencies* ([Appendix B-30](#)). The linkage between class and clinic helps to clarify the expectations for student knowledge and skills as the student progresses through his/her clinical experience.

A goal of the *Table of Intern Clinical Competencies* is to standardize clinical learning objectives and the grading process. Students are evaluated in the UEC Primary Care clinic on the basis of performance with relationship to the *Table of Intern Clinical Competencies*. A copy of the Primary Care grading form can be found in [Appendix B-29](#). Professional responsibility is included as an assessment category.

Graduate Program

Assessment of Student Learning at Course Level

At the course level, assessment of graduate student learning is measured through:

- Written examinations
- Papers
- Oral presentations in seminars
- Class participation in seminars
- Performance in lab rotations
- Oral presentations and participation in Journal Club
- Annual oral research presentations
- Research proposals

Assessment of Student Learning at Program Level

At the program level, the primary assessments of student learning include:

- Time to graduation
- Attrition rate
- Publications
- Presentations at scientific meetings
- Post-graduate placement

Over the past 10 years, 16 students have graduated from the PhD program. The median registered time to graduation for students entering from 1998-2006 was 6 years. This compares favorably with the national median registered time to degree of just under 7 years for the biological sciences (NSF survey). Peer data are not available for programs in vision science, of which there are only a small number in the nation. From 1998-2006, the attrition rate⁷ of students in our PhD program was 67% (compared to the 8-year attrition rate of 26% for the life sciences published by the Council of Graduate Schools), while the attrition rate for those students who advanced to candidacy⁸ at SUNY Optometry was 33%. For the 12 students who have entered the program since 2007, 11 remain enrolled, with the remaining student leaving after receiving an MS degree. As discussed on page 25, the PhD program has recently undergone a major revision that is intended, in part, to allow admission of students with stronger quantitative backgrounds, making them more likely succeed in a program that has become increasingly more quantitatively oriented. The effectiveness of this change will need to be carefully monitored.

For students enrolled in the OD/MS program, 75.5% completed both degrees. Fifty-one percent of those enrolled completed both degrees together after four

⁷ Attrition rate is defined here as students not completing their degree 8 years after entering the program.

⁸ Attrition rate is defined here as students not completing their degree 5 years after entering candidacy.

years. The attrition rate (defined as not completing the MS degree 8 years after enrollment) of 24.5% is not unexpected given the high academic demands of the OD program.

The Office of the Associate Dean for Research and Graduate Studies catalogs the scholarly activity of students while they are enrolled at the College, including publications and participation and presentation at national/international conferences. A list of graduate student publications and conference presentations for the 2009-2010 academic year is given in [Appendix B-37](#). For this period, 5 OD/MS and 3 PhD students were authors on peer-reviewed manuscripts and 13 OD/MS and 10 PhD students were authors on conference presentations. (About 28 students were enrolled in the OD/MS program and 11 in the PhD program.)

Every 3-5 years, the Office of the Associate Dean conducts a survey of alumni to determine the nature of current appointments; time devoted to research and scholarly activity and teaching; scholarly productivity; and research funding. The results of the survey conducted in 2008 are given in [Appendix B-38](#). Most PhD graduates who responded to the survey hold academic and/or research positions. The scholarly output (5 of the 8 responders published in the past 3 years) and record of external funding (none were a PI on an active grant) was less than expected. These outcomes formed the basis for the revision of the PhD curriculum that was discussed previously (see Educational Offerings: Graduate Program). Specifically, the newly configured PhD program requires laboratory rotations, places greater emphasis on oral presentations and writing skills and requires dissertation proposals to be written in the form of a grant proposal. The success of these innovations will be assessed by future surveys.

The survey results for the OD/MS program ([Appendix B-38](#)) show that about 39% of respondents have an academic appointment, which is considerably higher than would be expected for optometry graduates who have not received a MS. Of those OD/MS graduates participating in the survey, 67% saw the MS as relevant to their current position.

Residency Program

As previously mentioned all SUNY College of Optometry Residency programs are accredited by the ACOE. Among the standards that must be met is the following:

The residency must specify in the curriculum the specific knowledge, skills and behaviors needed to attain core competencies and must require the resident to attain core competencies specific to the program's mission.

The meeting of learning objectives established by the program is assessed in multiple ways for each resident. Among these are:

- Tracking of patient encounters (with Meditrek)
- Regular evaluation of resident's performance by residency site supervisor

- Evaluation of the resident's oral and written presentations
- Exit interviews with each resident conducted by the director of institutional research and planning (Appendices [B-21a](#), [B-21b](#) and [B-21c](#))
- Resident's evaluation of site/supervisor
- Periodic alumni surveys ([Appendix B-22](#))
- Director's Mid-Year Resident Interview
- Written examination administered by the College of Optometrists in Vision Development (COVD) taken by vision therapy residents

Continuing Professional Education

Except for a few states, participants in continuing education courses are not required to complete written examinations. However, in recognition of these requirements, some of the courses offered by the OCPE are designated TQ (Transcript Quality) or CEE (Continuing Education with Examination) and offer written examinations. (These are not part of a credit-bearing degree program.) Enrollment in SUNY College of Optometry sponsored programs remains strong in a competitive continuing education environment (e.g., enrollment in the College's annual ENVISION New York – Appendix B-25) pointing to learning outcomes that benefit the practitioners who chose SUNY programs.

Areas for Further Development

- Continue to monitor outcomes associated with implementation of the new professional curriculum and make appropriate modifications.
- Monitor the newly revised third-year clinical pod system and implement necessary adjustments such as changes to patient scheduling software and procedures.
- Develop modifications to the fourth year clinical program including changes to the externship program that provide students with more diverse clinical training opportunities, including international rotations and private practice settings.
- In implementing the third-year curriculum and developing the fourth-year curriculum, data obtained from the Meditrek system should be used to:
 - Further define core clinical experiences
 - Better monitor each student's clinical progress to ensure that core clinical experiences are obtained
- Improve consistency in grading throughout third and fourth year clinics to better reflect curricular learning objectives.
- Continue to develop and use effective educational technologies, including the full implementation of the Moodle course management system, to enhance student learning.
- Monitor recruitment strategies for students entering the PhD program and the success of the new PhD curriculum in graduating productive scientists.
- Critically evaluate the viability of the OD/PhD program and, if indicated, develop and institute a plan to increase enrollment in this program.
- Develop non-institutional funding sources for graduate stipends.

- Continue efforts to grow the residency program in a fiscally responsible manner.

C. Faculty, Research, and Scholarly Activities

ACOE Standards III & V; MSCHE Standard 10

5.1 The number and qualifications of faculty is sufficient to meet the stated missions of the [professional] program.

The College employs approximately 61 full-time and 80 part-time (28.2 FTE) paid faculty members for a total of 89.2 FTE. This compares favorably with faculty numbers for other schools and colleges of optometry as reported in the 2009-2010 Association for Schools and Colleges of Optometry (ASCO) survey. The higher number of faculty at SUNY may be attributed to its large campus-based clinical care facility combined with its research program. [Appendix C-1](#) gives the distribution of faculty by department and rank. The Faculty is organized into the Departments of Biological, Vision and Clinical Sciences as indicated in [Appendix C-2](#) (or http://www.sunyopt.edu/about/dean_office.shtml), which gives the Table of Organization for Academic Affairs.

Faculty members may hold an appointment of either qualified (e.g., clinical and some research appointments) or non-qualified rank (tenure-track/tenured). Per SUNY Board of Trustee policies, qualified appointments are not eligible for tenure, but may be renewed indefinitely. Additional information regarding faculty appointments is cited in Section 5.5

Faculty members in the departments of Biological and Vision Sciences hold doctorates related to the field in which they teach and just about all have participated in post-doctoral research training. Four members of Vision Sciences hold both a PhD and optometry degree. Optometrists with appointments in Clinical Sciences hold an OD degree and New York State optometric license and are credentialed by the University Eye Center (UEC).

Goal 1.9 of the College's strategic plan is "to attract and retain highly qualified, full-time faculty members." A published objective in support of this goal is "to compensate both existing and future faculty members at or near discipline-competitive levels adjusted for geographic location and faculty rank. ("The compensation of faculty will be improved to a level equal to or above the average among comparable New York City-based institutions and among comparable institutions nationally. And, for clinical faculty, a level of compensation that is no less than 20% below other optometry compensation levels in the New York metropolitan area will also be used as an indicator.") As can be seen in Appendix C-3, SUNY faculty salaries compare favorably with those of other schools and colleges of optometry (data from Association of Schools and Colleges of Optometry). Comparisons with comparable national institutions (60th percentile of

Carnegie I institutions) are also favorable. For comparable New York City based institutions, the College provides similar compensation at the assistant and associate professor ranks and lags at the professor rank. Although comparisons of salaries for clinical faculty and optometrists in the metropolitan area are difficult because salary data for optometrists may not take into account practitioners in private practice, available data ([Appendix C-3](#)) indicate that the College meets its compensation objective for clinical faculty. Adjustments will continue to be made to the faculty pay scale to ensure that the highly qualified faculty members required by the College to fulfill its mission continue to be attracted and retained.

The quantity and quality of faculty members is sufficient to allow the College to meet its educational, research and service missions. As discussed elsewhere in this report, the student to faculty teaching ratios in laboratories and clinics provide for effective learning environments. As evidenced by the growth in extramural research funding over the past decade or so, there are sufficient faculty resources to provide faculty members with research credentials adequate release from teaching and administrative responsibilities.

5.1.1 Faculty members hold an earned terminal degree or first professional degree from an institution accredited by a recognized agency or its foreign equivalent or have certification or licensure related to their primary instructional assignment.

As published in the UEC Policy and Procedures Manual (Policy C-12, [Appendix G-1](#)), it is the policy of the University Eye Center to ensure that each health care provider is initially credentialed and subsequently re-credentialed on a bi-annual basis. In addition to requiring a copy of state licenses and certificates, the applicant is required to produce a copy of his/her diploma from an accredited school or college of optometry. The application is then reviewed by a credentialing specialist, and the provider's information is entered into the credentialing database system for tracking and reporting purposes. Initial primary source verification is conducted utilizing the primary or an NCQA approved verification source. The following items are verified: a current valid license or certification to practice in New York; the status of clinical privileges at any hospitals listed by the provider; a valid Drug Enforcement Agency certificate; education and training; board certification; history of professional liability claims; and Medicare/Medicaid sanctions by querying the National Practitioner Data Bank.

For faculty members in the Departments of Biological and Vision Sciences who do not have clinical privileges, curriculum vitae are maintained in the Office of the Vice President for Academic Affairs, and for newly hired members of these departments, the highest degree is verified. Faculty members in all three departments are asked to update their credentials annually. A list of College faculty, degrees and institutions attended can be found in [Appendix C-4](#).

5.2 A system is in place to enable faculty participation in governance.

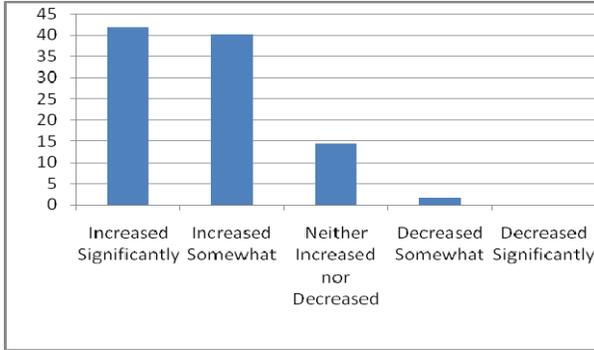
The role and responsibilities of the Faculty in College governance (Faculty By-laws – as approved April 5, 2010) are published in the Faculty Handbook (<http://www.sunyopt.edu/faculty/hb/bylaws.html> or [Appendix C-5](#)). This document details the committee structure upon which faculty governance is organized. The current composition of elected and appointed committees can be found in Appendices [C-6](#) and [C-7](#), respectively.

To encourage greater faculty participation in College governance, President Heath encouraged the Faculty to reorganize its committee structure so that certain key committees are elected from and by members of the Faculty. Previous to this restructuring, only two committees (Committee on Professional Qualifications and Faculty Executive Committee) were elected by faculty members, and all others were by presidential appointment.

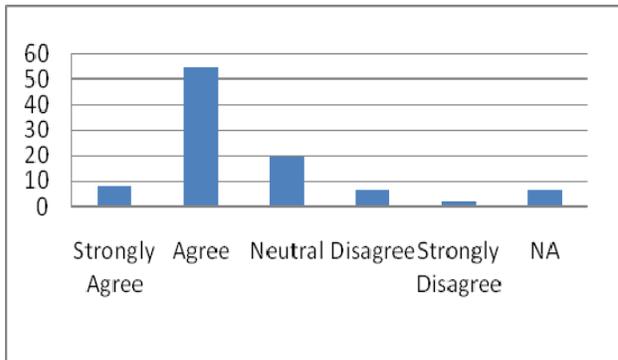
The elected Faculty Executive Committee (FEC), which consists of the presiding officer, presiding officer elect, secretary, faculty senator, faculty senator alternative, professional program representative and graduate program representative, is responsible for facilitating communication and coordination of activities among the president, dean, vice presidents, and the Faculty. It reports to and consults with the vice president for academic affairs, but may also seek consultation with the president at any time. The specific responsibilities of the FEC as published in the bylaws are to:

- Call and conduct quarterly meetings of the faculty. Additional meetings may be held at the call of the faculty presiding officer, or at the request of 10 or more members of the voting faculty. All requests must be made in writing and presented to the faculty presiding officer
- Meet regularly to discuss and conduct faculty business
- Monitor the functioning of the faculty elected committees, and include reports of these committees on the agenda of faculty meetings
- Serve as representatives to the Faculty Student Association
- Work with the vice-president for academic affairs to assure the Faculty Handbook is updated annually
- Facilitate the conduct of elections of faculty-elected committees in accordance with each committee's membership as described in the appendices

At the quarterly faculty FEC meetings, each elected faculty committee is expected to summarize its activities. Examples of minutes are available on campus for review. President Heath has strongly supported and encouraged the Faculty to take an active role in College governance. Attendance at faculty meetings has steadily increased to the point where attendance sometimes surpasses 50, more than double what it had been prior to the current College administration.



In response to the 2010 Faculty Survey item “Over the past five years, the frequency of faculty input when developing academic policy has _____” more than 82% said that faculty input has increased significantly or increased somewhat (n = 62). (2010 Faculty Survey results can be found in [Appendix C-21.](#))



In the same survey, sixty-three percent agreed or strongly agreed with the statement that “Faculty are meaningfully involved in institutional planning and governance.”

The Faculty has taken an active role in the development of agenda for faculty retreats, which have addressed core faculty issues such as curriculum, tenure and promotion, faculty governance, instructional methodologies and faculty workloads. Agenda for recent retreats (which have been held on an annual basis commencing in 2008) and examples of discussion questions can be found in Appendices [C-8a](#), [C-8b](#) and [C-8c](#).

As discussed in Section B of the Self-Study, the professional and graduate program curricula have recently undergone major revisions. The elected professional Curriculum Committee and Committee on Graduate Policy, Course and Standing and Curriculum are responsible for these programs, and with input solicited from the Faculty, had a significant role in shaping these curricula and continue to play a key role in their implementation.

While not mandatory, participation (particularly active participation) in faculty governance is encouraged and may be considered in decisions regarding promotion, tenure and the awarding of discretionary raises. The recently revised (07/01/10) policy document on tenure and promotions emphasizes active service ([Appendix C-9](#) or <http://www.sunyopt.edu/faculty/hb/cpq.html>).

5.3 Faculty members are allocated adequate time and resources to enhance their skills and leadership abilities in education, service, research and scholarly activity.

Commencing in October, 2009, faculty members were assigned a primary supervisor who is responsible for facilitating faculty development to achieve

professional goals and is charged with providing guidance and mentoring of individual faculty members including career development and advancement ([Appendix C-10](#)) (Strategic Plan Goal 1.9). Depending on a faculty member's responsibilities and academic rank, his/her primary supervisor may be the vice president of academic affairs, a department chair, clinical service chief, or clinical chief of staff.

The determination of faculty work assignments, particularly in the Department of Clinical Sciences, has historically been linked to clock hours of effort. To more accurately reflect the actual accomplishments associated with various assignments, the College has migrated to a percent effort paradigm. As presented by the vice president for academic affairs at the March 2010 Faculty Retreat, it is expected that this formulation will provide individual faculty members with more predictability regarding their assignments and greater flexibility in meeting them, while also allowing for more efficient scheduling.

Faculty assignments take into account each individual's teaching, administrative, clinical, and other contributions to the college and are reviewed annually with the faculty member's primary supervisor. The following are guidelines for the calculation of effort for various faculty assignments:

Activity	FTE (Per Cent of Effort)
1 lecture hour per week (including prep time)*	10
3 hours lab per week (including prep time)	10
Lab organizer	10
Administrative session	10
Admissions committee	10
Clinic session	10
Research/scholarship/ /special project session	10
Development/Flex/Service session	10

*For a course coordinator, credit is given for the total number of lecture hours.

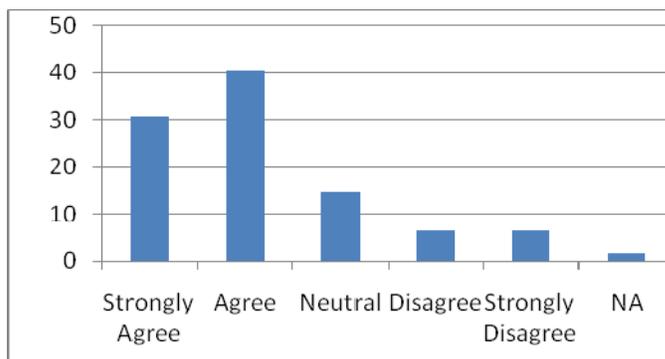
Full-time members of Department of Clinical Sciences are provided with one development session per week and may apply, through their primary supervisor, for additional time to work on research/scholarly activities or special projects (Strategic Plan Goal 1.9). Examples of effort assignment review forms for individual faculty members from each department can be found in [Appendix C-11](#).

All graduate faculty members are expected to develop and maintain significant research programs. The percentage of the effort assignment devoted to research, teaching, clinic and service is determined by annual negotiation with the primary supervisor and vice president for academic affairs and depends on

success in obtaining research grants. A minimum of 20% of a graduate faculty member's research effort during the academic year is funded by the College (Strategic Plan Goal 1.9). Faculty members will not be required to fund more than 30% of their base salary from their grants, thereby allowing grant funds to be used for postdocs, graduate students, and other direct costs. The College provides externally funded PIs supplemental funds for discretionary use equivalent to 5% of the indirect costs generated by grants. It also provides bridge funds for consumables and staff for funded researchers for up to two years when necessary. Start-up funds for laboratory construction, equipment, and project support are made available to new faculty with research programs. Policies addressing indirect funds and bridge funding can be found in [Appendix C-12](#).

In support of Goal 2.2 (to establish a Center for Clinical Research), the College in 2009 established an internally funded grants mechanism of \$20,000/year to support collaboration between basic and clinical faculty. These grants provide an opportunity for faculty members in the Department of Clinical Sciences to work with a basic science faculty member on a clinical project and to develop research skills. The first two collaborative, clinical research projects have been approved for support during the 2009-10 academic year.

