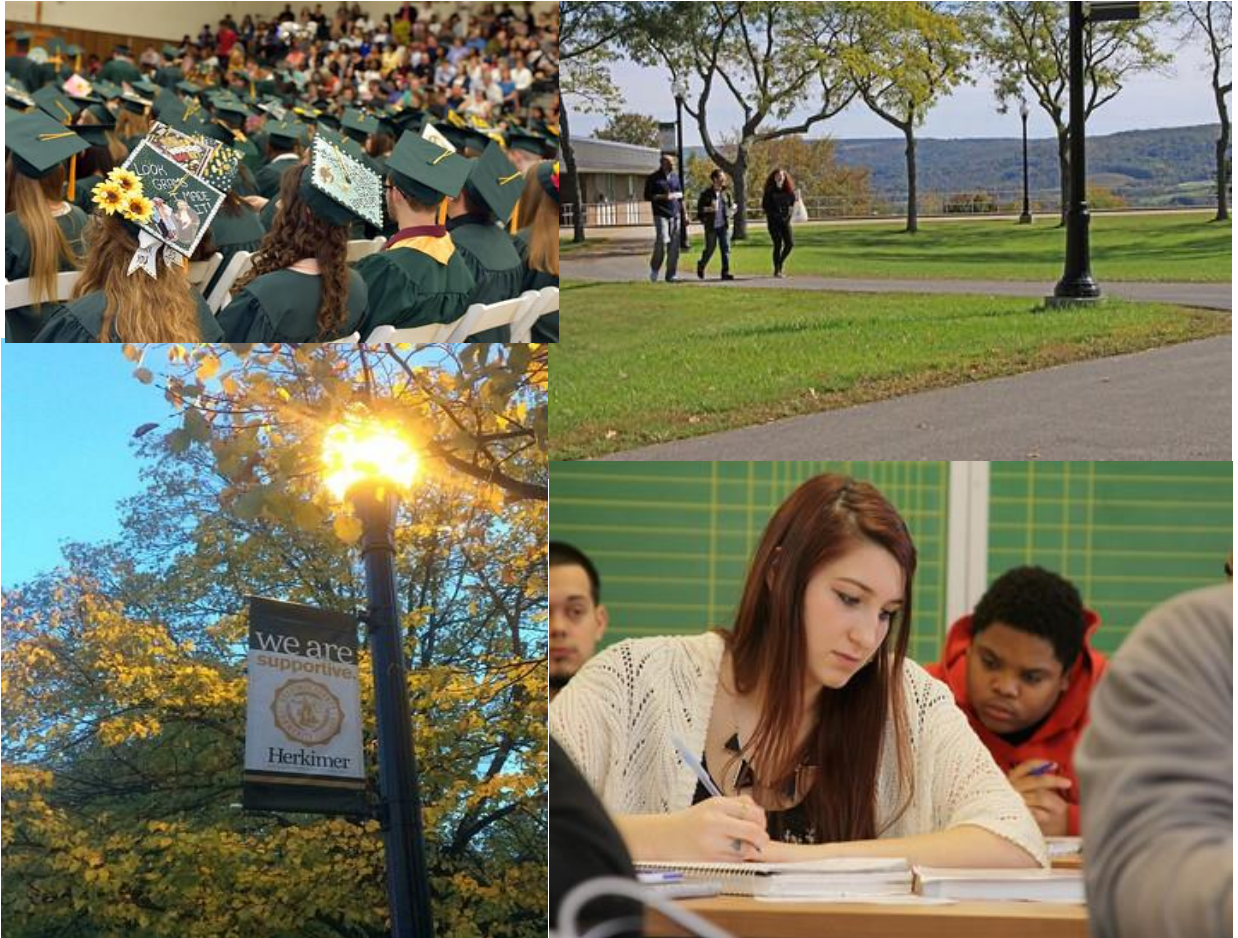




Herkimer
THE STATE UNIVERSITY OF NEW YORK



**Middle States Commission on Higher Education
Self-Study**

**Presented by: Herkimer County Community College
March 2020**

Cathleen C. McColgin, Ph.D., President

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**Self-Study to the
Middle States Commission on Higher Education
from
Herkimer County Community College
Herkimer, New York 13350**

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February 12, 2020

“To note the visit by the Commission’s representative and to affirm the inclusion of the additional location at Mohawk Correctional Facility, 6514 Rt. 26, Rome, NY 13440, within the scope of the institution’s accreditation. The next evaluation visit is scheduled for 2019-2020.”

Public Disclosure Statement Regarding Herkimer County Community College
By the Middle States Commission on Higher Education
June 27, 2019

MSA Evaluation Team Visit: March 29 – April 1, 2020
Chair of the Evaluation Team: Dr. Margaret McMenamini

Executive Summary

The Self Study process has allowed a diversity of constituents across the Herkimer County Community College campus to collaborate in an effort to comprehensively review the institution using the MSCHE Standards for Accreditation and Requirements of Affiliation, and Verification of Compliance as well as our established institutional priorities. We used the MSCHE Standards for Accreditation to examine the breadth and depth of activities, assessments and outcomes across all levels of the institution. Specifically, we used Standards I, II and VII to address breadth, Standards III, IV and VI to address depth, and Standard V to form connections between overarching goals, policies and procedures with specific uses and outcomes.

In following a standards-based approach to self-study, a Steering Committee and eight Work Groups were identified consisting of a variety of members from different departments on campus to focus on each of the seven standards, as well as Compliance. The Steering Committee is composed of co-chairs of each of the eight Work Groups and individuals responsible for managing the Evidence Inventory, as well as an Oversight Team consisting of Co-Chairs of the Steering Committee, the Provost and clerical support. We formally began the Self-Study process with a Kick-Off Dinner in February 2018 to which all Steering Committee and Work Group members were invited.

The Steering Committee and individual Work Groups met bi-weekly throughout the self-study process. Steering Committee Co-Chairs met weekly and there were many informal meetings throughout the process among and between Work Group Co-Chairs, Work Group members and campus constituents. The Steering Committee Co-Chairs often attended Work Group meetings based on need. Steering Committee Co-Chairs made it a point to attend at least one meeting of every Work Group during the Fall 2018 semester. Outside of formal meetings, there was much communication between and among Steering Committee and Work Group members via phone, email and informal discussion.

Students also played an active role in the self-study process. The Student Government Association President was a representative on the Steering Committee for the 2018-2019 academic year, when much of the data organization and collection was being done. This student graduated in May of 2019, but was not replaced due to the point in the self-study process the institution had reached. A Student Focus Group was held on November 13, 2018, resulting in perspectives on trends, experiences, and diverse opinions important for College consideration. Students also had the opportunity to meet with our Visiting Team Chair, Dr. Dianna Phillips during her initial visit on November 4, 2019.

We believe the approach we used in the self-study process was truly collaborative. Given the small size of our campus relative to other similar institutions, we have had the luxury of including many, if not most, constituent roles across campus. This collaborative approach to self-study is in line with our Self Study Design.

We chose to organize our Self Study by standard; however the College identified three Institutional Priorities to focus on as context for the standards. The three Institutional Priorities were collaboratively identified and then affirmed by the Institutional Effectiveness Steering Team, the Strategic Planning and Institutional Effectiveness Committee and the Self Study Steering Committee are:

1. Access and Enrollment (Standards I, II, III, IV, V, VI and VII)
2. Student Success and Satisfaction (Standards I, II, III, IV and V)
3. Fiscal Sustainability (Standards I, II, VI and VII)

It was decided that since students are the foundation of Herkimer College, the narrative of each standard would be introduced with student quotes. Quotes were obtained from the MSCHE Self-Study Student Quotes Questionnaire, available in the Office of Institutional Effectiveness. Evidence citations have been organized by standard, criterion and evidence piece (i.e. St-1-1A). In text documents are named as Exhibits and numbered chronologically within each standard (i.e. Exhibit 1).

The self-study process was an engaging experience allowing for examination of all campus departments, offerings and activities. Many important ideas and updates came out of this experience and several major themes emerged. Some of these themes include service excellence, integrated strategic and operational planning (as exhibited in our updated Integrated Planning Model seen in Standard I Exhibit 1 and Standard VI Exhibit 1), improved use of data and data informed outcomes, updated governance structure and committee interaction and collaboration for building opportunities for improvement and innovation.

One of the most rewarding parts of the self-study process was the opportunity to identify the many points of progress that the College has accomplished since our last self-study in 2010 and our PRR in 2015. These self-assessments have

allowed for the opportunity to identify areas in need of improvement and the College has vigilantly worked to make these improvements over the past several years, not only to meet the Standards for Accreditation and for Verification of Compliance, but to improve the institutional experience holistically, for students and all members of our campus and community.

We are extremely proud of the progress we have made as an institution over the past decade and feel that as a result of implementing the outcomes of these assessment processes we are much better poised to continue forward with additional opportunities for improvement and innovation institution wide.

For this self-study, Herkimer's expected outcomes, as listed in our Self Study Design, were:

1. Reaffirmation of Accreditation
2. Engagement in an inclusive campus process
3. Identification of instances of, and opportunities for, 'Continuous Improvement and Innovation'
4. Identification of priorities to best position the college for the future
5. Providing a basis for directing Herkimer's future Strategic Plan

In re-evaluating these expected outcomes, we are encouraged by the process we have completed and the progress we feel we have made. Specifically, as a direct result of the self-study process:

1. Several processes, policies and other institutional documents were updated.
2. We developed a Discrepancy Form that goes directly to the Provost used for reporting any type of issue with campus procedures and policies.
3. We improved our data collection, assessment, and assessment follow up processes.
4. We increased data use to inform decision making across campus.
5. We can plan to use the information afforded by the self-study process to inform the College's 2022-2025 Strategic Plan.

The Standards

Standard I- Standard I introduces the reader to Herkimer's constructs for meaningful, systematic use of integrating periodic assessment of effectiveness across the standards. It defines the mission and goals of the College. This standard represents a broad overview of our Integrated Planning Model, Strategic Plan, strategic planning processes and Institutional Effectiveness Assessment. College initiatives in support of the Strategic Plan are indicated with reference to supporting evidence and/or further details in subsequent standards. The relevant and achievable nature of the College's mission and goals are supported by periodic assessment and reported in the Institutional Effectiveness (IE) Report Card. This standard aligns with Requirements of Affiliation 7 and 10.

Standard II- Standard II identifies essential policies, processes and practices at Herkimer College that drive ethical operations on campus. This standard is strong because the examples that support the expectations for ethics and integrity are widespread, and clearly and consistently addressed and communicated. Herkimer College is confident in the manner in which we implement our policies, processes and practices, as evidenced through this report's many examples of application of such procedures and on-going periodic assessment. Through the self-study of Standard II, the College made particular improvement to its student complaint processes and communication plan. This standard aligns with Requirements of Affiliation 1, 2, 4, 5 and 6.

Standard III- Standard III emphasizes the commitment of an effective faculty and administrative leaders who work together to design and deliver programs that meet the needs of Herkimer's diverse population and regional employers. As a community college, Herkimer focuses on effective and rigorous teaching and learning. The emphasis is on the student learning and services that help to build co-curricular experiences towards the greatest educational impact. Herkimer once had a culture of diffused academic assessment processes which has grown into a culture of fully incorporated and integrated assessment practices which focus on student learning outcomes and achievement that allows for data driven planning. This standard aligns with Requirements of Affiliation 7, 8, 9 and 10.

Standard IV- Herkimer has made adjustments to its downsizing across student and academic service departments which, to the benefit of students, has necessitated collaboration between departments and academic divisions. These collaborative efforts have strengthened the quality of the design and delivery of the student experience both inside and outside the classroom. Herkimer has taken a closer look at student motivators in designing the student experience. Several examples of this are illustrated in the standard. This standard aligns with Requirements of Affiliation 5, 6, 8 and 15.

Standard V- Standard V represents the connections between how integrated planning merges with the shared governance committee structure to support the holistic Institutional Effectiveness Model. The College continues to grow in its use of the Integrated Planning Model at the operational, master planning and strategic levels to better unify the College in providing the premier two-year college experience. The summative display at the end of the Standard V narrative shows the relationship between planning, assessment and oversight. This standard aligns with Requirements of Affiliation 8, 9 and 10.

Standard VI- Despite decreases in enrollment, Standard VI illustrates how the College has maintained sustainable finances and used responsible budgeting to minimize withdrawals from the fund balance. None of the operational planning is done without resource allocation. The support found in the resource allocation process is making provisions for the operational planning to be carried out in support of the broader master and strategic plans. Recently, the College has counted on capital projects for physical renewal and programs have been fortified through grant funding. This standard aligns with Requirements of Affiliation 4, 7 and 11.

Standard VII- The College is led by a Board of Trustees that supports the Institution and oversees the fulfillment of its mission, while yielding to the autonomy given to strong College leaders. The Board is tasked with ensuring that all policies, major procedures and practices are comprehensive and ethical. The Board certifies the integrity of the President's credentials and ability to run the College. It oversees the constructs that ensure that administrators build in quality opportunities for all College stakeholders in accordance with higher education. This standard aligns with Requirements of Affiliation 7, 11, 12, 13 and 14.

The Institutional Effectiveness and Institutional Research Offices have prepared the campus for this self-study since 2014 when the MSCHE Standards were updated. As part of this early preparation, the College began initiatives leading up to the Service Excellence movement.

The culture of the campus and professionalism of the departments has allowed for a collaborative endeavor over the past several years.

In conclusion, we are grateful for the opportunities afforded to the Self Study Steering Committee and Work Groups, and the institution as a whole. We are confident that lessons learned throughout this self-study process have been and will continue to be valuable as we embark on and continue to look for opportunities for improvement and innovation. Upon completion of this self-study, Herkimer College attests that we have met the criteria outlined in the MSCHE Standards for Accreditation and Requirements of Affiliation, and Verification of Compliance expectations as evidenced in the following report.

Institutional Overview

Herkimer County Community College, most commonly known as Herkimer College, has offered students a quality education in a beautiful rural central New York State setting for more than fifty years. Herkimer remains committed to demonstrating the quality it values in support of its mission. The College ranks #1 among SUNY community colleges for graduation rates and earned a ranking among the top 100 community colleges in the nation for student success by CNN Money in 2012. The College's chapter of Phi Theta Kappa has been sending members to the honor society's annual International Convention for the past ten years and ranked fourth in the New York Region 2015 Hallmark Awards. The Phi Theta Kappa chapter achieved Five Star status in 2019. Herkimer has also been recognized nationally as a three-time ASPEN Prize candidate.

The Herkimer Generals athletic program has earned national level distinction, being the top-ranked athletic program in the nation among two-year non-scholarship athletic programs. The Herkimer Generals won the National Alliance of Two-Year College Athletic Administrators (NATYCAA) Cup in 2014, 2015 and 2017.

Herkimer College offers 39 degree programs, twenty of which are available entirely online. The College also offers six certificate programs, four of which can be completed online, and a full range of support services for online students through its groundbreaking Internet Academy. The College's credit-bearing programs are provided through two academic divisions: the Humanities and Social Science (HU/SS) Division; and the Business, Health, Science and Technology (BHST) Division. Herkimer's NACEP accredited concurrent enrollment program, College Now, provides regional high school students the opportunity to complete college-level coursework and earn credit that can also transfer to a four-year college or university. College Now credits give them an affordable head start on their post-secondary education.

Herkimer College is a uniquely residential community college in the State University of New York (SUNY) system, in that 26% of on-campus students live in campus housing. Fall 2018 enrollment headcount was 2,567, with FTE at 1,848 students. Herkimer students come from all over New York State, as well as from over 25 other states and 26 countries. International enrollment is robust for a public two-year institution located in a highly rural region of central New York. Another unique aspect of Herkimer's student body is that, in contrast to the typical pattern at community colleges, Herkimer tends to have a higher percentage of students enrolled full-time than part-time, with full-time at 54% of overall enrollment, and part-time at 46% of overall enrollment. The 19:1 student-to-faculty ratio at Herkimer gives students greater opportunity for personalized attention from faculty. The student population consists of 59% females and the major race/ethnicity representation includes 10% African American, 74% Caucasian, and 6% Hispanic/Latino.

Herkimer College places a priority on maintaining its status as an accessible institution of higher learning. Current tuition is an affordable \$4,870 per year for in-state residents and \$7,500 per year for out-of-state and international students. More than 80% of Herkimer students receive some form of financial aid.

Herkimer College is a major contributor to the economic development of Herkimer County. An economic impact study conducted in the spring of 2010 in partnership with Economic Modeling, Inc. (EMSI) estimated that the College has an annual impact of 75 million dollars on the local and regional economy.

In 2017, Herkimer realized a completed Facilities Master Plan, which had been funded with matching grants from the State University of New York and the Herkimer College Foundation. The College directly funded supplemental costs of less than 10% of the total investment. This plays an integral role in a total movement toward enhanced integrated strategic and master planning across campus.

Herkimer College established its mission statement, vision, core values, and institutional learning outcomes in a collaborative, lengthy development process in 2009-2010. The College pillar committees and the Institutional Effectiveness Steering Team, along with the Executive Council agreed to keep the current mission statement, update the current strategic plan and use the Self-Study to inform a new Strategic Plan that is visionary for the future.

Standard I: Mission and Goals

“The institution’s mission defines its purpose within the context of higher education, the students it serves, and what it intends to accomplish. The institution’s stated goals are clearly linked to its mission and specifically how the institution fulfills its mission.” (Middle State Commission on Higher Education Standards of Accreditation, Standard I).

“Herkimer College is a great college,
and it has given me many opportunities.”
Amanda P., Human Services, class of 2020

1. **An accredited institution possesses and demonstrates the following attributes or activities with clearly defined mission and goals that are developed through collaboration; addresses internal and external constituencies; is supported by all college governing bodies; guides decision making; supports scholarly inquiry; are publicized and periodically evaluated.**
2. **Institutional goals that are realistic, appropriate to higher education, and consistent with mission**

“The mission of Herkimer College is to serve our learners by providing high quality, accessible educational opportunities and services in response to the needs of the local and regional communities.” (St-I-1A) Herkimer College’s [Mission Statement](#) directs the institution as an organization of higher education, provides a shared understanding of intent, as well as ensures that the institution aligns with the overall mission of State University of New York (SUNY) (St-I-2A). Herkimer emphasizes the College’s Core Values of Excellence, Opportunity, Community and Integrity by infusing them throughout the work of the College toward fulfilling its mission. The Mission Statement guides the Herkimer constituents in planning and actions as noted in the College’s planning processes and documentation. The statement itself also acknowledges the value the College provides to students, as well as local and regional communities. Internal research and collaboration resulted in the Service Excellence initiative that connected the College’s guiding principles (Priorities, mission and Core Values) toward strategic goals (St-I-1B). In conjunction with the State University of New York (SUNY), the college ensures access to high quality education that contributes to a skilled workforce and prepared citizenry. Quality learning opportunities provide for and respond to local economic needs, nurture a diverse student body academically, and support fulfillment of their personal aspirations (Requirements of Affiliation 7).

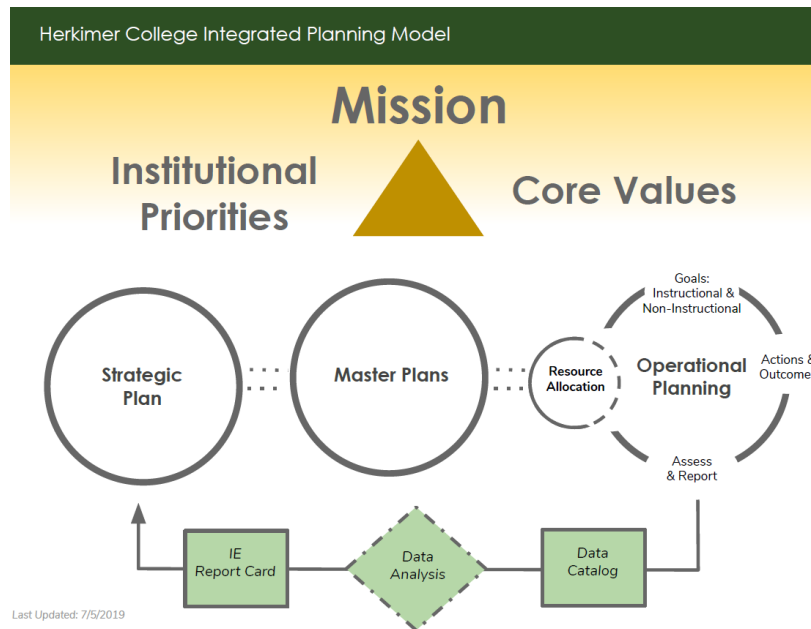


Exhibit 1. The third iteration of the Integrated Planning Model (2019). The model is reviewed annually for revisions through the Office of Institutional Effectiveness in collaboration with the SPIE Committee (Source: Office of Institutional Effectiveness).

Herkimer College's mission informs the College's Strategic Plan (Exhibit 2 below, St-I-2B), the Institutional Priorities of access and enrollment, student success and satisfaction, and fiscal sustainability (St-I-2C) and Executive Council (EC) priorities (St-I-2D). All other master, executive division, and department plans are in alignment with goals and initiatives in the Strategic Plan. This is illustrated by Herkimer College's Integrated Planning Model (Exhibit 1) which aligns strategic goals and initiatives, considers resource allocation, and requires systematic reporting of outcomes. Data collected from departmental annual reports and various internal and external data sources, are analyzed and included in the Institutional Effectiveness Report Card (St-I-4A), as a summative assessment of the Strategic Plan. These measures are indicators of the College's progress towards its strategic goals and fulfillment of its mission (Requirements of Affiliation 10).

Strategic Plan for 2018 – 2021

Goal 1: Academic Excellence

Herkimer College will provide contemporary programs and services in innovative teaching and learning environments that encourage scholarly inquiry and challenge students to develop and reach their academic goals.

Supporting Initiatives:

- A. Develop and strategically strengthen academic programs.
- B. Align instructional delivery, support services, and co-curricular programming with the learning styles and needs of our students.
- C. Increase collaboration in planning and implementing initiatives to support students.

Goal 2: Campus Culture

Herkimer College will create and sustain a campus community that promotes student success.

Supporting Initiatives:

- A. Encourage more interaction between faculty, staff, and students.
- B. Cultivate the campus master planning process within its integrated strategic planning system to align all areas of college operations.
- C. Enhance the quality of the student experience by further developing effective support systems.
- D. Implement the tenets of service excellence: communicate, create, commit, care, and connect.

Goal 3: Fiscal Stability

Herkimer College will ensure that consistent, reliable resources are planned, established, and allocated to adequately meet the College's current and future responsibilities.

Supporting Initiatives:

- A. Assess the types, amounts, and uses of current and planned resources, and identify resource needs in accordance with the College vision.
- B. Maximize efficiencies in the allocation and use of current resources.
- C. Acquire additional sources of revenue and other resources.

Goal 4: Outreach and Community Relations

Herkimer College will foster a positive relationship between the College and the community.

Supporting Initiatives:

- A. Assess and expand engagement between the College and the community.
- B. Maximize the positive messaging produced by the College.
- C. Build and strengthen partnerships with business, educational, government, and non-profit organizations.

Exhibit 2. Herkimer College's Strategic Plan 2018-2021 (Source: Strategic Planning and Institutional Effectiveness Committee).

The Mission Statement and Strategic Plan were developed through a collaborative process with internal stakeholders and were approved and supported by the College's governing bodies. Herkimer College's Mission Statement was revised in 2010 after an inclusive revision process, as outlined in Appendix FF of the 2010 Monitoring Report (St-I-1aA) and was approved by the College's Board of Trustees in June 2010 (St-I-1cA).

As indicated in the June 2015 Periodic Review Report (St-I-2E p.11), the Mission Statement had not been formally re-evaluated or revised since 2010; however the Mission Statement, which is closely tied to the College's Core Values, provided guidance for strategic and operational planning. In April 2017, the Strategic Planning and Institutional Effectiveness (SPIE) committee, in a larger discussion about the process of revising the Strategic Plan prior to its expiration in 2018, reviewed the Mission Statement. The SPIE committee voted unanimously to maintain the current Mission Statement and use it to guide the next Strategic Plan, after self-study (St-I-1gA) (Requirements of Affiliation 7).

A historical review of the strategic planning process noted a period of time after the creation of the 2010-2015 Strategic Plan when the plan was reviewed and revised annually by the President's Executive Council. This practice, which did not allow the broader campus community to participate in the process of evaluating and updating the College's Strategic Plan, was inefficient and unstable in terms of pursuing effective, long-term strategic planning at the College; and it did not involve the support or the approval of the College's Board of Trustees. This practice of annual revisions was discontinued in 2013.

During the 2014-2015 academic year the College initiated a Quality Team approach to address the gaps identified during the previous reaccreditation process. As noted in the PRR 2015 (St-I-1aB p.29), this approach required collaboration across all functional areas of the College. Faculty, staff and administrators worked to address specific challenges and establish processes to aid in short- and long-term planning. The establishment of the Quality Teams coincided with the expiration of the 2010-2015 Strategic Plan. When the original five-year plan expired in 2015, a new three-year revision cycle was implemented. Additionally, using the Quality Team approach as a model, the 2015-2018 Strategic Plan was developed through a collaborative, more comprehensive process that involved input and feedback from employees and students, and included review and approval by the College's Board of Trustees.

In the 2017-2018 academic year, the strategic planning process was updated to include several structured phases of soliciting input, disseminating draft versions for review, and collecting feedback from campus constituent groups while utilizing campus-wide collaboration from prior years. The Strategic Planning and Institutional Effectiveness (SPIE) Committee (St-I-1gB p.2) initiated the process by establishing a task force. The SPIE Committee reviewed the Mission Statement and voted that the Strategic Planning Task Force should move forward using the current Mission Statement. The SPIE Committee also determined that since the Institution would be undergoing the self-study process, the next Strategic Plan would again only cover three years 2018-2021, rather than a five-year plan that is indicated in the Institutional Effectiveness Activities Cycle (St-I-1gC). This would allow the institution the flexibility to make any necessary changes to the Strategic Plan in a timely manner before resuming a five-year revision cycle. The MSCHE Self-Study process facilitated these changes.

The Strategic Plan Task Force, an ad hoc committee formed to develop the new Strategic Plan, propelled the changes to the strategic planning process. The Task Force was modeled after the College's shared governance model (St-I-1aC) and included key positions that could communicate effectively with larger committees and the constituents they represent. The Task Force was co-chaired by members of the SPIE Committee and included the Institutional Effectiveness (IE) Steering Team. The IE Steering Team is comprised of chairs and co-chairs from the following standing "pillar committees" of the College: Academic & Student Affairs, Enrollment Management & Marketing, SPIE, and College Resources. The Strategic Planning Task Force also sought input from the Academic Senate and the College Advisory Council (CAC).

Throughout the planning process, members of the Strategic Plan Task Force sought input from members of their respective pillar committees, reviewed drafts of the Strategic Plan, and reported responses from committee members for revisions. Additional input was sought and received from the Academic Senate and the CAC. The CAC was comprised of representatives from all internal campus constituent groups: Student Government Association (SGA) representatives, the Professional Association (full-time faculty and staff union), the Civil Service Employee Association (CSEA), the Academic Senate, and the non-bargaining unit employees. These groups received updates on the strategic planning process through discussions at CAC meetings. It was requested that these groups keep their constituents informed of the progress and solicit feedback and input regarding the strategic goals. (St-I-1aD). This overall approach, represented in Exhibit 3, allowed for extensive communication and collaboration across all departments, maximizing the number of faculty, staff, and administrators providing input and feedback.

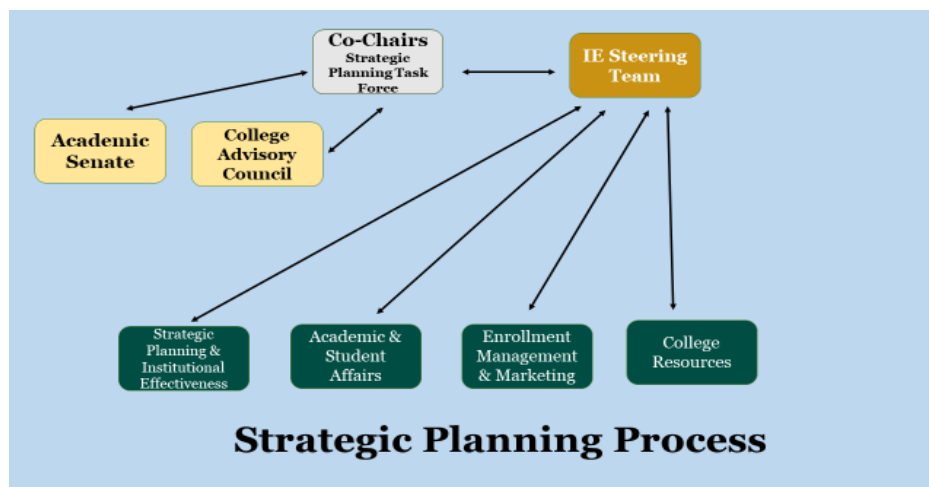


Exhibit 3. The Strategic Planning Task Force ensured the strategic planning process allowed for effective communication and feedback from all constituent groups (Source: Strategic Planning Task Force Co-Chairs).

To ensure all faculty and staff were kept apprised of the strategic planning process, Chairs of the Strategic Planning Task Force presented updates during All-Campus Faculty/Staff meetings on January 16, 2018 (St-1-1aE p.2) and April 17, 2018 (St-1-1aF). Drafts of the Strategic Plan were posted and updated on the MyHerkimer portal, and individual faculty and staff members were invited to review and provide input either through one of the standing committees, or directly to the co-chairs of the Strategic Planning Task Force. The final draft of the plan was presented to the College’s Board of Trustees as the Herkimer College Strategic Plan 2018-2021 in May 2018, (St-1-1cB) and approved by the Board on July 11, 2018 (St-1-1cC). This inclusive process, involving support and approval from the College’s governing body, is now the established practice.

3. Goals that focus on student learning and related outcomes and on institutional improvement; are supported by administrative, educational, and student support programs and services; and are consistent with institutional mission

The College’s mission and Strategic Plan are accessible to all internal stakeholders in a variety of locations, including the MyHerkimer portal, to ensure pervasive awareness. Additionally, the Mission and Vision Statements, and the strategic planning process are publicly listed on the College website (St-1-1fA).

The Mission Statement also appears in print in the college catalog (St-1-1fB) and is framed and placed in offices across campus (St-I-1bG). In the 2018 Faculty & Staff Survey, the statements “I understand the college’s mission and core values” and “I am aware of the goals in the strategic plan,” received Service Excellence Quality Scores of 3.96 and 3.52, respectively, out of 5 (St-1-1fC p.31). Both of these scores fall in the “Good” range on the Quality Rubric (St-I-1fD), leaving some room for improvement

Herkimer College has since dissolved the CAC in favor of relying more on communication within the governance structure that includes the pillar committees, Faculty Senate, Executive Council and the IE Steering Team. Also, as of fall 2019, the Diversity, Equity, and Inclusion Council became a fifth pillar committee. The move serves to facilitate better integration of the Diversity, Equity, and Inclusion master plan toward purposeful goals that will help fulfill our mission of access and opportunity for all learners. The plan is currently being updated from the original, submitted to SUNY in 2016. Further details regarding this plan are found in Standard VI.

The Strategic Goals provide the framework for the College’s Strategic Plan and include: *Academic Excellence*, *Campus Culture*, *Fiscal Stability*, and *Outreach and Community Relations*, which are appropriate to higher education and consistent with Herkimer’s mission. Strategic Goal Statements and Supporting Initiatives were intentionally designed to be broad and overarching to allow for multilevel planning. Strategic Plan outcomes are realized through initiatives and actions established through Campus Master Plans and Department Operational Plans, discussed more in Standard VI.

Identified and adopted in 2014-15, Herkimer College utilizes the Integrated Planning Model (Exhibit 1), which is driven by the mission, Core Values, Institutional Priorities and Strategic Plan of the institution. This comprehensive and systematic approach to goal development, plan implementation, outcome evaluation, and plan revision ensures alignment between all levels of plans and across all campus departments (St-1-1dD). Therefore, the Strategic Plan provides direction for multi-level planning between administration and faculty and staff, without being prescriptive.

In addition, it allows operational areas and departments the creativity to set specific goals that are realistic, measurable, consistent with departments' charges, and appropriate for higher education (St-1-1eA).

The Integrated Planning Model also opened the door for increased systematic use of data, a key element for the College to transition from the individual efforts within departments and divisions that garnered unused data, to a more connected, documented paradigm. Information is no longer kept in department silos, but is used for well-defined integrated plans, operations, and expectations in accordance with the mission.

An example of the integrated planning process and alignment of multi-level plans is illustrated by the 2015-2017 Academic Affairs Master Plan which acknowledges that, "This Academic Affairs plan follows a period of major change and transformation at the College. The process of academic planning is "continuous" and enables Herkimer College to more effectively fulfill its mission. The vision that guided the planning process was grounded in the fundamental mission of the College and the goals, direction and priorities of the future." (St-1-2F p.4). This master plan identifies all departments under its umbrella and provides a summary of each department's role and responsibilities. This master plan links Strategic Plan Goals and Targeted Outcomes to specific initiatives that can be found in the operational plans of the departments, previously called units, which fall under Academic Affairs. In 2018, the Academic Affairs Master Plan content became part of the Student Success Plan (St-1-2G). This level of master planning helps to direct the overarching goals of the Strategic Plan to more targeted planning occurring at the division and departmental level.

Planning alignment continues at the Executive division level and is illustrated in the 2016-2017 Academic Affairs Operational Plan (St-1-3A). It identifies activities and initiatives across several departments within Academic Affairs and links these activities to Strategic Plan Goals. For instance, this plan identifies "Implement the Service Excellence and Communication Plan" as an Activity/Initiative and aligns it with three Strategic Plan targeted outcomes (St-1-3A p.3). This initiative is aligned in the next level down, department planning, in the Assessment and Institutional Effectiveness Unit/Department Plan (St-1-3B p.3) as "Goal #6 – "Implement the Service Excellence and Communication Plan."

Herkimer College has adopted an active and integrated planning process, across all levels and departments, where actions and initiatives support the Strategic Plan Goals to fulfill the mission of the College, affecting internal and external constituents. Herkimer College's external constituents are our sponsor, Herkimer County, and the regional and local residents, businesses, and organizations impacted by the College. Herkimer College's Mission Statement clearly identifies the College's purpose in terms of the "needs of the local and regional communities" (St-1-1bB), and the Strategic Plan addresses the needs of external constituents (St-1-1bC) in Goal 4: Outreach and Community Relations. Examples of such "educational opportunities and services" for our external constituents include:

- College Now concurrent enrollment courses that allow high school students to take courses for college credits. Details are provided in Standard III.
- The Project Search collaborative program with ARC Herkimer allows individuals with disabilities to participate in supported internships with a number of different offices and service departments on campus (St-1-1bH).
- The (Mohawk Consortium) College in Prison program allows inmates to take college courses conducted in their facility and earn an Associate's Degree in General Studies (St-1-1bI).
- SUNY Community College Workforce Development Training Grants, developed in collaboration with local and regional employers, allows those businesses to provide their employees with needed job skills training to maintain current jobs and create new job opportunities in the region (St-1-1bD).
- The College maintains a part-time Program Specialist position at the local Working Solutions Career Center to support regional job seekers interested in gaining and enhancing marketable job skills (St-1-3D).

Herkimer's internal constituents include learners, faculty, and staff, within the context of the College learning environments. The College's mission "to serve our learners by providing high quality accessible educational opportunities and services," (St-1-1bE) is directly supported by the Strategic Plan. As part of Herkimer's self-study process, a Student Focus Group reported positive responses regarding campus services and affordability, and specifically commended faculty (St-1-1bF). Additionally, the following are examples of College actions that serve internal constituents and how they align with Herkimer's Strategic Plan. These examples are representative of work being carried out from multiple instructional and non-instructional departments across the institution.

Strategic Plan: Goal 1 – Academic Excellence: *“Herkimer College will provide contemporary programs and services in innovative teaching and learning environments that encourage scholarly inquiry and challenge students to develop and reach their academic goals.”*

- Student Learning Outcomes (SLOs) are established, communicated, mapped and assessed for improvement in all areas of academic teaching and learning: course, program, institutional and general education. Course learning outcomes (CLOs), inform Program Learning Outcomes (PLOs), which inform Institutional Learning Outcomes (ILOs). SLO assessment leads to improvements in courses, programs and services, designed to offer an effective student experience. Details are provided in Standards III and V (St-1-3C).
- The College’s Program Prioritization process evaluates current academic programs in terms of current and projected enrollment, revenue generated versus cost of implementation, and demand for workers with a base of related knowledge and skills in local, regional, and national job markets. Details are provided in Standard VI.
- All academic programs are reviewed per SUNY Guidelines for Review of the Major every five years on a rotating basis and include a mid-cycle review. Faculty and the Academic Deans complete Program Review in consultation with external reviewers and in many cases, with Program Advisory Boards. Recommendations for improvement are addressed in accordance with the review process. Details are provided in Standards III and V.
- New program development requires faculty to work with Academic Deans to identify available courses and resources that could be used for a new program, while identifying and creating new courses to meet SUNY pathways and State Education requirements. The program development process is reviewed and revised by the Academic Deans and was last completed in 2018. New and revised programs are proposed and implemented on an ongoing basis. Details are provided in Standard III.
- Annual Faculty/Staff development grants support faculty and staff members’ independent professional development efforts and allow them to improve curriculum design, pedagogy, and course materials, as well as develop new courses and/or programs (St-1-1eB). Details are provided in Standard III.
- The College’s Honors Program allows consistently high performing students the chance to pursue independent research projects that require advanced skills in research design and writing. Experiential learning is encouraged within all Honors projects (St-I-1eF).
- Herkimer County Community College’s Internet Academy allows interested students their choice of 20 degree programs, four certificate programs, and/or over 150 courses entirely online. Details are provided in Standard III.
- Honors, awards, recognitions, and faculty and staff research have distinguished innovation and achievement among Herkimer’s internal community members. Details are provided in Standard III.

Strategic Plan: Goal 2 – Campus Culture: *“Herkimer College will create and sustain a campus community that promotes student success.”*

- In response to faculty and staff focus group assessments regarding communication on campus, a full-scale Service Excellence program for faculty, staff, administrators, and students was launched in 2016. Principles of service excellence are progressively infused in the College Priorities and Strategic Plan with initiatives continuing into 2020. The tenets of Service Excellence are joined to the mission and Core Values, as distributed on framed posters throughout the College (St-1-1bG) and serve as points of measurement within the faculty/staff survey 2017-18: Care, Connect, Create, Communicate, and Commit. The IE and Public Relations departments collaborated to design and promote the effort to create the campus culture that is reflected in the “We Are” and “We Will” campaigns (St-I-1aG). See Standards V and VI for details.
- The College, through a number of recently filled positions, is providing students with a more comprehensive range of “wrap around” or integrated services to support their success in college and in the job market. The Academic Support Center utilizes academic coaches, and the Career Services Center has two Employment Coaches. Herkimer also maintains a dedicated Student Athlete Specialist position that focuses on assessing and addressing student athletes’ academic success, which is directly related to the Athletic Department’s Mission Statement (St-I-1aH). Details are provided in Standard IV.
- In fall 2017, the College implemented the Starfish communication and retention management system to create a network of support for and with students. This system is utilized by students, faculty, academic advisers, academic coaches, athletic coaches, disability services coordinators, personal counselors, and other College staff that provide students with the support needed to be successful. Details are provided in Standard IV.
- Herkimer faculty and staff have collaborated to acquire grants for developmental courses in both writing and math and have begun Alternative Learning Programming (ALP) in both these areas, using the Quantway system for developmental math. Details are provided in Standards IV and V.

- Participation in the Open Educational Resources (OER) initiative has significantly reduced costs and expanded education access for students by establishing low or no cost textbooks and online course material in place of expensive, hardcopy textbooks for individual courses and full programs online. Details are provided in Standard III.
- Applied Learning Plan identifies programs that offer opportunities for students to learn through internships, capstone projects, clinical field rotations, field trips, and practicum placements (St-1-1eC).
- Students participate in more than 25 co-curricular clubs (St-1-1eD) and are offered a schedule of themed and daily activities (St-1-1eE) to further students' learning, deepen their engagement with the campus community, and provide an artistic outlet. Details are provided in Standard IV.
- Herkimer joined the SUNY initiative to relieve food insecurity concerns so that students may concentrate on their studies. The General's Cupboard food pantry opened in the fall of 2019 for the campus community to provide non-perishable food and personal care supplies at no cost to students (St-1-3E).

Strategic Plan: Goal 3 – Fiscal Stability: *“Herkimer College will ensure that consistent, reliable resources are planned, established, and allocated to adequately meet the College’s current and future responsibilities.”*

- In the 2017-2018 academic year, the College combined the Resource Allocation Committee and the Facilities Committee to form a new standing “pillar” committee: The College Resources Committee. In addition to maintaining the resource allocation process established by the College through its Quality Teams initiative, this new committee was charged with developing a process for prioritizing capital projects outlined in the 2016-2017 Facilities Master Plan to help inform targeted fundraising campaigns. Details are provided in Standard VI.
- Among the institutional priorities the College’s Executive Council identified for the 2018-2019 academic year are to *“develop a balanced budget within three years (FY 2020),”* and *“increase fundraising activities and opportunities.”* (St-1dE p.1) The Executive Council is tracking campus initiatives that contribute to meeting the priorities it identified (St-1-4B).
- The President has initiated a process of vetting ideas for new grant opportunities through the Executive Council which streamlines coordination of grant efforts and identifies new funding opportunities (St-1-1dF).
- Staffing and facilities resources are reviewed and re-deployed for greater efficiency and effectiveness to meet the needs of the College. Details are provided in Standard VI.

Strategic Plan: Goal 4 – Outreach and Community Relations: *“Herkimer College will foster a positive relationship between the College and the community.”*

- The President and members of the Executive Council, faculty, and staff maintain seats on the boards of a wide range of regional community and economic organizations, including the YWCA, the Herkimer County Chamber of Commerce, Catholic Charities of Herkimer County, the Community Foundation and the Genesis Group (St-I-1bM).
- The College conducts an annual career fair that brings 70 companies to campus to discuss employment opportunities with both students and residents from regional communities (St-I-1bN).
- A transfer college fair is held that brings representatives from over 50 public and private colleges to campus to meet with both Herkimer College students and high school students from Herkimer County school districts (St-I-1bO).
- The Herkimer County College Foundation also organizes an annual Arts and Craft Fair that regularly draws a large attendance from regional communities (St-I-1bP).
- The College provides free cultural resources for both its students and residents of regional communities including: the Woods Trust Great Artist series of concerts which bring world- class performers of different musical genres to campus (St-I-1bQ); the Cogar Art Gallery in the College Center building which is open to the public and features a regular, year-round rotation of free exhibits in different artistic media (St-I-1bS).
- Community service is a hallmark of Herkimer’s athletic department. All teams participate in a variety of community service activities, including: visiting regional elementary schools to read to children and talk to them about making good choices, supporting holiday toy and food collection drives to help support families in the region that struggle economically, and assisting with regional Habitat for Humanity construction projects (St-I-1bJ).
- Herkimer athletic competitions are open to the public and often free of charge.

- The College regularly seeks out and collaborates on writing grants in support of workforce development training programs for businesses in Herkimer County, and has secured grants for supporting jobs skills development programs (e.g., basic computer skills training) for job seekers registered with the Herkimer County Working Solutions Career Center (St-I-1bD).
- The College maintains productive partnerships with a range of local/regional institutions and organizations, such as Catholic Charities of Herkimer County (St-I-1bL), Herkimer BOCES (St-I-1bK), and Herkimer County Working Solutions Career Center (St-I-1bR).

It is through the use of the Integrated Planning Model that departments can independently align their departmental goals with strategic goals that support the mission of the College. Additionally, this model incorporates the resource allocation process. Plans identify resources needed for implementation, and then departments are required to follow the established budget request and resource allocation processes, or link plan outcomes as deliverables to specific grants to acquire additional financial resources. Details are provided in Standard VI.

4. Periodic assessment of mission and goals to ensure they are relevant and achievable.

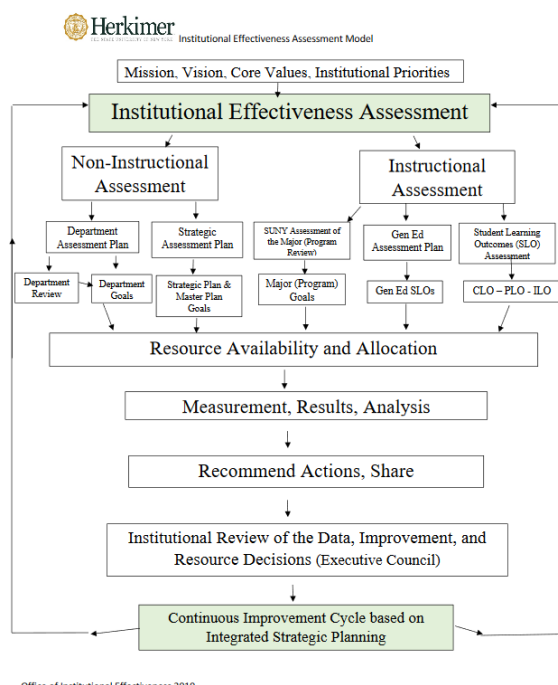


Exhibit 4. Current and third iteration of Institutional Effectiveness Assessment Model (Source: Office of Institutional Effectiveness).

In addition to multi-level planning, the College has fully embraced a culture of assessment. This is evident in the revisions to the College’s Institutional Effectiveness model (St-1-4C). The original 2009 Institutional Effectiveness model was revised in 2017 to show both non-instructional and instructional assessment and then revised again in 2019 to the Institutional Effectiveness Assessment model (Exhibit 4) which includes the integrated strategic planning cycle. Now plans at all levels incorporate assessment, evaluation, and reporting. This process of continual assessment guides future planning and decisions on resource allocation and ultimately, assessment of outcomes leads the College to a better understanding of our institutional effectiveness in meeting strategic goals and fulfilling our mission.

The College established the Assessment and Institutional Effectiveness (IE) Office in 2009 to ensure practices are continuously moving the institution forward towards its strategic goals and fulfillment of its mission. The mission of this office is “to provide leadership in facilitating and cultivating a standard of quality across the institution through outcomes assessment, in accordance with strategic planning.” (St-1-1gD) This office provides leadership on plan development at all levels, alignment of plans with the institution’s mission and strategic goals and instills a standard of quality through outcomes assessment and continuous improvement. The IE Office developed the Institutional

Effectiveness Activities Cycle (St-1-4D) that ensures institutional processes are kept on track for planning, assessment, revision and reporting (Requirements of Affiliation 10).

In an effort to streamline plan alignment and reporting, the IE Office spearheaded the initiative to use software as a repository for plans, assessments and outcomes at all levels of planning. In 2018, the College moved to the Taskstream by Watermark platform. This allows all executive leaders and department leaders to develop master and/or operational plans within the system, align activities of plans with master plans and strategic goals, and provide comprehensive reporting of outcomes (Requirements of Affiliation 10).

Quality is central to the College's mission and in 2009 was defined by the College's Core Values. The IE Office developed a Quality Rubric (St-1-4E) which was adopted by the College during its Quality Team efforts in 2014-15. This rubric gave the College a standard for scoring quality and may be adapted to measure a level of action or implementation of any initiative. Annually, a Core Value is assessed for quality through the departmental assessments of their outcomes. The core value assessment rotates one per year, as noted in the IE Report Card (St-I-4F). College Leaders' workshops and Assessment Days provide opportunities to share the concept of the use of the Quality Rubric in assessing purposeful growth initiatives at the department and/or the master and strategic plan levels. Department Leaders report on the rubric within annual reports, measuring the level of excellence for named initiatives.

The IE Office collaborates with the Office of Institutional Research, the SPIE Committee, and the Institutional Effectiveness Steering Team to analyze several internal and external data points to identify key performance indicators which measure the institution's effectiveness at meeting strategic goals to fulfill the institution's mission. The analysis of these data points, which first began in academic year 2011-2012, is reported in the College's Institutional Effectiveness Report Card (St-1-4F). The IE Report Card gives an annual snapshot of how the internal and external data sources inform the achievement of the Strategic Goals. (Requirements of Affiliation 10)

Conclusion

A historical review finds that Herkimer College's Mission Statement has remained steadfast for the last nine years and defines its purpose "to serve our learners by providing high quality, accessible educational opportunities and services in response to the needs of the local and regional communities." Institutional goals are clearly stated in the Strategic Plan and are linked to the mission. While the strategic planning process has evolved over the last several years, the most recent plan was developed within the shared governance structure and involved collaboration across all departments and divisions, maximizing the number of faculty, staff, and administrators providing input and feedback.

Ultimately, Herkimer College utilizes an integrated planning model where multi-level planning supports the strategic goals of the Institution and the needs of Herkimer's changing constituent groups. The College strives for continuous improvement through the use of assessments across every department and at every level and with evaluation of several internal and external data points, which are annually reported in our Institutional Effectiveness Report Card (St-I-4F).

Opportunities for Improvement and Innovation

- Operationalize a standardized process to review and revise, as needed, the College's Mission Statement (discussed in paragraph 3).
- Develop a standard process to review and revise, as needed, the Vision Statement such that it guides aspirational growth beyond the strategic planning timeframe.

Standard II: Ethics and Integrity

“Ethics and Integrity are central, indispensable, and defining hallmarks of effective higher education institutions. In all activities, whether internal or external, an institution must be faithful to its mission, honor its contracts and commitments, adhere to its policies, and represent itself truthfully.” (Middle States Commission on Higher Education Standards of Accreditation, Standard II).

“When students voice their opinions they are heard.
...everyone is treated fairly.”

Amanda P., Human Services, class of 2020

“Campus culture is so important here. (I) feel welcomed and safe.”
Briana H., Science, class of 2020.

Herkimer College’s ethics and integrity surface in the words of its students who live out their success in a premier college experience. The teachers are allowed to teach; students are allowed to learn, and the College is accountable for its implementation of contracts, commitments and policies toward excellence in education.

1. A commitment to academic freedom, intellectual freedom, freedom of expression, and respect for intellectual property rights

Academic and Intellectual Freedom

Academic freedom and freedom of expression are essential to institutions of higher education. These freedoms are the foundation for learners to achieve programmatic outcomes and educational core competencies, and to develop critical thinking and problem-solving skills in order to become productive citizens engaged in a global society. The college adheres to the academic freedom statement found in the 2018-2019 Faculty/Staff Handbook (St-II-1-A-p.6) referencing the Policies of the Trustees of the State of NY entitled 'Academic Freedom' in Article XI, Title I (St-II-1-B-p.20). This passage can also be found in each of the faculty/staff handbooks for the span of time included in this self-study (St-II-1-C).

Faculty collaborate to review and update course outlines that establish common course learning objectives and outcomes on a two-year cycle as noted in Standards III and V. All faculty are responsible for writing their own course syllabi that include these objectives and outcomes along with additional information and policies specific to their courses. As per the Faculty and Staff Handbook, faculty who are teaching the same courses are encouraged to come to a consensus on the textbook, but all faculty members have the freedom to select an alternate textbook, providing the learning outcomes can be achieved (St-II-1-D-pp 22-23). Instructors are able to express intellectual freedom in many ways, from utilizing the pedagogy of their choice in their classes to the world view they choose to present within the context of their courses. Additionally, faculty determine class assignments and grading rubrics for their respective courses.

For example, in EN111 course syllabi (St-II-1-E), two course instructors follow the same course outline but have different grading policies and assignments listed in their individual syllabus to achieve the same learning outcomes. Additionally, each faculty member is required to complete a series of assessments at the program, course, and institutional levels, and for general education competencies. In the General Education Assessment for Basic Communications completed in spring 2018, Professor Elwood-Farber used a research paper with an oral presentation to demonstrate student achievement, while Professor Devitt used a portfolio (St-II-1-F). For assessment of the Institutional Learning Outcome for Communication, in spring 2016 Devitt used formal papers, research papers, a final portfolio and a journal to demonstrate achievement, while Elwood-Farber used PowerPoint presentations, class discussions, quizzes and research papers (St-II-1-G). The artifacts represent the common academic freedom practices available for all faculty.

Freedom of Expression

The College’s literary magazine, *Phaethon* is an outlet for Herkimer College students, faculty and staff to collaborate and engage in freedom of expression. This publication contains literature and artwork that seeks to “challenge, inspire,

stump, and move” the readers. It encourages new ideas, connections, and offers a challenge to “obliterate” existing boundaries of expression (St-II-1-I). Initially published in the 1960’s, shortly after the College was established, and after several years on hiatus, in 2014, a new set of faculty advisors took over the magazine. The *Phaethon* is rich in history and it provides the campus community opportunity for growth and a venue for cultural expression. Students are encouraged by the faculty to submit their course assignments to the *Phaethon*.

- In the 2014 edition, student Alex Cooper’s artwork “Even in Darkness There is Light” was selected for the first page (St-II-1-J). Alex graduated from Herkimer College in spring of 2015 in the Photo Technology, AAS program.
- In the 2018 edition, Tom Stock, Assistant Director of Facilities, wrote a poem entitled “Same Old Bird” (St-II-1-K).
- In the 2018 edition, student Robinson Bautista, wrote on industrialized racism and gentrification in his 3-page story “A Product of My Environment”. Robinson was a Liberal Arts and Science: Science student in the fall 2017 (St-II-1-L).

These and scores of other students, faculty and staff have also been published in the *Phaethon* since the 1960s.

Freedom of Expression is also an integral aspect of our student clubs and organizations. The College has over 25 clubs and organizations in which students are encouraged to participate (St-II-1-M). Clubs are student-led with guidance from faculty and staff advisors. The clubs compliment the student learning experience outside of the classroom and provide student leadership opportunities, social outlets and the ability for students to express themselves freely in their area(s) of interest.

Students are encouraged to express themselves by starting a new club that would better represent them. The Director of Student Activities guides students through the process of developing a new club using formalized checklists, documents, and FAQs (St-II-1-N). The club advisor works with the club president to develop the end of year report to document and assess club activities that occurred during the academic year (St-II-1-O). In 2018-19 academic year, student inquiry was a catalyst for launching the Generals First, a club open to all students, but specifically to support first generation college students.

Intellectual Property

The College ensures it operates with integrity by showing respect for intellectual property rights and acknowledging the creation and use of original content. The Professional Association contract guarantees faculty ownership of any conceptual or physical product created while employed by Herkimer College (St-II-1-P). Professor Justin Como demonstrates techniques using his own creative works in his Studio Art classes. The finished product of the demonstration belongs to the instructor (St-II-1-Q). The instructor’s right to ownership is inclusive of all instructional materials developed by the instructor (St-II-1-R).

Herkimer College addresses respect for intellectual property rights through its computer usage policies and practices regarding copyright infringement and academic integrity, particularly pertaining to cheating and/or plagiarism. Plagiarism is a violation of the Student Code of Conduct and could be construed as a Violation of Public Order. Associate Deans work with faculty to review evidence to determine if plagiarism exists (St-II-1-T). If plagiarism is confirmed, appropriate consequences are determined as defined by the syllabus, which may include: verbal/written warning, withdrawal from course, failing the assignment, or judicial review (St-II-1-S). The faculty member contacts the student regarding consequences and options.

The College subscribes to Turnitin software which is integrated within the Learning Management System (LMS), providing faculty the ability to turn on a Turnitin drop box for student assignment submissions. This software provides statistical data regarding the percentage of the assignment that is similar to other works, enabling the student and faculty to make good judgements regarding assignment content (St-II-1-U).

All users signing onto a College-owned computer or network are agreeing to the terms of the College’s Computer Use Policy (St-II-1-V) which has been revised for fall 2019 as the Acceptable Use Policy (St-II-1-W). Portions of the policy address freedom of expression, copyright, and integrity concerns. The policy states that misuse of the College’s computer resources may result in revocation of computing privileges, student suspension, dismissal and/or criminal prosecution.

2. A climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas, and perspectives

Herkimer College fosters respect for the diversity of backgrounds, ideas, and perspectives of the faculty, staff, administrators and students. According to the Herkimer College Faculty and Staff Handbook 2018-19, all members of the College community shall demonstrate proper regard for the rights and welfare of others, and will not commit acts of discrimination or harassment, in accordance with federal and state laws (ST-II-2-A).

Herkimer College actively encourages respect among faculty, staff, and administrators in a variety of ways. Professional Development Days regularly involve presentations and discussions that address marginalized and minority members of the campus community, encouraging collegial discussions and opportunities for understanding and acceptance (ST-II-2-B).

Topics have included:

- Intercultural communication and respectful interaction with individuals identifying as LGBTQ
- Principles of Universal Design Learning: New Direction for Students with Learning Disabilities, Shoveling off the Ramp presented by Rich Lavoie, August 2012
- Engaging Students for Academic Achievement, Envisioning Equity: Educating and Graduating Low-income, First-generation, and Minority College Students, presented by Angelo Provitera McGlynn, January 2013
- Race Class and American Education presented by Sara Goldrick-Raab, January 2018
- White Fragility (Robin DiAngelo, 2018) workshop conducted by Dr. Lisa Gunderson, January 2020

In the 2016-17 academic year, Herkimer College established the Diversity, Equity and Inclusion Council. The council developed a Diversity, Equity, & Inclusion Plan that was submitted and accepted by SUNY per their request. Understanding the importance of creating a campus community that recognizes and supports diversity and inclusion, the Diversity, Equity, and Inclusion Council recommended that their status be elevated to one of the College’s pillar committees. This request was approved by the President in 2019. (St-II-2-C). Currently the plan is being reviewed and updated.

In fall 2011, the College initiated a “Choose Civility” campaign to promote civility amongst faculty, staff, administrators and students. Some of the initiatives include: a campaign logo, activities to promote civility, a poster campaign and more (St-II-2-C.1).

Nearly two-thirds of surveyed students perceive Herkimer College as a diverse, accessible environment, as displayed in Table 1 (St-II-2-D, St-II-2-E).

Survey Questions	Spring 2016 Continuing Student Survey*	Spring 2017 Graduating Senior Survey*
“Herkimer College fosters accessibility for persons with disabilities.”	<ul style="list-style-type: none"> • 68% agree • 19% neutral • 4% disagree 	<ul style="list-style-type: none"> • 63% agree • 11% neutral • 5% disagree
“My experience at Herkimer has made me more accepting of diversity.”	<ul style="list-style-type: none"> • 62% agree • 23% neutral • 8% disagree 	<ul style="list-style-type: none"> • 67% agree • 14% neutral • 3% disagree
“Herkimer encourages acceptance of diversity on campus.”	<ul style="list-style-type: none"> • 76% agree • 17% neutral • 5% disagree 	<ul style="list-style-type: none"> • 72% agree • 10% neutral • 3% disagree

**The remaining responses selected “Not Applicable” for both surveys.*

Herkimer College’s data, as illustrated in the customized Integrated Postsecondary Education Data System (IPEDS) Data Feedback Report, shows an increasing percentage of students in the underrepresented minorities’ cohort. This percentage exceeds those of our peer institutions (St-II-2-F). The College boasts an ethnic and international population of over 90 students, representing more than 20 countries (St-II-2-G). The Office of International Programs provides special programming for international students, such as: the ESL program, new student orientation, tutors, and an

International Peer Mentor Program. This office welcomes all students, while providing a resource for international and ESL students (St-II-2-H).

Student club activities promote diversity, equity and inclusion in a variety of ways. The Women's Club has actively organized events on campus. While not closely related to any major, this club allows students to focus on topics pertaining to women. The 2014-2015 End of Year report listed activities such as: Lily Ledbetter's presentation *Equal Pay*, held at Hamilton College, and an on-campus ice cream social to kick off Women's History Month (St-II-2-I). One student who graduated in spring 2018 said that her membership gave her motivation to start a women's club at her transfer institution where she received a "Women Who Inspire Award" (St-II-2-J).

3. A grievance policy that is documented and disseminated to address complaints or grievances raised by students, faculty, or staff. The institution's policies and procedures are fair and impartial, and assure that grievances are addressed promptly, appropriately, and equitably.

Herkimer College strives to address complaints and/or grievances raised by students, faculty, and staff with respect and transparency. Established Grievance policies and procedures are designed to be prompt, fair, and appropriate for all parties involved. Grievances may include any unlawful discrimination against someone in regard to race, color, national origin, religion, age, sex, disability, marital status, political beliefs, gender identity, sexual orientation, military status, predisposing genetic characteristics, or disability, including pregnancy.

As a result of this self-study, a new process has been implemented to provide consistency in the recording, review and analysis of student complaints (St-II-3-A). A new web page was also developed to provide students with information about the various complaints that can be filed and the processes to be followed (St-II-3-B). Additionally, grievance policies can be found on topic specific pages on the Herkimer website, in the Faculty and Staff Handbook, and in the Student Handbook. The grievance policies and procedures have been detailed in areas of: Academics, Student Life, Student Services & Facilities, and General/other.

The College also has grievance processes in place to address academic issues. When a student feels a final grade is not consistent with the grading policy explained in the course syllabus, an academic appeal and change of grade request will be taken into consideration. Appeals must be initiated before the end of the semester in which the process commenced. Students must first consult with the instructor who gave the grade. If the appeal with the instructor is unsatisfactory to the student, the student may appeal to the appropriate Associate Dean (St-II-3-C).

Herkimer College strives to resolve any complaints that may arise between faculty and students. Should a student have a complaint concerning academics, the student is directed to consult the faculty member with whom they are experiencing difficulty. If the student believes that they cannot come to an adequate solution, the student has the right to complete an Issue Report located in the responsible Associate Dean's office (St-II-3-D). After reviewing this information and conducting interviews with the student and faculty, the Associate Dean formulates a resolution plan to rectify the issue documented in the Issue Report. The student also has the right to appeal the decision made by the Associate Dean to the Provost. The decision of the Provost is final.

For faculty and staff members, Article XV, of the HCCC and the Professional Association contract includes the Grievance Procedure and identifies the types of grievances. A grievance procedure begins by emphasizing/urging participants to resolve their grievance first through an informal, face-to-face meeting. If not resolved, the contract outlines further procedures (St-II-3-E).

The Herkimer College Title IX Compliance Officers review, update, and implement current Title IX policies. Both officers coordinate training and resources to ensure effective and timely responses to complaints of misconduct, discrimination, and/or harassment. Students and employees have 90 calendar days to formally file a complaint. Faculty and staff members who receive a complaint from a student must immediately inform a designated Campus Title IX Compliance Officer. Once a complaint has been reported, the designated Campus Title IX Compliance Officer will have 14 calendar days to investigate the complaint and communicate in writing a response to the grievant and the individual alleged to have committed the act. The communication will describe any actions that will be taken to redress the issue. While the investigation is being conducted, appropriate immediate steps to end the alleged discrimination and/or harassment will be taken. The Title IX Officer then has the discretion of mediating the complaint, sending the

case to an administrative hearing, or sending the case to the Judicial Review Board. In the case of sexual assault, it is the students' right to report or not to report (St-II-3-F, St-II-3-G).

All Herkimer College employees are required to attend annual training sessions on Sexual Harassment and Discrimination Awareness and Prevention, and Workplace Violence.

4. The avoidance of conflict of interest or the appearance of such conflict in all activities and among all constituents

Herkimer College has procedures in place for avoiding conflict of interest or the appearance of such conflict in all activities and among all constituents per the State University of New York policy Conflict of Interest (St-II-4-A) and the Public Officers Law § 73 (St-II-4-B). The organizational structure at Herkimer College is reviewed annually under the current college administration by the Executive Council to ensure there is no conflict of interest among personnel (St-II-4-C). In April of 2019, the Board of Trustees approved a Consensual/Romantic Relationship Policy. This policy was adopted to protect students and staff, as well as to maintain educational and working environments free from discrimination and harassment. Due to a potential for conflict of interest, these relationships must be reported to the appropriate individual (Associate Dean, Provost or the Director of Human Resources) who is responsible for determining the best course of action (St-II-4-D).

In regard to purchasing, soliciting and accepting of bids, the College abides by the relevant policies and procedures set forth in New York State Finance Law (St-II-4-E). The College also has policies and processes established which further ensure the avoidance of conflict of interest regarding any purchase of an item or project over \$20,000. These purchases must go out to bid (St-II-4-F, St-II-4-G). Once a bid is approved, the bidder certifies the bid was independently arrived at without collusion (St-II-4-H). For example, the 2018 capital project for roof repairs on the College Center Building and the Technology Center followed all procedures and policies set forth by the College, including Standard Clauses for all College Contracts, General Instructions to Bidders, and Non-colusive Bidding Certification (St-II-4-I, St-II-4-J).

In order to ensure fair and ethical distribution of funds, all new department budget requisitions beyond the established operational budget, are submitted to the College Resources Committee, formerly the Resource Allocation Committee, for review and ranking. A rubric is applied to each request and priority ranking is given to the Budget Committee who makes the ultimate decision. A major portion of the rubric focuses on how well the request aligns to the strategic goal(s), operational objective(s), and institutional learning outcomes. In 2018-2019, there were nine requests, the highest earning 56 points and the lowest earning 12 points on a 60 point scale. The final decision was to approve the highest score of 56 points which was the upgrade to the network firewall (St-II-4-K).

Also, to ensure the funding received by the Federal Carl D. Perkins Grant is allocated ethically and appropriately following the grant guidelines, the College has established a Grant Request Proposal Process which requires all faculty and staff requesting funding to complete a Perkins Grant Request form (ST-II-4-L) The form is reviewed and discussed by the internal Perkins Committee which includes faculty, staff and senior members of the administration (ST-II-4-M). Approved requests are then reviewed and approved a second time by the Executive Council.

Herkimer College's Board of Trustees has a policy for prioritizing the use of the College's facilities and grounds by non-college organizations. The established guidelines avoid conflicts that could arise if multiple non-college organizations seek to reserve the usage of the grounds during the same time frame and also ensure that the interests of students are placed first (ST-II-4-N).

5. Fair and impartial practices in the hiring, evaluation, promotion, discipline, and separation of employees

Herkimer College embraces fair and impartial hiring practices regardless of employee classification. Over the past several years, the college has experienced significant financial constraints which have been taken into consideration in the hiring process. As a result of retirements and resignations, a number of positions have remained unfilled or been filled by redeployments. Every bargaining unit has a clause in their contract which gives management the right to fill/not fill, redeploy or restructure. The Executive Committee analyzes the need to fill each position. Ultimately, the President makes the final decision (St-II-5-A, St-II-5-B). Herkimer College has acknowledged a third bargaining

unit, the Herkimer County Community College Administrative Association (HCCCAA) (St-II-5-C). Contract negotiations began in September 2019 with no scheduled date for a finalized contract (St-II-5-D).

When the decision is made to hire a new employee, the hiring process follows a standard format. After the need is identified and justified, the complete steps as detailed in the Herkimer County Community College Guidelines for Conducting the Job Search and Interview Process are followed to allow for a fair and impartial job search and candidate pool (St-II-5-E). This ensures the most qualified candidate will be vetted and selected. Once that individual is offered and accepts the position, they are expected to participate in the annual orientation held in August (St-II-5-F). Any employee hired after the orientation is required to attend the orientation session the following August. In the interim, the person is instructed on all necessary onboarding information by a combination of Human Resources staff and their immediate supervisor (St-II-5-G). After the orientation, each employee is given a survey which serves as an assessment of the process (St-II-5-H).

Teaching faculty have the opportunity to advance in rank as follows: Instructor, Assistant Professor, Associate Professor, and Professor. An individual is able to do so if they show “mastery of subject matter, effectiveness of teaching, service to the college and community, and professional growth” as stated in their contract (St-II-5-I). Additionally, staff may be promoted, receive merit recognitions or move from one department to another (St-II-5-J).

The following is a summary chart of personnel changes that have occurred over the past three years.

Year	Instructor to Assistant	Assistant to Associate	Associate to Professor	Tenure	Merit *effective on 9/1 of the following year	Redeploy
2016-17	0	1	4	2	8 Staff	0
2017-18	0	2	1	2	0	2
2018-19	1	3	0	0	0	7

Exhibit 2. Human Resources 3-Year Promotion and Tenure Trend Data (Source: Human Resources Office).

All full and part time teaching faculty are routinely observed in accordance with stated expectations within the Faculty/Staff Handbook (St-II-5-K). Associate Deans or designees of appropriate rank schedule observation times per faculty preference, write reports on classroom observations, and provide performance feedback to the faculty. At a follow up meeting, faculty may respond both in person and in writing to the feedback. Observation documents are included in the faculty personnel files (St-II-5-L).

Policies and procedures for discipline of college employees, if needed, are identified and explained in the appropriate contract (if applicable) and the Faculty and Staff Handbook. The Professional Association contract encourages that informal discussion and procedures be explored prior to invoking the formal grievance procedures (St-II-5-M). The Civil Service contract outlines specific grievance procedures and timelines that all parties must follow in order to ensure fair practices while abiding by all applicable clauses (St-II-5-N).

Terms of separation from the College are identified in the appropriate contract and in the Faculty and Staff Handbook. When an employee leaves or is separated from the College, there is an Exit Clearance Sheet to be completed and signed off on by various departments to ensure all business is concluded (St-II-5-O).

6. Honesty and truthfulness in public relations announcements, advertisements, recruiting and admissions materials and practices, as well as in internal communications

The mission of the Public Relations (PR) Department is to protect, reinforce and elevate Herkimer College’s reputation and image, build awareness of the institution’s distinctive strengths and qualities, and the value, importance and impact of its work. As per the Image Release Policy, images of current and former students, visitors, faculty, and staff may be used for the promotion and advancement of the College (St-II-6-A). Photos may be used in advertising, on social media, the website, or in various publications including recruitment publications.

The Faculty Staff Handbook states the procedures for releasing information to the media. Official communications and responses are managed through the PR Department in conjunction with the College President (St-II-6-B). This ensures that all communications are timely, accurate, truthful and coordinated.

The College Catalog provides easy access to the College's policies, programs and courses (St-II-6-C). The catalog has been changed from a two-year document to an annual publication to improve accuracy and is available online for greater accessibility and transparency.

The PR Department communicates important College information and updates by publishing a Campus Briefs newsletter. This information is distributed via email to all College and auxiliary employees, the Board of Trustees, and the Foundation Board of Directors. The newsletter provides a monthly overview of the All-Campus meeting updates from the President and Executive Leaders, personnel changes, and a listing of upcoming events (St-II-6-D). The development of the Campus Briefs newsletter is a direct outcome of the Service Excellence initiative administered by the College in 2016. Further details may be found in Standard V and VI.

Several publication functions are outsourced, but are approved by the Director of Public Relations in order to ensure integrity in the publication. The College's website is used as a recruitment tool for prospective students, a source of knowledge and information for current students as well as faculty and staff. The website houses important documents such as the college catalog, transfer articulation agreements, Board of Trustee policies, and information on employment opportunities. The College's website is designed and developed externally, but utilizes the SilverStripe content management system to allow internal maintenance of the content.

The College's Annual Report provides College data for a quick fact guide which can be used as a marketing and recruitment tool. The details of the Annual Report are now included within editions of the *Connections* magazine which is Herkimer's Alumni publication (St-II-6-E).

The College allows various constituents to establish social media accounts to promote their group or department. A listing of all social media accounts is available on the website (St-II-6-F). Reviews are conducted by the PR Department on a routine basis to ensure that accounts are active, accurate, and follow the College's Social Media Policy (St-II-6-G). Additionally, the PR Department maintains a subscription with Meltwater Media Monitoring to assist in the monitoring of social media messaging, as well as traditional media coverage.

Student recruiting responsibilities are administered by the Admissions Office, which consists of a Director of Admissions (DOA), two Senior Admissions Assistants (SAA), two Admissions Assistants (AA) and an Office Assistant (OA1). Staff meetings, shared folders, territory management, and a team approach allows open communication and balance within the office. Collaboration with other departments allows for efficient processing of all applications.

The Admissions Office processes all matriculation applications from both the College's website (St-II-6-H) and the SUNY Applications Processing Center (St-II-6-I). Multiple procedures are in place to ensure accuracy of the data being entered into Herkimer's student information system and the efficiency in processing the data.

Herkimer College has an open admissions policy with only a few selective programs that require incoming students to meet specific criteria. Prospective student applications are reviewed to ensure they meet the program requirements. All applicants meeting the program requirements will be granted acceptance, if the program acceptance has not reached capacity. Each application is reviewed in the order in which all required documents were received. Students not meeting the criteria will be contacted and will have the option to meet with an Admissions Assistant to discuss other program options.

After a significant absence from the College, returning students must submit an online Request to Return form for readmission. The process and form are located on the College's website (St-II-6-J). This process was recently reviewed and streamlined to reduce barriers for students' re-entry (St-II-6-K).

The Admissions Office uses a territorial management recruitment model. The Admissions Assistants will work with the prospective student beginning at their interest point through the application process. Starting in the fall of 2018, the Admissions Assistants were provided training on student registration and are now able to register new students for

their first semester. Admissions Assistants will communicate with students via phone, email, mobile phone and text throughout the recruiting process. To provide consistency in communication, acceptance packets are completed by the Admissions Office Assistant (St-II-6-L).

The College is in the process of implementing Slate, a customer relations management system, to facilitate accurate and efficient communications to move students through the admissions funnel. Slate will utilize drip marketing to provide frequent and relevant communications according to the student's status and will integrate with the College's Banner Student Information System (St-II-6-M).

Each year the Admissions department conducts/participates in a variety of recruitment events on and off campus. On campus recruitment events include: Open House, Accepted Student Day, Express Enrollment Day, Instant Admit Day, information sessions, and individual visits. Off-campus events include: college fairs, high school visits, Herkimer Preview Night, Instant Admit Day and college readiness presentations. Promotional materials are integral to the recruitment process at events that typically require a display table, and for presentation in other outreach venues (St-II-6-N).

7. As appropriate to its mission, services or programs in place: a. to promote affordability and accessibility; b. to enable students to understand funding sources and options, value received for cost, and methods to make informed decisions about incurring debt

Herkimer College is an open access institution and does not discriminate on the basis of race, color, gender, age, creed, religion, national origin, marital status, disability or any other characteristics protected by federal or state law in admissions, employment, or in any aspect regarding the conduct of College business (St-II-7-A). In September 2010, the Board approved Resolution 08-18, which proposed increasing the GPA requirements for prospective students who resided outside of Herkimer County (St-II-7-B). In January 2019, the Herkimer College BOT approved the removal of these restrictions, truly making Herkimer an equal opportunity college (St-II-7-C).

Herkimer College has established many channels to assist in promoting affordability and accessibility. The Herkimer County College Foundation, established in 1967, aids in creating potentially life-changing opportunities for students through student scholarships. With over 80 scholarships available, the Foundation awards over \$130,000.00 to students annually (St-II-7-D).

Herkimer College's Financial Aid office, in collaboration with the Career Services office, places eligible students into part-time jobs on and off campus, funded by the Federal Work Study program. The federal program encourages community service work and work related to the student's course of study, while providing them a paycheck to assist in the costs of attending college (St-II-7-E).

Also, to enhance affordability, the College offers courses using open educational resources (OER) which are available in every degree and certificate program. This provides students access to the course materials at the start of their class and at no cost. As of fall 2018, Herkimer College offers two degree programs, General Studies A.A. and Social Science A.A., with OER course sections available for all of the courses within the programs. Half of the degree and certificate programs offered at Herkimer College use OER in 50% or more of the courses (St-II-7-F).

Herkimer College's Academic Support Center (ASC), provides students with a variety of services at no additional cost for all modalities of learning. Services include free tutoring (face-to-face or online), embedded tutoring (within the classroom), academic coaching, academic success workshops, learning styles and strengths assessment, and skill improvement. The ASC provides a collaborative learning space, computer labs and study rooms for individuals or small groups. Summer Bridge programs and placement test preparatory courses assist students in becoming college ready to experience a successful transition to college. A full listing can be found on the College website and is available at the Academic Support Center (St-II-7-G).

In compliance with Federal and State Laws, Herkimer College's Services for Students with Disabilities, located within the ASC, strives to "help students identify their natural talents and strengths" and "support and encourage students to develop self-advocacy skills to overcome barriers" (St-II-7-H). Students are required to register with the Office of Disability Services to receive services, such as: sign language interpreter, assistance with note taking, e-texts and alternative testing arrangements, and other as needed services. Services for Students with Disabilities Office has a

variety of assistive devices to accommodate the special needs of students at no additional cost. More information on the ASC and Office of Services for Students with Disabilities Office is in Standard IV.

Herkimer College provides prospective students access to education through their online offerings. The Internet Academy is dedicated to managing and providing instructional design and support to online learners as well as faculty. Since 1999, Herkimer College has been committed to providing online learning options to students who otherwise might not be able to pursue classes (St-II-7-I). As of fall 2018, Herkimer College offers more than 150 courses, 19 degrees, and 4 certificates in an online platform. Online students have access to all services afforded to on-campus students, such as: advisement, tutoring, disabilities services, library services, and technical support.