As described under Standard F, the Department of Information Technology (IT) supports faculty teaching, research and patient care activities and has contributed to campus workshops related to new teaching technologies (e.g., Moodle, Turning Point). Full-time faculty members are provided with an office space, telephone, computer and supporting software. The latter are upgraded and replaced on a regular basis.



According to the 2010 faculty survey, 71% of the respondents strongly agree or agree that “My assigned space in the building is appropriate to my needs.” In August, 2010, the College began master planning for the period of 2013-2023 and has retained Bostwick Architectural Assoc, to lead the process.

The Faculty Development Committee takes an active role in developing programs to enhance faculty skills and abilities. Examples of recent programs include:

- Turning Point Workshop: Skill development on interactive clicker system that is used in didactic teaching to engage students during class time and ensure adequate understanding of new concepts.

- Moodle Workshop: Skill development on course management system that was introduced at the college. All course instructors are required to utilize this system to manage the content of their courses on-line.
- Pub Med Workshop: Skill development on new uses of this medical and scientific search engine.
- Finer Points of PowerPoint Workshop: Skill development in improving PowerPoint presentations
- Student Centered Learning in the Large Classroom
- A Legal Primer for Online Instructors

Faculty members are encouraged to attend scientific and professional meetings to further develop knowledge and skills and to present research findings. Departmental funds are available to support faculty travel. Funding for travel can also be obtained through the Individual Development Awards Program sponsored by the New York State/United University Professions Joint Labor Management Committees.

For continuing professional education programs offered by the College, faculty members pay discounted rates (50% reduction) for certain programs while for others there is no charge. Faculty members who wish to pursue formal education to improve their educational backgrounds are eligible for tuition assistance (http://www.suny.edu/BENEFITS/addlBenefits/AtAGlance_UUP_FT.cfm).

All faculty members are encouraged to attend the Schnurmacher Institute for Vision Research (SIVR) colloquia, which features presentations by prominent local, national and international investigators. The College's web site (<http://www.sunyopt.edu/research/colloquium/index.shtml>) lists these colloquia for recent years. Faculty members with clinical credentials who attend these colloquia are provided with credit toward meeting continuing education hours required to maintain UEC clinical privileges.

Tenured faculty members are eligible for sabbaticals after 6 consecutive years of service. The College's sabbatical policy, updated Sept. 1, 2009, can be found in [Appendix C-13](#) or at <http://www.sunyopt.edu/faculty/hb/employ.html> (Strategic Plan Goal 1.9). Per policies of the SUNY Board of Trustees, full salary support is available for sabbaticals of one-half-year duration, while one-half salary support is available if the sabbatical's duration is one year. With prior approval, faculty members may supplement salaries up to their full salary.

5.4 A faculty evaluation process establishes goals and assesses performance of each faculty member.

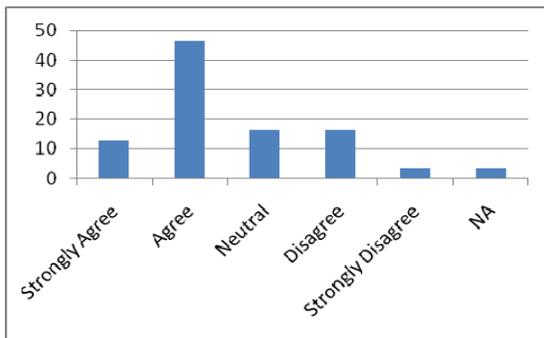
Faculty members often participate in activities in several of the College's functional units. A faculty member may, for example, teach a course in the Department of Vision Sciences, teach in the clinic (Clinical Sciences) and have an administrative assignment. To provide coordination of a faculty member's

activities, in 2009 the College established the position of primary supervisor. The College's policy document on this position is in [Appendix C-10](#).

Each faculty member is assigned a primary supervisor who is responsible for faculty supervision, evaluation, and facilitating faculty development to achieve professional goals. Faculty members are to meet with their supervisor at least annually to review the past year, establish goals for the future and identify ways to facilitate those goals, discuss teaching and clinic assignments for the upcoming year, and formulate formal requests for assignment changes. Recommendations from the meetings between faculty members and their primary supervisors are generated and sent to the vice president for academic affairs and, for clinical faculty members, to the University Eye Center Administration (vice president for clinical affairs and director of professional services). To facilitate academic and clinical scheduling for the following academic year, primary supervisor recommendations are due by March 1st each year.

If an individual faculty member performs functions in multiple areas within the College, the primary supervisor seeks input from other supervisors who interact with that individual, either by consultation or through a joint annual meeting with the faculty, so that a comprehensive annual review occurs. These various sources of information, including the faculty member's curriculum vitae and list of publications/accomplishments over the past year are used by the primary supervisor in making recommendations for merit pay increases.

Recommendations for promotion and tenure are made to the administration by the Committee on Professional Qualifications (CPQ). This committee is constituted of five tenured faculty members, with one elected from each of the three departments (Biological Sciences, Clinical Sciences and Vision Sciences) and two elected at large by the faculty. Revisions to the CPQ Policy Document, which details the criteria for promotion and tenure and the processes by which these occur, were discussed at the March 2010 faculty retreat and subsequently approved as of July 1, 2010 by the Faculty and Administration. The newly revised CPQ Policy Document (07/01/10) can be found in [Appendix C-9](#) or at <http://www.sunyopt.edu/faculty/hb/cpq.html>.



When asked in the 2010 faculty survey to rate agreement with the statement "I understand the necessary requirements to advance my career" 60% strongly agreed or agreed. These survey results will serve as a baseline for assessing the effectiveness of recently approved policies and the impact of the primary supervisor structure.

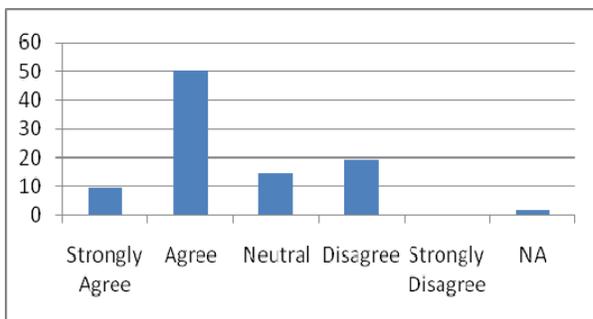
Outstanding faculty contributions may be recognized on an annual basis through the SUNY Chancellor’s Awards for Excellence in Teaching, Scholarship and Service. Nominations are solicited from faculty, staff and students by an ad hoc committee appointed by the president, whose recommendations are made to the president. Final approval for these awards is made by the Office of the Chancellor. Faculty members who receive these awards are recognized at the College’s annual Scholar’s Dinner. The first sabbatical under the College’s new policy was taken during the fall semester of the 2010-2011 academic year.

Additional recognitions for faculty and staff are made through the Recognition Committee appointed by the president (Strategic Plan Goals 1.4, 1.9 and 1.11). At a 2009 College wide gathering organized for this event, faculty and staff members with 30 or more years of service to the College were recognized. In 2010, the Committee introduced the College Spirit Award that celebrates service and commitment to the College Community. Awards were made to one faculty and staff member at the College’s second Annual Recognition Event on August 5, 2010.

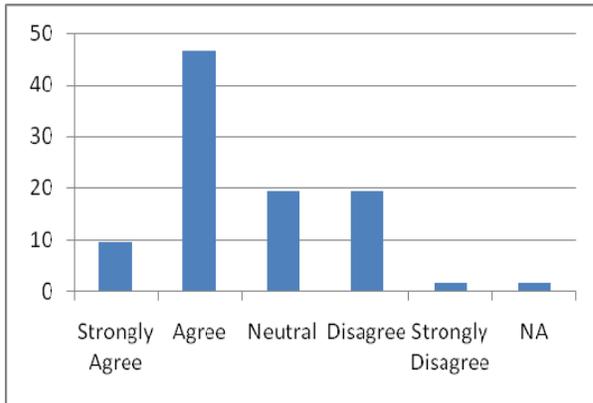
5.5 Published policies and procedures for faculty recruitment, promotion, tenure, academic assignments and responsibilities, sabbaticals, reporting relationships, grievance, and benefits are followed.

An overview of policies governing faculty recruitment, appointment, grievance procedures and benefits can be found on the College web site at <http://www.sunyopt.edu/faculty/hb/employ.html> (or [Appendix C-14](#)). Appointments, retention, salary, rank, tenure, and other personnel matters are governed by the Policies of the Board of Trustees of SUNY (http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf (or [Appendix D-1](#)) and the current Agreement between the State and United University Professions (UUP) (<http://www.uupinfo.org/agreement.pdf> or [Appendix C-15](#)). SUNY’s policy on academic freedom can be found on page 20 of the Policies of the Board of Trustees. These are complemented by the College’s recently approved policy on promotion and tenure (<http://www.sunyopt.edu/faculty/hb/cpq.html>).

Grievances are covered on page 7 of the current UUP agreement. Published policies regarding academic assignments and responsibilities, promotion and tenure, sabbaticals and reporting relationships were discussed in Sections 5.3 and 5.4.



Sixty percent of the faculty (2010 Faculty Survey) strongly agree or agree with the statement “I am aware of the criteria for retention, promotion and tenure.”



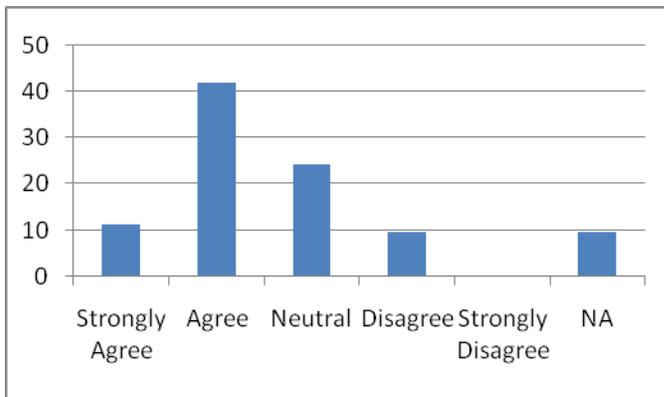
Over 56% strongly agree or agree that “I am aware of the process by which retention is determined and by which promotion and tenure occur.” Approximately 20% disagreed with the statement, providing a baseline to assess the effectiveness of the newly implemented policy on promotion and tenure.

For the AY 2011 cycle, five faculty members applied for promotion under the new Committee on Professional Qualification’s guidelines (please see section 5.4). This is the highest number in recent memory.

3.1 The college supports, encourages and maintains research activity in vision and related sciences.

Overview

The College, particularly in recent years, has been successful at supporting, encouraging, and maintaining research activity in vision and related sciences (Strategic Plan Goal 2.1). Many of its faculty publish regularly in premier journals in vision and optometry, maintain collaborations with scientists at other institutions, and are successful at procuring grants and contracts, as detailed below.



As indicated in the 2010 Faculty Survey, over 53% strongly agreed or agreed that “Within the past five years, there has been an increase in the vitality of the research effort at the College.” Less than 10% disagreed.

Research and scholarly activities is one of four institutional priorities embedded in the College’s mission statement, which states that the College excels, innovates, and leads in optometry and vision science by making new discoveries that advance vision science and patient care. The goals associated with this component of the mission are to:

- Develop and maintain the most productive basic and clinical research programs among schools and colleges of optometry
- Establish a Center for Clinical Research
- Provide resources to attract and retain outstanding research faculty
- Enhance the PhD program in Vision Science (discussed in Section B of this Self-Study report)
- Integrate the OD/MS Program in Vision Science with clinical research and the development of clinical faculty (discussed in Section B of this Self-Study report)

The College recognizes that these goals, particularly the first, are very ambitious, especially given the difficult and uncertain financial conditions of the State of New York and the nation. Nonetheless, significant and continuing progress has been made over the past decade, and the College now ranks sixth in federal funding for research among the twenty schools and colleges of optometry, being surpassed only by programs situated on major research campuses. As described later in this section, the College has taken a leadership role in the recent establishment of the SUNY Eye Institute (SEI) that integrates the complementary strengths of the four SUNY medical universities (Upstate, Brooklyn, Buffalo and Stony Brook) with a goal of further strengthening the College's research enterprise. Fundraising efforts described in Section F of this self-study report are expected to provide additional capital in support of the College's research ambitions.

Current research efforts generally fall into the following areas, which are described in more detail in [Appendix C-16](#):

- Cell Biology and Ocular Pharmacology
- Visual Optics
- Visual Neurophysiology
- Vision and Visual Perception

Support for Research

The research program is overseen by a full-time associate dean for research and graduate studies, who reports directly to the vice president and dean for academic affairs. The associate dean is supported by one full-time and one half-time staff members. On-campus support for grants administration is provided by a grants administrator in the office of the vice president for administration and finance. External grant activity is managed through the Research Foundation (RF) of the State University of New York.

Substantial College resources (exclusive of external grant funding) are devoted to the research program. Institutional salary support for research faculty was about \$936,309 in 2009-10.⁹ Over this same time frame, \$237,500 was spent on

⁹ Over this same period of time, grants generated \$897,554 in indirect costs and \$342,997 in salary offset.

start-up funds (first year of a two-year start-up package for a new faculty member), \$360,000 for graduate student stipends, \$148,260 for graduate student tuition waivers, \$3,300 for graduate student fees, \$58,000 to support work-study students who are either in the OD/MS program or providing support to research laboratories and \$28,100 to support additional research functions. In addition to these expenditures, \$244,843 in indirect cost recovery funds were used in 2009-2010 to support the Biological Research Facility and \$125,540 supported other research activities. Laboratory and common space assigned for research activities is 14,457 SF.

In addition to these expenditures, research activities of the College are supported internally by the Schnurmacher Institute for Vision Research (SIVR), which was founded in 1983 in response to the growing need for scientific knowledge about the visual system and methods of improving visual function. Funding for the SIVR comes from the Optometric Center of New York, the College's affiliated foundation. The associate dean for graduate studies and research is the current director of the SIVR. With an annual budget of about \$80,000, the SIVR supports collaborative clinical research, small clinical research projects, innovative translational and clinical research and the SIVR Colloquia Series

The College has put in place significant physical and other infrastructure to support the research efforts of its faculty members, post-docs and students. These are described in [Appendix C-17](#).

The College promotes its researchers and their activities and increases their visibility through a number of mechanisms including the following (Strategic Plan Goals 1.4 and 1.9):

- The College is an active participant in and hosts meetings of VisioNYC, a collaborative effort of the vision research programs at Columbia, Rockefeller, Cornell, and NYU and SUNY Optometry to promote the interaction of vision scientist in New York City. Examples of programs can be found at http://www.sunyopt.edu/research/res_news.shtml.
- Publications, grant awards, conference presentations, and invited talks are publicized in the College's quarterly electronic newsletter, *FY Eye* (<http://archive.constantcontact.com/fs059/1101825906496/archive/1101915784248.html>).
- An annual Scholar's Dinner is held each summer to which all faculty members, post-docs and students who have published in the previous year are invited and at which awards are given.
- Administration reliably solicits faculty nominations in response to calls for recognition by the State University of New York (e.g., Chancellors Award for Research)
- Department budgets include funding for travel and support for scholarly meetings.

Since its last accreditation site-visit, the College has continued to invest in strengthening its research program by recruiting outstanding scientists who have been able to attract federal research funding (Strategic Plan Goal 2.3). Most recently, the College has recruited and established research laboratories for:

- Benjamin Backus, PhD: Learning and visual perception
- Robert McPeck, PhD: Neural mechanisms underlying attention and visually-guided action
- Miduturu Srinivas, PhD: Gating and pharmacology of lens gap junction channels
- David Troilo, Ph.D. : Visual development, accommodation, refractive error and myopia

Each of these scientists is federally funded with more than one grant.

As discussed in Section 5.3, a minimum of 20% of a graduate faculty member's research effort during the academic year will be funded by the College, with additional time provided dependent upon success in obtaining grants (Strategic Plan Goals 1.9 and 2.1). Faculty will not be required to fund more than 30% of their base salary from their grants. Bridge funding is also available when there is a lapse in funding (please refer to [Appendix C-12](#)).

As indicated in Goal 2.2 of its strategic plan, the College plans to establish a Center for Clinical Research. In addition to the internal grant mechanism described on page 50, the College has created ties to the Clinical and Translational Research program of SUNY REACH (a phased investment that seeks to build a collaborative biomedical research platform among the four SUNY academic health centers) and to the Office of Clinical Trials at Stony Brook to provide training and support. It is expected that at least one part-time person will be hired this academic year as a clinical trial coordinator and trained by the Office of Clinical Trials at Stony Brook to run a clinical data control center. The College is currently working on linking its IRB to those at the other Academic Medical Centers through the use of IRBnet. This will make the college a full member of a SUNY IRB consortium to facilitate clinical research and will help procure funding for both investigator initiated and industry funded clinical trials.

The College has taken a leadership role in establishing the State University of New York Eye Institute (SEI) (Strategic Plan Goals 2.1 and 2.3). The mission of this institute is to integrate the complementary strengths of the four SUNY medical universities (Upstate, Brooklyn, Buffalo and Stony Brook) and SUNY Optometry into a single SUNY Eye Institute (SEI) in order to enhance research and training in clinical and basic visual sciences in New York State. Its primary goals are to:

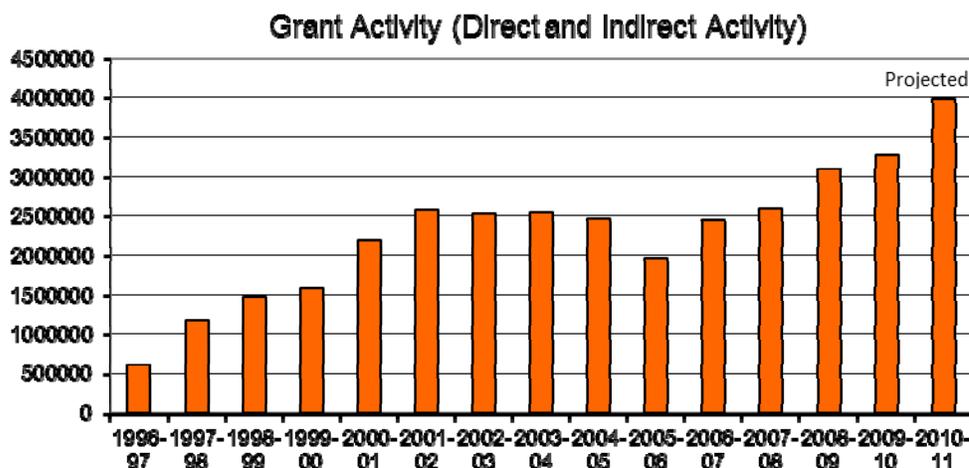
- Develop pre- and postdoctoral training programs in eye research across the five schools
- Recruit basic and clinical investigators into eye research
- Promote and foster collaborative research interactions among vision scientists across the schools

- Establish state-of-the-art eye research core facilities at each of the campuses to serve and augment the capabilities of all five schools.

The SEI has begun the process of reviewing and organizing the services and strengths of each contributing campus and has submitted for an application for a National Eye Institute multi-center P30 core grant. An executive summary of the grant application can be found in [Appendix C-18](#).