Herkimer College strives to keep tuition at an affordable rate for students. The in-state tuition for the 2018-19 academic year is \$4670 compared to the national average tuition rate for community colleges of \$4846. The current out-of-state tuition for Herkimer College is \$7300 compared to the national average for community colleges of \$8607 (St-II-7-J). Students are able to view the expected cost of attendance by visiting the Financial Aid page of the Herkimer website (St-II-7-K).

In compliance with SUNY, the College updates and posts the link to the SUNY Net Price Calculator on the Herkimer College website (St-II-7-L). The Net Price Calculator provides students the ability to review their potential costs before deciding to enroll at the College.

Herkimer College students learn about Financial Aid resources available to them through the Financial Aid Office and the Student Accounts Office. Herkimer College aims to inform students on various options to fund their education while simultaneously assisting them with understanding the process and outcomes of those options. While Herkimer College is committed to assisting students with these processes, the final decision on how to finance their education is left to the student. The primary goal and purpose of the Financial Aid Office at Herkimer College is to provide information and financial resources to students who would otherwise be unable to pursue postsecondary education. A list of the available federal and state programs is available on the College website (St-II-7-M). In the Customized IPEDS Data Feedback Report for 2017, 81% of Herkimer College's full-time, first-time degree seeking student cohort of 2015-16 received some form of grant aid (St-II-7-N).

In fall 2017, the New York Excelsior scholarship became available to eligible students currently attending a public college or university in the state of New York. This scholarship enables eligible students to attend college tuition-free providing they agree to live/work in New York State the equal number of years they received the award. Other grant aid is taken into consideration when determining the award amount (St-II-7-O). The Advisement Center and academic advisors provide information to students on how to maintain their eligibility (St-II-7-P). Currently, 90 students have met financial eligibility to receive Excelsior Scholarship funding. Academic eligibility is determined once final grades are submitted for the term.

In 2014-15, Herkimer College's Financial Aid Office utilized the services of Inceptia to conduct a study of our student loan borrowers. This study provided recommendations for Financial Literacy services to educate students and their families on borrowing responsibly. The College has since purchased their Financial Literacy services, which includes learning modules such as debt, budgeting, loan summary letter, and Grace Counseling Services (St-II-7-Q). The Herkimer website also provides a direct link to the SUNY Smart Track for students in need of financial aid assistance.

In an effort to prepare students early, prior to enrolling at the College, Herkimer takes additional opportunities to educate students in financial literacy. Financial aid workshops and presentations are provided annually to the high school students and their parents and are offered at major Admissions events such as registration days and open houses. Herkimer's Admissions Assistants are able to provide basic financial aid information to high school students at local and regional high school recruiting events, and as hosts during two SUNY financial aid workshops annually.

Students who are receiving federal student loans are required to complete an online Entrance Interview which teaches new and returning borrowers about Federal Student Loans and their rights and obligations before receiving loan disbursements. Upon leaving the College, those students are asked to complete the exit interview as well. Several attempts are made to contact students who do not complete this requirement (St-II-7-R).

- 8. Compliance with all applicable federal, state, and Commission reporting policies, regulations, and requirements to include reporting regarding: a. the full disclosure of information on institution-wide assessments, graduation, retention, certification and licensure or licensing board pass rates; b. the institution's compliance with the Commission's Requirements of Affiliation; c. substantive changes affecting institutional mission, goals, programs, operations, sites, and other material issues which must be disclosed in a timely and accurate fashion; d. the institution's compliance with the Commission's policies**

Disclosures/Compliance

Herkimer College is in compliance with Federal, State, and MSCHE Commission regulations and requirements (MSCHE Verification of Compliance for Herkimer County Community College, 2019). Each department is responsible for maintaining compliance with Federal, State, and MSCHE requirements for their respective areas.

Full disclosure of information on institution-wide assessments is provided on the Herkimer College webpage titled Institutional Assessment Plan (St-II-8-A). The Institutional Assessment process is centrally coordinated and monitored by the Associate Dean of Academic Affairs, Assessment and Institutional Effectiveness who also chairs the Strategic Planning and Institutional Effectiveness Committee. The internal measures used by Herkimer College are collected from the various academic and non-academic departments, and the Executive areas. In addition, Herkimer College uses external assessment measures to obtain reliable information to be used for evaluating and enhancing campus-wide programs. Full disclosure of information on enrollment, graduation, and retention rates are provided in the Institutional Effectiveness Report Card (St-II-8-B) as well as on the Higher Education Act Student Outcomes page found on the Herkimer website (St-II-8-C).

External Accreditors

As noted in the Compliance Documentation, Herkimer College has two programs that are accredited by external accreditors; the Physical Therapist Assistants program (CAPTE) and EMT/Paramedic program (NREMT). The College offers an Emergency Medical Technician - Paramedic program as both Certificate and AAS programs, in collaboration with Faxton St. Luke's Healthcare (St-II-8-K) in the neighboring city of Utica, NY. Herkimer delivers the programs, while Faxton St. Luke's is responsible for the program accreditation and for assisting the students in obtaining certifications required in their field. The College Now program is accredited by an external accreditor (NACEP) (St-II-8-K).

Substantive Changes

Herkimer College had two substantive changes since the Periodic Review Report was approved in 2015. Both substantive changes pertained to adding additional locations since the potential exists for more than fifty percent of the coursework to be completed off site. The addition of the Mohawk Correctional Facility was provisionally approved on July 2, 2018. The second substantive change added the concurrent enrollment high schools in our service area as additional locations. Both substantive changes were affirmed on June 27, 2019 (St-II-8-L).

Compliance with Commission Policies

In 2014, the Assistant Dean of Academic Affairs, Assessment and Institutional Effectiveness was hired. In 2016, the duties of Accreditation Liaison Officer (ALO) were added to the charge for that position. Upon accepting the role, the ALO referenced the Accreditation Liaison Officer Orientation Guide to gain an understanding of expected responsibilities. It is the charge of the ALO to understand the MSCHE expectations and ensure the College is in compliance with the policies as set forth by MSCHE. The ALO regularly attends the MSCHE Annual Conference, ALO breakfasts, ALO training and town hall meetings, to stay current with the MSCHE policies (St-II-8-M). The ALO also references the Policy, Procedures and Guidelines as listed on the MSCHE website.

The ALO's responsibility also includes providing campus constituents with information regarding the current polices and standards. In 2017, the ALO conducted a series of workshops entitled "Accreditation Academy", introducing the Standards for Accreditation and Requirements of Affiliation. All employees were required to attend one of the 17 workshops offered. These workshops discussed the details of the new standards and allowed each participant to identify how they and the work of their departments applies to the Standards of Accreditation (St-II-8-N). The ALO also seeks advice from the College's MSCHE Vice-President Liaison overseeing Herkimer College's accreditation,

when needed. Full disclosure of the College's accreditation status can be found on Herkimer College's website (St-II-8-O).

9. Periodic assessment of ethics and integrity as evidenced in institutional policies, processes, practices, and the manner in which these are implemented

Herkimer's assessment processes are defined and documented at the administrative and department levels and conducted on a routine basis, the outcomes of which provide the opportunity for growth. See Standard V for details. Herkimer's approaches to assessing the institution's documentation, data, program offerings, and employee/operations, are infused with the consistency and the framework expected in an ethical examination of the integrity with which the College fulfills its mission.

Documentation

To ensure the integrity of the policies, processes, practices, implementation, and documentation, all departments across campus routinely assess operational functionality. Each constituent group has reference documents specifically communicating relevant expectations such as: The Faculty and Staff Handbook, Student Handbook, College Catalog, Student Handbook for Disabilities, HCCC Assessment Handbook, department procedure manuals, and dozens of other officially distributed documents throughout the College. Publications of this nature are reviewed on a consistent basis, some requiring collaboration among multiple departments and/or committees. The most commonly and pervasively used documents are reviewed annually. The attached timeline for the review of the College Catalog identifies departments and their respective responsibilities in the review process (St-II-9-A).

Annually, the Executive Leaders review the Board of Trustees' policies related to their respective areas. In collaboration with their department leader, the Executive Leader will provide updates to the policies for the Board of Trustees' review/approval (St-II-9-B).

Over the past several years, the College has been completing process flow analyses to create efficiencies or reduce barriers to the students. The primary focus has been on practices that impact multiple areas of the College. An example of a process flow that was revised in the 2017-18 academic year was the Alcohol and Other Drug (AOD) Violation process. The process updates: 1) increased the students' accountability for their actions by developing a secured violations log to be shared by the Counseling Center, the Dean of Students Office and Campus Safety, 2) identified the responsibilities for each department involved, 3) developed consistent messaging, and 4) increased the number of communications sent to the students and other departments involved in the process (St-II-9-C).

Data

Herkimer College also uses data from multiple reliable sources such as IPEDS and Voluntary Framework of Accountability (VFA), in publications and for decision making. The data submitted to SUNY IR via the SIRIS processes is managed by the Office of Institutional Research (IR). Herkimer's IR Office collaborates with multiple departments on campus to ensure the data are accurate and approved before being finalized. SUNY IR then reviews the data and completes a third level of approval. SUNY IR preloads many of the SUNY, NYSED, and IPEDS data reporting requirements and the Office of Institutional Research independently or in collaboration with other departments on campus reviews and approves the data sets (St-II-9-D).

The VFA data load process was developed by Information Services with collaboration of Institutional Research. The specifications for the data load file are reviewed annually, and thorough testing by the IR Office is completed to ensure the data is accurate (St-II-9-E). All departments are encouraged to use official data sources when possible.

The College's Survey Workgroup has reviewed all internal survey instruments and data results and has refined processes to ensure the information being collected is accurate and purposeful. The data are published on the College's portal to ensure campus-wide accessibility (St-II-9-F).

In an effort to ensure that the Student Learning Outcomes data are accurate and meaningful, the Academic Assessment Committee (AAC) reviews the Institutional Learning Outcomes (ILO) trend data on a routine basis. Most recently, the AAC determined the need to separate Technological Literacy into its own ILO category. Previously, it was infused within the Knowledge Management category. After a comparison between SUNY and MSCHE requirements, it was

apparent that the appropriate Technology competencies were not specifically evident within the Knowledge Management ILO data, but rather a vague representation of those competencies. Further details regarding assessment practices are found in Standards III and V.

Academic Programs

In the 2016-17 academic year, a Program Prioritization process was implemented. Key data points are reviewed to determine viability of the program. They include: external need, quality of the program, quality of the program outcomes, enrollment trends, and revenue and expenditures. The Provost, in collaboration with the associate deans, places programs in one of four categories: Support, Subsidize, Monitor, and Review. Programs that fall into the Review category are required to complete a comprehensive analysis and provide recommendations for the future direction of the program. The end results are shared with the Executive Council where final determination is made regarding further actions. In 2017-18, the process was revised to provide the Faculty Senate the opportunity to review the same data and conduct their own analysis (St-II-9-G, St-II-9-H). This process takes into consideration data from multiple sources and ensures the College is providing students with affordable, high-quality programs that will fill a need in the job market.

Each academic program is also required to complete a SUNY-mandated Program Review process on a five-year cycle. Faculty Assessment Leads analyze outcomes for their programs to ensure that each program remains current and relevant to student needs. More details are provided in Standards III and V. All new program proposals currently require a newly implemented feasibility analysis study which is part of the packet that must be approved by the Executive Council, Board, and Curriculum Committee (St-II-9-I, St-II-9-J).

Employee/Departments

The integrity of the relationship between administrators and staff in sharing and using data for planning and operations is most often facilitated consistently through executive-area meetings with department leaders. Meetings occur minimally for annual reporting and operational planning, though most areas meet on a monthly basis (St-II-9-K). Further, administrators and staff meet monthly at an All-Campus meeting where information is shared and time for open discussion is provided. The Campus Briefs newsletter reiterates the information shared at the All-Campus meetings for the benefit of those who could not attend (St-II-9-L).

The integrity of Herkimer's professionals is fortified as many department leaders, staff and faculty are members of professional organizations and attend conferences within their field. These professional affiliations provide individuals the opportunities to learn about upcoming regulatory changes, best practices and networking with their peers. For example, as noted in the 2017-18 Financial Aid Annual Report, each member of the financial aid staff hold memberships with multiple associations and attends workshops and conferences annually to stay current in their field (St-II-9-M).

Since Herkimer County Community College is sponsored by Herkimer County, members of the Executive Council and upper level administrators are required to annually complete and submit an Ethics packet to the County discussed more in Standard VII (St-II-9-N).

Conclusion

Herkimer College continually works to ensure practices across campus are ethical and of the upmost integrity. College constituents are encouraged and supported by academic and intellectual freedom to teach, learn, create, compete, and collaborate. Understanding the value of diversity and choosing civility are attributes engrained across faculty, staff and students. The College has documented grievance policies in place for students and employees, and constituents strive to avoid conflicts of interest in their planning and actions. Documented hiring, evaluation and promotion processes allow for consistent and impartial treatment of employees. Public communication is vetted both directly and indirectly by the PR office to ensure truthfulness. The Faculty and Staff Handbook guides internal and official communications and responses. The College works toward affordability and accessibility through scholarships, the Financial Aid Office and Open Educational Resources, among other opportunities. Available documentation reveals that the College meets the Verification of Compliance and Requirements of Affiliation. Finally, campus policies and practices ensure proper assessment of ethics and integrity institution-wide.

Opportunities for Improvement and Innovation

- Review all College handbooks on a routine basis and revise as needed.
- Increase professional development that focuses on the student needs and psychographic profiles.
- Assess process and complaint trends. Consider the feedback from the faculty, staff and students for future revisions to the process or complaint trends.
- Investigate and prioritize rehiring personnel for vacant positions for balance and sustainability.
- Explore more scholarship and other opportunities to assist our students financially and increase accessibility.
- Further monitor compliance requirements on a planned routine basis for all areas of the College and make adjustments as needed.
- Review and update policies/process that impact multiple departments and students on a planned routine basis.
- An addendum to the College catalog should be published for the spring semester to allow for inclusion of new and revised programs and policies that are effective mid-year.
- A plan for reviewing and updating website content should be established and communicated in order to maintain accuracy, currency, and relevancy of content.
- The Social Media Policy should be updated and presented to the Board of Trustees for approval.

Standard III: Design and Delivery of the Student Learning Experience

“An institution provides students with learning experiences that are characterized by rigor and coherence at all program, certificate, and degree levels, regardless of instructional modality. All learning experiences, regardless of modality, program pace/schedule, level, and setting are consistent with higher education expectations.” (Middle States Commission on Higher Education Standards for Accreditation, Standard III).

“I love the small classroom and the professors are really awesome.”
Spencer, Criminal Justice, class of 2020

“If you need help, the teachers will be there for you-- and so will the students.”
Charles, Social Science, class of 2020

At Herkimer College, faculty are tasked with the development and implementation of academic programs, courses and learning experiences that exhibit coherence, rigor and excellence. Faculty-led processes are developed and cyclically reviewed to ensure that these experiences maintain a high level of quality and are improved using data-informed decisions and feedback from multiple campus constituents. Courses offered to our concurrently enrolled students in the high school and the Mohawk Correctional Facility mirror the same rigor, coherence, and excellence as the courses offered on-campus and online. These courses are also required to follow the same cyclical review.

1. Certificate, undergraduate, graduate, and/or professional programs leading to a degree or other recognized higher education credential, of a length appropriate to the objectives of the degree or other credential, designed to foster a coherent student learning experience and to promote synthesis of learning

As of Spring 2020, Herkimer College offers 39 undergraduate degree and 6 certificate programs; Engineering Science A.S., Liberal Arts & Sciences: Mathematics A.S., and Teaching Assistant Certificate have all been discontinued, though they are still listed in our most-recent catalog as they still have matriculated students that are following the College’s “teach out” plan (St-III-1A, p. 7-8, p. 80). Twenty degree programs and four certificate programs can be completed entirely online. Additionally, more than 150 courses are available via online learning through the Internet Academy (St-III-1B). Current and potential students can access and view degree program and certificate requirements as well as full course descriptions in the College catalog or on the College website (St-III-1C). The program requirements for Associate in Science, Associate in Arts, Associate in Applied Science and Certificate programs and the required course content meet SUNY and New York State Education Department requirements and the guidelines of outside accrediting agencies (e.g. NACEP, PTA Reaccreditation Certificates) (St-III-1D).

Herkimer College partners with outside organizations including Herkimer County and Otsego County high schools in the College Now concurrent enrollment program, BOCES P-tech, BOCES IT Academy, EMT/Paramedic collaboration with Faxton/St. Luke’s Hospital, and College in Prison program with the Mohawk Correctional Facility (St-III-1E).

Over the past 20 years, the landscape of programs and offerings has changed greatly, reflecting the changes in the community demographics and the overall needs of the state and federal workforce. Herkimer College has succeeded in maintaining its strength and commitment to developing students to meet these evolving needs, but has also made strides in being the leader of new programs that reach underserved populations. Herkimer was a pioneer in the development of asynchronous learning with its Internet Academy and recently established the College in Prison program. The College realizes the need for progress and change and is working toward the challenges of the future in employment and educational needs. The Program Prioritization process (St-III-1F) and the updated Program Development procedures (St-III-1G) are examples of growth in program development, with a particular eye on local/regional employment demand for students, and on feasibility assessment (St-III-1H).

2. Student learning experiences that are designed, delivered, and assessed by faculty (full-time or part-time) and/or other appropriate professionals who are:

2a. rigorous and effective in teaching, assessment of student learning, scholarly inquiry, and service, as appropriate to the institution’s mission, goals, and policies

A student focus group was conducted in 2018 as a component of the Self-Study, and information obtained from the event reveals that students felt the rigor of the courses offered at Herkimer College was preparing them for transfer into desired programs at four-year institutions (St-III-2aA). Additionally, the Graduating Senior Survey from 2018 reflected the overall opinion that the educational experience offered rigor and interpersonal interaction with faculty and staff, which is integral to student success at Herkimer College (St-III-2aB, Exhibit 1). Numerous programs at Herkimer College have been recognized for excellence by various higher education organizations (St-III-2aC). More than 30 Herkimer faculty have been selected to receive the prestigious SUNY Chancellor’s Award for Excellence in Teaching over the past 40 years (St-III-2aD).

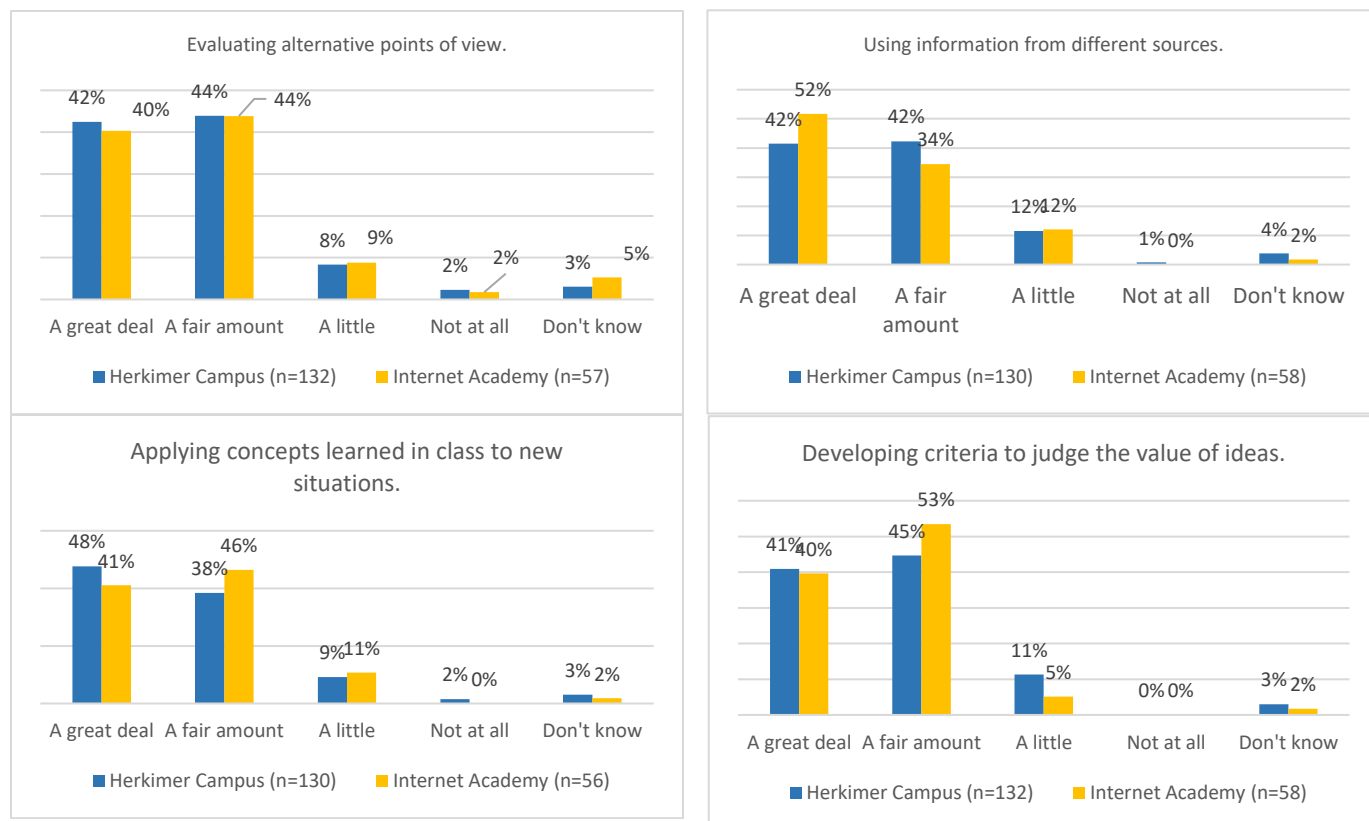


Exhibit 1: Results representing student opinions on course rigor and interpersonal interaction with faculty (Source: Office of Institutional Research, St-III-2aB).

2b. Qualified for the positions they hold and the work they do

Herkimer College strives to hire and support effective faculty members in order to provide its campus community with engaging educational experiences throughout the academic year. This is in direct support of the College’s mission to encourage all constituencies of the College community to pursue the highest standards of performance in their academic and professional work. For the College to generate and maintain a pool of well-qualified faculty, specific teaching qualifications and requirements for faculty positions are outlined in the listings on the employment page of the College’s website (St-III-2bC) and follow the procedures laid out in the Guidelines for Conducting the Job Search and Interview Process Handbook (St-III-2bA). Generally, candidates are required to have at least a Master’s degree in the field; however, this can vary by discipline. Of the 47 full-time faculty, 96% have a Master’s degree or higher (St-III-2bD). The search process for faculty is conducted in a manner that ensures the selection of a well-qualified candidate for the position. Applicants are initially interviewed by the search committee and are required to provide a teaching demonstration during the second on-campus interview. Selected candidates are then interviewed by the Associate Dean of the appropriate division and by the Provost. The Provost’s recommendation is sent to the President to make the appointment and notify the Board of Trustees.

The hiring process for adjunct faculty differs in that applications are reviewed and interviews are conducted by the Provost. Herkimer College has 47 full-time and 93 part-time faculty who are responsible for the design, delivery, and assessment of the student learning experience.

2c. Sufficient in number

In 2018, as a part of the Voluntary Separation Program, a retirement incentive was offered by the College. As a result, 10 full-time faculty members retired in August 2018 and January 2019. More information on the Voluntary Separation Program can be found in Standard VI. As of spring 2020, 31 two-year degree programs and two one-year certificate programs have a full-time faculty lead (St-III-2cA). A breakdown of the full-time faculty by rank and division is provided in the evidence (St-III-2cB) as data to support the Requirement of Affiliation 15. Exhibit 2 shows the IPEDS fall-term student-faculty ratios for three recent terms for which data are available.

<u>Term</u>	<u>Student/Faculty Ratio</u>
Fall 2017	22 to 1
Fall 2016	16 to 1
Fall 2015	26 to 1

Exhibit 2: IPEDS Data on Student-Faculty Ratio (Source: Office of Institutional Research, St-III-2cC).

Herkimer College has faced a dramatic decline in student enrollment levels, keeping pace with the SUNY Community College sector which has seen more than a 30,000 student enrollment decline since 2015 (St-III-2cD). In light of the challenges brought forth by such a decrease, the College has maintained its commitment to the highest level of rigor to educate students. This is recognized qualitatively through student surveys administered consistently throughout the years (St-III-2cE).

2d. Provided with and utilize sufficient opportunities, resources, and support for professional growth and innovation

All full-time faculty at Herkimer College are required to participate in professional development activities; adjunct faculty are encouraged to participate as well. The College hosts professional development opportunities at a variety of levels. For example, all employees are required to attend Workplace Violence Training and Title IX training annually. Full-Time employees may also be required to attend other trainings on significant changes in College procedures, such as technology updates or advising (St-III-2dA). Additionally, the College offers opportunities and funding for off-campus professional development, such as attending conferences or trainings. For example, in the faculty annual reports for the 2018-2019 academic year, a Criminal Justice Professor attended the New York State Defenders Association Annual Metropolitan Trainer at NYU Law School, NY, NY; the Faculty Senate President attended the SUNY Voices Campus Governance Leadership Institute, Albany, NY; and a Social Science faculty member attended the American Psychological Association Convention and the Pew Research Center’s mini-course on Immigration, taken online (St-III-2dB).

The College has a Professional Development Committee led by faculty and charged with inviting prominent and relevant speakers to campus for presentations and workshops. The Provost’s Office and Academic Divisions budget specifically for professional development to allow for such opportunity. On campus faculty professional development events occur every semester (St-III-2dC). Annual professional development grants are available to faculty, in addition to departmental funding for research, travel or other scholarly activities when available (St-III-2dD).

Many faculty hold professional memberships to respected organizations including: the American Society of Composers, Authors and Publishers; the National College English Association; Human Anatomy and Physiology Society; American Society for Microbiology; and the Community College Humanities Association (St-III-2dE).

In addition to trainings, instructors of online courses are required to participate in a series of face-to-face workshops which emphasize best pedagogical practices (St-III-2dF). Additionally, all instructors have received directions for identifying and correcting accessibility issues in Generals Online using a tool called Ally. During the fall 2018 term, all Generals Online sections were processed using Ally. These implemented changes continue to enhance the quality of online course content as recommended by the Middle States’ response to the 2015 PRR Report (St-III-2dG).

One of the innovative initiatives receiving campus-wide support is the conversion from expensive publisher-sourced course material to Open Educational Resources (OER), and zero-cost textbooks across all modalities. This initiative began with a two-day OER conference in fall 2016, attended by 40 Herkimer faculty (St-III-2dH). Since then, well over 100 courses have been converted to OER material (St-III-2dI). From 2016 to 2020, the College has received funding to support OER initiatives through the Achieving the Dream grant, SRI International grant, OER Z-Degree grant, and SUNY OER Services (St-III-2dJ). The Internet Academy also orchestrated a course refresh initiative in 2015-2016 for all full-time instructors who taught online courses. Professors were required to review their courses using a local modification of the SUNY-developed Open SUNY Course Quality Rubric (OSCQR) (St-III-2dK). This initiative resulted in extensive revisions to course content and pedagogy (St-III-2dL). For their effort and leadership of this initiative, the Internet Academy staff was awarded the 2016 SUNY FACTT Award for Community College Excellence in Faculty Support (St-III-2dM).

Many faculty have implemented applied learning experiences within their courses (St-III-2dN). In 2015, SUNY established an initiative to provide students with courses that employ applied learning, which is defined by SUNY as: “an educational approach whereby students learn by engaging in direct application of skills, theories and models” (St-III-2dO). Within these courses, students apply knowledge and skills gained from traditional classroom learning to hands-on and/or real-world settings, creative projects, independent or directed research. The applied learning activity can occur outside of the traditional classroom experience and/or be embedded as part of a course. This strategy has been noted to enhance “student success outcomes like increased retention, graduation, engagement, employment and well-being” (St-III-2dO).

The College regularly showcases the extraordinary work of the faculty outside the classroom (St-III-2dP), recognizing faculty achievements, awards, and professional growth within their field through communications with the campus and local media, publications, the Employee Recognition Ceremony, as well as on the College’s social media (St-III-2dQ).

The College radio station, WVHC 91.5 FM, is part of the learning experience for many students. A faculty General Manager provides guidance to student staff members, as well as faculty program participants, within a professionally-accountable high-profile communication tool for the local community. Since the station is licensed by the FCC, the College continues to operate in accordance with FCC regulations (St-III-2dR), offering all students a real-world work experience on campus.

Laboratories are critical to the students’ learning experience, and most often an exciting component of the program. When program faculty and Associate Deans prepare Program Reviews, they often note the need for facility upgrades to offer state-of-the-art opportunities for the students. However, major facility upgrades are costly and often prohibitive as revenues decline. Grant funding and matching funds are used for upgrades that are targeted and for which need has been established. In Program Review documents, faculty determine and report need for facility upgrades critical to effective teaching and learning within specific program disciplines. As noted in the Science Program Review from 2012, facility needs were reported (St-III-2dS). The Edward Manning Gaynor Jr. and Shirley Augar Gaynor Science Center was opened in fall 2012 as a result. This capital project was made possible with contributions from New York State, Herkimer College Foundation and Herkimer County (St-III-2dT). The most current Science Program Review notes the effectiveness of using the facility (St-III-2dU).

The Electrical Technology Smart Grid Lab was also a capital project funded by New York Power Authority, New York State, and the Community Foundation of Herkimer & Oneida County. The Quality Assurance/Engineering Lab was funded through the SUNY 2020 Construction Fund Grant with/for the development of a new program (St-III-2dV). These labs, along with the Criminal Justice Forensics Lab, Music Studios, Studio Art and Sculpting Facilities, Fashion Sewing Lab, and the Physical Therapy Lab enhance Herkimer students’ learning by providing hands-on opportunities and lifelong skills.

2e. Reviewed regularly and equitably based on written, disseminated, clear, and fair criteria, expectations, policies, and procedures

The rigor and effectiveness of faculty teaching is regularly assessed through a well-established process of periodic classroom observation of both full-time tenured and non-tenured faculty (St-III-2eA, p.20). A parallel procedure is utilized for periodic observation of part-time and third-party faculty such as College Now instructors (St-III 2eB).

Within each division, observations are conducted by the Associate Dean for all full-time teaching faculty, based on the following schedule:

- Retirees, tenured, Associate and full Professors: one class every fifth semester
- Tenured Assistant Professors and Instructors: one class every fourth semester
- Non-tenured Faculty: one class every semester for the first year, every other semester thereafter
- Adjuncts: one class in the first semester, one in the fourth semester, then each sixth semester thereafter

The Provost observes classes taught by adjunct faculty and may also observe classes taught by full-time faculty. Such observations may be announced or unannounced. Observation reports are prepared by the observer. The teaching observation report includes recommendations for enhancing teaching effectiveness and is shared with the observed faculty member during a required follow-up meeting (St-III-2eC). If desired, the observed faculty member has an opportunity to respond to the observation verbally or in writing by attaching a response to the observation report. The report is signed by both the observer and the observed faculty member, and those performed by Associate Deans are sent to the Provost for review. All observation reports are reviewed by the College President and filed in the faculty member's personnel file (St-III-2eD, p.20).

Additional procedures are in place to further evaluate faculty effectiveness and academic rigor, including established protocols for tenure and promotion, and the course-refresh process for courses taught online through the Generals Online LMS powered by Blackboard (St-III-2eE). Programs that are accredited on a regular basis (i.e. Physical Therapy Assistant, College Now) have faculty evaluation embedded in these nationally-established procedures (St-III-2eF). Student input is also collected routinely regarding the effectiveness of faculty in their teaching, through the completion of CCSSE surveys, graduating senior surveys, and student course opinion surveys administered each semester (St-III-2eG).

3. Academic programs of study that are clearly and accurately described in official publications of the institution in a way that students are able to understand and follow degree and program requirements and expected time to completion

The College Catalog is available online through the Herkimer College website and is accessible to current, prospective and former students as well as the general public showing degree program requirements, organized by semester. Program information is also disclosed on the Herkimer website under academics/majors, where a link is provided to click into individual program description pages. Descriptions of courses are available from within each semester's layout, found on the Herkimer website under academics/Course Schedule.

Students also have access to an individualized degree audit through Herkimer College's instance of the DegreeWorks system (St-III-3A). Faculty and advisors also have access to the DegreeWorks instance to allow for proper academic advisement. The degree audit is color coded and separated into categories of requirements so that students can understand their degree requirements and view the completion status of each. Students in the Focus Group held in 2018 stated that they used the DegreeWorks tool extensively, and most felt the tool was helpful, making statements such as, "DegreeWorks is very helpful" and "...It's like having an advisor on the computer." (St-III-3B, p. 8).

4. Sufficient learning opportunities and resources to support both the institution's programs of study and students' academic progress

Herkimer College has taken pride in the many support services available to students to ensure that they are successful. While most are highlighted in Standard IV, some major academic services are: the Student Help Desk, Internet Academy for online learning, Academic Support Center, and the Services for Students with Disabilities (SSD) office (St-III-4A). The Student Help Desk is available on weekdays and assists with student accounts such as MyHerkimer and Student Online Services. The Help Desk also provides support for personal devices, Wi-Fi connectivity, and email access. Our Internet Academy provides students and faculty support for Generals Online. The Academic Support Center and SSD offices are both available in the Library building. They provide students with tutoring, disability services, academic coaching, and placement testing (more detail in Standard IV). Tutoring services are also available in housing. The Academic Support Center provides access to NetTutor, which allows for student access to tutoring resources online, even when the Center is closed (St-III-4B).

As part of a network project in 2017, the College wireless network was entirely revamped with over 240 high-performance access points. This major action was implemented after an extensive external assessment and in direct response to student and faculty requests for more efficient and accessible wireless service (St-III-4D). Users may now connect personal or company devices to a secure Wi-Fi network available in all academic buildings, some of the outdoor areas, and Wehrum Stadium (St-III-4C). Additionally, three on-campus computer labs allow students access to specialized software such as Adobe Creative Cloud, and Microsoft Visual Studio Professional, which may be essential for class projects, but may be too expensive for them to purchase. The Ronald Williams Library, the Technology Center computer labs, and the Campus Meadows Academic Success Center house approximately 200 computers for student use.

There have been management and staff changes in both IT and AV services, each of which have had some oversight of the technology used in the classroom. Despite the changes, through departmental budgeting, planning processes, and grant allocations, the College has made continual strides in manageable annual increments, to update the tools and technologies that will make the students' experience more efficient and effective. Many classrooms have been converted to SMART classrooms, while other classrooms offer options for connecting various forms of technology to engage students using contemporary teaching methods (more detail in Standard VI).

5. At institutions that offer undergraduate education, a general education program, free standing or integrated into academic disciplines, that:

5a. offers a sufficient scope to draw students into new areas of intellectual experience, expanding their cultural and global awareness and cultural sensitivity, and preparing them to make well-reasoned judgments outside as well as within their academic field

General Education is vital in supporting the College's Mission "to serve our learners by providing high quality, accessible educational opportunities and services in response to the needs of the local and regional communities". The General Education (Gen Ed) liberal arts offerings at Herkimer give students a range of opportunities through which broad and diverse material inherently fosters the scope of intellectual experiences (St-III-5aA).

All of Herkimer College's A.A. and A.S. degree programs require the completion of general education courses; A.A.S. and certificate programs encourage students to select electives from within the categories of SUNY Gen Ed courses (St-III-5aB). The College mirrors the first two years of the academic plan for any program at the SUNY four-year campuses, expecting that graduates could easily transfer all of their credits to a four-year college or university and begin their experience as a college junior, complying with the SUNY requirement for Community College programs align with educational transfer pathways.

In 2010, the SUNY Board of Trustees revised the general education requirements to the current iteration that students must take courses in at least seven of the ten listed general education categories and demonstrate competency in Information Management and Critical Thinking (St-III-5aC). Exhibit 3 lists the number of general education courses at Herkimer County Community College available to students for fulfilling these requirements:

<u>SUNY General Education Category/Competency</u>	<u>Number of Courses (Spring 2019)</u>
Mathematics	18
Natural Sciences	62
Social Sciences	25
American History	5
Western Civilization	6
Other World Civilization	6
Humanities	25
The Arts	52
Foreign Language	8
Basic Communication	6
Information Management	2

Exhibit 3: SUNY Approved Courses Taught at Herkimer College by Category (Source: Registrar's Office).

In 2012, former SUNY Chancellor Nancy Zimpher and the Board of Trustees initiated Seamless Transfer, a program designed to ensure that students enrolled at any one of the 64 SUNY campuses could transfer all of their earned credits, including General Education credits, to another SUNY campus “seamlessly” (St-III-5aD). In order to carry out that vision, SUNY created Transfer Pathways, which was a vast undertaking that sought to align various courses at each distinct campus to similar courses at other SUNY campuses. As a way to draw students into new areas of intellectual experience, expand cultural and global awareness and cultural sensitivity, and prepare them to make well-reasoned judgments, Herkimer College began adding to its General Education offerings in 2013. When compared to the 2011-2013 catalog (the last official catalog prior to Seamless Transfer), Herkimer College has since added over fifty new offerings to their SUNY General Education Approved Courses list (St-III-5aE) with the idea that more options would better serve our students in earning all of their General Education credits at Herkimer, and to better ensure they are able to seamlessly transfer to another SUNY campus.

Herkimer has adopted the General Education competencies from SUNY’s published Knowledge and Skills categories for General Education, and added to those competencies Critical Thinking and Information Management, all of which are assessed on Herkimer’s 3-year cycle.

SUNY’s Assistant Provost for Assessment and Community College Education, Dr. Deborah Moeckel, presented an overview of possibilities for alignment and integration of competencies to the Academic Assessment Committee (AAC) and the faculty and administrators at the fall 2018 Assessment Day (St-III-5aF). The Committee has since used the information presented to explore the possibility of incorporating all General Education knowledge and skill areas and outcomes into Herkimer’s five ILOs. The AAC made such alignment a priority in its study of General Education Assessment and Institutional Learning Outcomes Assessment toward potential integration of outcomes that would reduce redundancy in data collection and analysis (St-III-5aG). The analysis resulted in an AAC recommendation and proposal to adopt an additional ILO in Technological Literacy (St-III-5aH) to ensure coverage of all competencies in both SUNY’s and MSCHE’s general education requirements. The faculty, during the spring 2020 Assessment Day (St-III-5aI), identified the courses that will align with the ILO F: Technological Literacy, in preparation for the first round of assessment for the new ILO in 2020-2021. Addition of the new ILO into curriculum maps is slated for fall 2020.

The College assesses both Information Management and Critical Thinking competency areas on a three-year cycle (most recently for the 2011-2012, 2014-2015, 2017-2018 academic years). The faculty collaborated to identify specific courses where these competencies are taught and assessed (St-III-5aJ). Critical thinking is also a criterion in the ILO-C: Problem Solving rubric. The Gen Ed and ILO assessment processes rely on a list of faculty-selected courses through which they assess those knowledge and skill areas (St-III-5aK). Assessment rubrics are administered to faculty of those courses per the cycle (St-III-5aL).

Gen Ed Knowledge and Skill Area & Student Learning Outcomes	Achievement Level
Information Management	78%-100%
<ul style="list-style-type: none"> • Perform basic operation of a personal computer • Locate, evaluate, and synthesize information from a variety of sources • Understand/use basic research techniques 	70-77%
	1%-69%
	0% (Did Not Complete)
Critical Thinking	78%-100%
<ul style="list-style-type: none"> • Students identify, analyze, and evaluate arguments as they occur in their work • Students develop well-reasoned arguments 	70-77%
	1%-69%
	0% (Did Not Complete)

Exhibit 4: Learning Outcomes for Herkimer’s Gen Ed Standards: Information Management and Critical Thinking (Source: Offices of Institutional Effectiveness).

In 2016, the College went a bit further in determining the success level at which students were achieving competency in all Gen Ed areas. The Provost agreed that since the entering student high school GPA was hovering between 78 and 80, the College should see if the trend would better show growth if the categories were split at 78% achievement (St-III-5aM).

The Gen Ed Multi-Cycle Multi-Year Trend Analysis (St-III-5aN), shows that in 2016-2017, the 70-100% category was split into 70-77% and 78-100% categories. In 2017-2018, an average of 2283 students were assessed in all five

Gen Ed SLOs across both Information Management and Critical Thinking competency areas. Those results were then compared to both 2014-2015 and 2011-2012 for a multi-year trend analysis. While the College maintains assessment in the split categories, the results of that split are not likely to show significant changes for at least another two cycles of analysis.

Herkimer students are prepared to make well-reasoned judgements, as stated in the Institutional Learning Outcomes (ILOs), ILO C: Problem Solving, focused on preparing students to “develop well-reasoned arguments and conclusions” (St-III-5aP). Program Learning Outcomes are mapped to the ILOs (St-III-5aQ), and therefore, faculty are infusing the competency requirements into their courses and program assessments. Faculty provide samples of the ILO assessment tools with outcomes submitted to the Office of Institutional Effectiveness, as evidence of the opportunities and expectations for students to develop those well-reasoned judgements (St-III-5aR).

Herkimer’s Center for Student Leadership and Involvement offers a variety of programming throughout the academic year. The Center brings in speakers and assists student organizations in developing diverse programs that speak to the wide variety of cultures and backgrounds that make up our student population and beyond in order to broaden horizons and increase global awareness (St-III-5aS).

5b. Offers a curriculum designed so that students acquire and demonstrate essential skills including at least oral and written communication, scientific and quantitative reasoning, critical analysis and reasoning, technological competency, and information literacy. Consistent with mission, the general education program also includes the study of values, ethics, and diverse perspectives

In the Gen Ed area of Basic Communication, the College historically had only one course, EN 111: College Writing, as the primary means of gauging students’ written and oral communication competency. However, in 2013 with the advent of SUNY Transfer Pathways, the College expanded its Basic Communication offerings to six courses. They are: EN 101: Enhanced College Writing, EN 111: College Writing, EN 210: College Writing II, EN 214: Writing Workshop I, EN 225: Public Speaking, and EN 270: Writing for Electronic Media, as found in the SUNY General Education Approved Courses list (St-III-5bA). The student learning outcomes vary in each of these courses but are generally guided by SUNY’s framework that approved Basic Communication courses are “writing-intensive courses that also include significant attention to speaking skills” or “speaking-intensive courses that also include significant attention to writing skills” (St-III-5bB).

The College is committed to providing students with the opportunity to acquire and demonstrate oral and written communication skills as stated in ILO A: Communication (St-III-5bC). Included in that ILO is an assessment of students’ ability “to read, write, and speak to facilitate discipline specific applications and to further their success in other educational endeavors, and/or career situations” (St-III-5bD).

Beyond this, the College makes sure to assist students in refining their written and oral skills through its Academic Support Center. Therein, the College employs a full-time writing tutor who helps students with writing across multiple disciplines, several part-time writing tutors, and several peer tutors, all of whom are recommended by former instructors and vetted by qualified staff after an interview process. Standard IV further discusses tutoring services.

Herkimer College requires at least one mathematics and at least one science course to fulfill graduation requirements. As a part of Herkimer’s SUNY General Education Mathematics and Natural Sciences requirement, characteristics of problem solving are assessed on the same 3-year cycle as other Gen Ed categories. Further, the outcomes align with Herkimer’s ILO C: Problem Solving competencies. Multi-cycle, multi-year analyses contribute to assessment discussions for improving outcomes use and processes improvement (St-III-5bE).

Critical analysis and reasoning are largely woven into the fabric of all of Herkimer College’s course and program outcomes, but the level of student success can be best understood by utilizing Exhibit 4 and its corresponding narrative above. The College assesses its ILOs on a cyclical basis, one of which is ILO C: Problem Solving. Included in that ILO’s scope is critical thinking (St-III-5bF).

Several courses at the College are dedicated to developing and improving students’ basic technological competencies. Among them are: IS 111: Keyboarding Essentials, IS 113: Keyboarding with Document Processing, IS 115: Computer Applications I, and IS 117: Computer Applications II. These courses, however, are most likely to be taken by students

seeking a degree in one of the College's several business programs. Therefore, the College relies on the assessment of the Information Literacy SLOs in ILO B: Information Management, in particular, the SLO stating that students "perform basic operation of a personal computer." As found in the General Education Spring Trends and Results document, 70.60% of students showed success in this SLO at the 78-100% competency level (St-III-5bG, p. 8).

In a world where technology changes daily, there is some ambiguity about how one defines "technological competency". The College's Academic Assessment Committee has drafted a sixth ILO, titled Technological Literacy, in response to the dearth of assessment on this very subject (St-III-5bH). The draft language of ILO F's scope states, "Herkimer College graduates will be able to use various forms of technology to effectively achieve personal, academic, and/or discipline specific goals." Assessing students' ability to evaluate source materials for their veracity and/or academic worth, assessing students' ability to attach a document and/or download and print an attachment, assessing students' navigation skills for the College's chosen learning management system, assessing students' ability to interpret, create, and present information in an electronic medium (such as PowerPoint), and gauging students' comprehension of differing file types and extension/system/browser compatibility are some of the finer points/ideas being considered for inclusion if/when the ILO is ratified.

Information literacy is emphasized campus-wide in all of the College's courses and programs, but the level of student success can be best understood by utilizing Exhibit 4 and its corresponding narrative above. During the 2017-2018 assessment cycle, an average of 1915 students were assessed in all three of the Information Management SLOs as outlined in Exhibit 4. On average, 67.61% of the students assessed achieved success in the 78-100% range (St-III-5bJ p. 8-9). While this is a slightly lower success rate than the results from the Critical Thinking SLOs, there is somewhat more variance in the scope of the outcomes as they are written and designed, where student success is being gauged in anything from the ability to operate a computer to performing basic research skills.

In addition to Herkimer's established list of courses that align with the General Education Information Management competencies, the College continues to promote information literacy overall. For example, faculty are invited to bring their students to information literacy sessions at the Library, which can be geared to the needs of the instructor and course materials, or can be broad in nature, such as using library databases and proper citation styles. The Library has a plethora of handouts and documents that show proper citation formats preferred in higher education, and often helps students locate, evaluate, and synthesize research (St-III-5bK).

Herkimer College prides itself on having a foundation of values, ethics, and diversity in not only its course and program offerings, but as a campus-wide perspective that is pervasive in its day-to-day operation. Many of these principles are highlighted in the College's Institutional Learning Outcomes, its Mission Statement, Core Values, Strategic Goals and tenets of Service Excellence (St-III-5bM).

Furthermore, the promotion of values, ethics, and diverse perspectives is rooted in two of the College's Institutional Learning Outcomes. ILO D: Ethics and Social Responsibility and ILO E: Aesthetic Responsiveness attempt to capture a sense of these principles taking shape across the entire campus (St-III-5bN). Data from ILO assessment is used to inform the development of master plans that enhance unity in achieving goals and outcomes campus-wide (St-III-5bO).

The nature of online learning offers world-wide opportunities for diverse interaction between students and faculty located across the country and around the world, and as leaders in online learning, the Herkimer Internet Academy displays a world map that charts locations of international online students (St-III-5bP).

5c. Not Applicable

6. Not Applicable

7. Adequate and appropriate institutional review and approval on any student learning opportunities designed, delivered, or assessed by third-party providers

The third-party providers of student learning opportunities at Herkimer are few, though the College does maintain a high school concurrent enrollment program called College Now. The high school sites are additional locations, as affirmed through a MSCHE Substantive Change in 2017 (St-III-7A). The College Now Specialist, under direct supervision of the Provost, manages the relationships between the high schools and the College. Faculty who are employed by the high schools are expected to adhere to Herkimer's syllabi, complete the appropriate classroom hours

for credit, and follow Herkimer's processes and procedures for grading, assessments, and rigor (St-III-7B). A College Now subject area liaison visits the high schools and observes the faculty to ensure courses are taught with the same rigor as on-campus courses and provide suggestions for improvement, as needed (St-III-7C). Since, the College Now program is accredited by NACEP (St-III-7D), Herkimer appreciates the added accountability built into maintaining the accreditation standards of the organization.

Another third-party provider of the learning opportunities at Herkimer is the Faxton/St. Luke's Healthcare system, which provides the faculty and some facilities for the EMT Paramedic AAS and Certificate programs. The College had traditionally expected that since more than 50% of the program credits were offered to students on the Herkimer campus, the offerings were not considered third-party agreements that would necessitate substantive change with MSCHE. However, after much discussion and looking into the policies, the College reached out to its MSCHE VP liaison for clarification and was told that indeed a substantive change would be necessary. That was in October 2019 (St-III-7E). Since that time, the College has pursued the partner administrators to allow the College to directly employ the faculty who teach in the program.

8. Periodic assessment of the effectiveness of programs providing student learning opportunities

The College faculty have made great strides in enhancing assessment of student learning. The creation of the full-time Associate Dean of Academic Affairs and Institutional Effectiveness position to direct these efforts has created a culture of assessment and data informed decision making throughout the College community. A systematic process is in place for assessment of course-level, program-level, and institutional-level learning outcomes (St-III-8A).

Specifically, course-level data are evaluated at the end of each semester, and both program- and institutional- level data are evaluated annually. Faculty examine outcomes from each level of assessment for use in guiding improvement in the upcoming term, ensuring that the spiral of assessment and improvement is sustained and valuable (St-III-8B). Information from the entire process is presented and discussed each semester during faculty assessment days (St-III-8C). Institutional and General Education data sets are published annually in the College's Institutional Effectiveness Report Card (St-III-8D) and shared at Assessment Day sessions and Department Leader meetings (St-III-8E). The Assessment Bytes publication, all-faculty email correspondence, and semester checklists serve to regularly update the campus community on assessment issues and expectations (St-III-8F).

Additionally, full program reviews and mid-cycle reviews are completed using a documented process on a cyclical basis; they serve as further evidence of educational assessment and effectiveness (St-III-8G). Campus-wide, a continually evolving procedure is used to assess SUNY General Education requirements; as noted in Standard V and this narrative, the data are reviewed and utilized to inform decisions (St-III-8H). The assessment of student learning, since 2015, is aligned with resource allocation, as requests for resources must be linked to PLO and/or ILO assessment data (St-III-8I).

In compliance with the SUNY Campus-Based Assessment of the Major (St-III-8J), Program Reviews are conducted once every five to seven years. The Program Review Schedule and annual timeline for Program Review are updated through the Office of Institutional Effectiveness in collaboration with the Provost's office (St-III-8K). Further, the Academic Assessment Committee assesses the effectiveness of processes and procedures for usefulness and relevance. An examination of the Program Review system led the committee to update the Program Review Outline, the External Reviewer's Evaluation form, and the Program Review Procedures Checklist in 2018-2019 (St-III-8L). To promote better quality within the document, improved use of the data provided, and completion in a timely fashion, several meetings are held between Associate Deans and faculty assigned to the reviews to explain and analyze data, discuss strengths and weaknesses of the program, and to help maintain a schedule for follow-through (St-III-8M).

Several changes in curricula have developed at least in part from the Program Review process. As a result of program assessment, which included feedback from two external reviewers and the Human Services Advisory Committee, major changes were made to the Human Services A.A.S. program. Four new courses were created to meet current standards within the field of human services, increase employability post-graduation and provide students with additional opportunities for career advancement (St-III-8N).

The four new courses include Chemical Dependency, Group Counseling, Trauma Informed Care and CarePath™. CarePath™ is a partnership with the Mental Health Association of NYS (MHANYS). Upon successful completion,

students are eligible to receive 20 continuing education credits applicable towards their Chemical Abuse and Substance Abuse Certification (CASAC) as well as become Certified CarePath™ Coaches through MHANYS.

Steps have also been taken to provide the new courses online to students enrolled in the Human Services A.A.S. program through the Internet Academy which is expected to be implemented in the fall of 2020. Based on these changes and suggested improvements, a plan is in place to hire a part-time adjunct instructor to support the program's expansion and steady enrollment.

Assessment results, analyses and recommendations are documented in a Program Review self-study report by a committee of faculty who teach core courses in the degree program (St-III-8O). The report is reviewed by an external peer review team. The review team usually conducts a campus visit to meet with Program faculty, visit Program facilities, possibly meet with students or review student work, and validate the findings in the Program Review Report (St-III-8P). A summary of assessment results and actions is forwarded to the responsible Associate Dean, Provost, IE Office, and if needed, the Budget Committee.

At Herkimer, PLOs are assessed annually, rotating through one per year, as decided upon by the department faculty. Assessment results have been documented and maintained in the HCCC Assessment Handbook, available to all faculty and academic deans (St-III-8Q). Program action plans, as part of the Annual Program (PLO) Assessment template, are also established and discussed at Assessment Day sessions where faculty use assessment results to create plans for improvement of student learning. Faculty continue the improvement cycle on those action plans by discussing assessments and collaborating on tasks to fulfill the plan. The mid-cycle report is a more informal assessment collected annually on a rotating basis from those programs that were reviewed two to three years prior. Its purpose is to prompt discussions between faculty and associate deans to examine and analyze the progress made on recommendations within the Program Review, and to develop a continued action plan. The mid-cycle report is also reviewed by the division Associate Deans along with the Provost. (St-III-8R)

ILO and Gen Ed Assessment reports are housed in the Institutional Effectiveness and Institutional Research suite, and program reviews and general program statistics are available through the Provost's office. For programs requiring external accreditation, information is available through the College's website (St-III-8S) and academic department faculty. The Taskstream Accountability Management System (AMS) software is being implemented for department reporting and will include Academic Program Review by the end of the spring 2020 semester. The College has used a home-grown reporting storage system to fill the gap during the transition from the previously used WEAVE software to Taskstream AMS.

Consistency and relevance in design and delivery of courses and programs offered at all locations and through all modalities, is achieved using multiple reference points and measures. Herkimer's program development processes fully consider internal data from student feedback, available resources, industry trends and local/regional employer needs, SUNY expectations such as Transfer Paths, and exploration of other comparable colleges (St-III-8T).

Great strides have been made in the assessment of general education coursework and related learning outcomes, and it should be noted that a cyclical process for analyzing this accumulated data has been in use at Herkimer for nearly a decade. Information gleaned from the assessment tools is now regularly presented to all constituents of the campus community so that it can be discussed both formally and informally in order to determine what data-informed actions should be taken. Examples that demonstrate continuity of this process include: agendas with data sharing for regularly scheduled All-Campus meetings, Assessment Days, Academic Team, Survey Team, IE Steering Team and the SPIE Committee, as well as publications such as "Assessment Bytes", the IE Report Card and trend data reports posted on MyHerkimer.

Conclusion

For the current student population, the faculty:student ratio is effective to maintain a strong, small class, educational experience at the College. Assessment has become part of our culture campus-wide, and we have learned how to effectively utilize assessment data to improve campus life and education here at Herkimer College. Programs are nationally-recognized for excellence and are designed by faculty who are leaders and achievers in their subjects and fields of study. Articulation agreements and shared education services have increased, providing more students with even greater educational and career opportunities. Implementation of program changes and updates illustrate the

effectiveness of the Program Review process and its link to Institutional Effectiveness. Allocation of funding for new full-time faculty illustrates the effectiveness of the assessment process from course-level to institutional-level data review, informing campus decision making.

Opportunities for Improvement and Innovation

- Rehire full-time faculty positions to ensure program coverage as much as possible.
- Encourage and support faculty and staff in self-identified professional development opportunities to ensure the highest quality educational experiences for students.
- Pro-actively pursue enhanced dialogue with local and regional community representatives, to help meet current and future employment needs.
- In an effort to better represent the diverse population of our student body, the Diversity, Equity and Inclusion Plan should incorporate goals that recommend examination and revision of staff recruiting/hiring processes to offer increased opportunities for prospective employees.
- Increase applied learning opportunities.
- It is recommended that the assessment process:
 - become more streamlined each year to ensure the process is clear and effective
 - completely convert to digital reporting to make data collection more efficient and effective
 - increase assistance to adjunct faculty in development of courses, effectiveness of teaching, and assessment data collection
 - assist faculty to better understand and utilize outcomes results and maintain consistency in the continuing the loop process of improvement
 - become more transparent in how data are utilized at the highest administrative levels on campus

Standard IV: Support of the Student Experience

“Across all educational experiences, settings, levels and instructional modalities, the institution recruits and admits students whose interests, abilities, experiences and goals are congruent with its mission and educational offerings. The institution commits to student retention, persistence, completion and success through a coherent and effective support system sustained by qualified professionals, which enhances the quality of the learning environment, contributes to the educational experience, and fosters student success.” (Middle States Commission on Higher Education Standards for Accreditation, Standard IV).

“You get everything you need at Herk. Clubs, sports, housing, schooling...you get it all.”
Cassandra D., Music Industry, class of 2020

“The services are diverse and effective.”
Daelan S., General Studies, class of 2020

- 1. An accredited institution possesses and demonstrates clearly state, ethical policies and processes to admit, retain and facilitate the success of students whose interests, abilities, experiences, and goals provide a reasonable expectation for success and are compatible with institutional mission, including:**

Herkimer College rebranded itself in 2014 with a new logo and website, and a focus on providing students with “a premier two-year college experience”. As the new MSCHE Standards for Accreditation were being developed, Herkimer’s Institutional Effectiveness department began weaving Herkimer’s new brand focus into its Integrated Strategic and Operational Planning for all academic and student services departments. An in-house qualitative questionnaire allowed students to identify what their definition of “a premier two-year college experience” would be, and what students perceived “student success” to be (St-IV-1A). The results revealed three overarching themes for the premier experience: Quality of Life, Academics, and Value to the student. The details of these three categories were considered and infused into department operational planning. This model helped guide department leaders in cohesive, targeted planning and implementation of initiatives toward building the student experience (St-IV-1B).

Premier 2 yr. Student Experience Plan for Student Success

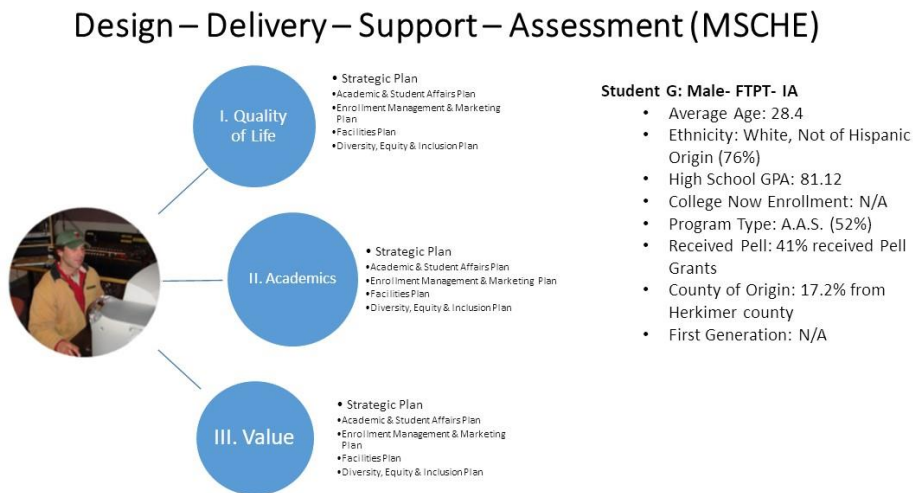


Exhibit 1. Sample Premier 2-year Student Experience Plan for Student Success (Source: Office of Institutional Effectiveness).

At the same time, master planning was further developing on campus to include a student services plan along with the academic affairs plan. It was decided that since the Academic and Student Affairs pillar committee was representing both areas, one master plan could address both academic and student affairs in what became the Student Success Plan (St-IV-1C), predicated on building the premier student experience.

In a workshop for applying the model, department leaders identified how they could select a cohort and align their goals for creating an expected experience and eliminate barriers to student success. This workshop facilitated discussions on collaborative planning to meet the established needs. For example, Campus Safety set a goal to implement a “community policing” model that involved the department working collaboratively with the Center for Student Leadership & Involvement to enhance the student’s Quality of Life (St-IV-1D).

The Business, Health, Science & Technology Division identified the need to conduct a comprehensive review of the math placement test, including both its content and procedures for online students. The overall goal was to collaborate with the Academic Support Center to design a less stressful experience for the student. This change would also result in more accurate placement of students, and increased math success, thereby supporting the students’ need for quality Academics (St-IV-1E).

The Public Relations Department established two goals as a result of the above referenced workshop. Goal One was for the college to have a positive image among external stakeholders. Goal Two was to ensure that the college’s website would serve as an effective marketing tool, as “Image” was defined by our students as an important Value (St-IV-1F).

These activities served as a springboard for the Service Excellence initiative across campus. For more information on Service Excellence see Standard V.

a. accurate and comprehensive information regarding expenses, financial aid, scholarships, grants, loans, repayment and refunds;

Herkimer College provides comprehensive information regarding all expenses and fees for tuition and living (St-IV-1aA). Students are charged tuition per semester based on in-county, out-of-county, out-of-state, and international status. Students can also use the SUNY Net Price Calculator (St-IV-1aB) to determine their exact cost of attending college. As described in Standard II, students have access to information regarding financial aid services that are provided by the College. The information is located on the College’s website and may also be accessed through on-campus workshops and individualized sessions conducted by Financial Aid staff.

The Herkimer County College Foundation supports over 80 scholarships and scholarship programs that award more than \$130,000 annually to eligible students (St-IV-1aE). The College’s website provides a listing of available scholarships. All students are eligible to apply for scholarships during the fall semester via an online application. A Scholarship Committee is tasked with identifying recipients.

Students paying out of pocket for tuition, meal plans, or housing have the opportunity to set up interest-free monthly payment plans (St-IV-1aF). Herkimer’s website goes into detail on how to set up a payment plan and what the advantages/disadvantages are. Herkimer’s refund policy and refund schedule are also located on the website (St-IV-1aG).

b. a process by which students who are not academically prepared for study at the level for which they have been admitted are identified, placed, and supported in attaining appropriate educational goals;

Placement

Herkimer is committed to identifying, appropriately placing, and supporting students at all levels of academic preparedness and educational backgrounds. Admissions, Advisement, Academic Support, and the Academic Divisions, all play a role in providing students the opportunity to succeed in their academic endeavors.

Degree-seeking students are assessed for academic readiness during the application process. Admissions staff review high school and prior college transcripts to determine if placement testing is required. On-campus students may be required to take a math placement exam, while online students may be required to take both English and math

placement exams. Prior to attending one of the College's Registration Days, new on-campus students are notified if they must take the math placement test, and a math review session is available for students before the math placement test. Students are notified of the placement decision either immediately before registration, or via email (St-IV-1bD).

Students are encouraged to attend a Registration Day, which includes math placement testing with Accuplacer, meeting with an academic advisor and/or admission assistant to register for classes, parent sessions and information tables. Students unable to test on-campus may arrange remote testing with an approved proctor. In an effort to make the placement testing/registration process more accessible and convenient for students and families, Herkimer College has initiated additional opportunities for students to complete the registration process. Students who do not need placement testing may register over the phone with either an admissions or advisement specialist.

Online students who do not meet the exemption criteria must submit a writing sample and take an online math placement test through the Herkimer College website. The full list of criteria is provided on the College website (St-IV-1bB).

Mohawk Valley Correctional Facility (MVCF) students take the same placement test in hard copy due to technology restrictions.

Historically, the College used several different methodologies (including Accuplacer) to determine students' placement in developmental versus credit-bearing English courses. A voluntary pilot study was conducted in the fall 2018 semester, which showed that approximately 15% of incoming students were placed into developmental writing.

Currently, multiple measures that include high school GPA, last course in the discipline, and SAT or ACT test scores are used to place students in the appropriate English course. The Accelerated Learning Program (ALP) course EN003: Essentials of Writing was implemented in spring 2019, and the course is required of all students who score less than a 75% on English Regents or English 12 (St-IV-1bI) (St-IV-1bJ).

According to Accuplacer data over the last 3 years, approximately 55% of our incoming students require a developmental math course (St-IV-1bK).

- MA095: Elementary Algebra: Students who score 49 or less on the math placement test must take this developmental course. Online students with scores of 19 or less are placed in this developmental course.
- MA097: Quantitative Reasoning: Students pursuing a non-STEM degree program are placed into Quantitative Reasoning rather than Elementary Algebra.

International students take the Michigan English Test (MET) for English as a Second Language (ESL) reading and writing placement, and the College Level Math Accuplacer test for math placement. Students are placed into developmental ESL courses based on both the results of the MET test and an additional graded rubric (St-IV-1bE). ESL students are placed into appropriate developmental courses according to the placement test score guidelines set by the institution (St-IV-1bF). International students placed into ESL courses are evaluated at the end of the course to determine if further developmental coursework is required, or if they can move on to credit-bearing English courses. This assessment is recorded on a Course Exit ESL Proficiency Evaluation form (St-IV-1bG).

Support

Herkimer College has a full-service Academic Support Center (ASC). The ASC provides a learning environment and services appropriate to students' needs. While these services are available to all students, they are critically important for academically underprepared students, especially during their transition to college. More details are provided later in this Standard. Services that benefit underprepared students include:

- Jumpstart Program: This program is conducted prior to the start of fall and spring semesters to prepare students for academic collegiate expectations. It is also an introduction to the various services provided on campus and helps students develop academic confidence (St-IV-1bL).
- Tutoring Services: Tutors are available in the ASC for a variety of subjects. The college also employs full-time English and Math Specialists (St-IV-6D).
- Embedded Tutoring: Tutors are placed within the classroom and hold separate study sessions for the course (St-IV-6D).

- Academic Coaching: Coaches help guide students to achieve their educational goals by providing early intervention services and helping students connect with additional services (St-IV-6D).

c. orientation, advisement, and counseling programs to enhance retention and guide students throughout their educational experience;

Orientation

In planning for our students' transition to college, Herkimer's student orientation is continually evaluated for the effectiveness of its processes, content, time frame, and delivery mode. Information is obtained via a student survey (St-IV-1cA), informal faculty feedback, and department leaders, particularly in Academic and/or Student Services Team meetings.

Orientation Day is designed to help students adjust to their college experience socially, providing information on various resources and policies on campus. Both residential and commuter topics are covered (St-IV-1cB). Students receive correspondence each semester regarding orientation and it is also promoted on the college website. The extension of the orientation experience begins immediately as the residential life professionals assist students in settling in and making connections.

Online learners have access to the Open SUNY Blackboard Student Orientation (St-IV-1cC) module through Generals Online, which provides them with information about navigating online courses, online coursework success strategies, and resources available to them. The Internet Academy also encourages students to log into courses early to best learn to navigate the medium prior to the start of courses.

The Office of International Programming works with international students as they arrive prior to the start of classes. International student orientation takes place approximately 5-7 days prior to New Student Orientation and the first day of classes. This orientation acclimates international students to not only Herkimer College, but the United States as well. Sessions cover topics such as how to use Herkimer technology (i.e. email and MyHerkimer), set up bank accounts and/or cell phone plans, immunization requirements, academic success, communication skills, and other critical information (St-IV-1cD).

Faculty who teach at Mohawk Valley Correctional Facility are cleared by the Department of Corrections and Community Supervision (DOCCS) and are oriented at the beginning of their service and refreshed once a year (St-IV-1cE). The students in this program participate in an orientation with the Associate Dean of Academic Affairs in charge of this program and the Education Supervisor who is a DOCCS employee and is responsible for all educational programming at the facility.

First-Year Student Seminar is a course that addresses new student transitions to freshman life in a 15-week course that introduces students to college resources and navigation skills that will assist them in making a positive adjustment to college. Herkimer follows a model that extends Orientation Day for continuation of the transitional content (St-IV-1cF). All students are required to take FS100, FS101 Honors, or FS105 Science, unless transferred in. This is a local one credit requirement toward graduation.

Advisement

Improving student advisement is a priority item for Herkimer College. Students may experience one of several different approaches to advisement throughout their college tenure. The Director of Advisement provides strategic advisement placement by assigning students to faculty advisors based on student need. The goal is to help students make a connection so that they are more likely to persist, thus facilitating student success. When a program does not have a full-time lead faculty member, the student is assigned to the Advisement Center for consistency in the advising relationship. The likelihood of an early connection often grows when the student takes a class with their faculty advisor, and therefore such assignments are made as often as possible.

A hybrid model of advising is currently employed by the College. Advisement Specialists are assigned students in specific populations (Excelsior Scholarship recipients, SUNY Online students and students who have been separated from the college for more than a year and wish to return). Additionally, the Advisement Specialists serve as secondary advisors to the entire student body. Faculty advisors are provided with important academic advising information through the Academic Advisement Office, which is updated as necessary (St-IV-1cG).

Students' academic progress is evaluated at the end of every semester. Revisions to the federal Student Academic Progress (SAP) regulations and the New York State requirements for compliance (St-IV-1cH) led Herkimer College to reexamine support services for students who are at risk of failing. As a result, Academic Advisement Center and Academic Support Center staff took the lead in reinstating, tracking, and supporting students who earned negative standing. To provide the best chance for academic recovery, students who fall within "Academic Review", "Academic Restriction" or "Academic Dismissal" status are provided supplemental advisement support by an Academic Advisement Center Specialist. This allows the same person to reinstate the student, be available to answer questions, guide the student through the unique policies connected to student standing and support the student with an immediate game plan.

Academic Recovery plans were created within Herkimer College's early alert system, Starfish (St-IV-1cI). The Advisement Center and Academic Support Center track and monitor student progress. Through the plan, students will gain an understanding of:

- their student standing and the impact of academic history with the SAP chart;
- the impact of dropping/failing classes;
- the services available to them on campus; and
- academic behaviors to ensure success via 1:1 meetings with Academic Coaches and student success webinars.

At the end of each semester, the Academy Recovery Plans are available to the associate deans, financial aid staff, and registrar to aid in future appeal decisions.

Both students and the advisors use the DegreeWorks degree audit system, (St-IV-1cJ) a web-based tool designed to aid students in understanding requirements for their degree program. DegreeWorks assists with calculating proper credit totals, scheduling courses in appropriate semesters, and ensuring SUNY general education requirements are met to facilitate transfer within the SUNY system (St-IV-1cK). Continuing students are encouraged to proactively and independently create their own schedule. Additional support is available via group advisement sessions and advisement labs with drop-in hours.

Curriculum change advisement is also offered through the Advisement Center – a service for the whole student body. Nearly 60% of curriculum changes occur in the student's first semester. Herkimer continues to apply a variety of initiatives to reduce the number of curriculum changes and therefore facilitate on-time completion. Students seeking curriculum changes are advised about positive and negative effects of any curriculum changes, including how many prior credits will be accepted into another program. Curriculum change procedures for on-campus and Internet Academy students are the same and the form is available through the College website (St-IV-1cL).

Counseling Center

The mission of the Counseling Center is to provide students with supportive counseling services that encourage personal, professional and academic success in a comfortable, unbiased, confidential environment. The Counseling Center provides individualized counseling sessions, programs, group support and on-campus trainings for student leaders and other groups. The majority of the students utilizing services are self-referrals, followed by faculty and staff referrals. The Counseling Center provides immediate follow-up and outreach to students that are identified in weekly General Care Team meetings and to students identified by faculty and staff through phone calls, emails, or the Counseling Center Student Referral Form (St-IV-1cM). When students make the decision to seek out services, counselors continually assess the student's progress. To assure best practice, referrals are made for students that require treatment outside the Counseling Center's scope of practice. The Counseling Center commits to assisting the Gen Z student population by researching and utilizing innovative resources, which include: appointment reminder text messages, anxiety and stress-reduction apps for iPads and cell phones, and cell phone audience response systems, such as answergarden.com, during trainings and presentations.

An Animal Assisted Therapy program certified through Therapy Dogs International has been integrated into the Counseling Center to make students feel more comfortable and motivate their participation in counseling services (St-IV-1cN). Students reported feeling less tense and anxious after visits with the certified therapy dog, Renegade. Due to popular demand, the Counseling Center has expanded the initiative to an all-campus weekly, "open drop-in hour" with Renegade. The Counseling Center has continued to see a steady increase of students seeking services and counseling sessions over the past seven years.

d. processes designed to enhance the successful achievement of students' educational goals including certificate and degree completion, transfer to other institutions, and post-completion placement;

The Academic & Student Affairs pillar committee identified four areas of student success: 1) experiencing meaningful learning; 2) finding the right fit: relevance and retention; 3) embracing student life opportunities; and 4) belonging to a community. These areas all align with the College's Strategic Plan and were used to develop the Student Success Plan. Student Success Plan Goal #5: Increase student success by reducing key barriers to persistence, retention and completion, including actively promoting student excellence, speaks directly to this standard (St-IV-1dA).

The Student Success Plan is a holistic approach to helping students achieve their educational goals. Student support services like the Academic Support Center, Library, Academic Advisement Center, Transfer Services, and Career Services together create the foundation from which students receive guidance in achieving academic success, course success and certificate and degree completion, as well as their individual post-secondary placement goals. This is evident in our graduation rates, transfer rates and retention/persistence data (St-IV-1dB).

Collaboration is a strong element of our campus culture and is critical for facilitating productive interactions with students. For instance, our Human Services academic program is enhanced by the Human Services student club, and the faculty and students work closely with Career Services to provide professional development and connections within the field. The same can be said for programs like Criminal Justice and Physical Therapy Assistant. In fall of 2018, Career Services also hosted an "Internship/Employment" expo for Human Services students with agencies and organizations within the field. This initiative will continue in the future, as feedback from both students and the agencies who attended indicated it was a success.



Exhibit 2. Academic Support Center "Very Important Partners" (VIPs) (Source: Academic Support Center).

Academic Support Center

The Academic Support Center (ASC) serves as a hub for connecting academic and student services by providing a comprehensive set of services at no cost to students. At the ASC, students receive tutoring services from highly-qualified professionals, most of whom have earned master's degrees, and all whom have previous teaching or tutoring experience. Some tutors also serve as teaching adjuncts at the College or nearby institutions. The professional tutoring staff are supplemented by exceptional current students, referred by faculty and hired as ASC Peer Tutors (St-IV-1dC). The ASC's tutoring program is Level II certified by the College Reading and Learning Association (St-IV-1dD).

Students can take advantage of several different types of tutoring, depending on their preferences and needs: traditional individualized tutoring sessions, facilitated small group study, Online Skype, E-Tutor, and Net Tutor. Drop-In Math and Writing Labs are available and appointments are not necessary. Students may work independently with tutorial help nearby on either math problems or writing assignments.

Strong collaboration with faculty is critical in delivering tutoring services that are connected to course learning objectives. Supplemental Instruction or Embedded Tutoring was recently implemented at Herkimer and early data demonstrates promising results from this new initiative.

At-risk students in select academic program cohorts benefit from working with an ASC academic coach to improve college-related skills, including but not limited to: time/task management, goal setting, study skills, interpersonal communication and confidence building. The Academic Coaches rely heavily on the “hub” concept of student services to deliver a highly connected experience. Academic Coaches work especially closely with the Advisement Center, for example, to make sure their assigned students that are on Academic Recovery plans are fulfilling their plan agreements (St-IV-1dE). In addition to the students who have been selected for coaching, any student desiring the benefits of coaching can be matched with a coach upon request.

According to fall 2019 statistics, 42% of Herkimer’s student population utilized the ASC in some capacity. Students appreciate being able to use both the quiet spaces and the collaborative learning areas of the ASC to get their work done, as well as having access to computers, printers, science manipulatives, and calculators. The ASC is open to students 46 hours/week on the main campus (St-IV-1dF). The residential life Housing Office includes a quiet study area that provides additional access from 7:00 p.m. – 1:00 a.m. Sunday – Thursday.

Early Alert System

Hobson’s Starfish is a student retention tool that provides students with a central location to access their professional support network of faculty, staff and success coaches, as well as other resources and information about their academic progress. Faculty can raise flags, give kudos, send messages, make to-do lists, and more in a comprehensive effort to increase student retention and completion (St-IV-1dH). While some faculty and staff attribute improvement in student success to the use of Starfish, the college does not currently have definitive results that demonstrate improved learning. Academic Advisement and Academic Support Center staff track usage and use it as a communication tool to inform students of their progress, or lack thereof, in courses. The first two academic years have been primarily onboarding users. With anticipated increased usage by faculty, staff and students, data should be more conclusive after another academic cycle.

Transfer Services

Transfer Services is responsible for assisting students with transfer to a four-year college or university, specializing in areas such as: applications, the college search, selection of major, transfer of credit, transfer scholarships and college visits. The Advisement Specialist for Transfer Services works closely with four-year institutions to develop transfer articulation agreements. The specialist also works with faculty and associate deans to pursue agreements with transfer institution (St-IV-1dI). Transfer College Days, which host over 60 college representatives, and individual on-campus visits with four-year transfer advisors, are also coordinated by the Advisement Specialist for Transfer Services. A transfer resource library and individualized college searches are additional resources provided to all students seeking transfer. A Transfer Checklist and Frequently Asked Question handout is provided to students seeking transfer (St-IV-1dJ). During the 2017-2018 academic year, 187 students obtained transfer services.