Research Productivity

The vibrant and growing nature of the College’s research program can be seen in its growth in extramural funding, which has increased from \$622,000 in 1996-97 to just under 4.0M in 2010-11 (projected). In spite of difficult economic conditions, the College is making good progress towards its strategic goal of \$5M in funding (Goal 21.) as indicated in the following chart:



A listing of currently active grants can be found in [Appendix C-19](#). Faculty members at the College currently (as of March 30, 2010) hold a total of 33 grants. Sixteen of these grants are funded by NIH (13 are R01s and 2 are R21s), 2 by NSF, 1 by the US Army, 2 by New York State, 3 by charitable foundations and 9 by industry. The College also holds a NEI T-35 training grant that supports the research activities of professional students working in selected laboratories.

Other indicators of a high level of research activity include faculty publications, invited talks and published abstracts presented at scientific and professional meetings. For 2008-2010, faculty members, post-docs and graduate students were authors on more than 98 publications and 136 published abstracts (Strategic Plan Goal 2.1). These are listed in [Appendix C-20](#).

Areas for Further Development

- Aggressively pursue the establishment of a Clinical Research Center, as called for in the strategic plan, with an investment in facilities and staffing.

- Continue to seek external support for research infrastructure by
 - taking a leadership role in establishing the State University of New York Eye Institute (SEI)
 - submitting institutional support grants
 - coordinated fundraising for research by the Office of Institutional Advancement
- Support faculty primary supervisors and senior faculty as they develop mentoring skills for faculty development and management skills for more effective faculty teaching and evaluation.
- Continue to monitor faculty salaries with relation to appropriate benchmarks
- Review and align academic structure with strategic goals.
- Continue efforts to increase faculty diversity.

D. Governance, Regional Accreditation, Administration, and Finances

ACOE Standard IV; MSCHE Standards 3*, 4, 5, and 6

Leadership, Governance and Administration (MSCHE 4 and 5)

4.1 The governance structure of the program clearly assigns authority and responsibility for the formulation and implementation of policies that enable the program to fulfill its mission.

The State University of New York (SUNY) was established in 1948 by an act of the State Legislature. It comprises 64 individual campuses that are decentralized in location and administration and diversified in curricula. The overall direction of the State University is the responsibility of a 16-member Board of Trustees appointed by the Governor (and confirmed by the State Senate) who also designates the Chairperson and Vice-Chairperson. A student member of the board serves ex-officio.

A System Administration staff, headed by the Chancellor of the University, functions under the Board of Trustees and is located in the University's system offices in Albany. Each unit of the State University is headed by its own chief executive officer and functions under the direction and leadership of the System Policy Administration staff. The College of Optometry is a free standing campus of SUNY. Its president, Dr. David A. Heath, reports to the Chancellor of SUNY, Dr. Nancy L. Zimpher, who, in turn, reports to the Board of Trustees. The policies of the Board of Trustees are given in [Appendix D-1](#) and are also posted at http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf. The Board of Trustees is expected to comply with all legal standards for such governing bodies including any conflict of interest requirements.

The College Administration, as delineated in the organizational chart (see [Appendix D-2](#) or <http://www.sunyopt.edu/about/governance.shtml>) includes five functional areas: Academic Affairs, Student Affairs, Clinical Affairs, Institutional Advancement and Administration and Finance. Each of these is responsible for the formulation and implementation of policies appropriate to its area. Position descriptions for administrators are given in the Faculty Handbook (<http://www.sunyopt.edu/faculty/hb/college.html>). As new policies are implemented or existing policies are reviewed, information is presented to the college community via open meetings, electronic distribution of information, College and Faculty meetings, the College's monthly electronic newsletter *FY EYE* (archived copies can be found at <http://www.sunyopt.edu/news/index.shtml>), faculty retreats, and the policies and procedures section of the College Web site (<http://www.sunyopt.edu/about/poli.shtml>).

Under the leadership of the vice president for academic affairs, this area has recently commenced a comprehensive assessment of its administrative structure. As one of the initial steps in this process, faculty members have been asked to complete anonymous web-based surveys of their department chairs. Surveys will also be completed for academic administrators.

The operation of SUNY College of Optometry, as is the case for all other campuses of the University, is informed by a College Council whose function is described in New York State education law section 356 ([Appendix D-3](#)). In accordance with this statute and the policies of the SUNY Board of Trustees, the Council advises the President on the operations and affairs of the campus. It is constituted of 10 individuals, nine of whom shall be appointed by the governor and one of whom shall be elected by and from among the students of the institution. This body plays a critical role in the selection of the campus president. A list of current members can be found at http://sunyopt.edu/about/coll_council.shtml. The Council meets about four times per year with the president and other administrators/faculty members at which times the president provides a report on the status of the College and brings issues of importance for discussion. Examples of an agenda and minutes are available on campus.

The faculty governance structure is described in the Faculty Bylaws (<http://www.sunyopt.edu/faculty/hb/bylaws.html> or [Appendix C-5](#)). These bylaws were recently updated to reflect a new committee structure that places more responsibility on elected faculty committees for faculty governance.

4.1.3 The institutional structure clearly assigns authority and responsibility for the hiring, evaluation, retention and discharge of the program's chief executive officer.

Per policies of the Board of Trustees (Article IX, Title A, Chapter 1), the hiring, evaluation, retention and discharge of the College's president, who serves as its chief executive officer, are solely within the purview of the University's Board of Trustees upon the recommendation of the Chancellor of the University. Dr.

Nancy Zimpher was appointed as Chancellor of the University in June, 2009. The current policy for evaluation of the campus presidents is given in [Appendix D-4](#). This policy is under review.

4.3 The chief executive officer or chief academic officer has a professional optometric degree, and both are qualified to provide leadership in optometric education, scholarly activity and patient care.

Dr. David Heath is well qualified by education and experience to serve as the College's chief executive officer. He is a graduate of Ithaca College and received his doctor of optometry degree from The New England College of Optometry. He subsequently earned a masters degree in Education (concentration in Administration, Planning & Social Policy) from Harvard University. Dr. Heath served as Dean and Vice President for Academic Affairs at the New England College of Optometry for 13 years immediately prior to becoming SUNY College of Optometry's third president in June, 2007. The president's curriculum vitae can be found in [Appendix D-5](#).

The chief academic officer, Dr. David Troilo, joined the college as vice president and dean for academic affairs in July, 2008. Dr. Troilo received his PhD in biology from City University of New York and completed post-doctoral work at Oxford and Cornell Universities. He subsequently joined the faculty of The New England College of Optometry where he taught biological sciences, directed the graduate program in vision sciences, and conducted research on myopia funded by the National Eye Institute (NEI). Dr. Troilo continues to maintain an active NEI funded research lab at SUNY and participates in teaching in the professional and graduate program. The dean's curriculum vitae can be found in [Appendix D-6](#).

4.4 The chief executive officer has the authority and responsibility for fiscal management of the program.

The policies of the SUNY Board of Trustees (Article IX, Title A, Chapter 2) charge the president with the fiscal management of the campus and its programs. The president works closely with the vice president for administration and finance, a member of President's Council, in the management of the College's financial resources. Details on allocation of campus resources and fiscal oversight are discussed later in this section.

4.5 There are clearly defined reporting relationships, performance expectations, and assessment procedures for all administrators.

Reporting relationships are delineated in the College's organizational chart (<http://www.sunyopt.edu/faculty/hb/college.html> or [Appendix D-2](#)). The responsibilities of administrators can also be found at this site. Prior to appointment, credentials are reviewed to ensure they meet the standards established in the University's classification description for the administrative position.

Members of senior management are classified by the University as management/confidential. Appointees to these positions serve at the pleasure of the president. At the beginning of the academic year, performance expectations are negotiated between the administrator and his/her supervisor. It is expected that when possible, these expectations are linked to the College's Strategic Plan and strategic indicators. Annual management goals are summarized by the president in the form of Institutional Goals and shared with the College community (see [Appendix A-9](#)). Toward the end of the year, the employee prepares a performance document detailing his/her activities and progress on the previously established expectations, and meets with the supervisor to review the progress made. The outcomes of these meetings serve as a basis to establish the following year's performance expectations.

Institutional Resources (MSCHE 3*)

4.6 Financial resources [as well as qualified staffing and adequate information and decision-making systems] are available to develop and sustain the program on a continuing basis.

Working under the supervision of the president, the fiscal management of the College is overseen by the vice president for administration and finance (VPAF) (<http://www.sunyopt.edu/about/administration.shtml>). Reporting to the VPAF are the directors of general institutional services, human resources, business affairs, grant administration, management services (facilities and security) and information technology.

Support for the College comes directly from the State of New York through the budget of the State University of New York. Detailed information regarding revenues and expenditures are given in section 4.6.1 below. As with all of public higher education, the degree to which State appropriations cover the cost of operations has been uncertain and subject to political influence. The College's income, other than from direct state appropriation, comes from the following sources:

- Tuition and fees
- Research grants
- Clinical income
- Philanthropy

During the past three years, the College has been able to sustain significant reductions in support from the State resulting from the general fiscal climate, as well as New York's economic difficulties. Overall, there have been reductions in direct state support totaling \$3,667,000. Some of this has been offset by annual state adjustments to cover negotiated labor agreements each year. The net impact has been a \$1,243,000 reduction in direct state support during a period in which negotiated labor costs increased by 14%. Increases in tuition during this period reduced the actual dollar impact to a \$214,300 reduction in the State financial plan which includes all revenues related to State support, tuition and

fees. These fiscal challenges have been met by placing a greater emphasis on other sources of funds, such as clinical care, research and philanthropy.

Like any individual or business, the College should prepare financially for future contingencies, e.g., reductions in State support, unexpected and extraordinary expenditure needs, capital equipment replacement, or building flexible reserves. In addition to such contingencies, the College must also meet its normal, programmatic and operational spending requirements. Since no single source of funding fully supports the College, it is necessary to budget on an "all funds" basis. In order to do this in a meaningful way, the College must generate campus-based revenue to augment diminishing levels of State support to an extent that is sufficient to fund its on-going spending needs and build reserves for the future. Maintaining positive fund balances is essential to this process. Over the last several years, the College has been able not only to maintain but also to grow its fund balances from \$6M as of 6/30/05 to \$14M as of 6/30/10. This has enabled the campus to make continued progress in achieving the goals and objectives set forth in its strategic plan, even though the State's bleak fiscal situation has resulted in repeated reductions in support. Looking to the future, the College will continue its "all funds" budgeting, growing revenue where possible and adjusting spending accordingly, in order to maintain normal operations and to preserve the positive fund balances needed for both planned growth and dealing with uncertainty.

In spite of decreases in State support for operations, the College has been approved and funded for complete renovation of the lobby, second floor, third floor and third-floor mezzanine, along with part of the research space on the 16th and 17th floors. The projects may allow for additional revenues in the future associated with enrollment levels, research grants and continuing professional education programs (see Section F).

Tuition and Fees

Total revenues from tuition and fees for 2007-2008 and 2008-2009 are \$4.2 million and \$4.5 million, respectively¹⁰. Tuition is currently determined by the University's Board of Trustees upon the recommendation of the campus (please see [Appendix D-7](#) for the recent request and justification for a tuition increase). In-state and out-of-state tuition are, respectively, \$17,380 and \$33,370 per year for the optometry program and \$8,370 and \$13,780 per year for the graduate program (2010-2011 academic year). Most full-time PhD students receive a tuition waiver and stipends for teaching or research assistantships. Most part-time MS students are also full-time students in the optometry professional

¹⁰ These figures, which come from IPEDS, are at variance with those in the 2009 Annual Report that are derived from the SUNY computer system and reflect what System calls "revenue offset." These latter figures include gross tuition, fees, clinic pledge, interest, and some IFR fringe benefit recovery, and are all supplemental to the State tax-support portion of the financial plan.

program and, as such, are not charged additional tuition for graduate courses. The College incurs the cost of tuition for graduate courses.

[Appendix D-8](#) provides past, current, and projected enrollment data for both the professional (O.D.) and graduate programs (M.S., Ph.D.). Significant changes in enrollment are not anticipated for any of the programs through 2012.

Income from Research Grants

Total income (direct and indirect costs) from research grants for 2007-2008, 2008-2009 and 2009-2010 are \$2.6 million, \$3.1 million and \$3.3 million respectively. Grant activity is managed through the Research Foundation (RF) of the State University of New York, which computes and negotiates the indirect reimbursement rates paid by granting agencies. Current rates are 79.5% of salary and wages for most federal awards and 32.2% for non-federal awards. Additional information on research grant activity is given in Section C of this Self-Study.

The College maintains a relationship with the RF central office that facilitates financial and operational compliance with sponsored programs issued through federal and state funding agencies, foundations and industry. The RF provides critical financial and accounting services and reports as well as management and training for administrators and principal investigators and legal and intellectual property management services. The fee for these services is 4% of the weighted average for the last three years of campus income from sponsored programs; investment income distribution; and royalties and gifts. For FY 2010-11 the assessment was \$122,864.

Clinical Income

Built into the College's budget is an expectation for clinical income from the operations of the University Eye Center (UEC). This income is derived from patient fees (self-paid) and reimbursement from Medicaid, Medicare and a variety of health care third party plans. For 2007-2008, 2008-2009 and 2009-2010 total clinical revenues were \$7.86, \$8.28 and \$8.85 million, respectively.

Philanthropy

A major source of philanthropic activity has been through the campus-related foundation, the Optometric Center of New York (OCNY), which has raised an average of \$903,358 annually from 2004-2010. The Foundation's balance as of June 30, 2010 was \$8.32M. The Foundation is currently conducting a five-year major-gifts campaign that is described in Section G of the Self-Study.

4.6.1 The program utilizes sound and generally accepted financial management procedures to assure effective monitoring, control and accountability of its fiscal resources.

As discussed in *Section A: Planning, Resource Allocation, and Institutional Renewal (MSCHE 2)* of the Self-Study (page 8), allocation of campus resources

is driven by the College's Strategic Plan. The document *Strategic Planning Process for SUNY College of Optometry* ([Appendix A-8](#)) provides an overview of the planning and budgeting process.

As a state-operated entity, the College is subject to all of the rules, regulations, operating and audit procedures that govern any state agency. Information systems with regard to financial operations (purchasing, payroll, personnel, etc.) are linked to the SUNY system-wide network, the Office of the State Comptroller and the Department of Civil Service.

The College follows the State University of New York *Administrative Procedures Manual* (<http://www.suny.edu/FinanceandBusiness/FBAdmProc.cfm>). A *User Procedures Manual* issued by the New York State Office of the Comptroller details the requirements of State agencies relating to procurement, accounting, revenue, appropriations, internal control and general financial management (please see <http://www.osc.state.ny.us/agencies/accmannual/index.htm>). The College provides departmental managers access to a SUNY system-developed monitoring tool (SUNY Management Resource Tool = SMRT) on the SUNY portal, wherein the managers can view the accounts under their responsibility on a real-time basis.

The State Comptroller audits, on a cyclical basis, each State agency. Audits that focus on specific areas are also conducted regularly by SUNY System Administration. Since SUNY State College of Optometry is part of the State University of New York's system, it does not have campus-specific audited financial statements or management letters. Typically, campuses within SUNY do not have audited financial statements or management letters. The College is held accountable within the systems of the University and State of New York. All campus fiscal information is fed to the SUNY Controller's Office who compiles the campus information with others within the SUNY system to produce consolidated financial statements which are then audited by an independent auditor. The information is available in the integrated post secondary education data system (IPEDS) database.

The State University of New York State College of Optometry is financially sound. Its all-funds financial condition, as evidenced in the attached IPEDS data (Appendices [D-9a](#) and [D-9b](#)) for the periods FY 2002 – 03 through FY 2009 – 10, indicates steady growth in *Total All Revenues & Other Additions*. These data also indicate that *Total Expenses & Deductions* track revenues appropriately; spending is kept to within the institution's available resources.

The Internal Control Act, more specifically referred to as the *New York State Governmental Accountability, Audit and Internal Control Act* (originated in Chapter 814 of the Laws of 1987, then made permanent in Chapter 510 of the Laws of 1999), requires that all State agencies, including SUNY institute a formal internal control program. Internal controls are designed to promote performance

leading to the effective accomplishment of an organization's goals and objectives. Additional information can be found on the College's website (<http://www.sunyopt.edu/about/internal.shtml>).

Additional information related to institutional resources can be found in Section F.

Integrity (MSCHE 6)

4.1.1 There are policies concerning governance issues including, but not limited to, conflict of interest, due process, disclosure, non-discrimination, confidentiality of records and fiscal accountability.

As a state entity, the College may not discriminate on any basis and must adhere to all applicable equal employment opportunity, affirmative action and ADA requirements with regard to applicants for admission or employment, students, faculty, staff or patients. Policies for the University are promulgated by its Board of Trustees. Additional iterations of policies relative to conflict of interest, due process, disclosure, non-discrimination, and confidentiality of records are contained in the various collective bargaining agreements. There is awareness within all components of the governance structure regarding the necessity of compliance with the Americans with Disabilities Act as well as with Equal Employment Opportunity Commission (EEOC) regulations and any other nondiscrimination regulations that apply to College-related activities.

In the agreement between the State of New York and United University Professions (UUP), Article 10 covers non-discrimination; Article 7 covers grievance procedures¹¹; and Article 19 addresses discipline and due process. All administrative personnel and faculty members who earn over \$88,256 per year must complete an online State ethics form that would identify conflicts of interest. The College is subject to state audits and is required to submit annual reports documenting the implementation of many policies and procedures, such as the provision of education/training on domestic violence and public safety.

As part of its compliance activity, as well as its commitment to diversity in all its programs, the College has a faculty-student Committee on Affirmative Action and Cultural Diversity that includes 14 faculty and staff, four students and the Director of Personnel (ex officio) (Strategic Plan Goal 1.10). The Committee addresses issues related to the promotion of cultural diversity and equal opportunity for all of the College's constituencies and makes recommendations in this regard. The Director of Personnel serves as the College's affirmative action officer.

Policies governing academic freedom and the protection of intellectual property can be found in the policies of the Board of Trustees of the State University of New York ([Appendix D-1](#), pages 20-22). These issues are also addressed in the

¹¹ Student grievance procedures are discussed on page 77.

agreement between the faculty union (United University Professions) and State of New York ([Appendix C-15](#): article 9 on academic freedom).

The college website includes a page devoted to copyright policy and guidelines (<http://www.sunyopt.edu/library/copyright.shtml>). The Library Director, who serves as the Copyright Officer, is also a resource and is available to discuss fair use of copyrighted materials. A program of electronic reserves for courses in the professional program using Moodle (the college's learning management system) was recently initiated by the Library Director. Copies of articles and other copyrighted materials that are required readings are being made available within the course space in Moodle and carry appropriate copyright designations. Only students enrolled in the course have access to these materials and only for the duration of the course. As a way to remind and emphasize copyright policies, signs and notes are posted in various locations (especially in the Library), and there is a "copyright resources" section on the Library website. Violations of copyright and other policies concerning intellectual property rights are considered as unethical behavior. If the violation involves a student, it would be investigated by the Judicial Committee.

Detailed policies concerning patents, inventions and other intellectual property developed by faculty members can be found in the policies of the Research Foundation (https://portal.rfsuny.org/portal/page/portal/Intellectual_property/tto). These policies include the Patents and Invention Policy, which ensures that the public receives the benefits of all inventions made by persons working in State University facilities. The Technology Transfer Office of the Research Foundation is charged with assisting in the preparation of patent applications and monitoring patent payments. The operations manager for the Research Foundation at the campus is the College vice president for administration and finance, who is responsible for assuring that the campus is in compliance with the policies of the Research Foundation.

The College employs detailed policies, which are discussed in the relevant portions of the Self-Study, to ensure equitable and appropriately consistent treatment of faculty, staff and students. Confidentiality of student records is discussed in Section E. Demographics of incoming classes are posted on the College's website (http://www.sunyopt.edu/admissions/od_demographics.shtml) as are passing rates on examinations of the National Board of Examiners on Optometry (<http://www.sunyopt.edu/admissions/NBEOPassRates.shtml>)

4.1.2 The program is conducted and organized in such a way as to facilitate open communication among administrators, faculty, students, staff and other constituencies.

Open and candid communication between administration and the faculty, staff and students has been a high priority for current administration led by President Heath. Shortly after his arrival in 2007, Dr. Heath met, in small group settings, with the various constituencies of the college. This was the first step in a concerted effort to regularize systems of communication within the College.

An important vehicle for communication is the monthly College electronic newsletter FY EYE. This newsletter reinforces the College's strategic priorities and progress with respect to these priorities while also informing the community of institutional and faculty/staff/student accomplishments and building a sense of community. Copies of FY EYE are archived on the College's Web site at <http://archive.constantcontact.com/fs059/1101825906496/archive/1101915784248.html>.

To encourage greater faculty participation in the College governance, Dr. Heath encouraged the Faculty to reorganize its committee structure so that certain key committees are elected from and by members of the Faculty. Previous to this restructuring, only two committees (Committee on Professional Qualifications and Faculty Executive Committee) were elected by faculty members. Faculty Bylaws that describe the composition of the various College committees and their charges can be found at <http://www.sunyopt.edu/faculty/hb/bylaws.html> or in [Appendix C-5](#).

The response to changes in the faculty committee structure and the opportunities it provides for meaningful input has been very positive. The number of faculty members attending Faculty Meetings has increased substantially. Elections for committee positions are competitive, with multiple candidates often vying for an opening.

The president and dean meet periodically with the Faculty Executive Committee (FEC) and make themselves available as needed. Agenda items may be put forth by FEC or the president.

To keep the College community abreast of University and College developments, the president holds College meetings open to all faculty and staff three or four times per year. At these meetings, vice presidents and other administrators report on their areas. The fall meeting is reserved for the president to make his *State of the College Report* to the community.

4.2 The institution is accredited by a regional accrediting body recognized by the U.S. Department of Education.

Middle States Commission on Higher Education (MSCHE), a regional accrediting body recognized by the U.S. Department of Education, reaffirmed the accreditation of SUNY State College of Optometry at its June 25-26, 2003 session. A copy of the institutional accreditation letter from MSCHE, dated July 1, 2003 is attached ([Appendix D-10](#)). Accreditation status can also be found on the MSCHE Web site (http://www.msche.org/Institutions_Directory.asp).

Area for Further Development

- The ongoing fiscal crisis in New York State will require the College to creatively manage its resources while continuing to pursue its strategic goals

* Parts of MSCHE Standard 3 are addressed in both Sections D and F.

E. Student Admissions and Services

ACOE Standard VI; MSCHE Standards 8, 9 & 12

Student Admissions and Retention and General Education (MSCHE 8 & 12)

Professional (OD) Program

6.1 There is a systematic process that results in the admission of a qualified student body.

Goal 1.8 of the Strategic Plan is “To attract and enroll highly qualified students for the professional program.” The responsibility for the identification and recruitment of potential applicants for the professional program resides within the Office of the Vice President for Student Affairs (VPSA). Reporting to the VPSA are the director of financial aid, registrar, director of admission and marketing, admissions assistant, minority recruiter (CSTEP coordinator – see page 70) (Goal 1.10) and a staff assistant. The entire staff of the office has been involved in recruitment and admissions activity regardless of their primary title. The administrative structure of Student Affairs can be found at http://www.sunyopt.edu/about/stuaff_vp_office.shtml and [Appendix E-1a](#). Curriculum Vitae of the professional staff (VPSA, director of financial aid, registrar and minority recruiter) are given in Appendices [E-1b](#), [E-1c](#), [E-1d](#), [E-1e](#) and [E-1f](#), respectively.

The newly created position of director of admission and marketing was filled on November 15, 2010. This position reports directly to the VPSA and is primarily responsible for the overarching recruitment plan to bring to SUNY College of Optometry a highly qualified and diverse student body, including students with high leadership potential, students from diverse backgrounds, and international students. The director is expected to develop an integrated and comprehensive marketing and communication strategy; create key assessment metrics and reports; and synthesize marketing intelligence into actionable objectives. He/she will also lead an effort to create targeted approaches for distinct market segments and, accordingly, develop and distribute recruitment materials in print, electronic, and web-based formats. Additionally the director will provide ongoing training of the Admissions Committee; revitalize the admissions visitation and College tour program; arrange off-campus visits by College faculty and alumni who promote and advise prospective students about the profession of optometry;

supervise admissions advising, applications processing, and records; and track and analyze the College's recruitment efforts on a regular basis.

The process that is employed to admit a qualified student body is detailed in the *Admissions Policy and Procedure* document ([Appendix E-2](#)) last revised on April 14, 2010. The function of the Admissions Committee, description of the interview process and Affiliation Program (3/4 program) and admission of advanced standing applicants are addressed in this document.

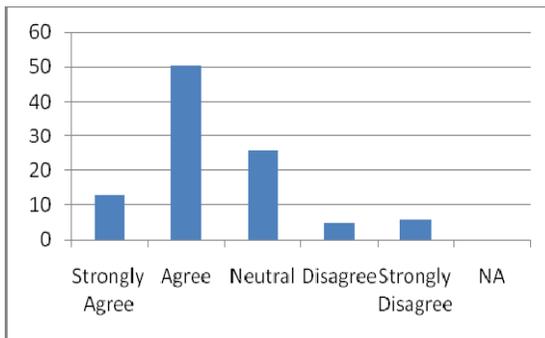
Recruitment activity currently consists primarily of visits to undergraduate colleges; targeted mailings to undergraduate health professions advisors throughout the nation and to optometrists and high school counselors in the Tri-state area; the College Web site, which has a link to an online common application utilized by all schools/college of optometry; participation in National Association of Advisors to the Health Professions; and bi-annual open houses for students and advisors from local colleges. A recruitment brochure can be found in [Appendix E-9a](#).

The VPSA has had the primary responsibility for visiting undergraduate campuses. These recruiting visits usually consist of meetings with the pre-professional advisor, pre-optometry club (if there is one) and interested students on a group or individual basis. In addition to visiting colleges in the New York City metropolitan area and Upstate New York, there has been an additional recruitment concentration on colleges in California and in selected provinces in Canada.

The College has historically made a special effort to attract students from underrepresented minority groups (Goal 1.10). Visits are made to historically black colleges in an effort to increase the pool of minority applicants. While the Asian-American student population has increased substantially to where it is now about 40% of the student body, the numbers of Black and Hispanic students have not increased significantly over the years. In an effort to address this issue, the College continues to receive funding from the New York State Education Department to support a College Science and Technology Entry Program (CSTEP) that employs a 0.5 FTE minority student recruitment coordinator. The primary objective of the CSTEP project is to increase the number of historically underrepresented minority students in the profession of optometry. The CSTEP coordinator works with the VPSA to determine marketing, communication, and recruitment strategies, and to recruit minority candidates at colleges and universities that have highly diverse student bodies. During the fall 2010, an additional position, director of admission and marketing, was approved by the president and filled on November 15, 2010. One of the primary responsibilities of the director (page 69) is to identify and recruit underrepresented minority students. To that end, the director will work closely with the College's CSTEP Coordinator. The VPSA and/or the director of admission and marketing will take an active role in the National Association of Medical Minority Educators

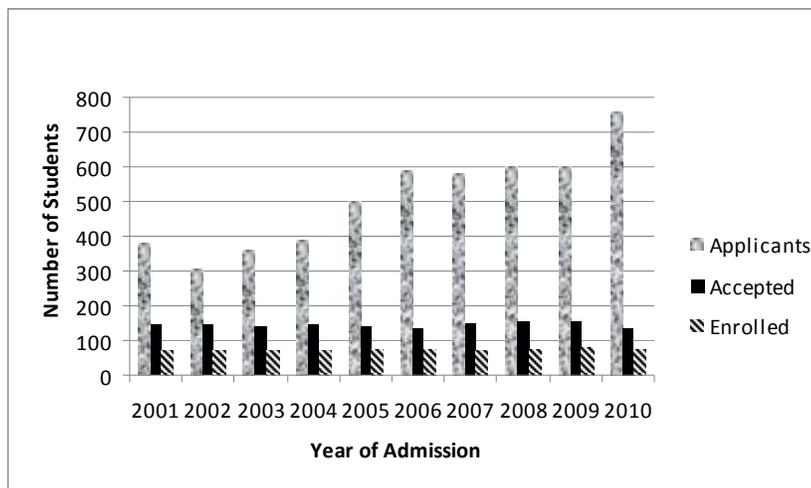
(NAMME) in order to attract and retain a greater number of ethnically diverse students at the College.

While the recruitment of underrepresented minority students is of great concern to the College’s faculty and staff, the retention of those students after they matriculate to SUNY Optometry is also of great importance. Black and Hispanic students who matriculated to SUNY Optometry have been academically successful with an overall grade point average (GPA) of 2.99, essentially the same as the overall student GPA of 3.02 (matriculating years of 2005-2009).



In the 2010 Professional (OD) Student Survey (N = 101), more than 63% of respondents strongly agreed or agreed with the statement “The College is committed to diversity and cultural sensitivity.” (Goal 1.10)

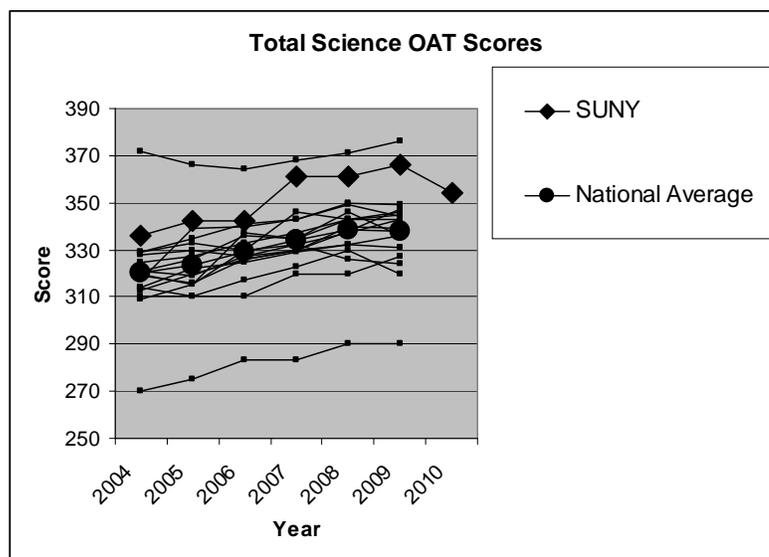
Evidence of the overall success of the college’s admissions activities can be seen in the number of applicants and quality of the admitted student body. The following figure illustrates that the number of applicants for the limited number of spaces has been increasing:



A goal for Student Affairs is to increase the yield from 55% to 60% in the fall 2012 admissions year.

Entering class profiles for recent years are given in [Appendix E-3](#) and at

http://www.sunyopt.edu/admissions/od_demographics.shtml. A strategic objective is that “In any year, average scores for each entering class in the professional program, on all sections of the Optometry Admissions Test (OAT), will be in the first quartile of admitted optometry students for that year.” [Appendix E-4](#) and http://www.opted.org/files/public/Profile_of_Entering_Class_2009.pdf contain 2009 data published by the Association of Schools and Colleges of Optometry (ASCO) that show SUNY academic average (AA) and total science (TS) OAT scores to be second highest amongst the twenty optometry programs in the nation. The following graph, which gives average OAT TS scores for students matriculating at each of the nation’s schools/colleges of optometry (and the national average), reveals that SUNY Optometry consistently score second highest.



The success of the admissions process at admitting a qualified student body is also reflected in the optometry program’s attrition rates. An objective in the Strategic Plan (Goal 1.8) states “The attrition rate for academic reasons, in the professional program, will not exceed 5% of students in any one class for the duration of the four-year program.” As can be seen on the College’s web site http://www.sunyopt.edu/admissions/od_demographics.shtml (and [Appendix E-5](#)), the attrition rate (students who fail to graduate within five years of matriculation for academic reasons) has ranged from 0 to 4.3% with an average yearly rate of 2.0%). For an average class of 72 students, this represents a total of 0-3 students per class over the four years of the program.

6.2 The program publishes the criteria considered in selecting students who have the potential for success in the program and the profession.

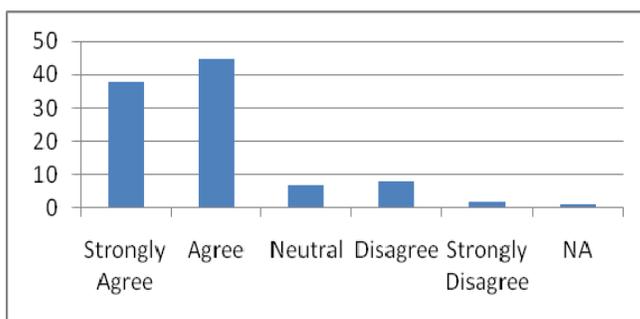
The criteria considered in selecting students are published on page 18 of the College’s online catalog (http://www.sunyopt.edu/images/College_Catalog.pdf) (or [Appendix E-6](#)). Prerequisites and functional standards are given in this document. The Committee on Admissions is appointed by the VPSA after

consultation with and the concurrence of the VPAA and VPCA. Appointees to the Admissions Committee are provided with time in their work plans to meet their committee obligations. Admissions criteria include progression of grades; quality of undergraduate institution and type of program; scores on the Optometry Admissions Test (OAT); letters of recommendations; knowledge of the profession; extracurricular activities; and a personal interview. Performance in math and science prerequisites and on the OAT is deemed especially important. An increased emphasis is being placed on leadership in support of the College's strategic objective (Goal 1.8): "Leadership potential and evidence of a strong commitment to community service will be specific criteria for admission to the professional degree program."

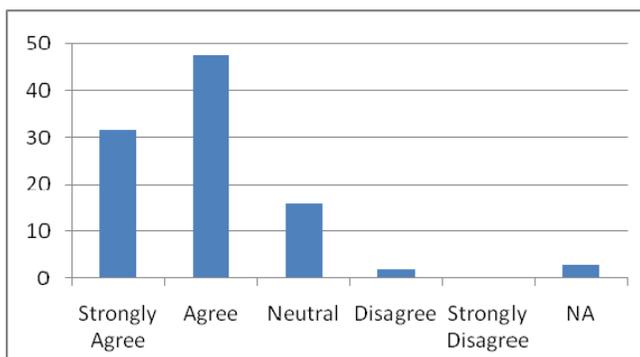
6.2.1 Policies and procedures are adhered to during the admissions processes.

The policies and procedures employed during the admissions process for the professional program are given in the *Admissions Policy and Procedure* document (Appendix E-2) last revised on September 15, 2008. To encourage as much uniformity as possible in the interview process, members of the Admissions Committee individually complete an *Admissions Interview Sheet* ([Appendix E-7](#)). This form asks the interviewer to assess the candidate's performance in the interview and qualifications as indicated by the candidate's application folder and to also make a recommendation to accept or reject the candidate or place him/her on hold.

If an appeal is made by a candidate on a decision made by the Admissions Committee, the chair of the Admissions Committee will review the basis and merits of the appeal and render a decision to deny the appeal or bring the appeal to the committee for review. The Committee on Admissions meets each year at the beginning and end of the admissions cycle to evaluate the previous year and to make suggested changes in either policy or procedure.



More than 82% of respondents to the 2010 Professional Student Survey strongly agreed or agreed that "The admissions process provided me with feedback in a timely manner."



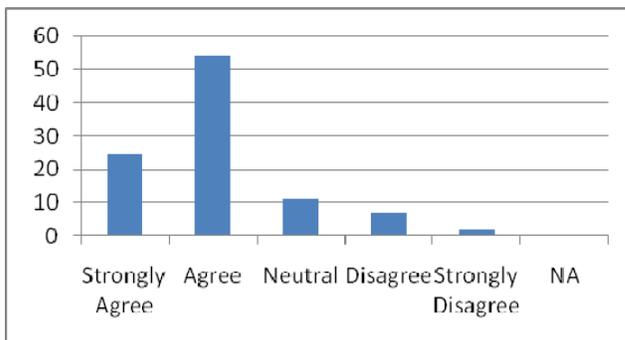
Additionally, more than 79% agreed or strongly agreed that "My interview was positive and helpful to me in making my decision to attend SUNY."

6.2.2 The professional program requires that the accepted applicants have completed all the prerequisites and at least an equivalent of three academic years of postsecondary education in an accredited institution prior to beginning the program.

To be considered for admission to the OD program, a minimum of three years (90 quarter hours) at an accredited institution is required (page 18 of the online published College catalog http://www.sunyopt.edu/images/College_Catalog.pdf). A baccalaureate degree is recommended and for the class entering in 2009, 92% had completed this degree. The prerequisite courses are:

- One year of general biology with lab
- One year of general chemistry with lab
- One year of general physics with lab
- One year of organic chemistry with lab
- One semester or quarter of calculus
- One year of English composition and literature
- One semester or quarter of psychology
- One year of social sciences
- One semester or quarter of statistics
- Microbiology (not required, but strongly recommended)

Acceptable performance on these prerequisites (as well as in other undergraduate courses) and the Optometry Admissions Test (which includes the subject areas of biology, general chemistry, organic chemistry, physics, reading comprehension, and quantitative reasoning) provides evidence that matriculated students have acquired and demonstrated college-level proficiency in general education. (Please note that the College offers no undergraduate degrees.)



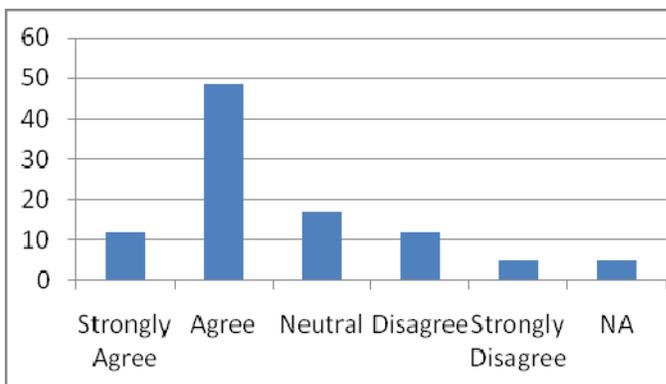
According to the 2010 Professional Student Survey, more than 79% of respondents strongly agreed or agreed that “I feel that my undergraduate prerequisite courses prepared me adequately for the optometry program.”

The SUNY College of Optometry offers the Affiliation (3/4) Program as an alternative to the traditional route of entry into the professional OD program. Highly qualified undergraduate students from 35 affiliated colleges and universities work to complete both their undergraduate degrees as well as their doctor of optometry degrees within a seven year period—instead of the usual eight—thus saving one year of tuition, travel, and expenses. In each of 2008, 2009 and 2010, seven students who participated in the Affiliation Program matriculated in the OD program.