Career Services

The Career Services department, as indicated by their mission statement, is focused on supporting the student experience. The “In Their Own Words” campaign began in 2017, in which students that had received career services and achieved their identified service goal were invited to participate. Students were asked to write about their success and the role career services played in assisting them.

Herkimer
CAREER SERVICES

In Their Own Words

"Career Services provided workshops for me to learn more, assisted with writing proposals, and supported me through consultations pertaining to employment.

HCCC is the best kept secret in Herkimer - affordable, clean campus, great teachers and administration works with students to ensure success.

The staff in Career Services genuinely want students to do well. They are very supportive."

CJ Martinez, Student
Photography Technology - A.A.S.
Class of 2018

Career Services is located in RMCC 302

Exhibit 3. Sample of a student’s “In Their Own Words” (Source: Career Services).

Through planning, data collection and assessment, the Career Services department has expanded and adjusted services to more effectively meet its mission. In doing so, the Career Services department provides an effective support system that shapes the student experience and fosters student success (St-IV-1dK).

Student Success Measures

Herkimer College uses a consistent measurement of student persistence, retention, and completion per various student cohorts. According to VFA Two-Year Progress Measures data, students in the fall 2016 Main Cohort had a 74.3% persistence rate (fall to next term retention) (St-IV-1cO). This semester-to-semester gauge is being coupled with measures of progression to examine connection between persistence and grade point average. According to the IPEDS reports from 2016-2018, 33-35% of students attending Herkimer College graduated with their degree within 150% of normal time (St-IV-1cP).

2. Possesses and demonstrates policies and procedures regarding evaluation and acceptance of transfer credits, and credits awarded through experiential learning, prior non-academic learning, competency-based assessment, and other alternative learning approaches;

Transfer Credit

Any student who has earned college level credit from an accredited institution and wish to transfer that credit to fulfill degree requirements at Herkimer College must have official transcripts sent from the institution awarding the credit directly to the Admissions Office (for new transfer students), or to the Registrar's Office for continuing students. The Registrar's Office evaluates transcripts based on the applicability and equivalency of the credit toward the requirements of the student's program. In order to be awarded transfer credit, a grade of C or higher must have been earned in the course work. The College's residency requirement is 50% of the total number of credits required for the degree or certificate; therefore, no more than 50% of the credits required for a degree or certificate can be transferred.

Credit by Examination

The college may also award transfer credit for college level course work, provided it is applicable to the student's program of study, via the following instruments: Credit for Advanced Placement Examination (with a score of 3 or higher); credit for high school or vocational school training course work where an articulation agreement is in place (and the requirements for awarding the credit are met); College Level Examination Program (CLEP) with a minimum test score of 50; College Proficiency Examination (CPE) administered by the New York State Department of Education; and training programs evaluated for credit through NOCTI (formerly DANTES) and the American Council on Education (ACE). Details are provided in the 2019 College Catalog (St-IV-2A).

Prior Learning Experience

The College's procedures for addressing prior learning experience vary depending upon circumstances of the requests. No credit is given for prior job experience itself, but rather for the knowledge base gained from prior experience. According to the College Catalog, students wishing to receive prior learning credit for previous training, experience or independent study, may gain credit through proficiency examinations as arranged through the appropriate academic division. For example, the BHST Division procedures allow for test-out (St-IV-2B). Our response to experiential learning credit is a work in progress; a procedure is still in development. Students may receive credit for experience and training acquired through military service if it meets American Council on Education (ACE) standards. Students can process requests with the Registrar. Details are provided in the 2019 College Catalog (St-IV-2C).

3. Possesses and demonstrates policies and procedures for the safe and secure maintenance and appropriate release of student information and records;

Herkimer College students experience the level of security in their personal information that is expected in every institution of higher education. Student records, passwords, release of information and confidentiality are addressed with integrity that ensures appropriate policies are clearly established, published and accessible for all constituents. These are explained in more depth in Standard II. Every time a student logs into their computer account, the Acceptable Use Policy is acknowledged and requires that students adhere to the policy standards (St-IV-3A).

Over the last few years, Herkimer College network infrastructure has enhanced its information security posture and the security strengths are evident (St-IV-3B). The Information Technology department continue to improve the College's information security posture by implementing industry-defined best practices. Daily monitoring, frequent testing and upgrading, enhances the entire service offerings of the IT Department, which includes Network, Helpdesk, Programming and Audio-Visual services for students and staff. The Acceptable Use Policy, updated in 2019, delineates expectations for each area except Audio-Visual services (St-IV-3C).

Assigning user account access is carefully considered and the processes for such exist in the Acceptable Use Policy. The account type determines the degree to which the user has access to read or manipulate student information and records. A list of security classes available in Banner is used to assign various amounts of access to student information and records. Department leaders request user account access for their staff as needed.

Through the Banner system, students may add a proxy through the FERPA management tab, and once activated, the student and proxy are sent an email with a password; they log in and create the information asked for. Students can see to whom they give access to their account and they are allowed to give specific access to each individual proxy (St-IV-3D). Faculty and staff are only allowed to provide student information to those individuals the student has authorized and only information that student has agreed upon.

When students need official transcripts, they must access the submission form online or in the Registrar's Office to release official documents (St-IV-3E). An original signature is required by the requestor regardless of which request mode is used. Fees may be remitted in person, by mail, fax or email. Additionally, the security of academic records is ensured through a confidential folder system for which an individual must sign and date each time a folder is reviewed. As part of FERPA, students have the right to know who viewed their records (St-IV-3F).

Internet Academy access is provided for students through the Internet Academy office, which is separate from the IT Department. Students registered for the online courses log in through the HerkimerGO (Generals Online) system. Every time a user logs into the system, they must authenticate with their username and password. Also, since the Blackboard LMS is provided under the SUNY umbrella, FERPA is upheld through all administration of the coursework. However, student records and student information are directly housed in the Banner system which is the same for online and on-campus students, as well as all web and software services. Access to student information is strictly protected and controlled via the permission granted to College administrators and/or faculty only. Student grades and information are available only to the professors of their courses. Students can access only their own grades in a course; they cannot see their classmates' grades.

As an additional measure of communication, the Internet Academy provides online students with a Student Success folder of information that lists procedural items as reference, including the technology use policies (St-IV-3H). Only three administrators within the Internet Academy office have administrative access to any official records/grades within the system. Any need for information must be formally requested through the IA office.

The Coordination of Services for Students with Disabilities (SSD) keeps student records in a locked file, located in the SSD suite. The records are accessible by SSD personnel only. The SSD coordinator is responsible for updating the file with any pertinent information. Counseling Center professionals take great care to ensure confidentiality of student records by securing student files, without student names, in a locked filing cabinet which is located in the locked storage room in the Counseling Center suite. The only professionals who have access to the files are the Director of Counseling Services and two part-time counselors. Student files are stored for seven years and then shredded. The Prevention Services Coordinator store student Intervene files by a client identifier code in a locked filing cabinet in their office, located in the Counseling Center suite.

Through Herkimer's affiliation with SUNY, the College was offered the opportunity to partner as a pilot campus in a new SUNY Online initiative, through which Herkimer currently offers two programs online: Crime Intelligence Analysis AAS and Cybersecurity and Digital Forensics AS programs. The SUNY Online program provides a shared instance of the Learning Management. The same college procedures that apply to Herkimer's online programs also apply to programs offered through SUNY Online procedures (St-IV-3I).

4. Possesses and demonstrates policies and procedures for athletic, student life and other extracurricular activities that are regulated by the same academic, fiscal and administrative principles and procedures that govern all other programs.

The primary document for official student policies, practices and procedures is the Herkimer College Student Handbook. Students and prospective students may access the Student Handbook (St-IV-4A) on the College website. Introduced during New Student Orientation, the handbook includes the Student Code of Conduct (St-IV-4B-pp 35-37), along with useful information regarding many other regulations and guidelines. All students are required to abide by the rules and regulations established within the Student Handbook. Many First Year Seminar instructors include use of the Student Handbook in their classes to reinforce student awareness and understanding (St-IV-4C).

The Faculty Student Association (FSA) is a separate non-profit entity that supports and provides additional funding for various student activities, student clubs, and athletics. The FSA bylaws define board directors and describe the purpose and guiding principles of the organization (St-IV-4D).

Herkimer College's Athletics, Residence Life and Center for Student Leadership & Involvement all have policies and procedures in place that are regulated by the same standards as other departments on campus. This includes, but is not limited to: budgeting, professional staff development, qualified and experienced staff members, mission statements, and up-to-date procedure manuals and operational planning (St-IV-4E, St-IV-4F, St-IV-4G).

Athletics

The mission of the Herkimer College Athletics Department mirrors the college's mission, vision and core values. Herkimer's athletic mission focuses on preparing students to compete, achieve and succeed in academics, athletics and life skills. The Herkimer Athletic Department promotes and fosters junior college athletics at a regional and national level in compliance with MSCHE Athletics Guidelines (St-IV-4H). Students may participate in athletics to enhance their college experience at any of three levels, including: intercollegiate, intramural or as a spectator. Herkimer student athletes compete within the National Junior College Athletic Association (NJCAA) Division III and Region III of the Mountain Valley Conference. The College offers 19 varsity sports teams and one junior varsity team with approximately 250 men and women competing. Specifics for operations within the NJCAA and Mountain Valley Conference guidelines are in the Athletic Department Manual of Procedures (St-IV-4I).

Coaches and student athletes must adhere to rules and procedures established by the NJCAA and Title IX. Policies and procedures for coaches are outlined in the Coaching Handbook (St-IV-4J). Students may access full disclosure of policies for athletic eligibility, student athlete code of conduct and required physical exams at the College Athletic Website and in the Athletic Department Manual of Procedures (St-IV-4K).

The standard process for integrated strategic operational planning facilitates the development of the Athletic Department budget at all levels, including: personnel, facilities, and technology. The Director of Athletics collaborates with other administrators to align goals, initiatives, outcomes, and assessments with master plans and strategic goals (St-IV-4L).

Student Life and Extracurricular Activities

The Center for Student Leadership & Involvement, in collaboration with the Student Government Association, provides students with nearly 300 social and educational programs each year. College personnel from a variety of offices across campus collaborate to provide a diverse and informative array of programming. A comprehensive event calendar can be found on Herkimer College's website for the latest updates regarding programming and upcoming events (St-IV-4M).

Students are encouraged to take on leadership roles and participate in well-organized, relevant opportunities of interest. Club advisors are trained through the Center for Student Leadership & Involvement to model for students a well-organized process for club development (St-IV-4N). As new advisors are on-boarded, or as new clubs are formed, additional trainings are provided. Topics include: processes for requesting activity space; recording club business in meeting minutes; end of year reports; fundraising activities and requests; and program planning. The club funding process is explained to club advisors each fall. The FSA Board is responsible for approving an annual budget for clubs/organizations, athletics, and the Center for Student Leadership & Involvement. Student clubs receive \$500 start-up budgets, and may request additional funding through the Student Government Association. The current funding process was adopted in 2018-19 in an effort to get students more involved in the budget process and to ensure more equitable distribution of funding for clubs and organizations.

Over 25 campus clubs and organizations serve to support and augment the varied extra-curricular and co-curricular interests of the Herkimer College student body. A paradigm for creating opportunities for students to experience complementary learning in both extracurricular and major coursework drives the development of clubs and organizations. For example, the Physical Therapist Assistant Club involves students in a variety of fundraisers to support their trip to the annual Combined Sections Meeting of the American Physical Therapist Association Conference, and the New York PTA Lobby Day, both of which are directly related to academic curriculum. Base funding is provided by the Carl D. Perkins CTE Grant and supplemented by club fundraisers and the Student Government Association. The PTA Club also participates with other clubs in on-campus events such as the Successful Student Fair, Club-Organizations Showcase, and the Alcohol Awareness Fair Mocktail Contest. Students document

their activities in an end-of-year report that highlights their accomplishments (St-IV-4O). Other clubs that often incorporate co-curricular content in activities are: Criminal Justice Club, Fashion Club, Music Industry Club, Radio-TV Club, Education Club, and Human Services Club. Extra-curricular clubs are most noted for providing students with an outlet for their interests or hobbies. Some examples of these clubs include: Gaming Club, Anime Club, Campus Christian Fellowship, and SADD (St-IV-4P).

Students wishing to start a new club complete the process as outlined in the Club/Organization Start-Up Kit available on the website and from the Director of Student Activities (St-IV-4Q). Final approval/denial is decided by a vote of the Student Government Association. The process for club development is best exemplified in the new Generals First club, a student-proposed group that came about through interdepartmental collaboration on behalf of the interested students. The evidence reveals that through a well-established Honors Program and the New Club/Organization Start Up Process, the college enhanced the quality of the learning environment. What started as an academic program initiative (the Honors Program project) organically transformed into a student affairs initiative, which culminated in the formation of the Generals First Club (St-IV-4R). A student identified a need, and through a well-established and efficient process the College was able to address that need and support the initiative. The learning process transcended the classroom and, therefore, highlights the importance of shaping and supporting the entire student experience so that they can be successful.

Residence Life

A defining characteristic of Herkimer College is its residential students. The Residence Life and Housing Department oversees three residential areas that can house approximately 600 students. Each residential area has a dedicated live-in professional staff and up to 17 Resident Assistants (RAs). Students wishing to live on campus must complete an online housing application known as the Student Housing Contract (St-IV-4T) through Herkimer's website. Students pay a security deposit and a parent or guardian signs a notary page. Room assignments are made in the summer preceding the academic year and again in the winter for the spring term. The housing selection process is clearly outlined in the current Student Room Selection Process pamphlet and on the College website (St-IV-4U).

Students must sign the lease agreement (St-IV-4V), which establishes rules and regulations for residents. Housing assignment letters are sent to each student in the summer identifying where and with whom they will live. In a separate orientation summer mailing, students are instructed when to arrive. College personnel greet students upon arrival and assist them with moving into the college apartments. A room inspection sheet that documents the move-in condition of the room (St-IV-4W) is completed when students arrive, and RAs work with students within the first few weeks to collectively create their roommate agreement (St-IV-4X).

The HCCC Housing Corporation is the official owner and operator of Herkimer College's residential properties. All financial, administrative and facility management policies and procedures are established and maintained through the HCCC Housing Corporation. The Director of Business and Finance for FSA, HCC Foundation and HCCC Housing Corporation is the on-campus liaison to the College administration. While the functions of the HCCC Housing Corporation support the student experience, students do not customarily engage directly with that office or the Corporation's Board of Directors (St-IV-4Y). The Director of Residence Life & Housing is expected to complete annual assessments and operational planning (St-IV-4Z).

Campus Safety

As stated in their 2018-2019 Annual Department Plan, the mission of the Campus Safety Department is to "preserve the safety and well-being of each member of the Herkimer College community." Under the leadership of the current Director of Campus Safety, a Department goal of enhancing the campus safety policing model was adopted. The director wanted to make a difference in how our safety officers interacted with the campus community and, specifically, how officers interacted with students. The program started by simply asking the officers to get out of their cars and interacting with residential students on a more regular basis so that they would be more accessible and approachable. To take this initiative even further, the department collaborated with the Center for Student Leadership & Involvement to offer fun and engaging programs. These programs (Cider with Campo, Cookies with Rookies, etc.) allow students to get to know the College's Campus Safety officers on an informal basis (St-IV-4S). Student feedback has been positive; therefore, plans to enhance this initiative continue.

- 5. Possesses and demonstrates policies and procedures for adequate and appropriate institutional review and approval of student support services designed, delivered, or assessed by third-party providers;**

Students at Herkimer College can take advantage of multiple services provided by third parties to maximize their academic and personal goals. These third-party providers supplement the services currently offered by professional staff while addressing and resolving specific student needs. Every year a vendor analysis is performed by the College's Controller. The following are some select examples of third parties that support the student experience: the Domestic Violence Program of Herkimer County, which offers our students support and resources for domestic violence; Ellucian Company L.P., which provides our Banner services for all students and faculty/staff.; Hobsons, Inc. which is the owner of Starfish, our early alert management system; Purple Briefcase, a career services tool that links students to internships and job opportunities; and Spectrum, our Internet and cable provider. A complete list of third-party providers is available with the College Controller (St-IV-5A).

At time of contract renewal with third party vendors, each department leader who is responsible for the acquisition and maintenance of the vendor relationship reviews the effectiveness and efficiency of the vendor services. Since each department must request resources for any new initiatives, the decision to engage a third-party vendor results from identifying a need and considering all options for meeting that need, which must be submitted with the request for initially purchasing the service. Adequate and appropriate reviews are based on the initial reasons for proposing the use of the third-party vendor. Herkimer College expects that vendors will demonstrate accountability for standards and policies of the campus. There is, however, a considerable variance in how departments across campus evaluate and assess their third-party providers.

When Herkimer College moved from the ANGEL Learning Management System (LMLS) to the Blackboard LMS in the Fall 2017 semester, it was discovered that Blackboard had a built-in plagiarism checker. Herkimer College had been using Turnitin for a number of years, and it was decided to discontinue the subscription to that service in lieu of trying the built-in service from Blackboard, SafeAssign. After trialing SafeAssign for at least a year, complaints were received from faculty about the results they were getting from the new software; the results obtained from SafeAssign were not as comprehensive or as relevant as the results previously experienced with TurnItIn. Taking these results into account, it was decided it was worth it to renew the TurnItIn subscription, as it provided superior results that were more helpful, and easier to interpret and use.

6. Possesses and demonstrates periodic assessment of the effectiveness of programs supporting the student experience.

Program effectiveness is gauged by an annual assessment process. Department initiatives are measured and analyzed to plan future steps toward effectively supporting the student experience. The college uses data-informed decision making to assess individual parts of each department's annual Operational Plan. Each department identifies goals, outcomes and assessments for its annual operational plan. At the end of each academic year, departments complete assessment findings and reporting to discuss and aid in planning for the coming year. Annual Reports are available through the departments and the Office of Institutional Effectiveness.

As stated earlier, in a qualitative questionnaire, students identified and defined what a "premier two-year college experience" would be. The overarching themes that evolved were Quality of Life, Academics, and Value to the student. Personal Counseling addresses the Quality of Life by asking students to evaluate the services provided. After a second appointment, students complete a survey that provides information about their perceived counseling services effectiveness.

- 94% of students receiving personal counseling services agreed or strongly agreed that they felt better about themselves as a result of their counseling experience (St-IV-6A).
- 93% of students agreed or strongly agreed that counseling helped them make better decisions and solve problems (St-IV-6B).

Due to the increase in the number of students served and an increase in the number of individual visits to the Counseling Center, the College committed to meeting the students' needs and allocated funding to hire a second part-time counselor in April 2019. To meet the increased demand for counselors' time and attention to address issues of depression, anxiety, and other concerns, the Counseling Center staff schedule daily "emergency/walk-in slots" and continually explore community resources to assist with students' needs that are beyond the expertise of counselors on staff (St-IV-6C).

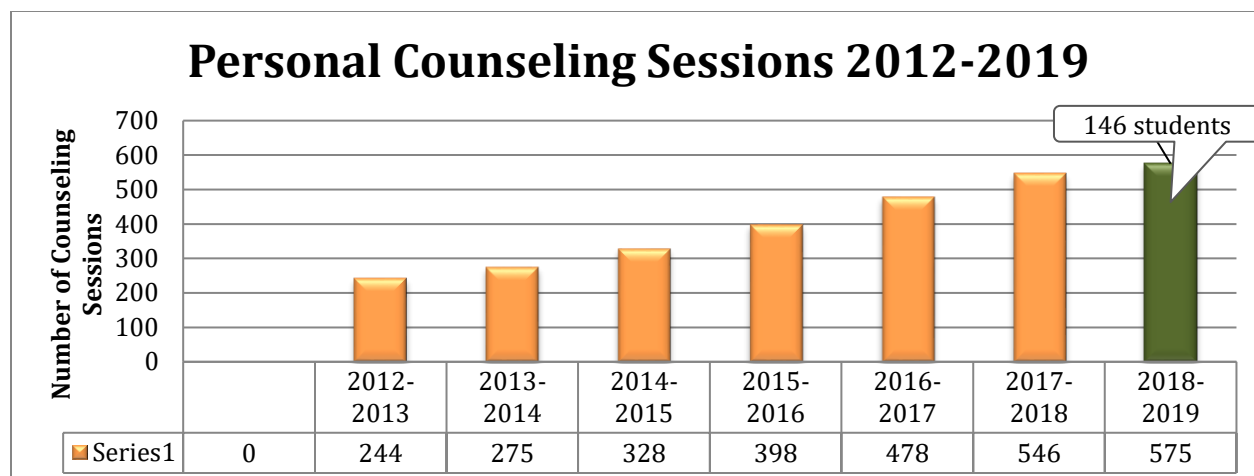


Exhibit 4. Number of Counseling Sessions Comparison (Source: Counseling Center).

Students expect quality in Academics and a strong example of a quality academic service the college provides is embedded tutoring. Our most recent commitment to the growth of embedded tutoring revealed the strength of Herkimer’s use of data, integrated planning, implementation of programs, and successful student outcomes. The planning and development of the program, piloted in 2018-2019, exemplified interdepartmental collaboration, as noted in the Academic Support Center Annual Report (St-IV-6D).

The embedded tutoring program began in some of Herkimer’s most challenging courses as a means for struggling students to have more personal, continual attention specific to Calculus and Trigonometry. The College examined the melt and success rates of individual courses and selected those with the highest melt or lowest success rate for an embedded tutoring pilot (St-IV-6D.1) Faculty reports were used for both internal improvement and shared with the Perkins Grant Advisory Committee to gain additional funding for furthering the program resulting in hiring a part-time program assistant (St-IV-6E).

Students in the embedded tutoring program were expected to benefit by having in-class support to help shape engagement with course material, organize class notes, expand test-taking strategies and, ultimately, gain confidence. Guided weekly study groups help students practice the course material on a continual basis rather than only before a test. Additionally, strong collaborative relationships between course instructors and embedded tutors create even more ways for the classroom experience to resonate with the student beyond the class time itself. Student qualitative feedback indicates expectations were met (St-IV-6F). In the most recent past semester, 60% of students who registered for a fall 2019 course with an embedded tutor took advantage of one or more of the other Academic Support Center services.

The General’s Cupboard is an extraordinary example of the Value students expect. We know that over one-third of college students experience food insecurity and the rates are higher among student parents, first-generation college students, non-white students, and female student populations (St-IV-6G, St-IV-6H). Under a directive from the NYS Governor, all SUNY campuses are to have a food pantry or stigma-free food access for students in need. The General’s Cupboard at Herkimer College was established in the fall of 2019 and, to date, has served over 177 students (St-IV-6I). Students tell us that they enjoy “shopping” in the General’s Cupboard and the positive culture that has been created highlights the Value to our students.

Herkimer combines multiple measures to further decision making. The effectiveness of mapping survey results with CCSSE data, the three themes in the “premier two-year experience” and the Strategic Plan goals helped campus leaders to evaluate services and connect operational plans. The map includes to whom the results will be directly distributed (i.e. department leaders, pillar committees, etc.). All student surveys and the faculty/staff surveys are also aligned with the tenants of Service Excellence (St-IV-6J, St-IV-6K, St-IV-6L).

Opportunities for Improvement and Innovation

- Align placement testing procedures and testing waivers for on-campus and on-line students.
- Approximately 60% of all curriculum changes are attributed to students in their first semester. Examine policies, processes and/or procedures which will address and minimize this critical student hurdle.
- Adopt alternative advisement practices that directly address student needs in a well-defined and consistent approach.
- Determine a universal method for the evaluation of third-party providers, to apply to both initial hiring/purchasing as well as continuation of contract agreements.
- Develop formal process for defining and assessing experiential learning.
- Support the Generals Cupboard with resources needed such as: appropriate staffing, equipment, and physical space to ensure a sustainable initiative that supports the needs of our students.
- Develop a point system to incentivize participation in clubs and organizations.
- Support non-instructional activities that promote healthy living environments, social and mental wellness and participation for socialization.

Standard V: Educational Effectiveness Assessment

“Assessment of student learning demonstrates that the institution’s students have accomplished educational goals consistent with their programs of study, degree level, the institution’s mission, and appropriate expectations for institutions of higher education.” (Middle States Commission on Higher Education Standards for Accreditation, Standard V).

“Since transferring to Herkimer, I have raised my gpa from a 2.3 to a 3.66 and continue to be able to reach my goals academically.” “It’s an amazing experience and personally the best decision I made is coming here.”
Whitney H., Physical Therapy Assistant, class of 2021

An accredited institution possesses and demonstrates the following attributes or activities:

1. Clearly stated educational goals at the institution and degree/program levels, which are interrelated with one another, with relevant educational experiences, and with the institution’s mission;

Herkimer College adheres to the development process of planning for credit-bearing academic programs at the State University of New York (SUNY). The process is designed to ensure that academic programs reflect shared governance decisions that are consistent with each campus’ mission and aligned with SUNY’s mission, strategic goals, policies and procedures that meet New York State requirements (St-V-1A).

Using SUNY’s Guide to Academic Program Planning in concert with our internal Academic Program Development Process (St-V-1B), faculty create programs that cultivate the knowledge, skills, and attitudes that enrich lives, as evidenced by student satisfaction responses (ST-V-1C) . Faculty are responsible for developing academic programs, courses, and learning experiences that foster respect for the intellectual process and address the demands of the modern world.

Educational goals for each specific program are listed in the Herkimer College Catalog 2019-20 (St-V-1D), for example on page 32 of the catalog the Criminal Justice: Forensic Investigation (A. A.S.) has three clear goals. Students are assured of quality programs because goals and relevant educational experiences are determined by faculty who are content-area experts, often in collaboration with local industry experts (ST-V-1E). All programs and courses are vetted through the appropriate faculty, as well as the Curriculum Committee, Academic Senate, the Provost and SUNY to ensure compliance with New York State Education learning goals and requirements (St-V-1A).

Herkimer College offers Associate of Science (A.S.), Associate of Arts (A.A.), Associate of Applied Science (A.A.S.), and Certificate programs. Graduates of the A.S. and A.A. degree programs achieve the necessary liberal arts and general education outcomes through relevant coursework to support achievement of program goals. Herkimer prides itself in providing proficiency-level major-specific courses that are meant to prepare students for transfer to four-year institutions and completion of further studies. The outcomes for A.A.S. degree programs, which are designed for students to go directly into the workforce upon completion, focus more on major-specific and applied learning classes (ST-V-1F). However, A.A.S. degree programs at Herkimer are designed to include a strong foundational general education component that provides the opportunity for student transfer if desired (ST-V-1G). Certificate programs require half the credit hours of a degree program. Upon completion students can enter the workforce or apply their credits towards an associate degree.

2. organized and systematic assessments. Conducted by faculty and/or appropriate professionals, evaluating the extent of student achievement of institutional and degree/program goals. Institutions should:

2a. define meaningful curricular goals with defensible standards for evaluating whether students are achieving those goals;

Herkimer College states its commitment to assessment and Institutional Effectiveness (IE) in a variety of public documents, noting the systematic, organized approach to evaluating the efficiency of its operations to meet its mission (St-V-2A-A; St-V-2A-B). Academic Affairs, the Office of Institutional Research and the Office of Assessment and Institutional Effectiveness collaborate with faculty and administrators to provide meaningful, on-going assessment of student learning and operational department outcomes. The missions of the Academic Assessment Committee (AAC),

Strategic Planning and Institutional Effectiveness Committee (SPIE), IE Steering Team, Academic Team, and Survey Team all align with IE. All assessment activities will support Herkimer College's Mission and Core Values, in accordance with its stated assessment principles (ST-V-2A-C, p. 3)

Academic Assessment Systematic Plan

Student Learning Outcomes Assessment with Timeline			
Activity	Purpose and Process	Administration	Report Date
Program Review	Improve academic programs based on the collection, analysis and use of program assessment results and achievement of program goals over a five year period. An Academic Program Review Procedures Checklist and outline are available through Academic Division offices, the IE Office and in the HCCC Assessment Handbook in HerkimerGO. See Procedures documents.	Annual Associate DOAA	5-year cycle – due May of the given academic year
PLO Assessment (Program Learning Outcomes)	Improve the learning process based on collaborative collection, analysis and use of student learning outcome assessment results. PLOs are measured annually on a rotating cycle of one per year as determined by program faculty. A reporting form is submitted by the Faculty Assessment Lead submits the PLO reporting form at the beginning of each academic year, stating the PLO being measured and the assessment method to be used that year. PLO reminders are shared in January and assessments recorded in May. Results are reported and analyzed during Assessment Day at the beginning of the next academic year.	Annual	May - record results August - reporting & CTL
Program Map Review and Revision (also called curriculum map)	Improve program documentation, aligning ILOs, PLOs, and Gen Ed Outcomes. Ensures documented and aligned program assessments assist in program development and/or revision of the program to achieve institutional SLO assessments. Initial program maps are created upon proposal of any new program. Reviewed and/or revised biannually, or additionally as needed.	Annual	Fall Assessment Day
Course Outline Review and Revision (SYLLABUS)	Ensures improvement and consistency in objectives and expected SLOs per course; used as reference and must be included in unique faculty syllabi; assists instructors in designing syllabi for the course; used as an affidavit of course content for transfer institutions; currently (3/19) course outlines are on their last cycle, to be replaced by syllabus templates. (Course outlines are created upon proposal of a new course.) Course Outlines are available through Academic Division offices and posted to MyHerkimer and the Assessment Handbook.	AD assigns review &/or revision to appropriate faculty in Fall semester - 2 year cycle	Posted by Division clerical assistants in June of each cycle
CLO Assessment (Course Learning Outcomes)	Faculty assess SLO's for each class per semester; documenting in the Assessment Handbook reporting form (Step #4 – CLO Assessment folder) the number of students achieving each level indicated. Desired achievement level is 78 – 100%. Faculty discuss outcomes at Assessment Day and CTL for each. (Step #5– CLO Assessment folder)	Every semester	After final exams in fall and spring semesters
Gen Ed Assessment (SUNY General Education Outcomes)	General Education SLOs are assessed on a three-year cycle, during the academic assessment period each Spring semester. A hard-copy rubric is distributed to each instructor for all SUNY approved courses listed under the Gen Ed competency category in the given year's cycle. See the Cycle document and the Gen Ed approved courses in the HCCC Assessment Handbook in HerkimerGO. Results shared for feedback on Assessment Day.	Cycles A, B and C include 3-4 Gen Ed categories; one category per year; each competency on a 3 year cycle	Each spring semester, due by the end of June
ILO Assessment (Institutional Learning Outcomes)	The College measures student achievement rates for institutional learning outcomes that were developed collaboratively with faculty and department leaders. Faculty align ILO competencies with course learning outcomes as appropriate. (See ILO alignment chart in HCCC Assessment Handbook in HerkimerGO) ILO hard-copy rubrics are distributed by the IE Office March – April to assess the given ILO. Outcomes are shared with faculty, department leaders, EC, and in the IE Report Card, annually.	One ILO per year; 5 year cycle	Each spring semester, due by June
Fall Assessment Day	Scheduled CLO, PLO, ILO, Gen Ed, Program Review and accreditation activities that provide real time opportunities for establishing, analyzing, improving, and/or documenting assessment results and plans for on-going improvement. See agendas.	Annual	August
Spring Assessment Day	Scheduled CLO, PLO, ILO, Gen Ed, Program Review and accreditation activities that provide real time opportunities for establishing, analyzing, improving, and/or documenting assessment results plans for on-going improvement. See agendas.	Annual	January

Exhibit 1: Academic Assessment Systematic Plan

The Academic Assessment Systematic Plan (Exhibit 1) and the Department Assessment Systematic Plan (Exhibit 4) the assessment activities guide to those responsible for student learning outcomes assessment, in particular, course and program faculty (Instructional Assessment) and staff within each department and executive division (Non-Instructional Assessment).

The Herkimer College Assessment Handbook (St-V-2A-D), located in Generals Online, links users to assessment resources to assist with and to demonstrate that assessment activities support the College's Mission and Core Values.

Students are informed of learning outcomes and assessment practices at the course and program levels in their individual course syllabi (St-V-2A-F). Twice per year, faculty and staff participate in mandatory Assessment Days, which offer assistance with best practice implementation of assessment of SLOs for general education, discipline specific courses, academic programs, and institutional learning outcomes. The Herkimer College Assessment Handbook, periodic editions of Assessment Bytes (St-V-2A-H), and various additional assessment communications (St-V-2A-I) offered throughout the year provide just-in-time information and additional support.

Learning Outcomes Assessment

Herkimer College developed and continued to improve its assessment processes, supporting continuous improvement since its last Self-Study, with the most changes noted in throughout the 2017 Progress Report Follow Up (ST-V-2A-J). The fundamental relationship of assessment of student learning at Herkimer College is best visualized-as shown in Exhibit 2.

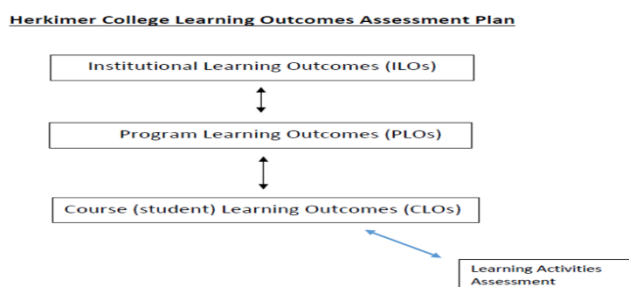


Exhibit 2: Herkimer College Learning Outcome Assessment Plan

Herkimer SLO assessment is a faculty-driven process facilitated by its Academic Assessment Committee (AAC) with the goal to continuously improve teaching and learning. While learning outcomes assessment is explained on the Academic Assessment Systematic Plan (Exhibit 1), the assessment of pedagogy itself is accomplished through self-assessment of courses using the Open SUNY Course Quality Review (OSCQR) Rubric (St-V-2A-K), which began with the Internet Academy (IA) for faculty teaching online courses, and through the Learning Activities Assessment option in the Assessment Handbook (ST-V-2A-L).

The IA course Refresh program also provided a means for faculty to assess on-campus classroom methods. The Student Learning Outcomes Assessment Plan (St-V-2A-M) guides faculty to determine the extent of student learning, while examining the effectiveness of learning activities to make modifications as appropriate. In support of improving pedagogy, Learning Activities Assessment training and options were introduced during an Assessment Day program and added to the model in 2015. Additionally, professional development programs are continually supporting assessment and improvement of teaching and learning (St-V-2A-N).

1. **Institutional Learning Outcomes Assessment:** Institutional Learning Outcomes (ILOs) are the competencies that graduates of Herkimer College should have achieved, regardless of their individual program of study (St-V-2A-O). The current five ILOs, are assessed on an annual cycle of one competency area per year: ILO A: Communication, ILO B: Knowledge Management, ILO C: Problem Solving, ILO D: Ethics and Social Responsibility, and ILO E: Aesthetic Responsiveness. Course and program assessment data are identified and mapped to each ILO (Exhibit 2).

ILO assessment results serve as direct evidence of student learning at Herkimer College (ST-V-2A-P) and outcomes data are reported in the Institutional Effectiveness Report Card (ST-V-2A-Q). The ILOs are assessed by faculty through course and program assessment, as well as through unit/department assessment plans, as appropriate. Each ILO references a silo of faculty-identified courses, updated biennially (St-V-2A-S). The assessments are administered via a hard-copy reporting rubric administered from the IE/IR Offices. In achieving its 2017-18 goals, the Academic Assessment Committee had reviewed and revised all of the ILO Rubrics to include competencies that align with Gen Ed competencies (St-V-2A-T).

The following curriculum map example shows how each program at Herkimer aligns its CLOs, PLOs and ILOs within the program, and offers a discussion platform for faculty groups during Assessment Day activities.

Program: Music Industry (A.S.) Faculty Lead: Jason Davis						
Program Goals <i>A goal of this program is to ...</i>	...provide students with a strong foundation in the area of music business	...present the tools and techniques for analyzing both past and present musical compositions	...provide students with opportunities to participate in performing music on a given musical instrument.	...provide an understanding of fundamentals in audio production and provide application in multiple production scenarios	Meets General Ed Requirement	Meets Graduation Requirement
ILO Reference To which ILO(s) do the PLO(s) link?	A B D	B C E	A E	B C	A B C D E	
Program Learning Outcomes <i>Successful graduates from this program will be able to...</i>	Merge the understanding and practice of business fundamentals with career opportunities in the music industry.	Effectively apply a knowledge of music theory in a variety of musical settings.	Demonstrate competency and growth in the performance of an applied musical instrument of choice.	Apply fundamental techniques used for audio production in a variety of audio/visual scenarios.		
Assessment Tools	Exams (BU111), Capstone Project (HU236), Final Project (HU177, SS277)	Assignments, Mid-Term & Final Exams (HU108, HU212, HU213, HU226), Compositional Portfolio (HU228)	Final Performance Exam/Juries (HU103, HU104, HU105)	Production of commercially viable audio content and practical examination (HU138, HU253)	General Education Assessments	Graduation Rate Data
BU111 Business Organization & Management	I					X
EN111 College Writing					X	X
EN112 College Literature					X	X
FS100 First Year Student Seminar						X
HU103 Applied Music Lessons I	I		I, A			X
HU104 Applied Music Lessons II			A, P			X
HU105 Applied Music Lessons III			A, P			X
HU108 Fundamentals of Music		I, A				X
HU138 Intro to Audio Production				I, A		X
HU177 Music in the Marketplace	I, A					X
HU212 Music Appreciation		I, A				X
HU213 Music Theory		A, P				X

Exhibit 3 – Excerpt from a Curriculum (Program) Map for the Music Industry AS program showing alignment of courses where CLOs align with PLOs and ILOs for assessment. The map also ensures Gen Ed and program requirements. Maps are updated per scheduled mapping sessions on Assessment Day.