Most students who enter through the 3/4 program major in biology, chemistry, or psychology; however, additional majors are accepted as long as prerequisites for the optometry program are met. Students who are accepted into the program receive continuous guidance from their undergraduate institutions as well as from SUNY College of Optometry Student Affairs staff. Overall, these students have been academically successful, with an overall SUNY Optometry GPA of 2.91 (matriculating years of 2007-2009).

6.6 Program publications, written policies, advertising, and student recruitment present an accurate representation of the program.

All program publications, written policies, advertising and student recruitment material are regularly reviewed by the program administrator (i.e., vice president for student affairs, associate dean for research and graduate studies or director of residency programs) for accuracy and updated as needed.



About 63% of students (2010 Professional Student Survey) strongly agree or agree that “During the recruitment process, I was given a true picture of the school and its professional program.”

Although much information regarding the College is provided to students during the recruitment process and on the College’s website, including information on the curriculum (http://www.sunyopt.edu/academics/od_curriculum.shtml), student demographics (http://www.sunyopt.edu/admissions/od_demographics.shtml) and performance on examinations administered by the National Board of Examiners in Optometry (<http://www.sunyopt.edu/admissions/NBEOPassRates.shtml>), the College believes this figure should be higher and has set a goal for it to increase from 63% to 75% by the onset of the fall 2011 academic year. During the 2010-2011 academic year, admissions policies and procedures will be reviewed thoroughly by the VPSA and the director of admission and marketing.

At the onset of the fall 2010 semester, the vice president for student affairs and the faculty chair of the admissions committee conducted small group discussions with faculty members who serve on the Admissions Committee. During these meetings, participants discussed (1) the importance of attracting and retaining the best possible candidates for the OD program and (2) the importance of creating a positive campus visit and/or interview experience for each student visitor or applicant, regardless of the admissions decision that is ultimately made.

When prospective students visit the College prior to making application, they are welcomed by the vice president of student affairs and introduced to 2 or 3 faculty members of the Admissions Committee. In an informal setting, prospective students are offered one-on-one counseling sessions by a faculty member and also provided with the opportunity to converse with other prospective students who are visiting on the same day. These prospective students also meet with the director of financial aid and are provided a tour of the college by a current SUNY Optometry student or faculty member.

During on-campus interview days, students who have applied to the professional OD program meet more formally with three members of the Admissions Committee. The purpose of the interview is to assess the candidate's motivation for entering the profession of optometry; knowledge of the profession; interpersonal & leadership skills; and, of course, academic preparation & maturity. In conjunction with the interview, the candidates are addressed by the vice president for student affairs, given a tour of the clinical facilities by a current SUNY Optometry student or faculty member, and are taken to lunch by current OD students. The overall goal is to portray the College as a challenging and stimulating academic and clinical environment that is highly supportive of its student population. A goal is to increase the yield from 55 to 60%.

The *Orientation Survey* administered to the Class of 2013 (N = 71) found that 90%, 83%, and 89% of students gave above average ratings to the College web site, recruitment literature and Student Handbook, respectively.

6.6.1 The program publishes information on policies and procedures on academic and professional standards, grading, attendance, disciplinary conduct, retention, dismissal and reinstatement, non-discrimination policy, due process, transfer, academic calendar, tuition, fees, refund policy, honors, scholarship and awards, and other related matters.

Detailed policies and procedures on academic and professional standards, grading, attendance, disciplinary conduct, retention, dismissal and reinstatement, non-discrimination policy, due process, transfer, academic calendar, tuition, fees, refund policy, honors, scholarship and awards, and other related matters regarding the professional program are published on pages 18-27 and 54-64 of the online College Catalog http://www.sunyopt.edu/images/College_Catalog.pdf. Transfer into the professional program is discussed on page 22. Related policies can also be found on pages 40-47 of the online Student Handbook (<http://www.sunyopt.edu/current/PDF/StudentHandbook.pdf> ([Appendix E-8](#))). The Graduate Policy Document publishes policies and procedures for the graduate program (pages 4-7 at <http://www.sunyopt.edu/research/docs/POLICYDOC.pdf> or [Appendix B-13](#)). Equivalent policies and procedures for the residency program are published in the *Manual of Procedures for Residency Programs* ([Appendix B-18b](#): in particular, pages 27-28).

6.6.2 The program publishes and adheres to policies and procedures regarding student grievances and maintains records of receipt, investigation, adjudication and resolution of such complaints.

Policies and procedures regarding student grievances are published in the Student Handbook as are policies regarding sexual harassment ([Appendix E-8](#) or <http://www.sunyopt.edu/current/PDF/StudentHandbook.pdf>; pages 42-43 and 27-28, respectively). Grievance policies/procedures for the residency program are published in the *Manual of Procedures for Residency Programs* ([Appendix B-18b](#), page 28).

The College seeks to address proactively student complaints. Toward the end of a semester, the dean of academic affairs meets with the entire class and also with the class officers to solicit feedback regarding the educational program (page 15). The newly implemented curriculum, which is discussed in Section 2.4, provides an example of how student concerns related to the large number of courses during certain quarters and unnecessary redundancy of some material were elicited through this process and addressed. During the implementation of the new curriculum, the dean of academic affairs has employed online surveys and meetings with students to elicit feedback. (Examples of such surveys can be found in Appendices [B-2a](#) and [B-2b](#)). Based on this feedback, which is discussed at the bi-monthly track coordinators meetings, improvements in course scheduling have been made. The dean intends to administer similar surveys throughout the curriculum implementation process and beyond for quality improvement.

In the case where there are allegations of unprofessional or unethical behavior, such as cheating, the complaint is referred to the Judicial Committee, which reports directly to the Vice President of Academic Affairs. Records of Judicial Committee proceedings are kept in the Registrar's Office and maintained for at least six years following the student's departure from the institution. Students can appeal the decision directly to the President. Policies regarding this process are published on pages 20-22 of the online Student Handbook (<http://www.sunyopt.edu/current/PDF/StudentHandbook.pdf>).

Graduate Program

The graduate program admissions policy is included in the Graduate Policy Document (page 3 at <http://www.sunyopt.edu/research/docs/POLICYDOC.pdf> or [Appendix B-13](#)). The VPSA is responsible for the integrity and quality of all admissions processes at the College. However, for the graduate programs, day-to-day administrative authority for the admissions process rests with the associate dean for research and graduate studies. This position reports to the vice president for academic affairs. Applications for the graduate program are reviewed by the Committee on Graduate Program, Policy, Admissions and Standing, which makes recommendations to the associate dean.

The graduate program office works with the College's admissions office to inform entering optometry students of the option to simultaneously pursue a graduate

degree. Each student entering the OD program is sent information regarding the OD/MS and OD/PhD programs. At the orientation for entering optometry students, the associate dean meets with the class to describe the graduate program and its potential value. This presentation includes a concise summary of the OD/MS and OD/PhD program requirements. The associate dean is also available to meet with students individually to discuss graduate program options. Recruitment of non-optometrists into the PhD program occurs primarily through announcements on vision science related Web sites and in vision science related periodicals, listings in graduate program registries and contacts made by individual PhD advisors. Examples of recent recruitment brochures can be found in Appendices [E-9b](#), [E9-c](#) and [E9-d](#).

Financial support is provided to graduate students. While working on their research projects during a 10-week summer session, OD/MS students receive a stipend of \$5,000. To support OD/MS students and other optometry students interested in participating in research, the College was recently awarded a National Institutes of Health (NIH) T-35 award (\$226,585 over five years) that provides a summer stipend of \$5,287 to 8 optometry students who conduct research in approved laboratories. To increase the competitiveness of the stand alone PhD program in the recruiting qualified students, the graduate stipend was recently increased to \$30,000/year (Goal 2.4). PhD students receive a tuition waiver. Including the graduate stipend, tuition waiver, fees and health benefits, the package provided to PhD students has a value of about \$55,000 per year. (Financial aid for optometry students is discussed on page 78.)

The qualifications of students recently entering the various graduate programs can be seen in [Appendix E-10](#). Recruitment to the PhD program has not been as strong as desired. The increased graduate stipend partially addressed this concern, but more critically, the program needed to be redesigned. As discussed in *Section B: Educational Offerings (MSCHE 11): Graduate Program: PhD in Vision Science* (page 24), the PhD program has recently undergone substantial curricular revision with the intent of making the program more attractive to candidates with backgrounds in other than biology, optometry/ophthalmology and medicine (Goal 2.4). The effectiveness of these changes in allowing the PhD program to attract quality candidates will continue to be monitored.

Criteria for admission into the graduate program, as well as the policies and procedures used in the admission of applicants, are published in the Graduate Policy Document (<http://www.sunyopt.edu/research/docs/POLICYDOC.pdf>) ([Appendix B-13](#)) on page 3. These include a baccalaureate or professional degree in a health science; Graduate Record Examination or at the discretion of the Student Committee, the OAT or other similar examination; the ability to express oneself clearly in both written and spoken English [applicants from non-English speaking countries are required to submit the Test of English as a Foreign Language (TOEFL) scores]; and letters of recommendation (3) from professors. Policies and procedures related to academic standards, including

maintenance of matriculation, grades, probation and dismissal, are published on pages 4-7 of the Graduate Policy Document.

Residency Program

The recruitment, application, selection and appointment processes are detailed in the *Manual of Procedures for Residency Programs* ([Appendix B-18b](#), pages 9 - 12). A copy of an electronic recruitment brochure can be found in [Appendix E-11](#). Optometry school grades, performance on the NBEO, a statement of interest and performance in an interview are used to assess residency candidates. Certain programs may employ an examination as part of the interviewing process. Residency matches are conducted by the Optometry Residency Matching Service (ORMS) for all programs except the residency in family practice optometry at West Point. Obtaining a position can be competitive. For the 30 residency positions available in each of the past three years (2008-2009, 2009-2010 and 2010-2011), the total number of applicants were, respectively, 135, 113 and 141.

It is extremely rare for a resident not to complete his/her program. For the years 2006 through 2010, all available residency positions were filled and all residents but one completed the program. Policies and procedures related to probation, counseling, remediation, separation from program, and grievances are published in the *Manual of Procedures for Residency Programs* ([Appendix B-18b](#): in particular, pages 27-28). Residents (except those at Veterans Administration hospitals) are classified as academic employees and subject to the UUP bargaining agreement.

Student Support Services (MSCHE 9)

6.3 The program provides information to incoming students regarding pre-matriculation health standards, access to health care, personal counseling, and standards for immunization against infectious disease.

Information regarding these standards and services are published in the online Student Handbook (<http://www.sunyopt.edu/current/PDF/StudentHandbook.pdf>) as follows:

- Pre-matriculation Health Standards: page 8-11
- Access to Health Care and Health Insurance: pages 17-19
- Personal Counseling: page 18
- Immunizations: pages 9-11

Students are advised during orientation and subsequently each semester by email that short-term counseling services are available at no charge through the University's Eye Center's Department of Social Services. Student Affairs is working the Department of Social Services to develop a brochure that publicizes the services offered.

6.4 There is an institutional commitment to serving students, including an organizational element devoted to student affairs.

The administrative structure of the Office of Student Affairs can be found in [Appendix E-1a](#) or at http://www.sunyopt.edu/about/stuaff_vp_office.shtml as can the responsibilities of the professional staff of this office. In addition to two full time staff assistants, the office consists of the vice president for student affairs (VPSA), director of financial aid, registrar, newly created position of director of admission and marketing and a half time minority recruiter (Goal 1.10). Curriculum vitae for the incumbents can be found in Appendices [E-1b](#), [E-1c](#), [E-1d](#), [E-1e](#) and [E-1f](#), respectively. The Office of Student Affairs provides an array of student support services to students in the professional OD program (described in Section 6.4.1, below) as well as to graduate students. For graduate students, however, academic counseling is provided by the associate dean for research and graduate programs. (As discussed in section 6.4.1 below, Academic counseling for optometry students is provided by the Office of Student Affairs.)

The VPSA is an officer of the college, reports directly to the college president and is a member of President's Council. The current VPSA, Dr. Jeffrey Philpott, assumed his responsibilities on July 1, 2010. He directs current and long-range planning for the student affairs area and is responsible for overseeing the activities of the office and its personnel. Currently, the VPSA also acts as the director of admissions for the OD program and, as such, is responsible for the recruitment and administering the admission process. Candidate and student counseling and career opportunities are important aspects of his responsibility. Both the Committee on Admissions and Committee on Scholarships report to this position. The VPSA is responsible for student life and acts as the advisor to the Student Council and other student organizations.

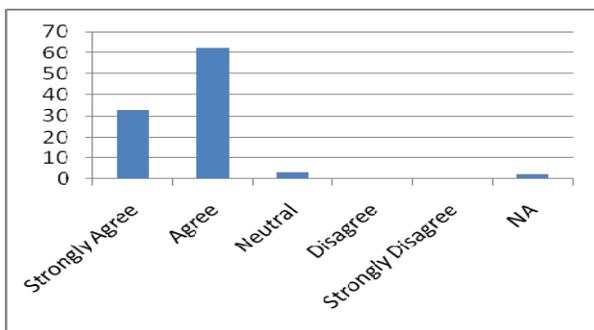
Historically, graduate admissions processes at SUNY College of Optometry have been handled separately from those of the professional OD program. At the present time, applications for admission into graduate vision science programs are first processed by the Office of the Associate Dean for Research and Graduate Studies and then further reviewed by the Committee on Graduate Program, Policy, Admissions and Standing (this is a separate body from the Admissions Committee for the professional OD program). In the future, the associate dean will continue to oversee the Committee on Graduate Program, Policy, Admissions and Standing and have the authority to make admissions decisions for the graduate programs. However, it is anticipated that all admissions processing and data tracking for graduate students at SUNY Optometry will be transferred from the Office of the Associate Dean for Research and Graduate Studies to the Office of the VPSA/director of admission and marketing at the beginning of the fall 2011 semester. This change in practice is intended to streamline the admissions process for prospective graduate students. The director of admission and marketing, a new position filled in November, 2010, will also create a comprehensive marketing and communication strategy to recruit a greater number of graduate students and further develop key metrics

that will be used to measure the success of graduate admissions at various points in the enrollment funnel throughout the year.

The registrar is responsible for maintaining all student records and files including grades and transcripts and submitting all University and governmental reports dealing with student census. All requests for grades and transcripts, once approved by the student, are under her confidential control for dissemination as approved. Working with the department chairs and the vice president for academic affairs, the registrar develops the schedule of course offerings and creates the College calendar. All classroom reservations must be approved by the registrar. The registrar is an ad hoc member of the Curriculum Committee and the Committee on Course and Standing.

The director of financial aid (who also holds the title of assistant vice president for student affairs) is responsible for advising and assisting students seeking financial aid, including loans, scholarship, grants and work study. He provides students all necessary information and forms for submission for financial aid and submits all appropriate information and reports to lending institutions and governmental agencies. The director of financial aid is an ad hoc member of the Committee on Scholarships and assists that committee in developing guidelines for the distribution of awards.

The Office of Student Affairs is often the first place students turn to with questions regarding the College's academic programs and policies.



95% of respondents (2010 Professional Student Survey) strongly agree or agree that “My questions are answered in a timely fashion by the staff of the Student Affairs Office.”

6.4.1 Student services include financial aid and debt counseling, academic counseling, learning support services, career placement assistance, and access to information technology support.

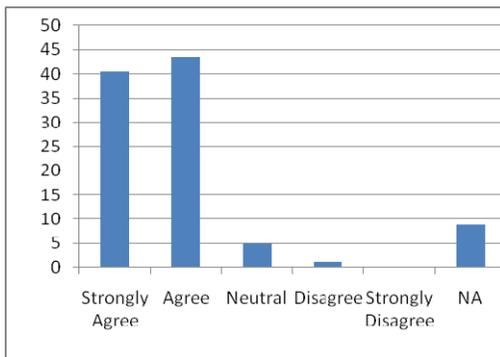
Financial Aid and Debt Counseling

On the days that prospective students are interviewed at SUNY Optometry, each applicant is provided with information on housing and financial aid programs, as well as the process for applying for federal financial aid (please see brochure in [Appendix E-12](#)). As part of this initial session, students receive information about student loan debt and learn how the budgeting choices they make now will influence the amount of debt they carry upon graduation. Students are counseled

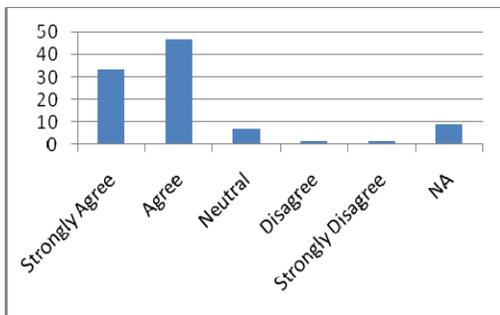
on the importance of setting up and keeping a budget. Students are also provided with general information regarding their rights and responsibilities as well as an introduction to debt management. Canadian and foreign students are notified of specific programs that apply to them.

The financial aid office sends entering optometry students letters with relevant financial aid information and additional information ([Appendix E-13](#)). Once the student is evaluated for aid, he/she is sent an award letter stating his/her financial aid eligibility, budget and program eligibility.

Prior to graduation, each student receives another training session known as the exit interview. This session is conducted at the *Mapping your Future* website and is used to meet the federal government’s requirement for exit interview counseling. *Mapping Your Future*, a free resource for career, college, financial aid, and money management information, is designed to help students and families understand their rights and responsibilities as borrowers and also achieve life-long financial stability. The service also provides budget and loan repayment calculators. Upon completion of this program, students are invited to meet with the Director of Financial Aid for follow-up counseling sessions, as is deemed necessary.



More than 84% of students (2010 Professional Student Survey) strongly agree or agree that “The Financial Aid Office adequately helped me through the financial aid process.”



80% strongly agree or agree with the statement “So far, I have received adequate financial aid.”

For the SUNY Class of 2010 the average debt across all students was \$98,823, while the average debt for those students who took out loans was \$110,987. (Figures refer to debt for optometry school only.) This compares favorably with

an average national indebtedness of \$132,035 for students who took out loans (ASCO 2009). SUNY State College of Optometry graduates have had a less than 1% federal default rate for last 8 years, pointing to the effectiveness of its debt counseling program.

Academic Counseling and Learning Support Services

Academic counseling services are available for optometry students through the Office of Student Affairs. The Office of Graduate Studies and Research provides these services for graduate students. Individual residency programs, as well as the Office of Residency education provide academic counseling and learning support services. (In the case of personal issues, short-term counseling can be obtained through University Eye Center's Social Services Office. For long-term personal counseling, referrals are available).

Professional students who need assistance with coursework are encouraged to reach out, as a first step, to their instructor(s). For students having difficulty in the clinic, the educational facilitators are available to provide assistance. Peer tutoring is available to students at no cost and can be arranged by contacting the VPSA.

All student transcripts are screened each semester, and those students experiencing academic difficulty are reviewed by the faculty Committee on Course and Standing, which reports to the dean. This committee may recommend modified schedules, academic counseling or other remedial actions to the dean.