2.b articulate how they prepare students in a manner consistent with their mission for successful careers, meaningful lives, and , where appropriate, further education. They should collect and provide data on the extent to which they are meeting these goals;

College Initiatives to Support Student Achievement of Institutional Learning Outcomes

College Leaders are continually informed and take opportunities to discuss the ILO data, for which they align many of their operational goals that best support co-curricular efforts to model and require that students demonstrate the ILO proficiencies (ST-V-2B-A). Herkimer’s Career Services area is currently aligning Herkimer’s ILOs with NACE competencies, in response to the Director of Career Services’ professional development conference (ST-V-2B-B). Some other college-wide initiatives that support each of the ILOs, though perhaps seen in other standards, are briefly discussed here:

ILO A: Communication

The Starfish system for communication toward improved retention was adopted to help improve engagement and communication between faculty, students, academic coaches and other persons in their network. The inclusion of Starfish provided an opportunity to connect student services and create cohesive programs to assist students with learning. The CCSSE data for student engagement had triggered the need for investigating the use of Starfish even prior to the College receiving a SUNY grant (ST-V-2B-C). The Retention Committee in 2015 was examining options for improved engagement and communication. Additionally, the Advisement Center initiated improved communications with the students by using more proactive approaches to opening conversations and prompting timely registration to aid in student persistence. The Center for Student Leadership and Involvement processes also require that students demonstrate communication processes through its club documentation requirements (ST-V-2B-D).

ILO B: Knowledge Management

The Academic Assessment Committee reviewed the ILO rubrics and the assessment responses, which resulted

in extensive discussion during the 2018 academic year, leading to a proposed ILO-F: Technological Literacy as a new ILO (ST-V-2B-E). The AAC determined that the Knowledge Management technology competencies on the rubric were not being met with direct measures, and therefore needed to be measured separately. The new assessment is slated for the 2020-2021 academic year.

ILO C: Problem Solving

As a result of the review of the math outcomes for problem-solving, Herkimer College began offering Quantway, which is curriculum for remedial math course work that applies real life situations to mathematical concepts. In fall 2018, the Accelerated Learning Program (ALP), a remedial English co-requisites course for first-level English, provided students supplemental support in English. Through Faculty observation and interaction with students, lack of reading comprehension was identified as one of the contributing factors to unsatisfactory student achievement. Faculty in turn, are collaborating by applying ALP concepts to students that are academically underprepared in math (ST-V-2B-F).

ILO D: Ethics and Social Responsibility

Students are given opportunities for developing social and professional characteristics of civility and integrity through various co-curricular programs and services, such as: the Graham Lorraine project, local park clean-up, reading to local grade school students, and other student service projects that necessitate diverse collaboration. These are annual events between Herkimer students and local/regional organizations/citizens. Herkimer College students are aware of and appreciate the diverse and inclusive climate at the College, per the Diversity and Inclusion Data Report (ST-V-2B-H) from which the new Diversity, Equity & Inclusion pillar committee is developing its new master plan. The Internet Academy also adopts socially responsive and ethical practices in program design and delivery in online learning, adopting the Ally software, which checks for online materials to make sure they meet the standards for accessibility. The IA provides guidelines for student adaptation to online coursework, including the netiquette statement. (ST-V-2B-I)

ILO E: Aesthetic Responsiveness

Co-curricular opportunities for engaging students in Aesthetic Responsiveness have been especially important to the student experience, as many of Herkimer's programs rely on General Education courses, rather than discipline specific courses, to provide students with needed exposure and involvement in a variety of arts and humanities presentations and activities. Students participate in Musical Presentations, Student Theater productions, Student Fashion shows, and attend the Woods Trust Great Artists Series for string music through Center for Student Leadership and Involvement student activities and curriculum-specific requirements. Additionally, the Cogar Gallery that has for 20 years served the College community with art exhibits and musical programming from local artists, students, faculty, alumni and community groups. Students in the Music Industry, the Fashion Merchandising, and Communications Media Programs, along with the Music Club, Radio-TV Club, Generals Theater Group, Acapella Club, and Performing Arts Club use these facilities to further develop their Aesthetic Responsiveness competencies (ST-V-2B-J).

- 2. Program Learning Outcomes Assessment:** Program Learning Outcomes (PLOs) are what every student in a particular academic program should know or be able to do upon completion of a degree in the corresponding program or major (ST-V-2A-M). Courses are mapped to PLOs and PLOs are mapped to the College's ILOs for each academic program as is shown in the program's Curriculum Map (ST-V-2B-K). Curriculum mapping is completed for each program during the program development process (St-V-2A-U), and updated cyclically. The maps identify in which courses the student learning outcomes competencies are achieved at an introductory (I), applied (A), and/or proficient (P) level. The student progresses through the degree program as demonstrated by the ILO Course Alignment document (ST-V-2B-L) and sample curriculum maps. Successful completion of courses within a given program, combined with assessment strategies unique to each program, serve as multiple assessment measures indicating a level of student mastery of the PLOs. The assessment results of the courses linked to the PLOs measure the ILOs.

One PLO from every program is assessed on an annual, rotating basis, reported on the Annual Program Learning Outcomes (PLO) Assessment Form (St-V-2B-M), which includes: improvements made to the program since the last program assessment, the current PLO being assessed and assessment methods, outcome results, and program improvements to be made as a result of the assessment findings. Individual academic program and discipline area

faculty collaborate during Assessment Days to identify potential action items and document how they will be addressed in the upcoming academic year (ST-V-2B-N).

An unfortunate interruption in documenting PLO assessment during the 2017-18 academic year arose when the College's assessment software abruptly changed its product. Much documentation was deleted by Centrieva/WEAVE and the College discontinued the use of the software. At the same time, the ANGEL LMS was being converted to Blackboard, and some of the data were also lost in the conversion, despite efforts to archive properly. On a more positive note, faculty gathered what had been personally archived to help inform conversations on the next Assessment Day and began using the former hard copy method for continuing PLO assessments.

3. **Course Learning Outcomes Assessment:** The most fundamental demonstration of student learning is at the course level (CLOs), which is the responsibility of each individual teaching faculty member (ST-V-2A-M). CLOs are identified for each course, from which students are able to achieve the PLOs and ILOs, as shown in the Curriculum Maps. All Course Objectives and CLOs are consistent for every section of the course, regardless of the learning environment. Individual faculty identify the specific evaluation tools that measure common CLOs for each course objective. Each course has a common syllabus, formerly called the course outline, (St-V-2B-O) and faculty construct an individual course syllabus from the common syllabus template (St-V-2B-P).

Faculty members assess all courses each semester using a consistent process to provide a holistic view of student learning at Herkimer College. The aggregate CLO data (ST-V-2B-Q) distributed to faculty and posted in the HCCC Assessment Handbook. These results inform the PLOs, per faculty design, which also inform the ILOs as discussed earlier in this standard.

4. **General Education (Gen Ed) Assessment:** Gen Ed learning outcomes assessments indicate what every Herkimer College graduate should know in accordance with SUNY General Education knowledge and skill subject areas (St-V-2B-T) and with MSCHE critical thinking and information management General Education requirements, as described in Standard III Criterion 5. Herkimer offers and assesses a total general education experience as appropriate to each curriculum. Assessment day-facilitates all academic assessment discussion and provides opportunity for innovation and improvement (St-V-2B-S).

The rubrics used to assess courses mapped to specific SUNY Gen Ed competencies are located in the IE Office, and the HCCC Assessment Handbook in Generals Online. The list of SUNY Gen Ed approved courses is located in the Herkimer College Catalog (St-V-2B-U) and displayed in DegreeWorks (ST-V-2B-V), which aids in advisement and registration, as noted in Standard IV. General education assessment information is also found in Standard III.

5. **Learning Activity Assessment:** In 2016, the AACC introduced a new assessment option during Assessment Day, as all faculty evaluated one learning activity from a representative course and assessed it using the Teaching Goals Inventory (St-V-2B-R). This tool is available in the Assessment Handbook for all faculty, as a guide for prioritizing expectations and helping to design appropriate, purposeful learning activities and assessments.

2c. Support and sustain assessment of student achievement and communicate the results of this assessment to stakeholders.

Program Assessment

In accordance with the SUNY Mandated Campus Based Assessment of the Major (Program) (St-V-2C-A), each academic program is reviewed on a five to seven year rotation with a mid-cycle report. Herkimer's process for completing academic program review is distributed to faculty and academic administrators within the Academic Program Review Process Checklist (ST-V-2C-B), which is updated collaboratively between the Provost and Associate Deans. The Program Review outline and external reviewer form are provided along with the checklist, as content guides for faculty and external reviewers (ST-V-2C-C). While the mode of electronic submission of the program review has varied, the Program Review Collection (St-V-2C-D) provides evidence that the College has sustained annual program assessment and program review, despite some rough transitions between documentation methods:

Communication Arts Music Industry A.S. 2016-2017, LAS: Science A.S. 2017-2018, Small Business Management Certificate 2017-2018, Business Administration AAS 2017-18, and Mathematics A.S. 2018-2019.

The Program Review process is tracked for completion and for use within the Program Prioritization process (ST-V-2C-E). Program Review will be the first faculty assessments reported in the new Taskstream AMS (spring 2020) that will allow mapping to Academic Affairs and Strategic Planning goals and initiatives (ST-V-2C-F). A less formal tool, used to encourage timely action on the program review recommendations, is the program mid-cycle report, which simply asks for discussion and updates on actions that may or may not have been taken.

Herkimer College offers three academic programs that rely on external agencies for sponsorship, support, and/or ongoing review and accreditation – the Physical Therapist Assistant (PTA) program; the Emergency Medical Technician-Paramedic (EMT) program; and the Pre-employment Police Basic Training Program. Our concurrent enrollment in high school program “College Now” is accredited through National Alliance of Concurrent Enrollment Alliances (NACEP). (Details can be found in Herkimer College’s MSCHE Compliance Report).

Department Assessment

All Departments are responsible for aligning their planning and assessment with the strategic goals, priorities and where applicable, ILOs. The Department Assessment Systematic Plan provides detailed guidance regarding department leaders’ activities and timeline for department operations.

The departments support and sustain assessment of student achievement and can be aligned with ILOs, including but are not limited to the Athletics, ASC, Academic Divisions, Advisement Center, Career Services and Institutional Effectiveness offices. These departments provide the strongest connections to the student experience network. Assessment Days and Department Leaders meetings provide opportunity for communicating and analyzing assessment results that guide current and future operational planning.

Department Assessment Systematic Plan

Department Operational Goals/Outcomes Assessment with Timeline			
Activity	Purpose	Administration	Report Date
Department Operational Plan	Each department leader designates goals and expected outcomes for the year ahead, in collaboration with the appropriate Executive Leader’s Operational Plan. The goals and outcomes are those attached to department initiatives and/or activities that are assessed, analyzed and shared with other departments as necessary, and with the Executive Leader and with the IE Office to use as supporting assessments of the Strategic Plan. Highlighted KPI results are published in the Annual IE Report Card.	Annual	September 1 st (See Annual Operational Plan schedule for exact date)
Department Annual Report	Each department leader completes the assessment and reports on the work and outcomes accomplished in support of goals established in the Operational Plan. The Annual Report addresses completion of stated goals and the degree to which outcomes were met. The Quality measurement, among other is included in the Annual Report.	Annual	June 10 th (See Annual Operational Plan schedule for exact date)
Executive Division Operational Plans	Executive Leaders create an inclusive plan for the overarching area and its representing departments. The plans are aligned with the Strategic Goals and provide outcomes measures for following up on the degree to which goals were met. EC status reports track progress and final outcomes. Results are used for the next year’s plan.	Annual	September 1 st the following year (See dates for reporting and monitoring on the EC planning schedule.)
Executive Council Priorities	The list of targeted priorities established by the College President and Executive Council, set as a focus for all strategic and departmental planning. EC Priorities are monitored and relevant initiatives tracked for progress, resulting in outcomes reported as KPIs for strategic success.	Annual	September 1 st the following year (See dates for reporting and monitoring on the EC planning schedule.)

Exhibit 4: Department Assessment Systematic Plan

As noted in the above exhibit, Department and Executive Leaders track, assess, analyze and share, as necessary, their outcome results, and relevant key performance indicators (KPIs) are updated and shared until reported in the annual IE Report Card. The Quality Rubric is among the tools used for measurement.

3. Consideration and use of assessment results for the improvement of educational effectiveness. Consistent with the institution’s mission, such uses include some combination of the following:

3a. assisting students in improving their learning,

The College uses assessment data in a variety of ways to inform decision making toward improved student learning. An organized and systematic assessment process provides instructional faculty and non-instructional department and executive leaders the opportunity to reflect on assessment results, both documented summative and undocumented formative assessment, as shown in the Institutional Effectiveness Assessment Model (St-V-3aA) shown in Figure V.3., and Standards III and IV.

3b. improving pedagogy and curriculum;

Herkimer College assessment is ongoing and continuous, and to ensure the conversations to “continue the loop” (CTL) are recurrent, each Assessment Day in the fall and spring semesters provides faculty the opportunity to have conversations about learning outcomes and Gen Ed data and pedagogy (St-V-3bA). Each Assessment Day session uses outcomes that continue the assessment spiral of improvement. The “continuing the loop” activity allows faculty to view their own course assessment results in comparison to aggregate results for the same courses, converse with their colleagues, and then to respond by completing Step 5 in the CLO assessment cycle (St-V-3bB). Examining the aggregate outcomes results (St-V-3bC), faculty tend to make modifications in their courses as outcomes indicate a potential for improved pedagogy. The following examples are faculty responses for course modification grouped into the categories of: course materials and accessibility, retention tool usage, supplemental support, course content sequencing, structure, or timeline, discussion techniques, and assessment tools.

**Faculty “Continuing the Loop” Responses to Assessment Outcomes
Compilation of Responses by Topic**

Course Materials & Accessibility:

- Spring 2019 – IS 115 – *“In the Fall 2018 closing the loop, we decided to remove the separate information systems book as a requirement. In addition, we determined that the e-book was not a good fit for this course, so we required an access code and loose-leaf book. This worked much better for our students. The students were better able to complete the learning activities for this course, and were more successful. Another change I have implemented for the Fall 2019 semester (as a result of a meeting with one of the Academic Support Center tutors), I have integrated the Skills Assessment Manager website into Generals Online so students do not have to go to separate sites to do the work for this course. Everything will be contained in our Generals Online learning management system. I will evaluate at the end of the Fall 2019 to see if this is working better.”* (St-V-3bC, p. 330)
- Spring 2019 – SC 141 – *“Assessment feedback shows that students are completing exams, but not completing labs. The labpaq containing all of the materials to perform the labs at home and the online lab manual costs over \$200. I worked over the summer to switch the lab materials to an online platform called Odigia. Students still complete hands on labs at home, however they use their own materials and submit their work through the Odigia platform. The cost is about \$65. I used Odigia over the summer for the first time and had 100% of students purchase it and only about 5 total missed labs across all of the students. Odigia can also be accessed right through our online course platform, Generals Online.”* (St-V-3bC, p. 356)
- Fall 2018 – BU 114 – *“We switched to Cengage Unlimited this semester. For one price, students were able to purchase all of their textbooks for any course that uses Cengage. This semester, almost every student in the class purchased the book or eBook. It made a difference in overall grades in the class and each exam and assessment.”* (St-V-3bC, p. 290)

Retention Tool Usage:

Spring 2019 – SS 151 – *“More proactive responding to students not being academically responsible. I will use Starfish as a way to give positive feedback, as a warning system where other people working to help student success*

can intervene. What we are finding is that the students that come to class, typically are successful. It is high absenteeism that becomes problematic.” (St-V-3bC, p. 370)

- Fall 2018 – EN 111 – “No modifications to the course itself, but further utilize retention tools such as Starfish because the data shows students who attend regularly succeed.” (St-V-3bC, p. 298)
- Spring 2018 – EN 112 – “Of all the assessments in this class, only one assessment had only one students not complete. This is outstanding. The results stem from, I believe, a change in make-up policy for quizzes, as well as implementation of Starfish notifications. Going forward, I want to implement more guidance in class for essay writing on the exams.” (St-V-3bC, p. 241)

Supplemental Support:

- Spring 2019 – MA 130 – “Since closing the loop from the fall 2018 semester, I had the opportunity to offer an embedded tutoring option for this course (in collaboration with a tutor in the Academic Support Center) in the spring semester. This was fortunate as typically the spring semester MA 130 students have weaker skills than I usually have in the fall semester. A small cohort of students consistently met with the embedded tutor (in addition to attending office hours and asking questions in class) and this was valuable! These students dramatically showed improvement from the first exam to the second and continued to maintain their growing success throughout the course. Fall 2019 semester students in this course will once again have this opportunity and I hope to once again see that this will provide necessary support to these students.” (St-V-3bC, p. 340)
- Spring 2019 – EN 003 – “To continue to help students succeed, we discussed non-cognitive barriers and ways we can identify and get students the help they need.” (St-V-3bC, p. 297)
- Spring 2019 – MA 126 – “... [MA 126] is now a required course for the Childhood Ed program (it used to be a recommended elective). The preparedness of the students in the course varies from weak to very strong students – it would be incredibly beneficial for this group of students to have access to tutors who can tutor this course (this has not been consistent since the College had a full-time math specialist in the Academic Support Center). My recommendation would be that the College hire a full-time math specialist in the Academic Support Center to support all of the HCCC math courses.” (St-V-3bC, p. 337)
- Spring 2015 – PT 141 – “Have students go to the mentor for quizzes and tests below 80%. Encourage students to hand in assignments early to be sure they are following the rubric for grading. Recommend learning center for papers if students are having difficulties with them.” (St-V-3bC, p. 39)

Course Content Sequencing, Structure, or Timeline:

- Fall 2018 – EN 111 – “Re-sequencing assessments may be a key here. Specifically, the semester usually ends with a research project based on the premise that students need to work on other writing skills before they add the complication of research writing. Some colleagues have had success with research projects at the beginning of class. This may be a way to increase rigor from the get-go while also addressing a key issue in student performance.” (St-V-3bC, p. 298)
- Fall 2018 – SC 211 (Reported accidentally as SC 114) – “SLO1: 14/17 students met this learning outcome. This was a significant improvement in data and reflects extra time spent on preparing the students ½ way through the course with thinking about the project and getting them to ruminate on ideas for a longer period of time so they were prepared when the project was assigned. Moving forward, I think I am going to show exact students examples to help them solidify their ideas as well.” (St-V-3bC, p. 348)
- Spring 2018 – CJ 123 – “I will be implementing more interactive components in the spring to foster more participation and communication in the course. I am going to implement an assignment for a pre-recorded national podcast and have a scheduled live session each week to review and discuss the elements and how they come into play in our course.” (St-V-3bC, p. 234)

Discussion Techniques:

- Spring 2019 – MA 124 – “I will be working on the discussion area. I have been refining this area each semester to better simulate the on-campus course.” (St-V-3bC, p. 335)
- Fall 2018 – EN 112 – “Discussion areas can improve by offering not just the current prompts, but allowing students to engage in the literature in their own ways a bit more. This matches a current trend toward more

self-directed learning; however, I will still use my expertise to add depth to the discussions.” (St-V-3bC, p. 305)

- Fall 2018 – SS 151 – *“I am happy with my assessment feedback but I would like to add more discussions to add to the depth of the topic.” (St-V-3bC, p. 369)*

Assessment Tools:

- Spring 2019 – SS 121 – *“The changes I made in the ways I presented directions and questions for the tests I used as my assessment tool in the Spring of 2018 seemed to have a positive effect on most of the results in my SS 121 sections in the 2018-2019 academic year.” (St-V-3bC, p. 366)*
- Fall 2018 – HU 253 – *“I changed the projects that were assigned from the first time I taught the course, and these projects seemed to have better fit the course and served better for assessment. Both a midterm and final exam did not work as anticipated, so the course will strictly be assessed based on projects that demonstrate students understanding and application.” (St-V-3bC, p. 329)*
- Fall 2018 – SS 111 – *“Outcomes were good this semester. For the next semester I want to move towards more student-focused assessments...This should improve student buy-in and thus understanding of the material.” (St-V-3bC, p. 364).*

Exhibit 3 – Excerpts from the Assessment Day faculty responses to CLO outcomes, as entered into the database form under Step 5 of the assessment process in the HCCC Assessment Handbook.

Since 2009, the College has targeted a minimal benchmark of 70% student achievement rate that was determined on the basis of a student’s ability to transfer upon course/program completion. Students may transfer a “C” grade that for many instructors includes a 70% cut off. Faculty may choose to give plus or minus grades, but are not required to do so. While several programs benchmark higher, such as the PTA program at 80%, the College has maintained its minimal 70%, while striving for higher. Outcome results reported the number of students in each Gen Ed aligned course who met the outcome at 70-100%, approached the outcome at 1-69%, and did not complete. In 2016-17, results for the 70-100% level were split into two categories, elevating the expectations of meeting the outcome, to better monitor the average incoming students with 79-80 high school GPA’s. Herkimer adopted the additional categories of: 70-77% and 78%-100%. For General Education trend analysis, these results were combined into one category (St-V-3bD). The ILOs and course and program reports include the new reporting levels, as well. An analysis of the data indicates that the results have remained generally steady, with the breakout of levels providing information, but not yet causing significant change.

Cycle A Gen Ed Assessment includes: Mathematics, The Arts, Humanities, and Other World Civilizations categories, assessed in 2010-11, 2013-14, and 2016-17 academic years (St-V-3bD). Mathematics was identified as an area needing major outcome improvement in 2010-11. Mathematics faculty met together with the Associate Dean and Advisement Center staff to discuss ways to improve the results and identified several ways to do so including reviewing, modifying, and varying assessment tools, increasing instructional time aligned with course learning outcomes, faculty changes in teaching assignments, review of proper math placement practices, and to discuss best teaching practices (St-V-3bE, p. 58). There was great improvement when this skill area was assessed again during the 2013-14 cycle as all Gen Ed outcomes in Mathematics met or exceeded the desired 70% benchmark (St-V-3bE, p.58). While the percentages meeting the outcomes lowered slightly again in 2016-17, three of the five outcomes achieved the benchmark desired, and the remaining two outcomes were approaching at 69% and 63% (St-V-3bF). These results were all still higher from the initial 2010-11 assessment results. Faculty submit their reflections on responses to their Gen Ed data one year after the cycle was completed and improvements made. That survey has been administered through Survey Monkey since 2017 (St-V-3bG), and through the LMS prior to that time.

3c. reviewing and revising academic programs and support services;

As discussed earlier in this standard, Academic Programs undergo review on a five-year cycle. Through the Program Review process, faculty have the opportunity to identify areas in their programs that can be improved pedagogically, align with updates within their discipline areas in appropriate career fields, and with respect to relevancy in the local region (St-V-3cA).

For example, the Liberal Arts and Sciences: Science (A.S.) Program Review 2017-2018 (St-V-3cB), indicates that Herkimer College had comparable standards and learning outcomes, similar to other two-year SUNY and national institutions. While the number of science majors has declined along with the College enrollment, the previous three years show consistency for the program. More notably, program faculty reported that many students completing the degree actually completed in the four semesters (on average, less than four semesters) demonstrating preparedness for successful transfer. The assessment tools used to assess the program were chosen at each instructor's discretion. However, because the primary role of the program is to prepare students for transfer, success of the program can be measured, in part, by the success of student transfer and/or entering the job market in a science related field. The program faculty identified ways to improve program outcome results including increasing peer tutoring, content review sessions, student study groups, and office hour attendance. Also, faculty suggested defining requirements for entry into the program, providing path concentrations, and requiring that all Science majors take two of the three major sequence sciences: biology, chemistry, and physics. Resources allocated to the program were also reviewed and program faculty concluded that while the number of students regularly enrolled in the program is not sustainable, the need for lab science credit within most programs at the College, account for the difference. These recommendations for improvement will be assessed during future mid-cycle and program reviews, as per the cycle.

Support services for students are reviewed and revise in accordance with the Department Operational Plan and annual reporting process, as presented in Standard IV.

3d. planning, conducting, and supporting a range of professional development activities;

On-campus professional development activities occur on average twice a semester, and may include special programming offered by the faculty Professional Development Committee (list), to improve teaching and learning (St-V-3dA). The Professional Development Committee is funded through the Provost's office. In addition to the faculty professional development offerings, the following are brief descriptions of several professional development initiatives that represent a variety of activities to address the College's various departmental needs:

- The College's internal Accreditation Academy has been a series of on-campus professional development for faculty and staff to better understand the standards for accreditation. One event included guest speaker, SUNY Assistant Provost Dr. Deborah Moeckel, to assist with accreditation questions and planning for self-study at the annual Assessment Day (St-V-3dB).
- Herkimer has progressed from a warning status in 2008-09 to becoming a leader in assessment and institutional effectiveness, often sharing processes and models with regional and national colleagues. The College continues to share its story and resources with others, while continuing to stay on the leading edge of institutional effectiveness through affiliations and professional development resources such as: Middle States Annual Conferences, ANNY Assessment Network of New York, SUNY Council on Assessment, Drexel University Annual Assessment Conference, NILOA, and AALHE affiliations (St-V-3dC).
- Individual departments, including the academic divisions, budget for professional development for individual staff members, as well as for teams (St-V-3dD).
- IA offers on-going training sessions in LMS, gradebook, instructional design and drop-in support.
- Herkimer's HR Office conducts mandatory trainings and offers a variety of professional and personal wellness programs for all College staff.
- The IT Department trains the staff on technology updates and new professional methods, offering several sessions to fit into staff schedules (St-V-3dE). The offices of Institutional Effectiveness and Institutional Research attend professional conferences and trainings regularly (St-V-3dF), and offers Herkimer's staff development presentations prepared and delivered by in-house experts and are often funded through operational budgets.

3e. planning and budgeting for the provision of academic programs and services;

Planning and budgeting provision for academic programs and services occurs within the integrated planning model within department operational planning and resource allocation to support the needs of each program through its academic division: the Business, Health, Science and Technology (BHST) Division and the Humanities-Social Sciences (HUSS) Division. Faculty and Associate Deans of the divisions meet to discuss needs based on program outcomes, SLOs, resources and goals. Those requisitions are discussed with and considered by the Provost, then moved forward to the Budget Committee, per the Resource Allocation and Budget preparation process, as noted in Standard VI.

3f. informing appropriate constituents about the institution and its programs;

Herkimer College keeps its constituents updated with current information on the website (www.herkimer.edu) as its main source of information regarding the institution and its programs. However, a variety of communication methods are used strategically and regularly, such as: Board of Trustees presentations, student and faculty/staff email notices, the MyHerkimer portal, social media, Student Online Services, on-campus poster, Generals Online LMS Announcements, press releases, All-Campus meetings, Campus Briefs, and the *Connections* alumni magazine (St-V-3fA).

3g. improving key indicators of student success, such as retention, graduation, transfer, and placement rates;

Master plan initiatives and outcomes are achieved by the operational departments on campus. The results of those initiatives support the Strategic Plan, which result in achievement toward the KPI's, including Access and Student Success, as seen in Exhibit 4. Frequent monitoring of the KPIs keeps trends at the forefront of long-term and short-term decision-making. Administrators may adjust operational efforts in accordance with immediate needs. The following KPIs are consistently tracked and analyzed by the EC and presented to the Board regularly. The KPIs are shared with the college community at All-Campus meetings.

Access and Enrollment					
	Baseline Fall 2014 2014-2015	Achieved Fall 2015 2015-2016	Achieved Fall 2016 2016-2017	Achieved Fall 2017 2017-2018	Achieved Fall 2018 2018-2019
Total Headcount Time Period: Fall Semester Source: SIRIS End-of-Term Files	3258	3279	2849	2800	2567
AAFTE Time Period: Academic Year Source: SIRIS End-of-Term Files	2501	2463	2105	2102.5	1848
Bottom 3rd for Tuition cost (SUNY CC's) Lowest Cost Rank (In-State Tuition)	6 th	6 th	9 th	10 th	14 th
Scholarships Awarded	\$123,059	\$123,646	\$132,416	\$154,442	\$144,792
Average Annual Full-Time Equivalent Enrollment (AAFTE) Formula used in calculation: Total Credit Hours for Fall term/15 Source: Basic Student Charge Report (Bottom 3 rd out of 30 SUNY cc's = 10th or less)					

Student Success					
	Reporting Period 2014-15	Reporting Period 2015-16	Reporting Period 2016-17	Reporting Period 2017-18	Reporting Period 2018-19
Retention Time Period: Fall to Fall Source: IPEDS Fall Enrollment	56%	61.0%	58%	56%	56%
Graduation Rate (3-year)	29%	36%	35%	34%	33%
		Student Cohort Fall 2013	Student Cohort Fall 2014	Student Cohort Fall 2015	Student Cohort Fall 2016
VFA: Fall to next Term retention	n/a	69%	75.4%	74.9%	74.3%
VFA: Two Year Credit Success Rate	n/a	71.3%	68.5%	65.3%	67.7%
VFA: Reached Credit Threshold	n/a	50.7%	56.8%	52.5%	50.7%
<p>Retention: IPEDS First-Time Full-Time Undergraduate Students VFA Data: Main Cohort: Fall entering, first time at reporting college; "all students" (Collection Cycles: 2015-16 through 2019) Graduation Rate: IPEDS Graduation Data Survey</p> <p>VFA Definitions: <u>Fall to next term retention:</u> Percent of students who were retained from fall term (term one) to their next academic term or completed a formal award. <u>Two year credit threshold</u> Percent of attempted semester credit hours successfully completed by the cohort by the end of year two. (These are measures of credit hours, not students, to show the "total percent of credit hours that were successfully completed by the cohort.") <u>Reached credit threshold</u> Percent of students who reached credit thresholds by end of year two (summer term) (Credit Threshold is defined as 24 semester credit hours for part-time students and 42 semester credit hours for full-time students)</p>					

Exhibit 4. - Key Performance Indicators for two of three KPIs, as shared with College stakeholders.

3h. implementing other processes and procedures designed to improve educational programs and services;

The College has taken the opportunity to create programs intended to become pervasive over time within processes and procedures that will unify planning toward student success outcomes.

- The Service Excellence Plan was a college-wide program designed to ultimately build student satisfaction through the premier two-year college experience for student success. The plan inherently sought to improve inter-departmental communication and service toward that end (St-V-3hA). The College continues to focus on service excellence in its forward planning.
- Operationalizing the shift from IE Planning to Educational Effectiveness planning (St-V-3hB).
- Systematically using data to inform and align matters using the Quality Rubric (St-V-3hC) to demonstrate the core values, infuse the tenets of Service Excellence, and measure the effectiveness of programs and services.
- Outcomes of programs and services are measured and improved with more specific data, data linked between and within plans, and data sharing practices. The Faculty and Staff Survey (St-V-3hD) maps to Service Excellence 5 "C"s, core values, and strategic plan; while student survey outcomes are mapped to CCSSE to inform planning for 2020-21 (St-V-3hE) and beyond. Departments are also informed of data that would best serve their departmental decision making.
- Diversity, Equity and Inclusion are targeted for growth areas at the College in the updating of the DE & I Master Plan, as an expansion on the Civility campaign that began in 2012. The College's core value of "Integrity"

resounds in the Service Excellence tenet of “Care” for the campus community, and links to the ILO-D: Ethics and Social Responsibility, all in support of the mission for “accessible educational opportunities” (St-V-3hF).

- The Student Success Plan is being assessed for its first time; the Enrollment Management and Marketing Plan is in the update process, which includes a summary of outcomes to assist with planning forward (St-V-3hG).
- Program Prioritization, Program Review and Department Review are robust assessments designed to inform major decision-making about improving programs and services. Discussed in Standard III.

4. If applicable, adequate and appropriate institutional review and approval of assessment services designed, delivered, or assessed by third-party providers;

The contract with the assessment software company, Centrieva, for the WEAVE assessment product was terminated after the company changed its services with little warning, in 2017-18. The research to replace the service included criteria listed on the software product/company comparison chart, showing priorities for choosing Taskstream Accountability Management System (St-V-4A). The College considered the initial costs that had been approved through the resource allocation process, and the EC in consultation with the IE and IR departments decided that a modest increase in expense was better to ensure proper delivery of services, as a measure to prevent another loss of important documentation.

5. Periodic Assessment of Assessment of the effectiveness of assessment processes utilized by the institution for the improvement of educational effectiveness.

Institutional Effectiveness Assessment Model 2019 (St-V-5A) illustrates a robust holistic institutional assessment process that is structured, yet offers flexibility for the various users, resulting in outcomes necessary for high impact decision-making. The acquisition and delivery of assessment data through processes that have been established and adjusted throughout the past ten years, are currently progressing forward with changes to each system within the model. The systematic plans for both instructional and non-instructional areas are evidenced in previously shared Department (Exhibit 4) and Academic Systematic Assessment Plan (Exhibit 1).

Herkimer’s assessment processes have progressed to the stage of assessing the assessments, in both effectiveness and efficiency of processes, and the value of the assessment outcomes themselves. The IE Office works with key committees to ensure that all processes are examined on a rotating basis, per the availability of agenda time and the annual charge of the committee. Herkimer has made the governance pillar committee structure an essential piece of institutional assessment processes. The Strategic Planning and Institutional Effectiveness (SPIE) Committee is the pillar committee that addresses institutional assessment and annually uses the SUNY Council on Assessment (SCoA) Institutional Effectiveness Rubric (St-V-5B) for creating committee goals and achievement for the year ahead. The SPIE Committee also reviews the IE Report Card to review the important data points and whether they should be included the next year (St-V-5C). The IE Steering Team is the group of pillar committee chairpersons who confer to ensure connection between master plans to fulfill the strategic goals.

In summer 2019, the Associate Deans of Academic Affairs and the Provost met with the Associate Dean of IE for a “State of Assessment” discussion. They included an action plan for progress on faculty involvement in program review, curriculum map updates, possible compensation for assessment projects, faculty map study, and elimination of non-essential course assessments which may result in assessing only those that align with PLO, ILO and Gen Ed outcomes. The Associate Deans were given the results of the SCoA Rubric for Academic Programs evaluations completed by the faculty at Assessment Day (St-V-5D). The spring 2020 Assessment Day included follow up conferences between faculty and the Associate Dean of Academic Affairs to address action plans based on those evaluations.

The Associate Dean of Academic Affairs, Assessment and Institutional Effectiveness partnered with the Director of Institutional Research, and other external assessment colleagues to develop an approach to planning and assessing the Student Experience toward Educational Effectiveness (EE), as the MSCHE Standards were shifting from an institutional focus to a student focus, as noted regarding student success, in Standard IV. The shift from IE to EE seemed particularly evident in what would be the new Standard V, and assessment leaders were discussing how to move forward with processes and innovations regarding the new standards.

The IE to EE paradigm shift at Herkimer took hold as leaders started using Herkimer’s definition of student success, resulting from internal survey data presented as foundational material for enhancing Service Excellence efforts. All

of the most desirable characteristics of a “premier two-year college experience”, as noted in the qualitative survey, fell into these three categories: Quality of Life, Academics and Value to the student (St-V-5O). This gave College planners and researchers the chance to tailor the student experience toward student population, as described in Standard IV. The Student Experience planning model led to the Student Success Master Plan, which, per the College’s Quality Rubric, is not only purposeful for the effort, but designed to foster future growth. In addition to the Quality Rubric (Exhibit 5), Herkimer has also increased its use of rubrics across campus, including: SCoA Rubrics, Resource Allocation rubrics, individual course rubrics, and other in-house developed rubrics for Master Plan assessment and survey alignment (St-V-5P).

The Associate Dean of Academic Affairs, Assessment and Institutional Effectiveness partnered with the Director of Institutional Research to develop an approach to assessing the Student Experience (St-V-5E). The following example shows how the Student Accounts department, overseen by the College Bursar, used the Student Experience model to define, operationalize and assess students’ experiences through the work of that office (St-V-5F).

Academic Assessment Committee

The faculty-driven Academic Assessment Committee’s (AAC) mission is to collaborate with the Provost’s office, the Associate Deans of Academic Affairs, the Office of Institutional Research, and the teaching faculty to “provide meaningful, on-going assessment of student learning at the course, program, and institutional level” (St-V-5G, p. 3). In recent years, the AAC has been co-chaired by the Associate Dean of Academic Affairs, Assessment and Institutional Effectiveness and at least one faculty member. During its monthly meetings, the AAC’s charge is to “strengthen the faculty’s knowledge and understanding of assessment and data utilization to promote collegial collaboration in continuously improving student learning outcomes and course objectives; define and operationalize student learning outcomes in an observable manner in courses and programs in accordance with the [Herkimer College] Mission Statement; collect, collate, analyze, present and use data to improve pedagogy and the development and refinement of reliable and valid rubrics; establish and maintain a system of accountability in which data is shared with stakeholders; and recognize and reward innovative assessment techniques” (St-V-5G, p. 3). The AAC facilitates the documentation and learning outcome training of faculty members. The Associate Dean of Academic Affairs, Assessment and Institutional Effectiveness facilitates the documentation and learning outcomes training for the Department Leaders (St-V-5H).

The General Studies A.A. program has undergone several years of trial assessments, including a portfolio trial (St-V-5I), a faculty PLO annual assessment, and an early indirect Gen Ed course GPA assessment, all of which showed gaps in methodology and provided little or poor data in General Studies program assessments. The current hard copy process of directly assessing all students eligible for graduation, is still a more accurate measure than that proposed, which recommended minimal “entry level” Program Goals and PLOs (St-V-5J). If the AAC resolves the issue of combining Gen Ed and ILO outcomes, the General Studies faculty group will again explore the option of assessing the PLOs via the general education competencies.

Results of the AAC’s self-assessment in 2018 based on the MSCHE Rubric for Evaluating Institutional Student Learning Assessment Processes included: (1) support for and the promotion of assessment is ongoing, (2) the articulation of learning outcomes at course, unit, program, and institutional levels are occurring and are interrelated to one another, and (3) assessment results are shared across the campus. The College has room to improve at making sure that assessment results are used to drive budget and resource allocation decisions with more clarity and transparency (St-V-5K). 55% of respondents agreed that there is sufficient engagement in assessment practices towards sustainability. Though the sample number is small due to the size of the committee, members continue to look at perceptions of quality and impact of current assessment practices.

The success of Herkimer’s journey in building a culture of assessment and continuous improvement in both academic areas and non-instructional departments, is largely a result of allocating the time and attention to matters of improvement based on assessment outcomes. The “Assessment Day” was born of the need to create concentrated efforts to fulfill the mission of the AAC in guiding faculty through the development and use of student learning outcomes assessment. The Assessment Day itself carves out a mutually available time period during which every agenda includes: a “continuing the loop” reflection activity for inputting Step 5 of the CLO process (St-V-5L), an educational component of professional development in learning or furthering concepts, techniques, application and/or value of College processes and/or assessments and outcomes themselves (St-V-5M).