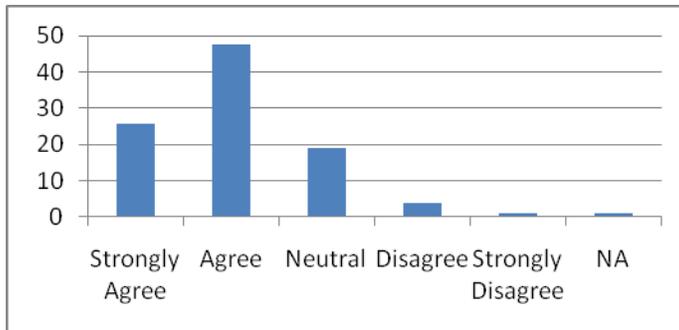
Career Placement Assistance

As part of the third-year professional curriculum, students are required to pass a semester length practice management course that provides information on private and group practice, practice as an independent contractor, employment contracts, resume writing, debt management and legal issues. The vice president for student affairs is also available to provide counseling on career options and successful resume building. During the fourth year, topics related to career opportunities are discussed during seminar sessions. The College sponsors a Webpage (<http://www.sunyopt.edu/practice/index.shtml>) that allows local practitioners to post job openings to be viewed by students and residents (and alumni) at no charge. Links are provided to other similar Web sites. Graduate student placement is coordinated through the Office of Graduate Studies and Research, which assists its graduates in locating positions by recommending appropriate post-doctoral training opportunities, working with the graduate advisor to locate appropriate opportunities in academia or industry, and discussing potential careers paths with students.

The College's strategic plan calls for the development of a Center for Career Development (Goal 1.5). With Dr. Philpott's hiring, work has begun on this initiative with an implementation plan scheduled for completion by June 2011.

Information Technology Support

Computer, networking and electronic mail facilities and services are offered to all students and residents by the Information Technology (IT) Unit in support of the teaching and learning, research and public service functions of the College. Each student is provided with an email account and access to the College's Intranet and library resources. Relevant policies are published on pages 33-39 of the Student Handbook (<http://www.sunyopt.edu/current/PDF/StudentHandbook.pdf>).



Results of the 2010 Professional Student Survey show that more than 73% of respondents strongly agree or agree that the College's computer services support teaching/learning

6.5 An orderly, accurate, confidential, secure and permanent system of student records is maintained and policies for the release of student information are published.

Record Maintenance

Student records for the optometry and graduate programs are managed by the Registrar's Office, which follows the guidelines and practices of the American Association of Collegiate Registrars and Admissions Officers (AACRAO's) *Retention of Records, Guide for Retention and Disposal of Student Records*: 2000) with respect to retention and disposal of student records. Alumni may access a printable Transcript Request Form at the College's Web site (<http://www.sunyopt.edu/alumni/transcript.shtml>). Records for the residency program are maintained by the individual programs, with selected information also maintained in the Office of Residency Education. The listing of residents who successfully completed a program is kept in the Office of Residency Education and available to the registrar.

The staff in Student Affairs is able to access records both electronically and physically as deemed necessary. For the student information system, the Student Affairs staff has access to view certain areas of a record, but cannot make any changes. Only the director for information technology, VPSA, and registrar have total access to the student information system.

Any documents received via U.S. post mail or email regarding a student are kept in a locked fireproof drawer until filed in the student's record at the end of the

week. Records are kept for five years after a student graduates at which time they are purged. The only record maintained after five years for each graduate is his/her transcript.

Record Access

SUNY State College of Optometry adheres to the Family Educational Rights and Privacy Act (FERPA). SUNY Optometry's FERPA policy (attachment FERPA) is published on pages 48-51 of the online Student Handbook (<http://www.sunyopt.edu/current/PDF/StudentHandbook.pdf>. or [Appendix E-8](#)) A statement on personal privacy protection can be found on page 22 of the online College catalog (http://www.sunyopt.edu/images/College_Catalog.pdf or [Appendix E-6](#)). New College employees are given a brief FERPA introduction during their orientation. A link will soon be created on our website to give basic question and answer FERPA training as a refresher to our faculty and staff members.

All members of the Office of Student Affairs staff have been trained in FERPA, and are provided with access to the locked drawer where student records are kept and limited access to the student information system. Other SUNY State College of Optometry staff, faculty or researchers do not have access to student records. If such access (time-limited) is desired for internal research, the investigator must provide a justification for consideration by the VPSA. If granted access by the VPSA, the investigator must sign a confidentiality agreement form and be trained on FERPA regulations concerning handling of records.

While the admissions office is not covered under FERPA, the staff is expected to meet these same standards as if covered. College work study students may enter inquiries into the admissions module of the student information system. Work study students are given FERPA basic training and are also required to sign a confidentiality agreement form. They are assigned a password that provides access to only the inquiries screen on the system.

Transfer of Records from Admissions to Registrar

Records are electronically transferred from the admissions module to the registration module. The registrar physically moves all paper records from the admission's file cabinet to the registrar's fireproof file cabinet in the registrar's office. This room is kept locked as is the file cabinet containing student records.

Medical and registration forms may be copied and hand delivered to Clinical Administration for their files. Registration forms may also be submitted to the Alumni Office. This procedure applies to both the optometry and graduate programs.

Grades

At the conclusion of a term, grades are received by the registrar in a sealed envelope from the faculty members who serve as course coordinators for that

term. (The College will begin electronic grade submission in the fall 2011 semester. To accomplish this, the registration module of the Student Affairs Jenzabar software system will be updated and reformatted to accommodate the new feature for faculty.) After grades have been entered into the system, they are temporarily filed in the registrar's desk draw and locked until the meeting of the Committee on Course and Standing (a faculty committee that reviews student progress each term) at which time the grades of students experiencing academic difficulty are shared with the vice president for academic affairs and the committee. All committee members are required to return copies of grades to the registrar at the end of the meeting to be destroyed. The dean maintains a copy for his office file. After a student's academic status has been determined, grades are moved to a locked file cabinet located inside the registrar's office. Original grade lists are kept on file in perpetuity.

Electronic Records Back Up

The student information server (Jenzabar) is currently housed in the Information Technology (IT) Department data center. The Office of Information Technology is responsible for backing up the system on a daily basis. Tapes are placed in a secure locked box. On a weekly basis, tapes are stored offsite with Iron Mountain Company. The IT department maintains (using a date and time stamp) a log of tape pickups. In the event of an emergency, only the IT staff has authorization to request the backup tapes. There is also a contingency plan in place in case the IT department is not able to retrieve the tapes.

6.7 Students are allowed access to faculty and administrators of the program and given opportunities to participate in student governance and other leadership activities.

The Student Government Constitution, which is on pages 62-63 of the Student Handbook (<http://www.sunyopt.edu/current/PDF/StudentHandbook.pdf>), states that the purpose of the Student Council is "to promote and insure the welfare and interests of all those it represents, namely the student body." The Council, which is very active and has significant influence and interaction with the College administration, consists of representatives from each professional class, the graduate program and student organizations as described in the constitution.

The president and vice presidents for academic affairs (dean) and student affairs hold regularly scheduled meetings with Student Council officers. An important opportunity for student participation in College governance occurs on faculty-student committees. The list of committees on which student representatives serve can be found on pages 66-70 of the Student Handbook

As discussed in Section 2.4, the dean meets with each class and its representatives during the term to solicit feedback regarding the curriculum and individual courses and to learn of any concerns that students may have. Department chairs participate in certain of these meetings.

Students are provided with the opportunity to participate in a variety of organizations and clubs that are represented on the Student Council. A complete listing of student organizations and clubs can be found on pages 64-66 of the Student Handbook.

6.8 The [professional] program makes available to students information on postgraduate educational programs, residencies, and fellowship training opportunities.

As discussed in *Section B: Related Educational Activities (MSCHE 13): Residency Programs*, the College has a long standing history with residency education, as well as one of the largest programs in the country. SUNY College of Optometry students are exposed to this program through a variety of mechanisms. These include meetings with the residency director who discusses various topical areas relating to doing a residency, presentations given as part of the professional curriculum, dissemination of various program announcements and information (see [Appendix E-11](#)) and interactions with residents who serve as instructors in clinical laboratories and rotations. Descriptions of each of the College's residency programs can be found at http://www.sunyopt.edu/academics/res_descript.shtml. Announcements of non-SUNY residency programs are prominently posted on a bulletin board on the 2nd floor student area. For SUNY classes graduating from 2002-2010, approximately 34% enter residency programs either affiliated with SUNY or another school/college of optometry ([Appendix E-14](#)). This exceeds the commonly quoted national average of about 20% of graduates going on to do residencies, but does not yet meet the target of 50% in the College's Strategic Plan.

In recent years, about 6 to 9 entering professional students elect to simultaneously enroll in the OD/MS program. These students are provided with information regarding opportunities for continued graduate studies (to pursue a PhD) as part of the MS program. Indebtedness upon graduation from optometry school appears to be a factor that limits recruitment of OD/MS students into the PhD program. NIH programs designed to encourage clinicians to pursue careers in science, such as those that forgive student loans, may help in this regard. Related to this, a faculty member, whose primary responsibilities have been clinical, was recently been granted a loan forgiveness award to pursue a PhD in vision science.

Areas for Further Development

- Continue and expand upon the efforts to effectively recruit a highly qualified student body that reflects the clinical population the College serves.
- Conduct an analysis of career development for students at the College and write an implementation plan to develop a new Career Development Center.

- Develop and implement an ongoing process to evaluate the overall student experience at SUNY College of Optometry, and make modifications to student programs based on this assessment.
- Rewrite the CSTEP grant with the objective of attracting and retaining a higher number of qualified underrepresented minority students at SUNY College of Optometry.

F. Facilities, Equipment and Resources

ACOE Standard VII; MSCHE Standard 3*

7.1 The teaching and patient care facilities and equipment are appropriate to fulfill the mission, goals, and objectives of the program.

As discussed in Section A (page 8), institutional priorities and resource allocation, both institution-wide and for individual units, are driven by the College’s Strategic Plan. The document, *Strategic Planning Process for SUNY College of Optometry* ([Appendix A-8](#)), outlines this process.

Overview of Facility

The College moved into its current facility at 33 West 42nd Street, New York, New York in July, 2000. The building provides adequate space to carry out the College’s many programs of teaching, research, public service, and patient care.

The building includes 18 floors above grade, including one mezzanine, and a basement mezzanine, basement, sub-basement, and partial sub-sub-basement below grade. There is a total area of 297,000 gross square feet of which 135,531 is net assignable square feet. This is broken down by function as follows:

Instructional	34,345 sf
Research	14,457 sf
Clinical Space	30,153 sf
Information Services	3,917 sf
Library	11,033 sf
Assembly/Exhibition	7,739 sf
Student Activity	9,855 sf
Administration (Optometry)	7,067 sf
Administration (SUNY Central)	8,147 sf
College Services	7,279 sf
Building Services	1,539 sf

Classrooms, laboratories and clinic space exist that are sufficient to support the professional program in optometry, graduate programs, residency programs, continuing education, and research. There are four clinical floors consisting of approximately 100 examination rooms. The number of rooms per floor and major equipment (in addition to examination lanes consisting of phoropters, keratometers, lensometers and slit lamps) are summarized in [Appendix F-1](#).

There are three lecture halls (capacity 75 each; two on first floor and one on second floor) and an auditorium (capacity 242), which are described in more detail in the next section. Fully equipped teaching laboratories (refraction/procedures, geometrical and visual optics, ophthalmic optics, vision science, anatomy and microbiology/histology) are primarily situated on floors 14-17. Research facilities are located on the 14th – 17th floors, with an animal care facility on the 17th floor. Projects are planned to expand the classrooms on the first floor and improve the capacity of the research space on the 16th and 17th floors (page 91).

Faculty offices are on the clinic floors, floors 9, 11, 14, 15 and 17 and the basement mezzanine. The 9th floor is home to Office of Administration and Finance, the 11th floor to Student Affairs and the 18th floor to the Offices of the President, Academic Affairs and Institutional Advancement. SUNY System has administrative offices on the 12th floor, while the metropolitan branch of the SUNY Recruitment Center takes up much of the basement mezzanine. A summary of space allocation in the building is given in [Appendix F-2](#).

Current Classroom Technologies

When SUNY Optometry moved to its 42nd Street location in 2000, the three lecture halls were designed as fully operational digital classrooms. These classrooms provide the latest in academic technology capabilities, including hard-wired network access from the podium station; power and network capabilities for classroom seating; rear screen LCD projectors that can provide single and dual screen projection; podium PC, laptop connectivity and document camera; DVD, VHS and video conferencing capabilities; and wireless microphone, keyboard and mouse units for the podium.

In 2006, the College completed renovation of the 242 seat auditorium space located in the basement level (cost of \$2,000,509). This space was upgraded to include state-of-the-art technology comparable to the three main lecture halls with the addition of a larger seating capacity and performance space.

Facility Registration with External Agencies

The College of Optometry is required to be in compliance and maintain current registrations with a number of Federal, State and City Regulatory agencies as given in [Appendix F-3](#).

7.1.1 The institution provides for the repair, maintenance, replacement, and upgrading of physical facilities and equipment.

Equipment Acquisition and Replacement

Expenditures for equipment acquisition, replacement and upgrading in the areas of academics (teaching and research), patient care, and information technology for the past three years were as follows:

Area	2007-2008	2008-2009	2009-2010
Academics (not including Library or research)	\$73,950	\$38,650	\$59,700
Patient Care	\$350,000	\$175,000	100,000
Information Technology	\$73,930	\$282,380	\$338,860

Expenditures for repair and maintenance (excluding salaries) were:

Area	2007-2008	2008-2009	2009-2010
Academics	\$10,000	\$10,000	\$10,000
Patient Care (with EHR)	\$200,000	\$200,000	\$200,000
Information Technology	\$256,720	\$214,230	\$319,150

Expenditures for the past three years have been conservative given fiscal conditions nationally and within the State of New York. The college has fortunately weathered the challenges, has healthy fund balances and is increasing its commitment to replacement and renewal in FY 2011 and beyond.

Equipment acquisition and replacement occurs through a number of mechanisms:

- **Routine:** Routine equipment acquisition or replacement is handled through the annual budget request submitted by VPs and negotiated with the President and VP for Administration and Finance. Once approved, the VP or designee manages the acquisition or replacement of equipment through their respective budgets.
- **Extraordinary:** If an unexpected equipment failure occurs during the year that imposes an extraordinary cost on a VP's budget, he/she can request budget supplementation from the President or VP for Administration and Finance. This process is usually successful depending on the need and level of cost involved.
- **Comprehensive:** A planned, large-scale, and possibly multi-year acquisition or replacement of equipment, defined by the quality and total cost of the items involved, would begin with a formal request made to the President or VP for Administration and Finance. Following discussions and if approved, a funding strategy would be formulated and an appropriate procurement process initiated.
- **Capital Projects:** Equipment acquisition or replacement can take place by means of capital building projects. Such equipment must relate directly to the project and may be either fixed or movable.

Maintenance

Preventative maintenance and repairs are done on equipment on a scheduled basis. Copies of the maintenance and repair logs can be found in the Engineering Department on 3M. Equipment is replaced according to use and

need. The engineering team closely monitors maintenance schedules and performs daily walk through inspections of all operating equipment.

The College is in the process of implementing a computerized Building Management System (BMS) which will efficiently monitor and regulate the climate control in the building (cost of \$3,436,000). The BMS will be able to interface with the current HVAC equipment to allow for more control over heating and cooling units. Engineers will also be able to monitor the system and respond to any alarms generated from either local or remote locations. The BMS control system can be scheduled for different times and occupancy to effectively reduce energy consumption.

The Facilities Department, headed by an Associate Director for Physical Plant, is composed of Engineering, Maintenance, and Housekeeping. These areas work together cohesively to ensure that the building achieves the highest level of operational efficiency and cleanliness.

The Engineering Department consists of a full-time plant utilities engineer II who supervises three full-time plant utilities engineers. The primary functions of this department are to (1) ensure that the building has adequate heating and/or air-conditioning and (2) maintain, troubleshoot, repair, test, and calibrate mechanical and electrical equipment providing heat, hot water, ventilation, air-conditioning, and electrical distribution.

The Maintenance Department consists of four full time employees -- one general mechanic, two maintenance assistants and one cleaner. This department is responsible for the general maintenance of the building and performs a variety of repairs, installations and minor construction tasks. The Housekeeping Department consists of 11 cleaners reporting to a Staff Associate/Facility Manager.

Capital Projects

The College has been very successful in obtaining capital improvement funding from SUNY to improve its operations with a total capital budget of \$36,302,000 for 2008-2013. Several strategic initiative projects have been approved. Key among these is the creation of a *Campus Center for Student Life and Learning* (\$8,497,000). This ambitious undertaking, with construction beginning in the late winter of 2011, includes major alterations on the south sides of floors 2, 3, and a portion of 3M. Once completed, the new *Campus Center* will create a hub of activity and become the “heart” of the institution by encouraging a sense of place, a sense of community, and the intellectual exchange of ideas. Most of the 2nd floor will be developed as an integrated learning center consisting of the current lecture hall, a large high technology seminar room, small group study rooms, and a pre-clinical teaching lab. These represent a significant upgrade to the College teaching facilities. Floor plans for these projects can be found in Appendices [F-4a](#), [F-4b](#) and [F-4c](#). A major lobby renovation (\$3,510,000), with particular

emphasis on making the space more attractive, functional (including increasing seating capacity in two lecture halls), and secure, will be phased during the 2, 3, and 3M project.

Recent and pending critical maintenance projects are summarized in [Appendix F-4d](#). Among these are:

- Elevator renovations (\$1,966,836) (completed)
- Fire Alarm Upgrade (\$2,487,998) (close to completion)
- Research facilities (\$2,815,000) (approved and moving forward)
- Building Management System (BMS) (\$3,436,000) (close to completion)

Other projects include upgrading of equipment in the lecture halls (A/V), computer network, and University Eye Clinic (clinic equipment).

As part of a SUNY-wide effort that is being administered by the State University Construction Fund and conducted through the use of consultants, the College has initiated a Facilities Master Plan (FMP) that will be used to identify, prioritize and sequence future construction projects through 2023. A six-person Steering Committee, including the President, four VPs, and the presiding officer of the faculty, oversees FMP activities on the campus. The College's projected programmatic growth and development as related to its strategic plan will be the main determinants in the selection of future capital projects.

7.2 There is access to well-maintained library and informational facilities, sufficient in size, breadth of holdings, and information technology to support education and other missions.

Library

Facility Description

The Kohn Vision Science Library occupies the fourth floor of SUNY State College of Optometry, with windows facing 42nd and 43rd Streets. It is reached by elevators and, if necessary, also by stairs. An internal staircase leads down to two quiet study rooms without windows on 3M. In summary:

- The total area of the fourth floor is 13,500 square feet, including two restrooms. The 3M quiet study area is 2,000 square feet.
- The public areas are: four major stack sections, four group study rooms, two computer labs, two audio-visual rooms, one multimedia room with scanners, study carrels, couch seating area, book and instrument display areas, and quiet study areas with tables.
- The staff areas are: circulation desk, work room, conference room, offices, Reserve Collection stacks, and storage rooms.
- There are four emergency exits leading to stairwells and a Fire Warden's telephone connection at Stairwell B on the 43rd Street side. A silent emergency button is located under the circulation desk.