The culture of continuous improvement based on assessment has solidified throughout the past 10 years due to the College's commitment to:

- Provide administrative support through leadership, resource allocation, and use of data in planning
- Develop knowledgeable staff through professional development, to lead the efforts in building and sustaining the assessment processes for effectiveness
- Incorporate high impact processes, programs, and data reporting for continuous improvement (St-V-5N)
- Develop regularly scheduled events where faculty, staff, and/or administrators engage in collegial discussions about effective practices in teaching, learning and assessment, in concert with data analysis for planning and goal development for non-instructional departments

Quality Rubric Based on Herkimer's Core Values

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

Core Values	<u>Poor- 0</u> <i>No action</i>	<u>Fair- 1</u> <i>Convenient</i>	<u>Good - 2</u> <i>Compliant</i>	<u>Very Good-3</u> <i>Growth</i>	<u>Excellent-4</u> <i>Promotes future growth</i>
EXCELLENCE: To encourage all constituencies of the college community to pursue the highest standards of performance in their academic and professional work.	Performance is insufficient, yielding few or no outcomes.	Performance outcomes are convenient; completed, but without significant contribution to goals.	Performance outcomes are compliant with regulatory mandates, supported by assessments.	Performance outcomes are compliant with mandates, resulting in growth for the department and/or initiative; based on direct outcomes assessment.	Performance outcomes are compliant & measured, with documented contribution to goals; established growth and plans promote future excellence.
OPPORTUNITY: To provide access to quality, affordable lifelong learning opportunities and to maintain an environment that fosters individual growth and development for all.	Incomplete provisions; missed opportunities.	Provides some opportunity for some constituents; no pattern for continual growth in creating/using opportunities is established.	Indications of providing opportunities for growth for most constituents; generally communicated to most constituents.	Provides and uses opportunities for growth and development, based on assessments; communicated to all constituents.	Provides and promotes accessible growth opportunities creatively and continuously to all constituents, with appropriate plans for future development and opportunity.
COMMUNITY: To foster a collaborative campus environment that promotes civility, creativity, diversity, open communication, social responsibility, and mutual respect among students, faculty, staff, and the public.	Not collaborative, nor promoting attributes of community.	Collaborative with some constituents, not all; communication among and between constituents is ineffective or non-existent.	Collaborative with all constituents (students, faculty, staff and public), communicating within a closed circle.	Collaboration with all constituents, based on assessments, practicing open communication using a variety of communication methods.	Collaborative with all constituents, promoting open communication and creativity in future collaborative opportunities.
INTEGRITY: To embrace the values of honesty, respect, consistency, diversity and responsibility, in order to provide fair and equal treatment for all.	Fails to embrace attributes of integrity.	Embraces some attributes/values of integrity; questionable fairness and equality	Embraces all attributes of integrity, supported by assessment data.	Embraces all attributes of integrity and fosters sustainability of integrity in practices with all constituents.	Promotes all attributes of integrity and sets high standards with constituents, fostering sustainable integrity in philosophy and actions.

Exhibit 5. - The Herkimer College Quality Rubric, based on Core Values, provides standards for assessing the quality of initiatives that fulfill goals at the operational and master planning levels, in support of the Strategic Plan. A QR Score may be used for any initiative, such as the Student Focus Group, Master Plan assessment, and Operational Annual Reports.

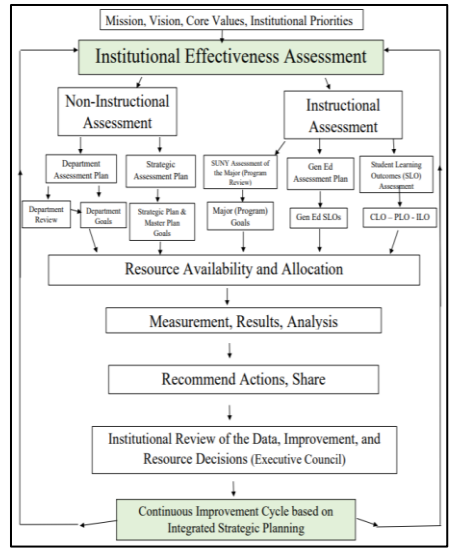


Exhibit 6. - Institutional Effectiveness Assessment Model. Institutional Effectiveness Assessment and Integrated Strategic Planning ensure a Continuous Improvement Cycle of Educational Effectiveness.

Institutional Assessment Model Alignment Chart and Use of Rubrics

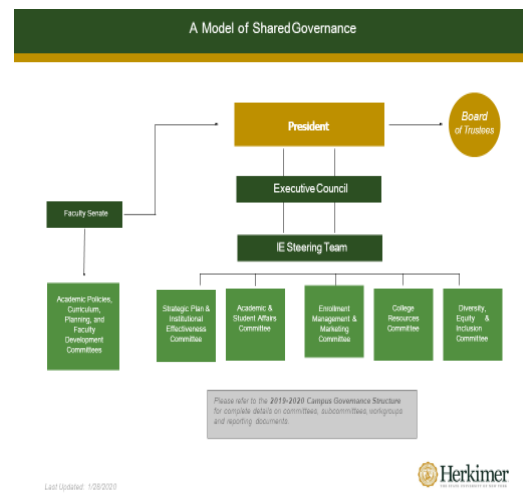
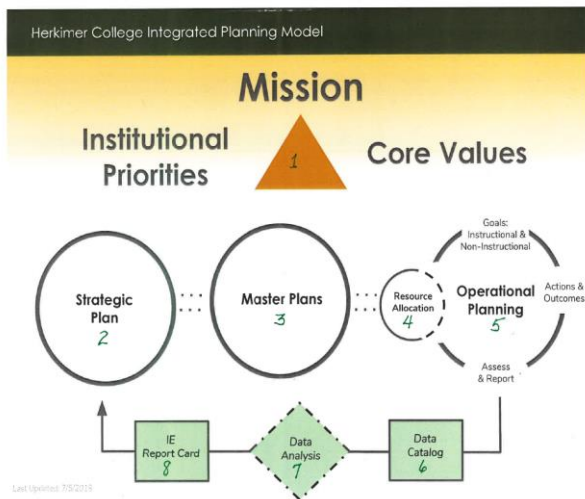


Exhibit 6. - The Integrated Planning model is numbered to correspond with the Institutional Effectiveness Assessment Model, as indicated in the Exhibit 8. - chart below. Exhibit 7. - The Model of Shared Governance gives a snapshot of the connection between committees and supervisors who provide oversight for the Integrated Planning and Institutional Assessment.

Integrated Strategic Planning Model	Committee/Office oversight, analysis, sharing & primary use of data	Institutional Effectiveness Assessment Model
1. Guiding Principles – Mission, core values, priorities	Board of Trustees Executive Council	EC review of the data Board review of Strategic Plan outcomes; mission review with SP updates QR Quality Rubric Score, Service Excellence tenets aligned
2. Strategic Plan – goals and supporting initiatives	Strategic Planning and Institutional Effectiveness Committee (SPIE) Executive Council	Annual SP outcomes Macro institutional KPIs Micro data from Dept outcomes SCoA Rubric for IE
3. Master Plans – --Enrollment Management & Marketing Plan --Student Success Plan --Facilities Plan --Diversity, Equity & Inclusion Plan	IE Steering Team – Pillar Committee Co-chairs --EM&M Committee --Academic and Student Affairs (ASA) Committee --Sr. VP Admin & Finance --DE & I Committee	IE Steering Team Master Plan Annual Assessment QR Score – Quality Rubric SCoA Rubric for IE EE Student Cohort Experience measures – persistence and progression data Department outcomes assessments
4. Resource Allocation	College Resources Committee (CRC) Budget Committee EC	Resource Allocation Decision-Making Rubric
5. Operational Plans - Executive Divisions (EC) Departments: --Instructional Academic Divisions Teaching Faculty --Non-Instructional 32 operational offices	President Sr.VP Admin & Finance Provost Dean of Students Department Leaders	EC Priorities Executive Division OP status updates via Dept OP outcomes Department Review QR Quality Rubric Scores Academic Divisions – goal assessments and outcomes; Faculty annual reports; CLO – individual faculty rubrics, PLO, ILO - rubrics, Gen Ed - rubrics, Program Review SCoA Rubric for Academic Programs
6. Data Catalog	Office of Institutional Research Department Leaders	Internal Data and Surveys External Data and Surveys Department acquired data Student Outcomes and LO Data
7. Data Analysis	EC Administrators Department Leaders	IE Activity Cycle of events for discussing and using data Data survey alignment reports – ILO outcomes, QR Scores, SE tenets
8. IE Report Card	Office of Institutional Effectiveness Office of Institutional Research	Public release of KPIs and data outcomes highlighting support of SP Goals and initiatives

Exhibit 9 - A Comparison chart that shows direct correlation between the Integrated Planning Model and the IE Assessment Model illustrating assessment across the institution.

Conclusion

Herkimer College integrates assessment throughout all institutional operations as a systematic, organized, and sustainable process. Herkimer strives for excellence by setting rigorous and coherent outcomes at all levels of the institution and continuously evaluates planning, processes, and overall student outcome results. Over the past ten years, Herkimer has grown from a beginner into an emerging leader in assessment practices and effective use of outcome results.

Opportunities for Improvement and Innovation

Moving forward, Herkimer College plans to continue its assessment processes while improving in the following areas:

- Pursue more efficiency in Gen Ed and ILO outcome definitions and reporting. Further, consider merging the SUNY Gen Ed and MSCHE Gen Ed requirements with College ILOs.
- Train users and further implement the assessment software to centralize assessment reporting and improve means for collaboration among faculty and staff.
- Support faculty and staff with contemporary assessment initiatives and seek new ways to professionally engage them in the formal use and development of assessment processes, for example, compensation.
- Encourage the AAC and Faculty Senate to address Student Focus Group responses regarding inconsistencies, and include targeting those responses in the next round of master and strategic planning.

Standard VI: Planning, Resources, and Institutional Improvement

“The institution’s planning, processes, resources, and structures are aligned with each other and are sufficient to fulfill its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.” (Middle States Commission on Higher Education Standards for Accreditation, Standard VI).

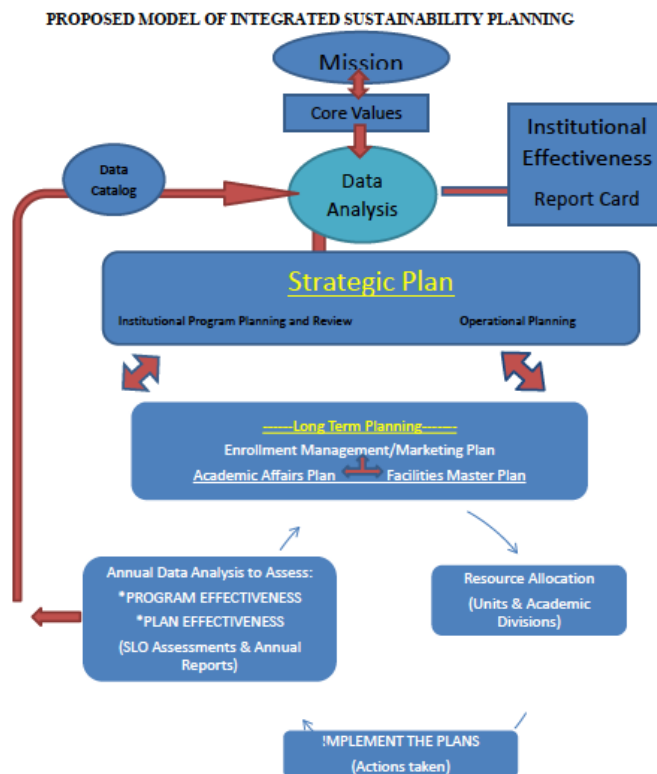
“Herkimer College is set up to help students be successful with many ways to get help...”
Amanda, Human Services, class of 2020

“Everyone on campus is friendly and there are opportunities everywhere you look.”
Whitney, Physical Therapist Assistant, class of 2021

1. Institutional objectives, both institution-wide and for individual units, that are clearly stated, assessed appropriately, linked to mission and goal achievement, reflect conclusions drawn from assessment results, and are used for planning and resource allocation

Herkimer College’s institutional objectives, strategic goals, mission statement, vision statement, core values, and Strategic Plan are clearly stated and accessible on the College’s website (St-VI-1T).

Herkimer has espoused an inclusive planning process that moved from a simple reporting-out method of one assessment per department aligned with one strategic goal, one institutional learning outcome and one core value to a comprehensive and collaborative effort in which multiple plans align in a hierarchical pattern and outcomes inform future institutional planning. In 2015, the Proposed Model of Integrated Sustainability Planning was implemented. In 2017, a more comprehensive unit planning process was incorporated into the Herkimer College Sustainable Planning Model. In 2019, the Herkimer College Integrated Planning Model was simplified and streamlined for clarity and guidance in unified planning across diverse areas of the campus. The evolution of these three models is represented in Exhibit 1 below.



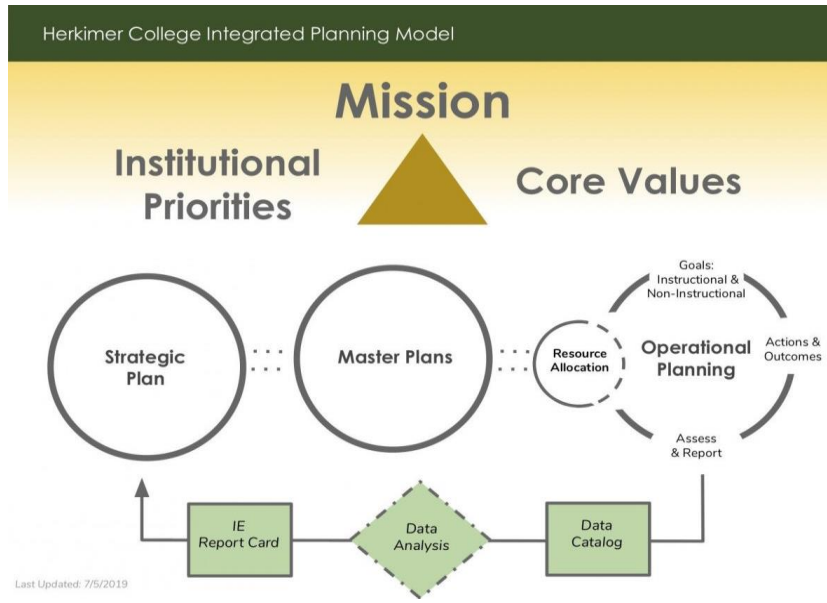
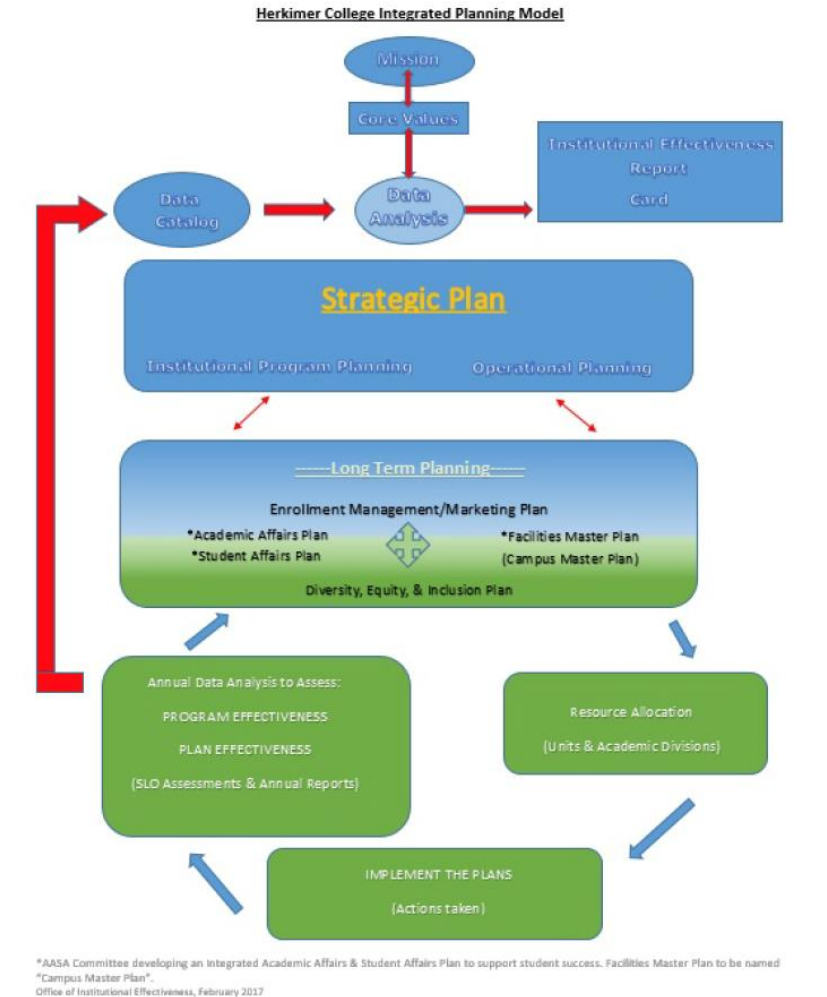


Exhibit 1. The evolution of the Integrated Planning Model from 2015-2019 (Source: Office of Institutional Effectiveness).

The Institutional Effectiveness Steering Committee as well as the Strategic Planning and Institutional Effectiveness Committee regularly reviewed the Integrated Planning process with thoughtful conversation as noted in committee minutes (ST-VI-1A) providing for the two major upgrades to the Integrated Sustainable Planning Model.

Currently, Herkimer College utilizes an Integrated Planning Model whereby Institutional and Operational Planning are drawn from, and in turn support, the College's strategic planning. The 2018-2021 Strategic Plan states four goals linked to the College's Mission Statement. The Strategic Plan states supporting initiatives tied to each goal, which are linked back to the mission statement (ST-VI-1B).

In accordance with the evolution of planning, there was parallel evolution of the governance structure in helping to facilitate plans (St-VI-1C). Each pillar committee is charged with overseeing the development, implementation and assessment of a correlating master plan except for the College Resources Committee. The College Resources Committee is responsible for overseeing the resource allocation process on new initiatives and the Facilities Master Plan is overseen by the Senior Vice President for Administration and Finance. As a means of creating consistency within master plans, the IE Steering Team created a Master Plan template to guide unified purpose and format (ST-VI-1D). Currently, the IE Steering Team is using an in-house form (St-VI-1E) and the quality rubric (St-VI-1F) to score the effectiveness of the master plans both in terms of process and achievement.

As per the Middle States Progress Report Follow-up dated April 1, 2017, page 11 (St-VI-1G), the operational planning process was re-designed allowing the Executive Council members to review their executive area's plans with enough time to make appropriate adjustments and ensure that actions are aligned with institutional goals set forth in the College's Strategic Plan (St-VI-1H). The new Taskstream AMS software is designed to make this process more collaborative and accessible.

Each department of the College submits an annual department operational plan that sets department goals, which are linked to the mission and goal achievement outlined in the College's Strategic Plan. The department operational plans are maintained by each individual office in coordination with the appropriate executive leader and formally housed in the Office of Institutional Effectiveness. Since the fall of 2019, all operational plans are being submitted and maintained within the Taskstream AMS software. Each department assesses the results of their operational plan goals at the end of the period and reports the outcomes in their annual report (ST-VI-1I).

The results of the College's planning and improvement processes are clearly documented in training pieces from Assessment Days and department leader meetings, emails from the Institutional Effectiveness Office that include the planning schedule and department systematic plan processes, and in the Institutional Effectiveness activity cycle, in addition to Taskstream documentation (St-VI-1J). These processes are communicated at All-Campus Meetings, via the Campus Briefs Newsletter (St-VI-1K) published by the College's Office of Public Relations, and in Assessment Bytes Newsletters (St-VI-1L).

The College established an Integrated Planning Model whereby planning and improvement processes are guided by the Office of Institutional Effectiveness, but developed by individual divisions and executive leaders. Individual divisions self-assess and provide individual recommendations based on the outcomes (St-VI-1M). The outcomes are shared with the Executive Council, while collaborative follow-up actions and planning are established in department meetings (St-VI-1N). The College keeps a record of division improvements through its Department Annual Reports (St-VI-1O). The President's Office documents the execution and completion of Operational Plans (St-VI-1P) at the executive level. This process is outlined in the Progress Report Follow up for Middle States dated April 1, 2017, pages 10-13 (St-VI-1Q) and in Criterion 2.

The Office of Institutional Effectiveness assesses both non-instructional and instructional components of the College as described in Standards III and V. The College uses a four-year rotation to assess the institution based upon its four core values: Excellence, Integrity, Community, and Opportunity. Assessment of core values in both instructional and non-instructional departments is based upon the Quality Rubric scoring system, from 0 (poor) to 4 (excellent). Assessment data by is used by College decision makers to identify achievement and effectiveness, as well as gaps in institutional performance (St-VI-1R).

Additionally, the College's Budget Committee uses assessment results and recommendations to make resource decisions. The College's resource allocation process utilizes a Resource Allocation Form (St-VI-1S) that shows the alignment of budget requests with strategic goals and outcomes. The form allows departments to demonstrate effectively how a new budget request aligns with the targeted institutional outcome(s) most closely associated with the department submitting the request.

2. Clearly documented and communicated planning and improvement processes that provide for constituent participation, and incorporate the use of assessment results

All institutional plans, bylaws, structures and processes are accessible through the MyHerkimer portal and/or the college website. President McColgin established a reporting schedule (St-VI-2A) where Executive Council members provide regular updates on progress being made in their respective Executive Operational Plans. This enables her to vet institutional plans and monitor progress regularly. For example, the Public Relations office submitted a progress report providing evidence of how they are meeting outcomes outlined in their Department Operational Plan. This plan also includes assessment of how these goals align with the College's Core value, "Opportunity" (St-VI-2B).

As part of its regularly scheduled meetings, the President's Executive Council develops and implements plans within the four main divisions of campus operations: Academic Affairs, Student Services, Finance/Administration, and Enrollment. The Executive Council facilitates communication with department leaders across all functional areas of the College in regard to issues that affect campus operations and outcomes. According to the 2018 Faculty and Staff Survey, staff and faculty receive the most effective communication directly from those department leaders (St-VI-2C, pg 9). Each year, reconciliation of goals, outcomes and future actions takes place according to the Planning Schedule (St-VI-2D) as noted in the Executive Council Meeting Minutes from September 4, 2018, President McColgin "distributed and reviewed with the group a revised 2018-2019 Planning Schedule with dates for reporting and monitoring division [executive] and department operational plans. Departmental plan status report dates are to be determined by the EC member under whose purview the departments fall." (St-VI-2E).

Priorities for the 2017-2018 year included developing a balanced budget within three years (2020), completing capital projects including bookstore upgrades and improvements to the Robert McLaughlin College Center (RMCC) and Technology Building roofs, as well as implementing the Starfish retention plan (St-VI-2F). At the end of each academic year, a report with highlights and accomplishments from the year is presented to the Board (St-VI-2G). On the website, the College's Annual Report and Connections magazine for alumni are available along with Herkimer College at a Glance- Facts and Figures (St-VI-2H).

The College transitioned to a more robust structure for participation in and collaboration on planning and assessment during its 2015 PRR Quality Team efforts. Quality Teams comprised of individuals representing every category of employee and every operational department across campus had been developed to create master plans that had not previously existed (St-VI-2I, p. 7). The then new College President revised the College's shared governance model to reflect this collaborative approach to planning, as discussed above and referenced in Standard I Exhibit 2.

The Executive Council incorporates any achievements or assessment of achievements from their respective departments into their executive division operational plans (St-VI-2J). Outcomes are assessed separately as identified per goal within the department plans providing opportunity for important discussions to occur between the department and executive leaders. The College keeps a record of department improvements through its Department Annual Reports which include Academic Divisions and the Faculty Annual Reports (St-VI-2K). Additionally, the Board of Trustees holds an Annual Workshop (St-VI-2L) where they discuss the success and growth opportunities for the College based on the outcomes of the previous Strategic Plan, and work on establishing the future direction of the College. Assessment results are shared in the master plans.

An abridged version of the organizational chart can be found in the Faculty & Staff Handbook which is published by the Provost's office (St-VI-2M) and a detailed organizational chart by executive area can be found in the Organizational Charts 2018-2019 document published by the Human Resources Department (St-VI-2N).

2019-2020 HERKIMER COLLEGE ORGANIZATIONAL CHART

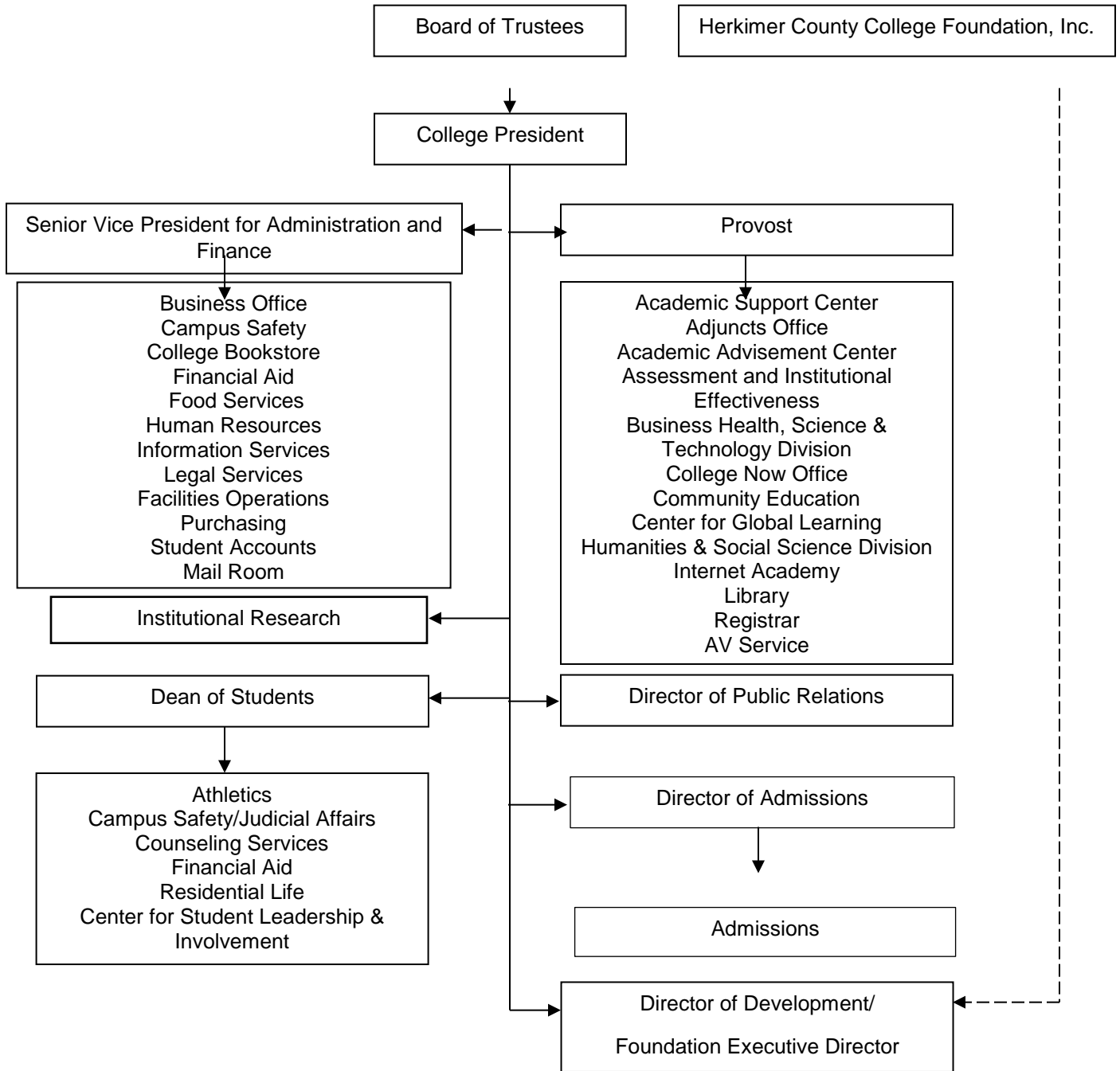


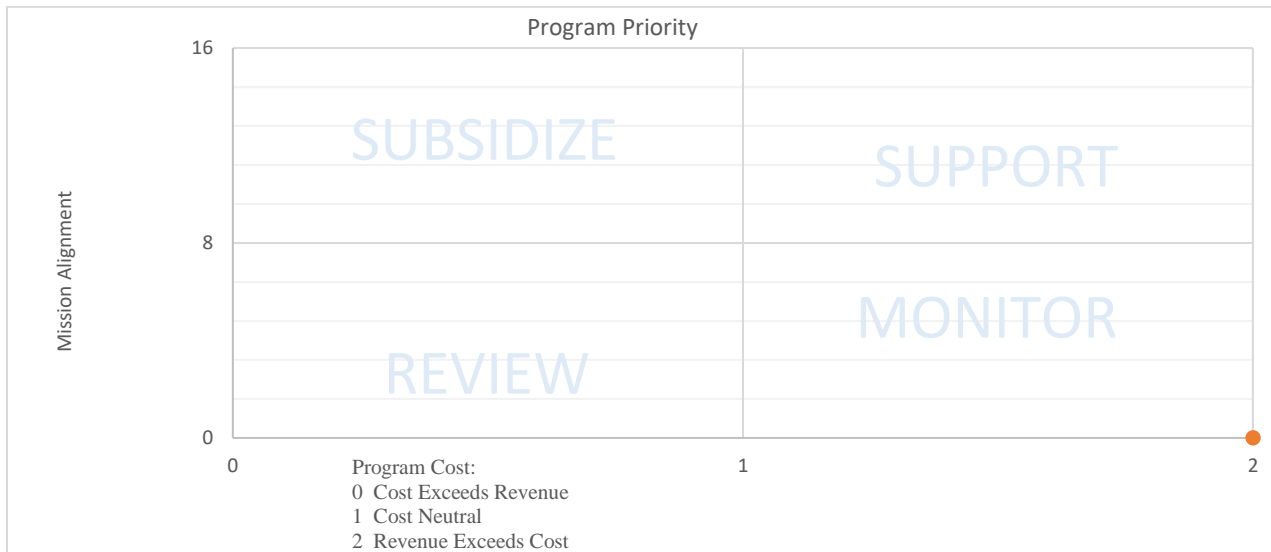
Exhibit 2. Herkimer College Organizational Chart (Source: Office of the President)

A collaborative Program Prioritization process was developed and implemented in the 2016-2017 academic year. The process evaluates program outcomes based on five criterion:

1. External need and viability of the program
2. Quality of program inputs and process
3. Quality of program outcomes
4. Size and scope
5. Revenue and expenditures

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

Criterion Number	Score	Max Score
Criterion Five		2



The criterion was plotted on a quadrant chart in one of four categories. (Subsidize, Support, Review or Monitor). If the program outcome falls into the Review category, the program leaders are required to submit a thorough analysis of the program (St-VI-2N.1) and provide recommendations to the Provost regarding improvement of outcomes. The first iteration of the process resulted in 10 programs falling into review, and ultimately resulted in three programs being deactivated. During the second iteration of the process, two programs fell into review, but those programs were in the process of completing the SUNY Program Review which was used for as the follow-up review of their program. In the second year, modifications were made to the process to improve efficiencies in the data presentation, to set guidelines on how to analyze the data, and to increase collaboration by adding Academic Senate participation to the process. This current year, the process has not changed but the source for regional and statewide job alignment with Herkimer’s programs was evaluated and changed from using a paid software to the free 2016-2026 Statewide and Regional Long Term Occupational Projections with Separations (St-VI.2N.2), which is a requirement for new program development by the State Education Department.

3. A financial planning and budgeting process that is aligned with the institution’s mission and goals, evidence-based, and clearly linked to the institution’s and units’ strategic plans/objectives

The College Controller distributes Budget Preparation Data sheets to budget managers in late winter. The Budget Preparation Data sheet states “...ensure that allocation is driven by our Strategic Plan, based on our missions and goals ...”. Budget managers complete an Excel spreadsheet and submit their official budget requests in accordance with their Executive Division’s Operational Plan. A tentative budget timeline is outlined on the Herkimer 2018 Budgets Preparation Data Sheet (ST-VI-3A). Currently, the College Resource Committee (formerly the Resource Allocation Committee) reviews and ranks new budget items and initiatives based on the Strategic Plan, utilizing the Resource Allocation Form (St.VI.3B). They interview requestors if needed. Once ranked, all data is forwarded for final review and selection to the Budget Committee which is comprised of the Senior Vice President of Administration & Finance, Dean of Students, Director of Human Resources, Provost, Controller and two faculty members (one from each Academic Division). The final proposed budget is presented to the Board of Trustees for approval (ST-VI-3C) and, if accepted, then offered to the Herkimer County Sponsor for approval. Lastly, the College submits the budget to SUNY for final approval. The College Controller informs department budget managers of final approved monies per budget line.

The College tracks and reviews its budget process annually. As of fall 2019, discussions for implementing a new budget process in 2020-2021 are in progress. This new process was informally presented to the Executive Council in December and then formally discussed at approved by that group in January 2020 at the Executive Council Retreat (ST-VI-3D). Department budget managers have monthly meetings with their supervisors to ensure departments are on track for accomplishing the goals of the appropriate Operational Plans. Executive Council members submit reports to the Board of Trustees (ST-VI-3E) prior to each Board meeting to ensure progress is clearly communicated.

4. Fiscal and human resources as well as the physical and technical infrastructure adequate to support its operations wherever and however programs are delivered

Fiscal resources are currently adequate to support operations. Responsible management of funds and consistently clean audits (ST-VI-4A) show that Herkimer College has demonstrated its commitment to sound practice of fiscal sustainability. Key Performance Indicators for fiscal stability are continually monitored by the President and Board of Trustees and annually reported in the Institutional Effectiveness Report Card (ST-VI-4B 2016-2017 IE Report Card p.27).

While the traditional community college financial resources profile would be one third of each: county sponsorship, state aid and tuition, Herkimer has traditionally received from its county sponsor less than 11.8% and as low as 6.8% of net operating costs. However, as a part of the Executive Council’s three-year plan for fiscal sustainability, the county has increased its contributions by \$100,000 for the first time in eight years. See the “Sponsor Contribution History” chart below.

Sponsor Contribution History					
Year	Budgeted Net Operating Costs	Sponsor Contribution	Sponsor as a % of Net Operating Costs	\$ Increase	% Increase
1996-1997	11,543,083	1,367,487	11.8%		
1997-1998	12,151,322	1,367,487	11.3%	-	0.0%
1998-1999	12,915,437	1,367,487	10.6%	-	0.0%
1999-2000	13,214,374	1,437,487	10.9%	70,000	5.1%
2000-2001	13,847,799	1,437,487	10.4%	-	0.0%
2001-2002	14,964,839	1,480,612	9.9%	43,125	3.0%
2002-2003	15,688,625	1,480,612	9.4%	-	0.0%
2003-2004	16,565,332	1,480,612	8.9%	-	0.0%
2004-2005	18,113,661	1,480,612	8.2%	-	0.0%
2005-2006	19,465,746	1,480,612	7.6%	-	0.0%
2006-2007	20,658,980	1,530,612	7.4%	50,000	3.4%
2007-2008	21,133,865	1,580,612	7.5%	50,000	3.3%
2008-2009	20,323,264	1,580,612	7.8%	-	0.0%
2009-2010	21,497,149	1,630,612	7.6%	50,000	3.2%
2010-2011	22,167,708	1,630,612	7.4%	-	0.0%
2011-2012	21,968,746	1,630,612	7.4%	-	0.0%
2012-2013	24,032,591	1,630,612	6.8%	-	0.0%
2013-2014	22,509,638	1,630,612	7.2%	-	0.0%
2014-2015	22,939,709	1,630,612	7.1%	-	0.0%
2015-2016	23,307,446	1,630,612	7.0%	-	0.0%
2016-2017	22,610,963	1,630,612	7.2%	-	0.0%
2017-2018	21,938,557	1,730,612	7.9%	100,000	6.1%
2018-2019	21,859,107	1,830,612	8.4%	100,000	5.8%
				\$ 463,125	

Exhibit 3. Herkimer County sponsor contributions from 1996-2019 (Source: Herkimer College Budget Office).

Funding from the state has not grown sufficiently with passage of years, as depicted in the chart below.

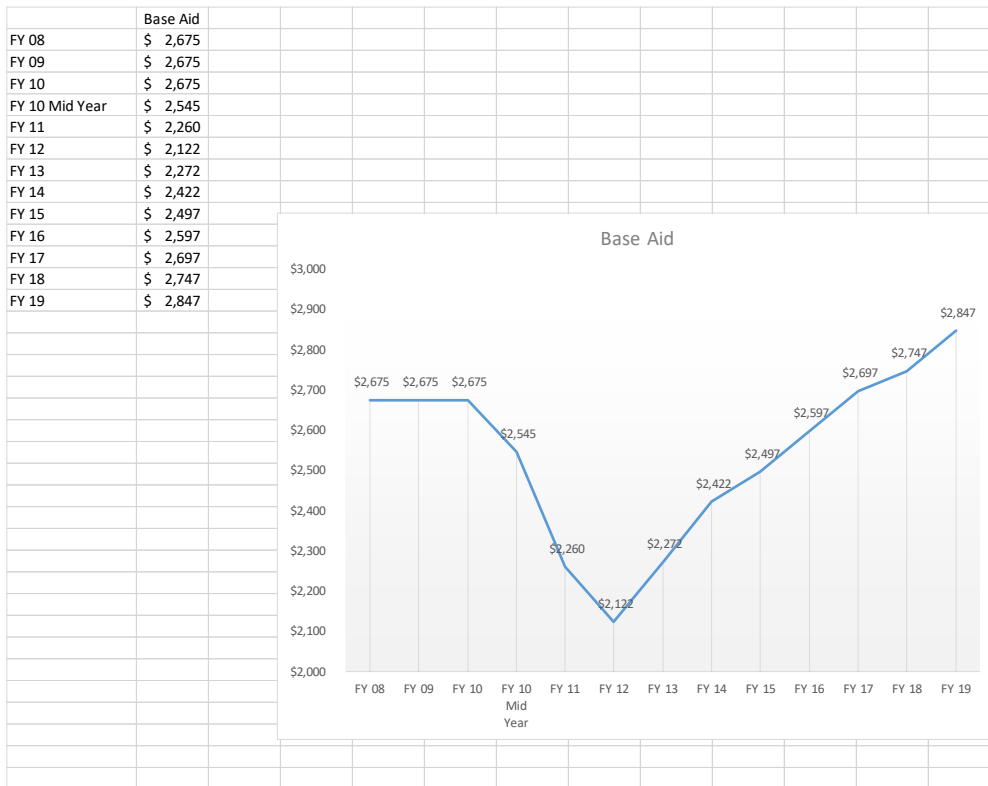


Exhibit 4. Trend display of New York State base aid per FTE from fiscal years 2008-2019 (Source: Herkimer College Budget Office).