Holdings by Collection

The Library collection supports the curriculum and research needs of the College, and provides specialized material via Interlibrary Loan to outside institutions and patrons. New acquisitions are cataloged in-house by Library staff, either by downloading existing bibliographic records or by original cataloging.

The EyeBrowse online public access catalog lists 25,496 records representing 76,966 items in total (several items may be linked to one record). Monographs account for 22,634 records with 27,468 items. These include books in the Main, Reference, Reserve, Rare Book Collections, and Electronic books.

Print periodicals account for 826 records with 16,345 print items. The balance of the collection, 2,036 records with 33,153 items, consists primarily of slides, computer files, CD-ROMs, videos/DVDs, and microforms. Kohn Vision Science Library expenditures and holdings by collection are given in Appendices [F-5a](#) and [F-5b](#), respectively.

Electronic Resources

A listing of the Kohn Vision Science Library electronic resources can be found at <http://www.sunyopt.edu/library/resources.shtml>. Students, staff and faculty members are provided with access to full-text articles at <http://www.sunyopt.edu/library/ejournal.shtml>. While the Library holds subscriptions to a large collection of electronic journals, it has access to many more journals and databases provided by SUNYConnect, a program of the State University of New York, and the New York State Library's NOVEL service (New York Online Virtual Electronic Library).

Electronic databases, including the National Library of Medicine's PubMed, Google Scholar and VisionCite Citation Index (citations to articles targeted to vision science, optometry and ophthalmology) can be found at <http://www.sunyopt.edu/library/edbs.shtml>. Open URL linking technology allows connection from these databases to full-text electronic content owned by the Library. The EyeBrowse online catalog, which can be accessed through the Internet, can be found at <http://seneca.sunyconnect.suny.edu:4550/F>.

Web site

The Kohn Library website (<http://www.sunyopt.edu/library/>) is maintained, updated, and enhanced on an ongoing basis. Every few years, the Web site is completely redesigned to keep up with new information needs, technologies, and available information resources.

Virtual visits to the Library Web site for the 12 months through February 2010 increased by 8% over the previous year. The most visited page after the home page was the electronic journals portal. Page views for this period, which are detailed in [Appendix F-6](#), were as follows:

- Library home page: 12,207
- Electronic Journals page: 11,254

During the academic year 2008-2009, there were 4,729 virtual visits to Library online catalog.

Library Technology

The College's Information Technology Department provides maintenance and support for computers and printers in the Library. Current resources include:

- Computers: 41 for patron use, eight for staff and circulation use, five for online catalog and transfer stations
- Printers: two networked and two individual printers for patrons and five individual printers for staff
- Two copiers
- Two scanners
- Microfilm/microfiche reader
- Fax machine
- Typewriter

External Support

There are many organizations that provide resources and services that maximize the Library's ability to serve its patrons. These are given in [Appendix F-7](#).

Information Technology

Overview

As of July 1, 2010, the College completed a consolidation of its information services into a single department overseen by a Chief Information Officer. ([Appendix F-8a](#)) The mission statement for the Office of Information Technology (IT) and its goals are given in [Appendix F-8b](#). The Office of Information Technology provides high quality technology services throughout the College community, including supporting the College's academic and clinical teaching programs. IT ensures high availability, dependability and reliability of the campus wired and wireless network infrastructure, electronic mail and conferencing system, as well as campus servers. This includes ensuring that information is secure and available and that appropriate disaster recovery protocols are in place. IT also provides comprehensive technical support throughout the College community as well as training and programming services. In addition, IT oversees and maintains one of four designated University-wide Video Conferencing System (UVCS) sites within the State University of New York system. IT staffing is currently comprised of a Chief Information Officer, Network Administrator, Help Desk/Email Specialist, End-User Support Specialist, Web Specialist, Clinical Systems Administrator, Clinical Systems Analyst, Media Services Manager, Media Specialist and Electronic Automation Technician. Please see [Appendix F-9](#) for the IT table of organization.

The entire College community, including all students and faculty members, are provided with a network user account and an email account with access to campus network resources. The network user account not only allows users access to the campus network, but it is also used to access a private network directory (H: drive) to store files, as well as to access other online network resources and applications.

All faculty members are provided a computer and on a regular basis, computer equipment and peripherals are upgraded or replaced. All high-priority computer equipment are on annual maintenance contracts; either 24x7, 7days/wk or 9x5, M-F. All other technology equipment is purchased with 3-year hardware maintenance and is maintained and repaired by in-house personnel.

Recent Improvements

Some recent activities include an upgrade of our IT data center infrastructure, commencing with the core network servers and enabling a Microsoft Windows 2003 Active Directory environment; implementation of the new high speed Internet connection for expanded online capabilities; implementation of a campus-wide emergency notification system; the use of a classroom response system (using TurningPoint responders or "clickers") to provide instructors with immediate feedback on content comprehension, engage students and promote critical thinking; and the ongoing process of improving the College's web site as a mechanism to provide enhanced communication with the community-at-large and maintain our strong presence on the Internet.

In addition, the Alcatel-Lucent core network wired infrastructure was upgraded during the summer of 2009; the collaboration with other schools of optometry on a use of a common application service (OptomCAS) for prospective students with weekly online data downloads onto existing student information systems was implemented; and the IT Help Desk was reestablished. During the fall of 2009, the College migrated from Blackboard/WebCT to Moodle as its course management system vendor to further enhance teaching and learning. An initial two-day training "Boot Camp" was held for faculty, and beginning with the 2009-2010 winter quarter and spring semester, Moodle was made available to students. All courses have an online presence using Moodle commencing in fall, 2010. In December 2009, IT launched a College web portal that will allow current students to take control of their information online, including updating personal information, accessing grades, monitoring and tracking financial aid information and reviewing schedules and unofficial online transcripts.

Planned Improvements

Some of the initiatives that are planned include the expansion of the web portal for faculty access to review class lists and enter grades online, as well as integration of other online applications to provide a single point to access via the portal; the continuation of the IT 3rd Floor Data Center upgrade, including upgrading the core network wireless infrastructure replacing the existing wireless

infrastructure to a state-of-the-art Aruba/Alcatel-Lucent infrastructure, utilizing 802.11n technology and installing approximately 100 access points (mostly completed); upgrading the existing student spaces and outfitting the Center for Student Life and Learning, including the lecture halls and other small learning spaces, with the latest teaching and learning technologies to include incorporation of class capture technology for continuing education and other professional programs; and expanding secure remote access capabilities. The 2009-2010 IT Action Plan is given in [Appendix F-10](#).

Faculty and Student Training

The Office of Information Technology currently offers one-on-one training as requested and offers tip sheets on logging onto the campus network, accessing the electronic mail system and other various IT topics. IT also subscribes to Atomic Learning, the online technology training and professional tool for educators. Training for faculty in the use of classroom technology is done on an individual basis by Media Services and is supplemented by skilled AV work-study students who are present in every class and assist in the setup and troubleshooting of individual lectures. A newly created IT Video Conferencing and Training Center was completed in April, 2010. This training center allows the ability to offer group training for up to 16 participants on all IT supported applications, as well as serving as the new location of the University-wide Video Conferencing System. Faculty workshops have been held on the Moodle course management system and TurningPoint (software that enables students to use "clickers" to respond to questions asked during lecture) and Microsoft Office applications. Individual instruction/support is available as needed.

Every incoming 1st Year class takes part in an IT computer assessment survey during orientation. This assessment survey allows IT to understand students' current computer knowledge and what their needs are that may need additional training or support. Results of this technology survey are provided to the Information Technology Council, president, dean, department chairs and interested others.

Patient Care

IT works with the University Eye Center (UEC) to implement initiatives to enhance patient care. For example, E-eligibility -- the ability to automate insurance verifications to pre-approve or mitigate potential insurance problems prior to the patient's arrival -- was recently implemented. In addition, an online patient satisfaction survey was developed to help assess and improve the quality of UEC services. On the UEC website, self-service patient education information is available, including EyeTV (informational videos), Eyeclopedia (clinical knowledgebase) and 3D Eye simulations (Eyemaginations' 3D-Eye Online).

One planned project includes the replacement of our current electronic health record (EHR) system that was originally acquired in 2004 and has been problematic in that it was designed for hospitals rather than eye clinics. In

particular, the EHR is very costly to the clinician in terms of time. Other projects include the upgrade of the existing patient management system (PMS) front end interface from a character cell view to a graphical user interface (GUI) environment with single sign-on capabilities between the PMS and EHR; UEC web portal development to allow patients and referring doctors to access the clinical systems to make appointments, review previous patient encounters, request prescription renewals and communicate with the doctor online in a seamless, secure and timely manner; and integration of kiosk technology to streamline the patient check-in process and enable automatic electronic payment functionality to expedite the patient check-out process.

Technology Inventory

Please refer to [Appendix F-11](#).

Information Technology Council

The Information Technology Council (IT Council) was created to address the evolving needs of the College relating to information technology. IT Council includes the Chief Information Officer and directors of the Library and Media Center, as well as faculty, student, administration and clinical administration representatives. The Council meets regularly and consults informally as needed. Minutes are maintained and routed to the IT Council, the President, the Dean and interested others. Goals and a further description of IT Council are in [Appendix F-12](#).

Collaboration and Resource Sharing

Please refer to [Appendix F-13](#).

7.3 The library and information services staff are supportive of the needs of faculty, residents and students.

Library's Mission

The Harold Kohn Vision Science Library seeks to meet the information needs of the College community through the selection, acquisition, organization and delivery of materials and services, as well as provision of the technology, instruction and support necessary to ensure access to information and its management. In support of these efforts Library staff set up appropriate systems and procedures to maximize effectiveness, ensure control over materials, and track activities and services. Library staff work closely with other Information Services colleagues and relevant others in the development, organization and delivery of instructional programs; to provide advice, consultation, and support as appropriate; and to take a leadership role in the introduction of new services and technologies. (<http://www.sunyopt.edu/library/libmission.shtml>)

Overview of Services

The Library serves students, faculty, researchers, residents, clinicians, alumni, staff, and the general public. The services provided include:

- Open seven days a week, closed on Sundays during the summer. On weekdays, opens at 8:00 am and closes at 9:30 pm. These hours and access to study space is adjusted during midterm and final examination periods. Off-campus access to virtual resources is available via the proxied Web site for members of the SUNY Optometry community. .
- Reference, research assistance, and instruction in searching are provided. (See [Appendix F-14](#) for a summary of Library patron assistance and [Appendix F-15](#) for Library circulation data)
- Librarian mediated searches from a wide variety of databases
- Interlibrary loan service for faculty, researchers, residents, graduate program students, clinicians, and staff
- Links to electronic journals and databases
- Targeted resources on the Library Web site for optometric professionals including clinicians, students and instructors (Eyesites, Image Bank, Clinical Point of Care)
- Up-to-date highlights on relevant topics provided through the College intranet, (e.g., vision science, optometry, ophthalmology): RSS feeds on Web site, Twitter
- Group and one-on-one training for accessing electronic journals and databases
- Tip sheets for databases available in the Library and online
- Assistance with alerting and table-of-contents services
- Reserve Collection to support course work
- Copyright Guidelines and Citation Guides
- Information for students' leisure time activities: leisure reading collection, New York City culture and entertainment information in the Library as well as on an extensive Web site: <http://www.sunyopt.edu/library/nyc.shtml>
- Working with SUNY libraries and publishers through SUNY REACH and related mechanisms to develop models of collaboration for the sharing of electronic content across SUNY campuses. This is particularly relevant to the development of the multi-campus SUNY Eye institute (SEI) (page 57).

Staff

The Library is operated by a staff of five people: Library Director, Assistant Librarian, Serials and Document Delivery Services Manager, Evening Administrative Support, and Administrative Support. The Library Director and Assistant Librarian are members of the Faculty and have M.L.S. degrees from ALA accredited library schools, as well as second master's degrees. The Library Director is also a Distinguished Member of the Academy of Health Information Professionals. Each of the five staff members have more than ten years of service at SUNY Optometry. Curriculum vitae of the Library Director and Assistant Librarian can be found in Appendices [F-16a](#) and [F-16b](#). Responsibilities of staff members can be found at <http://www.sunyopt.edu/library/libstaff.shtml>.

Patron Survey

The Library developed a patron satisfaction survey in the fall of 2009, distributing it via email to the College community. The goal of the questionnaire was to solicit opinions on general and specific aspects of Library service. The results of the survey, with description, analysis of findings, recommendations for action and recent library improvements are in Appendices [F-17a](#), [F-17b](#), [F-17c](#), [F-17d](#) and [F-17e](#).

SUNY College of Optometry is active and effective in the area of institutional fundraising.

Optometric Center of New York (OCNY)

The Optometric Center of New York (OCNY), a 501(c)(3) organization, was founded in 1956 by a small group of dedicated optometrists and benefactors as a non-profit health and professional education resource for the community. This pioneering effort supported and directed the establishment of a vision care clinic, which in 1971, became the patient care centerpiece for the State University of New York College of Optometry.

Today, the OCNY is the allied and endowing foundation of SUNY Optometry, and is the primary source of private support for its patient care facility, the University Eye Center (UEC), providing grants for projects such as a homebound project, indigent care initiative, scholarship fund and vision research among others.

The OCNY is comprised of 19 Trustees, representing the business, finance and law professions among others. The foundation's bylaws, which can be found in [Appendix F-18a](#), state that the board shall consist of not fewer than five and not more than 25 trustees. [Appendix F-18b](#) contains the foundation's MOU with the College. The Trustees meet on a quarterly basis. Copies of the OCNY agendas and minutes will be available per request.

On the fiscal side, the OCNY is supported administratively by employees of the SUNY College of Optometry. The OCNY financial records and grants administration books are operated on a fund accounting system, including unrestricted, temporarily restricted, permanently restricted and OCNY Board designated, in accordance with donor wishes. The OCNY Finance and Investment Committees conduct an ongoing review of plans and policies for endowment management to ensure consistency with the institution's financial resources, goals and objectives (as stated in the strategic plan) and summaries of endowment performance. [Appendix F-19](#) gives the OCNY investment policy statement and current funds status (January 1, 2010). The market value as of December 31, 2010 was \$9.067M.

Office of Institutional Advancement

The vice president for institutional advancement (VPIA) reports directly to the president and oversees development, the alumni association, public relations,

government and media relations and special events. The vice president serves as the executive director of the OCNY and is a voting member of its Board of Trustees. The VPIA is chief spokesperson for the College and oversees the design, writing and printing of all institutional publications and media relations materials. Other members of this office are the director of the annual fund, associate director of development and a senior staff assistant. Two new staff members (Associate Director of Institutional Advancement and Administrative Associate) will be hired in the coming year to accomplish additional fundraising and administrative responsibilities. The table of organization for Institutional Advancement can be found in [Appendix F-20](#) or http://www.sunyopt.edu/about/instadv_vp_office.shtml.

Recent Fundraising Efforts

In spite of challenging economic times, through the OCNY the College has been successful and consistent at setting and meeting fundraising goals. A grants program, annual Gala and fund, and gifts from individual donors, including parents of students and alumni, have raised an average of \$903,358 annually from 2004-2010 (please see [Appendix F-21](#)). In an effort to maintain and expand this amount, an Associate Director of Development was hired in 2007 to focus on grant writing. Fundraising efforts are overseen by the OCNY, a 501c 3 organization.

Institutional fundraising and grant activities are reviewed on an ongoing basis, both from a programmatic, as well as a fiscal, standpoint. Fundraising plans are developed in concert with faculty and staff, and have a direct correlation to the College's five-year strategic plan "A Shared Vision," initiated in 2008.

OCNY Trustees, as well as SUNY Optometry faculty and staff, review funding priorities and develop grant proposals for particular projects in concert with Institutional Advancement staff. Additionally, prior to the end of the fiscal year (July 1-June 30), faculty and staff have the opportunity to request grants from the OCNY. Typical projects for which OCNY-allocated grants are made include:

- student scholarships (Strategic Plan Goal 1.8)
- indigent patient fund (Strategic Plan Goal 4.2)
- equipment

The Vision and the Promise: The Campaign for SUNY College of Optometry

The College has entered the quiet phase of its major gifts campaign, *The Vision and the Promise: The Campaign for SUNY College of Optometry*. The campaign will be announced to the public at the March 18, 2011 Eyes on New York gala that will also commemorate the 40th anniversary of the College and the 55th anniversary of the OCNY. In December 2009, Dr. William C. Folsom, Jr. a Trustee of the OCNY and longtime supporter of the institution, made an irrevocable pledge of his estate, currently valued at \$2 million. The College received notice of a \$100,000 bequest in July 2009, which is to be used to establish a scholarship endowment upon receipt. To date (12/31/10), a total of

just under \$4.0M has been raised in cash or pledges (please see [Appendix F-22](#)).

In September 2009, the OCNY approved the implementation of a 5-year, \$10 million major gifts campaign to support a variety of College activities and programs including patient care activities, academic programs and research studies. Fundraising plans for the campaign incorporate all activities within the College, and will focus on short-term as well as long-term (endowment) goals. An overview of the campaign planning, as well as the first-year budget, can be found in Appendices [F-23a](#) and [F-23b](#).

The Trustee's retreat of June 2009 re-affirmed the underlying strengths of the College and OCNY. The clear enthusiasm from those discussions provided ample encouragement that much greater success is possible by following a prescribed plan of action by energized leadership. A Campaign Planning Committee comprised of OCNY Trustees and the Alumni Association President has been formed. They will oversee all aspects of preparations for and execution of the Major Gifts Campaign. The elements of the campaign timeline are outlined in the Appendix [F-23c](#).

The SUNY College of Optometry Alumni Association

There are presently 2,163 graduates of the Doctor of Optometry program. The Alumni Association recently elected a new president, Dr. Julia Appel, '91 who has begun to develop new student-alumni programs and incentives for giving. She will be working closely with the Alumni Board of Directors and the new Associate Director for Alumni Relations. Alumni giving over the past five years is given in [Appendix F-24](#).

Areas for Further Development

- Monitor, modulate and complete approved capital improvement projects.
- Complete facilities master plan for 2013-2023 and work with SUNY Construction Fund to secure funding needed for implementation.
- Continue to develop the College's technological capacity on all levels to meet student, patient care, research and international program needs.
- Continue to implement the 5-year, \$10 million endowment campaign.
- Complete the restructuring of Institutional Advancement Staffing
- The Alumni Association will be re-vitalized with new Associate Director of Alumni Relations. New strategies for raising money from alumni need to be developed.
- Develop and implement procedures to more efficiently update information on the College website

* Parts of MSCHE Standard 3 are addressed in both Sections D and F.

G. Clinic Management and Patient Care Policies

ACOE Standard VIII

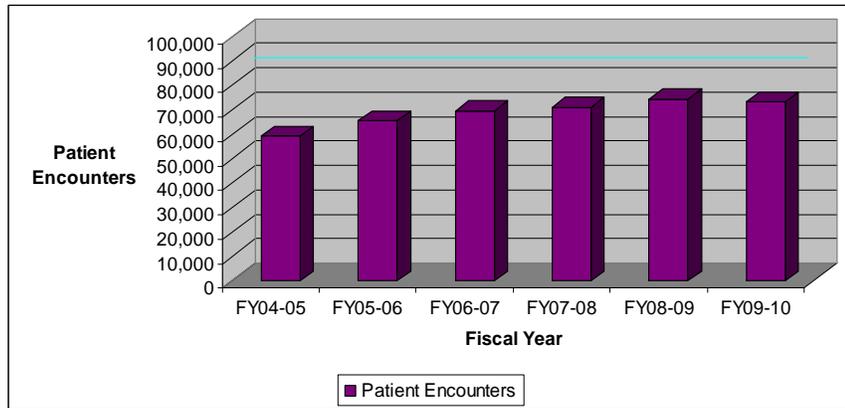
Please note that reference is made to Appendices of the Self-Study; Appendices of the UEC *Policy and Procedures Manual*; and specific policies/procedures within the *Manual*. These references are labeled as such.

8.1 The program has a clinical patient care delivery clinical program sufficient to fulfill the mission, goals and objectives.

Students are fully integrated into the clinical activities and services of the University Eye Center (UEC), whose mission and objectives can be found on pages 1-3 of the online *Policy and Procedures Manual* ([Appendix G-1](#)). The services provided are described on the College's web site at <http://www.sunyopt.edu/uec/index.php> as well as on pages 6-8 in the *Policy and Procedure Manual*. The UEC consists of its primary location on the College campus and satellite clinics with which it holds contractual arrangements (see Section 8.2, below). [Appendix G-2](#) lists the current satellite clinics. The on campus clinic provides primary eye care services (including contact lens services and dispensing) as well as more specialized care in the areas of ocular disease, vision therapy, advanced contact lenses, pediatrics, low vision, head trauma, adults with disabilities, children with special needs, infant vision, and learning disabilities.

A portion of the fourth-year curriculum is carried out in external clinical facilities (externship program). Certain of these facilities are contractually related to the UEC (i.e., satellite clinics) with the assignment and monitoring of students and preceptors at these sites the responsibility of the director of externship programs, who currently serves as the chair of the department of clinical sciences in the administrative structure of the office of the vice president/dean for academic affairs. Students also rotate through external clinical sites that are not contractually related to the UEC. These are coordinated by director of externship programs. Additional information on the externship program can be found in Section B (2.7, 2.10, 2.10.1 and 2.10.2).

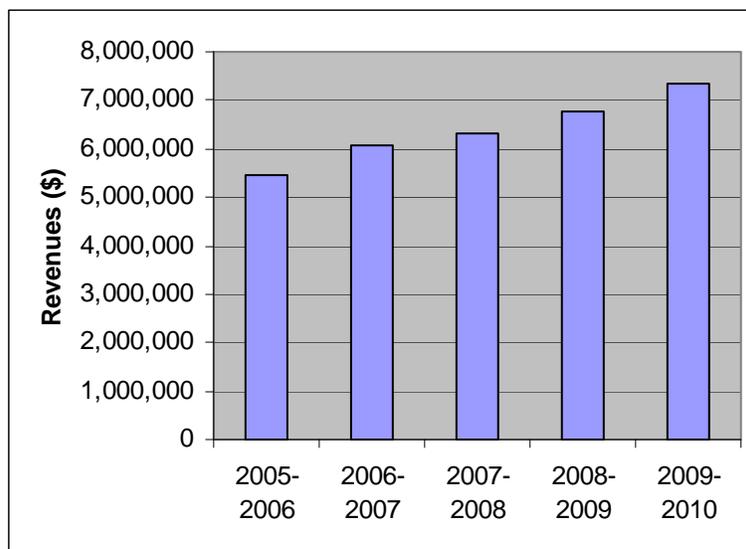
The UEC is one of the largest optometric clinics in the country in terms of patient care activity. Its location in the heart of the most densely populated metropolis in the nation affords extraordinary access to an exceedingly clinically diverse and challenging patient base (please refer to [Appendix G-3](#) for patient demographics). The central clinic at 33 West 42nd Street and its satellite clinics (excluding externship sites), see approximately 134,000 patient visits per year. The 42nd Street clinic has about 75,000 patient visits per year and is on the way to meeting its Strategic Goal of 85,000 patient visits (Goal 3.1) as can be seen in the chart below.



The launching of the UEC Referral Service in early 2007, which provides advanced and specialized services to the patients of referring doctors, has been an additional source of patients. In 2007, 2008 and 2009, the number of patients referred to this service was 624, 3,839 and 4,285, respectively, exceeding the Strategic Plan target of 3,000 patients (Goal 3.1). Please see [Appendix G-4](#) for a brochure describing the Referral Service.

Services are provided under the supervision of about 100 licensed optometrists, 10 ophthalmologists, 4 psychologists, 3 nurses and 2 social workers. The UEC and its satellite clinics provide full-scope optometric care including an on-campus center for laser refractive surgery and a vision rehabilitation unit that treats patients suffering the visual effects of head trauma and stroke.

In spite of challenging economic times, clinic revenues have continued to increase, with '09-10 seeing an 8.6% increase over the previous year:



The College is cognizant of its responsibility to provide services to less fortunate members of the community (Strategic Plan Goal 4.2) through promoting public

health. [Appendix G-5](#) summarizes such services provided by the UEC in 08-09 and 09-10.

8.2 A coordinated system of clinical governance, administration, management and evaluation is in place both for internal and external clinics managed by the program.

The table of organization for the University Eye Center (UEC) is found in Appendix 2 of the UEC *Policy and Procedure Manual* ([Appendix G-1](#) of the Self-Study) and at http://www.sunyopt.edu/about/clin_vp_office.shtml. Clinic management policies are given in the UEC Bylaws (Appendix 3 of the policy manual) as well as in specific policies and procedures contained within the manual. The vice president for clinical affairs, who also serves as executive director of the UEC, reports directly to the president of the College. Position descriptions for the principal administrative personnel of the UEC are published in Appendix 7 of the UEC *Policy and Procedure Manual*. Clinic administrators, who are classified as management/confidential employees by the University, are evaluated annually with respect to negotiated performance expectations.

Policy and procedural matters related to the UEC, as well as the effectiveness of operations, are discussed at bi-weekly meetings of the Clinic Council. This council, chaired by the Chief of Staff, is primarily concerned with the quality of the care of patients balanced with the educational needs of the students. It is composed of the UEC administrative staff, chiefs of clinical services, an educational facilitator and a representative from the Faculty Executive Committee. Sample minutes of meetings of the Clinic Council are available on campus upon request.

The UEC has professional service contracts to provide faculty and residents to non-profit hospital and health centers in the New York metropolitan area (Goals 3.1 and 3.3). Optometrists employed by the UEC staff these satellite clinics, and the optometrists follow the rules and regulations of these external clinics. The day by day operations of these external sites are not managed by the UEC. In those cases where students rotate through satellite clinics as part of the externship program, the educational experience is overseen by the director of externship programs.

8.2.1 A clinic manual that includes all clinic policies and procedures is published and accessible to student clinicians, faculty, and staff.

There has been a concerted effort to be green with the voluminous UEC Policy and Procedure Manual (just under 700 pages) and not print unnecessary copies. The complete manual is available to faculty and staff via the Firstclass Desktop in a conference titled *College/UEC Policies & Procedures*. The appendices to the manual incorporate documents such as the Clinical Management Protocols, Bylaws, Tables of Organization and the Credentialing Standards. The conference folder also contains a summary of 2010 changes to the UEC manual (see below). For students, the manual and list of changes are available electronically via *Homebase* in the electronic medical record system. In addition, each clinical

floor (Floors 5, 6, 7 and 8) has a CD with the aforementioned files in the rare occurrence that the network is down and not available.

All new employees (faculty and staff) are provided with information on how to access these electronic documents. Students are informed during their orientation immediately preceding their third year.

An extensive review of the University Eye Center's (UEC) policies and procedures was conducted during the months of November 2009-February 2010. As a result of this review, 41 policies and procedures had substantive changes and 23 new policies and procedures were developed. These can be found in [Appendix G-6](#). Of the 23 new policies and procedures, 13 of these were specifically in the area of clinical finance.

8.2.2 The program verifies the credentials of faculty members who serve in the clinic.

The policy for credentialing in the UEC is in the *UEC Policy and Procedure Manual* C-12. All faculty members with clinical privileges are required to complete the credentialing process at the time of appointment and every two years thereafter. Submission of original degrees and licenses is required.

8.2.3 The program defines the scope and extent of clinical privileges for each faculty member who serves in the clinic.

The credentialing and privileging process has recently been evaluated and enhanced with the result that the amount of paperwork involved for both the practitioner and the credentialing department staff has been reduced significantly. To bring credentialing and privileging files up to date, clinical faculty members have been asked to complete the new credentialing form even if they are in the middle of the credentialing cycle.

Providers must request and be granted privileges to provide direct patient care during each credentialing and privileging cycle (P-8 of the *UEC Policy and Procedure Manual*). The credentialing and privileging period is two years, and providers must meet certain requirements to be re-credentialed. A faculty member may request a new privilege at any time during the credentialing and privileging cycle. The requested privilege requires approval by a service chief. Delineation of the scope and extent of each faculty member's clinical privileges are determined with the credentialing policy ([UEC Policy and Procedure Manual](#) C-12) and clinical privileges form ([Appendix G-7](#)). Privileging of residents is based on a recommendation by the director of residency programs.

8.2.4. Patient records allow for efficient review of the patient's condition and any previous care that has been provided at the program's clinical facility.

Current patient records (and past records of active patients) are stored in an electronic format. The *UEC Policy and Procedure Manual M-2* addresses specifically what information should be contained in the medical record.

Access to records is restricted to the practitioner or student who sees the patient. An audit trail can be obtained of who viewed a patient record. The confidentiality of patient information is of paramount concern. Students, faculty and staff are reminded periodically about confidentiality of clinical records. Currently, our HIPPA position is vacant and the VP of Clinical Affairs is temporarily filling this role. The UEC also has a part-time compliance officer for issues related to "Business Integrity". Access to records by accreditation site teams must adhere to HIPAA regulations (*UEC Policy and Procedure Manual H-4 and 5*).

8.2.5 The clinic conducts an ongoing, planned quality assessment, improvement and compliance program that evaluates the provision of health, eye and vision service and provides for remediation when deficiencies are identified.

Quality Assessment and Improvement

The UEC's Quality Assessment and Improvement Plan can be found in Appendix 5 of the *Policy and Procedure Manual* (Goal 3.2). It is the University Eye Center's policy to review charts of patients seen within the UEC's in-house clinics. The quality and appropriateness of care rendered by faculty to patients are retrospectively reviewed by the Quality Assessment and Improvement Committee (QA). This team meets weekly. Generally, a minimum of 10 records are reviewed for each faculty member per year. From 2000-2009, over 16,500 charts have been reviewed.

Records are compared against the protocols published by the University Eye Center. Records are "flagged" whenever an error, omission, or other failure to comply with the Institution's clinical management protocols may adversely affect the outcome of the patient encounter, as follows:

- Level Zero: a note to the practitioner. No clarification or correction required, for informational use only.
- Level One: minor error(s) or omission(s) in the record without impact on patient care. Requires clarification or correction by the attending doctor.
- Level Two: significant error(s) or omission(s) in the record which may affect patient care. Requires clarification or correction by the attending doctor.
- Level Three: potentially sight or life threatening error(s) or omissions. Requires immediate attention by the attending doctor.

A more detailed description of the UEC QA program can be found in [Appendix G-8](#), and QA activity for January 1, 2007 through June 30, 2009 can be found in [Appendix G-9](#).

In addition to reviewing faculty, the QA team also evaluates clinical indicators and works on specific projects requested by the director of professional services. The clinical care indicators represent conditions of high risk, high prevalence or both and are amblyopia, diabetes, glaucoma, cataract and myopia. [Appendix G-9](#) gives data for clinical indicators from 2000-2009.

Faculty members are informed of their flagged charts. Level 2 and level 3 flags are immediately brought to the attention of the director of professional services. The chief of the particular service where the patient was seen is then informed. The chair of the QA team is notified when the issue has been resolved. Detailed QA reports are provided to the chief of staff/director of professional services and Clinic Council quarterly. Service chiefs share the information with their faculty at the next scheduled service faculty and staff meeting.

Patient and Student Surveys

Patient's satisfaction surveys, which can be completed anonymously, are available on all clinic floors as well as on the UEC website (<http://www.sunyopt.edu/cgi-bin/Scripts/rws3.pl?FORM=PATIENTSURVEY>).

These forms are submitted to the UEC's Chief Operating Officer and processed as described in section C-9 of the *UEC Policy and Procedure Manual*. Results for the one-year period through September 20, 2010 can be found in [Appendix G-10](#). Beginning in November 2010, the UEC will be conduct satisfaction surveys in the waiting area with patients via face-to-face interactions. We expect these surveys to provide more detailed information regarding satisfaction with our services. Patients will be randomly selected to participate, and Spanish speaking staff will administer surveys to Spanish speaking patients.

Students submit evaluations electronically with respect to clinical faculty. This information is accessible by the clinician, the chair of clinical sciences and the dean for academic affairs.

Business Integrity Program

A Business Integrity Program was developed by the VP for Clinical Affairs within the past 18 months (Goal 3.2). All clinical faculty and staff as well as interns and residents are required to take this on-line course, including a test, annually. The program can be accessed at <http://www.sunyopt.edu/faculty/compliance.shtml>. A primary focus of this program is the appropriate billing and coding of insurance claims.

8.2.6 The clinic publishes or posts policies and procedures on the patient's rights and responsibilities.

The *Patient's Bill of Rights* is posted in the patient reception area of each of the four clinical services and included in the UEC *Notice of Privacy Practice Brochure* that is given to every new patient at their first appointment. It is included in the [University Eye Center's Policy and Procedure Manual](#) (section P-1) that is accessible by faculty, staff and students. Each patient signs a general informed consent document (C-10: page 93 of the *UEC Policy and Procedure Manual*). Additional written informed consent may be obtained for secondary and tertiary procedures (Section C-11 of the *UEC Policy and Procedure Manual*). In addition, payment and insurance policies are also delineated in educational materials available on the clinical floors and on our website. This information assists patients to understand their responsibilities with regard to insurance coverage issues.

8.2.7 The clinic has written procedures for receiving and resolving patient complaints, grievances, and appeals.

The University Eye Center's (UEC) policy and procedure on *Compliments and Complaints* addresses three specific areas:

1. Resolution of Verbal Complaints
2. Responding to Patient Satisfaction Surveys
3. Responding to Written Patient Compliments and Complaints

The aforementioned policy and procedure can be found in the *UEC Policy and Procedure Manual* under C-9. Copies of all compliments and complaints are filed in the Office of Clinical Administration and are available for review to applicable regulatory and/or accreditation agencies and their representatives.

8.2.8 Clinic programs have established procedures to address risk management such as liability, security and safety.

Clinical faculty (including on-site residents) and staff, as employees of the State of New York, are covered under section 17 of the NYS Public Officers Law (Policy M-3 of the *Policy and Procedures Manual*). Under this statute, employees are covered for their acts or omissions and are both indemnified and defended by the state provided that the employee is acting within the scope of his/her employment and that injury or damage did not result from intentional wrongdoing. Students are covered under a separate certificate of insurance purchased by the University as they are not deemed state employees.

The College's University Police has primary responsibility for security and safety on campus. The department consists of University Police Officers and Security Officers who have the responsibility for crime prevention, building safety, fire and medical emergencies. Fire drills and building evacuation drills are conducted periodically and in accordance with the rules and regulations for Article 28 health facilities in New York State. Safety and security procedures are included in the

UEC Policy and Procedure Manual (S-2, 3 and 5) and in the College's Annual Security Report at <http://www.sunyopt.edu/police/reports.shtml>.

The College's policy and procedures for infection control are contained in Appendix 8 of the [UEC Policy and Procedure Manual](#). The Environmental Safety and Infection Control Committee ensures that all employees and students have completed the necessary infection control training and periodically attend course updates as mandated by state law. Credentialed optometrists and students are required to have active CPR certification.

Incident reports dealing with patients are reviewed by the Chief Operating Officer and the Director for Professional Services to ensure that sentinel events as well as potential risk management issues are reviewed and that appropriate action is timely. Patient complaints are also reviewed for timeliness and appropriate follow up by senior management in the UEC. In addition, the QA&I program addresses risk management issues as they arise during record reviews.

8.3 Eye and vision care services provided are consistent with accepted and well-established health care standards such as clinical practice guidelines.

The Quality Assessment and Improvement Committee (QA) utilizes the detailed UEC Clinical Management Protocols published in Appendix 4 of the [UEC Policy and Procedure Manual](#) as well as the clinical practice guidelines promulgated by the American Optometric Association (AOA) (modified to accommodate to local conditions) and American Medical Association for conditions not covered by the AOA guidelines. The UEC Clinical Management Protocols (practice guidelines) have been developed by consensus of the UEC optometric staff (Policy C-4). They are reviewed and updated annually by Clinic Council. Procedures employed by QA committee are described in Section 8.2.5 of the Self-Study.

Areas for Further Development

- Complete the migration to a more time-efficient and user-friendly electronic health record. (The UEC has been utilizing an electronic health record for the past 6 years and is in the process of replacing this system with one that is geared to eye care.)
- Continue to expand on the current quality assessment and improvement program to assure it meets state and nationally recognized standards.

Conclusions

We have examined the College's operations and outcomes relative to each of the standards established by MSCHE and ACOE and provided documentation to demonstrate that planning, assessment and utilization of data to improve outcomes – both institutional and student learning – are central to College operations. The College has prudently managed its resources in an exceedingly difficult economic environment, allowing it to make good progress in

implementing its five-year strategic plan, *A Shared Vision*. Annual operational goals for each area of the College (Institutional Goals) are derived from this plan. The recent adoption of key indicators and planned posting of these metrics on the College's website should further augment the current culture of planning and assessment.

By almost any measure, the professional (OD) program is strong and dynamic. Entering students are among the most qualified in the nation, and outcome measures, including NBEO performance, also rank near the top. The continued implementation of the new curriculum, restructuring of the third-year clinical experience, expansion of the externship program, incorporation of educational technology to improve learning and more detailed monitoring of student clinical experiences will further strengthen the program. The College's residency program, already one of the largest and most well respected in the nation, will continue to grow. The recent restructuring of the PhD program in vision science, along with higher graduate stipends, are expected to result in lower attrition rates and better placement of graduates; this will need to be carefully monitored.

The College's research program is considerably more robust than it was 10 years ago and continues to grow. Further growth will occur through the recruitment of new investigators, construction of additional research space, establishment of a Clinical Research Center (which will take advantage of the College's abundance and diversity of patients) and continued participation in the newly-formed, multi-campus SUNY Eye Institute.

For the first time in its history, the College has embarked on a major gifts campaign, *The Vision and the Promise: The Campaign for SUNY College of Optometry*. The reorganization of the Office on Institutional Advancement that is underway and recent recruitment of a new Associate Director of Alumni Relations will support this effort.

The College has undertaken international initiatives, recently establishing an Office of International Programs, Confucius Institute, and collaborative program to develop a Center of Excellence in Low Vision and Vision Rehabilitation in Wenzhou, China. International student externship rotations have been put in place and additional such rotations are under development.

A number of major construction programs have been approved, and beyond this the College has commenced a facilities master plan (2013-2023). Work on the *Campus Center for Student Life and Learning* is slated to begin in spring 2011. This initiative, along with the development of a *Career Development Center* and additional recruitment efforts that are, in part, aimed at further diversifying the College's student body, will further enhance the attractiveness of the College to potential students.

01/19/11