History of HCCC Tuition Rates						
Fiscal Year	Full Time	Change		Part Time	Change	
		Dollars	Percent		Dollars	Percent
2006-2007	2,900	100	3.6%	117	-	0.0%
2007-2008	3,020	120	4.1%	117	-	0.0%
2008-2009	3,130	110	3.6%	120	3	2.6%
2009-2010	3,240	110	3.5%	120	-	0.0%
2010-2011	3,340	100	3.1%	129	9	7.5%
2011-2012	3,540	200	6.0%	129	-	0.0%
2012-2013	3,640	100	2.8%	129	-	0.0%
2013-2014	3,740	100	2.7%	129	-	0.0%
2014-2015	3,840	100	2.7%	135	6	4.7%
2015-2016	3,940	100	2.6%	139	4	3.0%
2016-2017	4,270	330	8.4%	159	20	14.4%
2017-2018	4,470	200	4.7%	164	5	3.1%
2018-2019	4,670	200	4.5%	169	5	3.0%
2019-2020	4,870	200	4.3%	174	5	3.0%

History of Student Tuition and Fee Revenue			
Fiscal Year	Total Revenue	Tuition Revenue	Percent of Total Revenue
	2010-2011	23,390,445	11,807,338
2011-2012	22,570,671	11,926,670	52.8%
2012-2013	24,006,686	11,290,513	47.0%
2013-2014	23,746,352	10,719,766	45.1%
2014-2015	21,844,157	10,167,580	46.5%
2015-2016	21,323,766	9,723,170	45.6%
2016-2017	22,014,294	9,921,929	45.1%
2017-2018	22,504,283	9,976,940	44.3%
2018-2019	21,374,744	9,143,953	42.8%
2019-2020 (budget)	22,456,687	9,434,531	42.0%

Exhibit 5. Herkimer College tuition rates FY 2006-2019 and revenue FY 2010-2019 (Source: Herkimer College Budget Office).

To stay committed to our mission of providing accessible (affordable) education for all learners as an open enrollment institution, the College has tried to implement no more than a 5% increase in tuition, with some years having a 0% increase. The critical FY 2016-2017 necessitated a significant increase, comparatively, given the significant enrollment decrease. Given the contribution levels from the state and county sponsor, tuition rates have consistently exceeded the expected 33% contribution towards total revenue.

There has been a roughly 37% drop in enrollment since 2008. Losses in revenue from this drop have been mitigated by a reduction in personnel at the College of roughly 34% since 2006. This reduction resulted from personnel

voluntarily leaving the College through retirement or other employment opportunities. The Voluntary Separation Program (VSP) of 2016 also contributed to this reduction in personnel, saving the College approximately \$300,000. College administrators are committed to maintaining an adequate work force.

The VSP demonstrates the College’s commitment to fiscal responsibility, a key criterion of Standard VI. According to the Director of Human Resources, the VSP “allowed the College [...] to avoid layoffs” by offering employees “lump-sum payments of \$7500 as an incentive to voluntarily separate.” Not only did this program save on the salaries for those who participated in the program, it also avoided “unemployment payment expenses...By allowing employees to volunteer to leave the employment of the College,” through resignation or retirement, “the College avoided involuntary separation through the use of costly and disruptive Reduction in Force (RIF’s)” (ST-VI-4C). Accordingly, three key groups of employees were offered the VSP: Faculty Professional Association, CSEA, and the Non-Bargaining Group. The details of this offer are provided later.

By December 31, 2016, ten employees participated in the VSP:

- Professional Association: 5 employees
- CSEA: 2 employees
- Non-Bargaining Group: 3 employees

The salaries of these individuals ranged from \$30,000 to \$75,000, resulting in a “net savings to the College [of] approximately \$300,000”. Through the VSP, the college provided incentives for employees while maintaining overall fiscal responsibility for the college. Further, the VSP came into existence through the pathways of the Integrated Planning Model. The VSP started in the Human Resources office in consultation with the President of the College and the Executive Council and helps serve Strategic Goal #4- Operational Sustainability of the 2015-2018 Strategic Plan (ST-VI-4D).

In a collaborative effort, the VSP was presented to the three key groups of employees affected by the plan. Each group agreed to the plan through Memorandums of Agreement or for the Non-Bargaining Unit a memo was sent to eligible employees.(ST-VI-4E)

As per the Resource Allocation Plan from 2015 (ST-VI-4H) the VSP plan called for \$7500 for each person accepting the terms of voluntary separation. This required the plan’s successful approval by the Resource Allocation Committee with the stated goal of getting as many employees as feasible to accept the offer and to temporarily not refill their positions.

An analysis of the data revealed a \$300,000 savings that was directly used to plan the following academic year’s budget. Thus, the VSP example factors strongly into the short term planning via the budget. Further, in the long-term, the College can revisit the positions vacated by the VSP and reassess their viability in comparison to enrollment data and funding. The VSP operates as a successful example of integrated planning on the Herkimer Campus.

The chart below indicates that with the statewide decline in enrollment of students in community colleges, we are on par with other community colleges.

Actual FTE Distribution											
	Sponsor Area			Other NYS			Out of State / Int'l			Total	
	FTE	% Change	% of Total	FTE	% Change	% of Total	FTE	% Change	% of Total	FTE	% Change
2010-2011	931.4		29.8%	1,989.6		63.7%	203.2		6.5%	3,124.2	
2011-2012	865.8	-7.0%	28.8%	1,928.5	-3.1%	64.2%	207.4	2.1%	6.9%	3,001.7	-3.9%
2012-2013	801.5	-7.4%	28.7%	1,790.4	-7.2%	64.2%	196.2	-5.4%	7.0%	2,788.1	-7.1%
2013-2014	747.4	-6.7%	29.2%	1,580.2	-11.7%	61.6%	235.6	20.1%	9.2%	2,563.2	-8.1%
2014-2015	775.6	3.8%	32.1%	1,411.4	-10.7%	58.3%	232.7	-1.2%	9.6%	2,419.7	-5.6%
2015-2016	753.3	-2.9%	32.3%	1,351.6	-4.2%	57.9%	228.6	-1.8%	9.8%	2,333.5	-3.6%
2016-2017	613.5	-18.6%	29.3%	1,273.3	-5.8%	60.7%	209.7	-8.3%	10.0%	2,096.5	-10.2%
2017-2018	613.1	-0.1%	29.9%	1,231.6	-3.3%	60.0%	207.0	-1.3%	10.1%	2,051.7	-2.1%
Change Since FY 2011		-34.2%			-38.1%			1.9%			-34.3%

Exhibit 6. FTE Distribution at Herkimer College from FY 2010-2018 (Source: Herkimer College Budget Office).

Retention is also critical for the College. On page 23 of the Institutional Effectiveness Report Card for the 2016-2017 Academic Year (ST-VI-4I), we see the largest percentage of the college’s Full-Time Equivalent (FTE) comes from

Continuing/Returning students. The college saw a high of 1598.2 FTE from continuing students in 2012-2013 and a low of 1144 FTE in 2016-2017. New students (first-time) comprise the second largest category for FTE. The college saw a high of 677.3 FTE from new students in 2012-2013 academic year and a low of 468.6 FTE in 2016-2017 academic year. Enrollment figures from the SIRIS - Early Student Submission fall 2019 shows an increase in new student enrollment over the previous year (this report is based on headcount) (ST-VI-4J).

The College appreciates the funding from its sponsors and other sources, such as grant funded programs. Exhibits 7 and 8 represent funding from the Herkimer County College Foundation and the HCCC Housing Corporation, respectively, since 2015. The College has also been awarded over \$1.2 million dollars in grant funding over the past four years (Exhibit 9). The largest grant award comes from Perkins funding for Career and Technical Education (CTE) students. Although the total grant funds awarded over the past four years has increased from 2016-2019 and was greatest in 2018-2019, the funding from the Herkimer County College Foundation has continually decreased since 2016. This demonstrates the need for the College to increase funding from its sponsors and other sources.

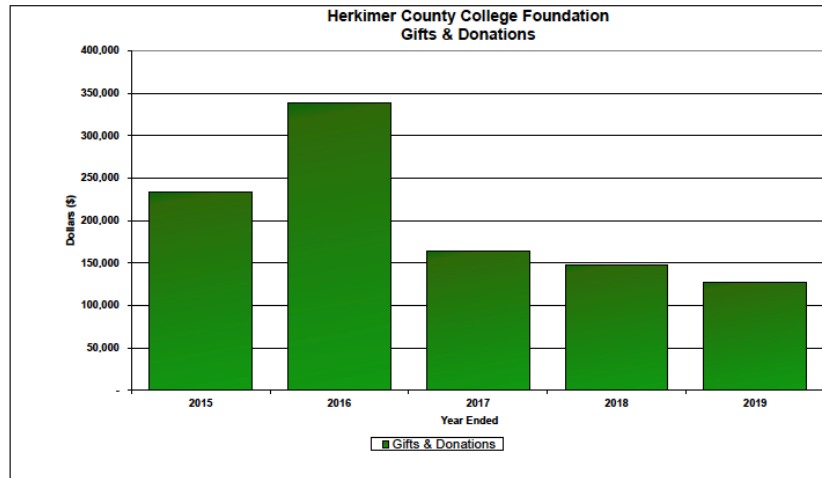


Exhibit 7. 5-year gifts and donations to the College from the Herkimer County College Foundation (Source: Director of Business & Finance for FSA, HCC Foundation & HCCC Housing Corp).

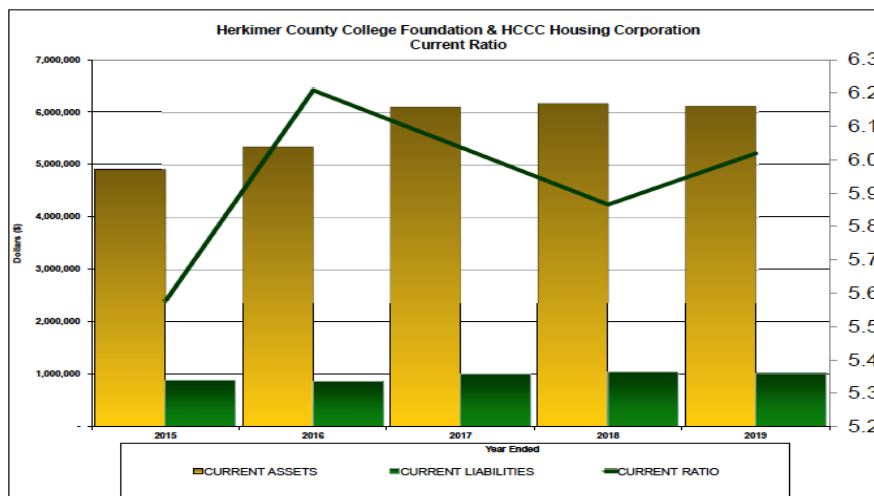


Exhibit 8. 5-year assets and liabilities ratios for the Herkimer County College Foundation and HCCC Housing Corporation (Source: Director of Business & Finance for FSA, HCC Foundation & HCCC Housing Corp).

2015/2016	2016/2017	2017/2018	2018/2019
Parkins: \$245,879.00	Parkins: \$204,062.00	Parkins: \$197,465.00	Parkins: \$205,223.00
CC Block Grant: \$12,000.00	CC Block Grant: \$23,000.00	CC Block Grant: \$17,000.00	CC Block Grant: \$27,900.00
SUNY CC Operating: \$39,941.00	SUNY CC Operating: \$40,000.00	SUNY CC Operating: \$42,000.00	SUNY CC Operating: \$45,000.00
CACFP: \$5,874.00	CACFP: \$8,195.75	CACFP: \$8,848.92	CACFP: \$0.00
Library CCD: \$6,123.00	Library CCD: \$6,387.00	Library CCD: \$6,238.00	Library CCD: \$6,181.00
Community Foundation "Mini Grant": \$11,500.00	Achieving the Dream (3-year grant; 06/01/16 - 12/31/18): \$55,500.00	SUNY OER: \$62,666.00	SUNY OER: \$42,700.00
SUNY/DOL Career Centers Funding Grant "MV Connections": \$69,308.50	SUNY Recruitment ("2017"): \$8,700.00	NYS OASAS College Environmental Prevention Grant: \$92,200.00	NYS OASAS College Environmental Prevention Grant: \$104,200.00
			Truth Initiative Smoke-Free Colleges Grant (Feb. '19 - June '20): \$19,943.00
			NYS OASAS Collegiate Recovery Program "mini" grant (under larger OASAS grant targeting opioid epidemic): \$15,065.00
		SUNY CC Workforce Dev. Training Grant: \$20,546.00	SUNY CC Workforce Dev. Training Grant: \$12,000.00
		SUNY Quantway Grant: \$63,000.00 (3-year grant; lump sum amount to be spent by 12/31/2019)	SUNY Quantway Grant: remainder of \$63,000.00 3-year grant to be spent by 12/31/2019*
		SUNY ALP "Developmental English Learning Community, Community of Practice Grant": \$5,000.00 (2018-2020)	SUNY ALP "Developmental English Learning Community Grant": \$20,000.00 (2019-2021)
Total: \$390,625.50	Total: \$345,844.75	Total: \$514,983.92	Total: \$519,232.00
Three-Year Grand Total:		\$1,251,454.17	
* I used one third of the 3-yr. amount, or \$21,000.00 for the 2018-2019 amount for this grant. -D.S.			

Exhibit 9. Total grant funds awarded to Herkimer College in FY 2015-2019 (Source: Assistant to the President).

Additionally, some higher costs factor into the balanced budget. The "Other Post-Employment Benefits" chart below shows that the number of retirees is placing an increased demand on health insurance, and because the College is self-insured, this has been an additional financial drain on the College.

Other Post-Employment Benefits	
Actual Cost History (recent)	
FY 2008	\$ 982,718
FY 2009	\$ 878,941
FY 2010	\$ 866,170
FY 2011	\$ 825,400
FY 2012	\$ 615,372
FY 2013	\$ 612,099
FY 2014	\$ 744,920
FY 2015	\$ 1,139,879
FY 2016	\$ 983,319
FY 2017	\$ 966,232
FY 2018	\$ 1,149,703

Exhibit 10. Cost of post-employment benefits from 2008-2018 (Source: Herkimer College Budget Office).

In spite of the compound fiscal challenge presented by all these factors, the College has only had to draw on its Fund Balance twice in the last 11 years. Further, fiscal viability is confirmed by the independent audit of the College by D'Arcangelo & Co., LLP determined that the College is overall accountable and responsible fiscally. In the 2018 Management Letter, the auditors noted that: "authoritative guidance or consensus" guided the transactions of the College, and that "all significant transactions have been recognized in the financial statements in the proper period"

(ST-VI-4K). The financial statement disclosures themselves are “neutral, consistent, and clear.” In other words, the fiscal matters of the College clearly move through the governance model.

Fiscal responsibility is a consistent characteristic of the College, as verified by the auditors for Fiscal Year (FY) 2018. In their conclusion, the auditors stated that the College showed “no significant deficiencies were noted relating to the audit of financial statements,” and further found “no instances of noncompliance material to the financial statements,” and “no significant deficiencies relating to the audit of the major Federal award programs.” Finally, “Herkimer County Community College qualified as a low-risk auditee.” (ST-VI-4K, p. 49).

In its 51st year, the College continues to adjust to the prospective pool of students available, the economic climate, and the job market trends. In response, the number of personnel campus-wide is continually monitored and adjusted as appropriate to meet the needs of current enrollment. The Executive Council consults with Human Resources regularly as staffing shifts. See Standard II for an explanation of staffing practices.

Though the College staffing has declined overall, commensurate with enrollment, management continues to address critical needs. In the Annual Report Master Summary the section *Staffing Size/Change, Staffing Effectiveness* acknowledges Criterion 4 by examining human resources at the College (ST-VI-4M, p. 10). Admissions and Facilities, in particular, had high turnover rates. Public Relations also experienced instability in staffing. For these reasons, the College has hired four new facilities employees. Turnover is to be expected, to an extent, as the positions are entry-level. Employees are either promoted or they pursue other opportunities. Further, the College has hired a new full time Public Relations assistant and a new instructor to lead the newly developed Electrical Technology program. While the College delayed filling positions on campus to help balance the budget, as of December 2019, the College hired a part time Counselor, an Advisement Center Specialist, a part time Professional (laboratory technician), a full time and a part time Campus Safety Officer, a part time AV Support Technician and a full time Building Maintenance Helper.

In 2015, the College followed through on its commitment to procure a full-scale Facilities Master Plan. Upon examining the plan, College officials determined that recommended large scale investments were cost prohibitive. However, the Senior Vice President for Administration and Finance and the Herkimer County Community College Fiscal Year 2018-2019 Operating Budget (ST-VI-4N) indicate that capital projects have a different funding stream than other areas of the College. The costs for many of the needed repairs on the College are covered through capital project funding.

Matching state funds have facilitated major capital projects at Herkimer, such as the \$1.5 million roof repairs on the Technology Center and the Classroom and Administration buildings. The College secured \$750,000 from the county and a matching amount from the state to implement these repairs (ST-VI-4O). The Facilities Department Unit Annual Report Master Summary 1/12/16 (ST-VI-4P) shows that the Facilities department, is continually facing challenges in maintaining and updating outdated infrastructure. The College’s limited funding for facilities only allows for selected improvements or replacement, as-needed.

A significant move to stabilize fiscal sustainability included a recent closure of the College’s Children’s Center, The Children’s Center was a daycare center for children of students and employees, as well as a training area for the students in the Early Childhood program. Outdated facilities added to projections of fiscal instability, though they were not indicated as the primary reason for closure. The College announced the closing of the Children’s Center in the president’s “Campus Message” on 5 December 2018 (ST-VI-4Q). The College has maintained provision for students’ experiential learning at alternate sites. Also, consistent with management philosophy and practice, the College has redeployed the remaining full time Children’s Center staff to other areas of the College.

As the above examples show, the College is cutting back where it can, while maintaining the fundamental physical infrastructure needed to continue its mission. Also, as mentioned above, the College has hired Facilities staff in response to feedback from faculty and staff (ST-VI-4R, p46).

Campus resources allow for proper function in alignment with current strategic goals and operational plans, and the campus is phasing in renovations. In 2012, all of the science laboratories were updated to state-of-the art teaching laboratories. A greenhouse and animal prep room were added, and some new equipment was purchased. In 2017, the College wireless network was entirely revamped with over 240 high-performance access points, giving constituents

access to a secure wireless network in all academic buildings, some of the outdoor areas, and Wehrum Stadium. In support of the new Electrical Technology program, renovations were completed in spring 2019 to a classroom in Johnson Hall, converting it into a new Smart Grid laboratory.

All of the classrooms on campus are equipped with computers and a projection system, usually a large TV or a projector. Many classrooms are fully equipped SMART classrooms with touch projection systems, and interactive podiums. Most classrooms also have a document camera system, allowing faculty to engage in more contemporary teaching methods.

The 2018 Faculty/Staff Survey, which is a part of that report, reveals a general satisfaction of approximately 76% for technology services (ST-VI-4S). The Information Services Unit Annual Report (ST-VI-4T) discusses concerns with cybersecurity. One recent change addressing this issue was the updated password protocol, as presented in the All-Campus Meeting of March 3, 2019 (ST-VI-4U). Suggested improvements to technological infrastructure noted in the Facilities Master Plan (ST-VI-4V- page 6, 19) include more standardized technology across classrooms and the addition of computer labs to the three already available on campus. As a service to increase affordability and accessibility to students, the College offers free on campus printing in computer labs to all registered students, a service for which many colleges charge a fee. Overall, the College currently maintains technical resources that fulfill its mission while being aware of current and future technological needs.

5. Well-defined decision-making processes and clear assignment of responsibility and accountability

The College's Organizational Chart above clearly defines (St VI Exhibit 2) the reporting structure, per supervisor, department and employee position, at all staff levels. The College's Organizational Chart with all staff positions is available on the College's MyHerkimer portal, which is accessible to all employees. The Organization Chart positions are more clearly defined in job descriptions through the Human Resources office. Accountability and responsibility of each department staff member is relative to the reporting structure illustrated in the organizational chart.

Herkimer College also uses a Campus Governance Structure (ST-VI-5A) that helps to uphold accountability through collaboration. College committees and working groups are recommending bodies and task groups, respectively. College pillar committees, as described above, collaborate closely through the IE Steering Team to develop, monitor and make recommendations regarding fulfillment of the Master Plans. Annually, the College President reviews required end-of-year reports by all committees, responding to their reported activities and recommendations. At such time, the president assigns further charges for the next academic year. In some cases, the executive supervisors may have already reviewed and addressed committee or work group recommendations during the academic year (ST-VI-5B).

6. Comprehensive planning for facilities, infrastructure, and technology that includes consideration of sustainability and deferred maintenance and is linked to the institution's strategic and financial planning processes

Based on the recommendation of MSCHE (ST-VI-6A), in 2017 Herkimer College moved forward with developing the current Facilities Master Plan. The College conducted a search and hired Envision Architects to handle the project.

The Facilities Master Plan (ST-VI-6B) outlines the College's facilities, infrastructure and technology plan and its processes. As detailed in the document's Introduction, the Envision team held meetings with College administrators and county legislators to get a clear picture of the overall campus conditions relevant to academic programs, as well as to determine Herkimer's standing within the SUNY community and Herkimer County. Additionally, the team embarked on a two-month evaluation of the existing facilities at Herkimer College. "In general, the campus was found to be in serviceable condition and has benefitted from a series of renovations, additions and new construction since occupying the campus in 1971" (ST-VI-6C-p3). While the Envision team acknowledged the serviceable condition of the current campus, it also recommended remediation work to "ensure the value and proper operation of the existing facilities are maintained." (ST-VI-6D, p. 4).

The Envision team also identified three areas normally out of the scope of a master plan, in which special consideration be given. Those areas are: (1) Information and Audio/Visual Technology, (2) Facilities Management Database and (3) Hazardous Materials Survey and Report. The College has begun addressing these areas.

The Envision team noted that the Facilities Master Plan is aligned with the strategic goals of the College. “The results of the discussion have helped the team align its recommendations with the campus’s strategic goals and objectives consistent with the campus mission statement and its core values (Community, Excellence, Integrity, and Opportunity)” (ST-VI-6E-p10).

The Facilities Master Plan acknowledges the progress the College has made in developing a comprehensive plan and states that the setting of goals and objectives for each of the Envision teams assisted with staying focused on the College’s priority areas and responsibilities. Furthermore, it is stated, “the new plan shall be centered on activities with measurable outcome tied to a timeline” and “...the final outcome should be aligned with its final budget impact outlining both start-up strategy and sustainability costs” (ST-VI-6F-p4).

The Facilities Master Plan links to the financial planning process of the College. With the master plan complete, the President encouraged the campus community to vote on which projects they felt were most important/impactful to the institution, through an organized “dotmocracy” exercise. (ST-VI-6G) The top three projects were identified and the results presented to the Board of Trustees. The Board then tasked the College with determining a dollar amount for each project. The College is in the process of putting the projects and their costs forward to the Foundation Board of Directors. The Foundation will then determine if in fact any of the projects are viable candidates for a possible capital campaign.

7. An annual independent audit confirming financial viability with evidence of follow up on any concerns cited in the audit’s accompanying management letter

The institution readies its system for audit as of the last day of the fiscal year (August 31). The end of year finance steps include creating a clone of the institution’s Enterprise Resource Planning (ERP) system. An exact copy of the institution’s information is placed restricted non-production instance of the ERP. This process is completed by a collaboration of efforts between the IT and Finance departments and is outlined in the End of Year Finance Steps-2018 document (ST-VI-7A). The auditors then use this undisturbed version of the database, instead of the up-to-date production database. The process conducted to complete the annual financial audit begins in the month of September by finalizing all records (i.e., payroll and other accruals, invoices etc.) for the fiscal year. This process is completed by the Finance staff.

In October, account reconciliations are done for all balance sheet accounts. Schedules and statements are prepared for student financial aid detail, revenue and expense activity, and grant and capital projects activity. Files listing each transaction for all cash receipts, cash disbursements, journal entries and budget transfers/amendments are also prepared for audit review. Excel files are created and uploaded to the independent auditors’ portal for all reconciliations and schedules. The Controller prepares the SUNY Annual Fiscal Report (ST-VI-7B), which reports the financial activity of the college for the fiscal year in the format prescribed by SUNY.

A team of six to eight people from the independent auditing firm performs its fieldwork in early November. The auditors have access to all records (financial, student, compliance with aid, payroll, etc.).

After completing the fieldwork, auditors continue their work off campus. While the auditors are finalizing the audit from their end, the Controller financial statements, schedules, and footnotes following auditing principles outlined in HCCC Financial Statements FY 2018 by D’Arcangelo & Co., LLP independent auditors (ST-VI-7C). In addition, the Controller creates and maintains the 10-Year Financial Report History document (ST-VI-7D), an internal-only document created by and used by management to have an abridged version of the audit information. This allows for a quick assessment and double check of the institution’s financial information.

The auditors have a preliminary version of the audit report ready in January. A management letter is submitted when the audit is completed that states any discrepancies or concerns. The Controller addresses any discrepancies or concerns and supplies a management response to the management letter. Barring any unforeseen circumstances, the

final product is printed and presented to the Herkimer College Board of Trustees at their January meeting. The Board of Trustees either accepts or does not accept the audit. (ST-VI-7G) After the Board of Trustees accepts the audit, the full report and management letter are sent to SUNY and the federal Department of Education as well as other interested parties such as the college's banking institution.

Recent audits reported only minor findings. Most of these are related to the need for having more employees to increase internal control. Management's response to this has been that due to the size and austerity measures at the College, no additional personnel have been allocated or hired to perform these minor tasks. An example of such task is in the 2018 management letter where auditors recommended separation of duties for the incoming receipt system (ST-VI-7H). Specifically, they wanted one employee to open mail containing receipts and another to enter the information into Banner. College management responded that the current staffing levels do not allow for this. The task is performed effectively despite this recommendation. Therefore, while this is an issue, it is not a major detriment to the function of the College.

8. Strategies to measure and assess the adequacy and efficient utilization of institutional resources required to support the institution's mission and goals

The institutional audit envelops all spending, even that done during the institution's planning cycle. The institution has a cycle of planning and assessment that ensures it is using its resources to their fullest. This cyclic process relies on each department outlining their needs and later returning to their operational plans to determine the impact of decisions made. The planning process starts with departments outlining their needs and strategic direction they intend to pursue in their Department Operational Plans (formerly named Unit Operational Plans) (ST-VI-8A). These plans allow the institution to assess and review the allocation of resources for the purpose of supporting the institution's mission and goals. Several tools are used in this process. The institution's departments create Operational Plans that cover the major tasks that will be performed by the institution in the coming year. Each year, the Operational Plan begins with a mission statement and goals that are specific to each department. Herkimer College's Office of Institutional Effectiveness facilitates the establishment of quality standards and measures of success (ST-VI-8B) through its integrated planning, as outlined in the Middle State's Progress Report (ST-VI-8C).

The Department Operational Plans also include cost considerations for any new initiatives, using the Resource Allocation Form. The forms with new initiatives are brought to the College Resources Committee for ranking and submission to the Budget Committee for final approval. Ranking is completed using the Decision Making Criteria Rubric and is based on alignment of proposed new initiatives with Strategic Goals, Department Operational Plans, Institutional Learning Outcomes, Program Learning Outcomes, Program Review and health and safety. (ST-VI-8D)

The initiatives outlined by each department align with the goals outlined by the institution's Strategic Plan and are driven by the core values outlined in the Institutional Effectiveness Report Card (ST-VI-8E). The degree to which resource allocation is measured for significance of outcomes varies in accordance with strategic and operational goals.

9. Periodic assessment of the effectiveness of planning, resource allocation, institutional renewal processes, and availability of resources

The institution uses our core values (ST-VI-9A): Excellence, Opportunity, Community, and Integrity as guiding principles for assessing the quality of actions and outcomes in Operational Plans and for evaluation in Annual Reports (ST-VI-9B). Each year, each department converts their Operational Plan into their Annual Report. Each department reviews the previously developed Operational Plan to determine how well the department achieved the desired results. The plans, along with the evaluation of the desired outcomes, becomes the respective department's Annual Report. Annual goals/activities can have several sources of direction, such as from committees (ST-VI-9C), executive areas, and department needs. Each year, college-wide, one of the core values is assessed on a rotating basis and results are shared with leaders, faculty, and reported in the IE Report Card. The quality scale is based on performance level, from no action taken to full action with the highest quality results providing purposeful, targeted and assessed goals/outcomes with future potential for growth. The annual reports are used by departments to outline how the initiatives were received/enacted and lessons learned, with reflections for future planning.

The Institutional Effectiveness Activities Cycle (ST-VI-9E), was developed to reflect current practices with a timetable of monthly and yearly action cycles. Resources that support these institutional effectiveness activities go through the operational budget of the Office of Institutional Effectiveness. The IE Steering Team is using the Quality Rubric (ST-VI-9G) as established during the PRR to assess the master plans per the Master Plan Annual Assessment rubric (ST-VI-9H). The IE Steering team was added to the governance structure to allow pillar committee chairs the opportunity to collaborate on shared priorities for the institution and to ensure that is reflected in the master planning.

Key performance indicators (KPIs) for the college are: 1) Access and Enrollment, 2) Student Success, and 3) Fiscal Stability. In particular, enrollment trends, which are a critical measure under KPI 1, are tracked bi-weekly in Executive Council meetings and reported annually as summative data in the IE Report Card (ST-VI-9F). Frequent reports to the Board of Trustees are made throughout each academic year. The Institutional Effectiveness Report Card is prepared by the Associate Dean of Academic Affairs, Assessment & Institutional Effectiveness, the Director of Institutional Research, and the Research Assistant, approved by the Executive Council and shared with the Board of Trustees and College community.

In response to enrollment trends, the College has been proactive in seeking larger pools of prospective students. The rural geographical areas of Herkimer and its surrounding counties offers declining high school graduation rates in markets saturated with institutions of higher education. Herkimer has responded by hiring a new Admissions Assistant exclusive to the New York City area, targeting all five boroughs. The Admissions (department) Spring 2020 Goals indicates current growth in registered recruits. Early indicators show an increase in registered students in 4 out of 5 recruitment territories (ST-VI-9I).

Conclusion

The College performs periodic assessment of planning, resource allocation, institutional renewal processes, and availability of resources as a part of its general operations. Especially in an era with ever-changing financial factors (as outlined earlier, including Local and State contributions, FTE, etc.), the College maintains responsible and careful stewardship of all levels of resource management. The College looks forward to devoting more attention to aspects of the renewal process as resources stabilize in the future.

Opportunities for Improvement and Innovation

- Focus on increasing new student enrollment by targeting new territories.
- Expand program and course offerings to align with dynamic regional and state job markets.
- Proactively seek increased funding from College sponsors and other sources.
- Examine creative options for maintaining and increasing the various College resources, to ensure sustainability and maintain fiscal stability.
- Use the Facilities Master Plan to prioritize recommendations based on need and fiscal stability.
- Continue to align planning efforts with the College's Mission and goals as they evolve. Consider resources needed and the benefits of anticipated outcomes to ensure the most efficient use of funds toward continuous improvement.
- Conduct targeted marketing campaigns and promotional activities for new and existing academic programs.
- Promote career opportunities for specific academic programs.

Standard VII: Governance, Leadership, and Administration

“The institution is governed and administered in a manner that allows it to realize its stated mission and goals in a way that effectively benefits the institution, its students, and the other constituencies it serves. Even when supported by or affiliated with governmental, corporate, religious, educational system, or other unaccredited organizations, the institution has education as its primary purpose, and it operates as an academic institution with appropriate autonomy.” (Middle States Commission on Higher Education Standards for Accreditation, Standard VII).

“All staff are super involved with the students. I love that here.”
Daelan, General Studies, class of 2021

1. A clearly articulated and transparent governance structure that outlines its roles, responsibilities and accountability for decision making by each constituency, including governing body, administration, faculty, staff, and students

Herkimer County Community College’s governing body is the Board of Trustees (Board). Herkimer also has a system of shared governance (St-VII-1A) that includes the Academic Senate as the governing body for the faculty, Student Government Association as the governing body for students, and five standing pillar committees.

The Board’s responsibilities and policies are clearly articulated and are made publicly available on the College’s website (St-VII-1B). The Board’s bylaws (St-VII-1C) identify specific duties of the chairperson, vice chairperson and secretary, as well as duties of the Nominating Committee. The responsibilities and powers of the Board (St-VII-1D) include policy-making responsibilities. The Board is to “adopt and provide for the enforcement of all necessary policies for the management and governance of the College, ensure that College policies are consistent with the provisions of section 604.2 of the State Education Law and regulations of the State University of New York....Periodically review policies and objectives to: 1) determine their consistency with the education-related policies and goals of other local, state and federal institutions and agencies; and 2) ensure their applicability to local educational needs.”

At their April 29, 2010 meeting, the Board approved the Academic Senate as a permanent part of the governance structure of the College in Resolution 09-35 (St-VII-1E). The Academic Senate includes the following committees: Academic Policy, Curriculum, and Planning, each of which addresses issues that impact quality of teaching and learning. Minutes of all Academic Senate and Committee meetings are available in the Governance section of the MyHerkimer portal. As an example of the work of the Academic Senate, the Academic Policies Committee deliberated over and recommended a stricter Academic Amnesty policy, which was then approved by the College President (St-VII-1F). To keep the Board informed of the Academic Senate’s work, the Academic Senate report is a standing item on the Board of Trustees’ meeting agenda (St-VII-1G).

The College Advisory Committee (CAC) was formed at the start of the 2015-2016 academic year as an advisory board representing all campus constituency groups in order to make recommendations regarding institutional issues directly to the College President. It was disbanded after the 2018-2019 academic year to avoid duplication of meetings/dialogues that were already in place for providing campus constituent groups opportunities to share their opinions and concerns with the President.

The 2018-2019 Governance Structure booklet (St-VII-1H) identifies all standing College committees, Academic Senate and bargaining unit committees, and several work groups; the mission and charge of each committee; the college administrator the committee reports to, and the current membership of each committee. An alphabetical list of college employees’ governance assignments is included as well. This document is updated annually and is accessible to all faculty and staff in the MyHerkimer portal.

All College committees include representatives of faculty and administration. Students are represented on the Alcohol and Other Drug Advisory Board, Campus Safety Committee, and Student Judicial Review Board.

Meeting minutes for standing College committees are posted in the MyHerkimer portal, accessible to all faculty and staff (St-VII-1I and St-VII-1J). To maintain confidentiality, meeting notes/minutes from the Student Judicial Review Board are excluded from this posting requirement.

Excluding the Academic Senate, its subcommittees and the Professional Association bargaining unit's Promotion & Merit Recommending Committee, all standing College committees are required to submit an annual end-of-year report to the Assistant to the President. The Assistant to the President compiles reports for review by the College President, who then prepares a written response to each committee, specifically addressing their recommendations. The Assistant to the President emails responses to the committee chairs (St-VII-1K, St-VII-1L).

As stated in the Student Government Association's (SGA) constitution (St-VII-1M), SGA is the official representative and governing body for the interests and opinions of the student body. The SGA has representation on the Board of Trustees, Middle States Self Study Steering Committee, Academic Senate and Faculty-Student Association Board of Directors. In Fall 2018, the SGA president was spearheading a revamp of the constitution and SGA established goals for 2018-19 (St-VII-1N).

2. A legally constituted governing body that:

2a. Serves the public interest, ensures that the institution clearly states and fulfills its mission and goals, has fiduciary responsibility for the institution, and is ultimately accountable for the academic quality, planning, and fiscal well-being of the institution

As stated in its bylaws, the Board of Trustees is a public entity with powers mandated by the State Legislature (St-VII-2aA). The ten member Board includes five trustees appointed by the Herkimer County Legislature, four appointed by the governor of New York State, and one student representative.

The Herkimer County Legislature's Education Committee's process to fill vacancies on the Board begins with a press release notification of its search for local sponsor appointments detailing some of the responsibilities, duties and requirements (St-VII-2aB). Interested individuals send a letter of interest and resume to the chair of the Committee on Education. After the committee meets to review the letters and choose a trustee, it presents a resolution (St-VII-2aC) to the full legislature for approval.

The Governor appoints trustees per the New York State Education Law (St-VII-2aD). The student body-elected Student Government Association President serves as the student representative on the Board. Trustees' background and expertise are included in their biographies on the College website and curriculum vitas are available in the President's Office. Upon appointment, each trustee meets with the College President and the Board Chair for an orientation and is provided with the following: meeting schedule, Board of Trustees contact information, Board of Trustees Bylaws, the College's budget for the current academic year, the College's Organizational Chart, Education Law – Community College Regulations, Part 600-Part 607, New York Education Law 6301-6310, Middle States Commission on Higher Education Standards for Affiliation and Requirements of Affiliation, and a Guidebook for Community College Trustees (St-VII-2aE), as well as a Board of Trustees Policy Manual.

Board of Trustees meet six times per year, with additional meetings scheduled as needed. In addition to the regularly scheduled meetings, the Board of Trustees holds an annual workshop that provides time for in-depth discussion on the College's progress on Key Performance Indicators and Institutional Effectiveness. The Board also reviews their goals from the previous year. The Board designates up to thirty minutes at the beginning of each scheduled meeting for public comment (St-VII-2aF). Anyone interested in addressing the Board of Trustees can complete a Request for Public Comment form to be put on the meeting agenda. For example, at the Board meeting on September 27, 2017 (St-VII-2aG), a community member spoke during the public comment period regarding the Board's resolution at a previous meeting to increase Fitness Center fees for senior citizens. The Board does not respond to public comment but they listen and may ask questions for clarification. The main objective is for them to receive comments.

The Board authorizes the establishment of new programs of instruction designed to meet institutional goals and objectives, the deactivation of academic programs, and ensures that institutional goals and objectives are consistent with local needs and with goals and objectives established by the State University of New York. At a special meeting held August 30, 2017, Resolutions 16-26, 16-27, and 17-19 were approved by the Board resulting in discontinuation of three academic programs due to low enrollments and decreased workforce demands (St-VII-2aH). In contrast, at

the Board's May 2, 2018 meeting (St-VII-2aI), the Board voted to approve two new programs, Electrical Engineering Technology A.A.S. and Supply Chain Management A.A.S. (St-VII-2aI.1, St-VII-2aI.2). It is also the responsibility of the Board to approve the awarding of merit, tenure, and promotion to faculty and staff, as well as policies regarding the admission and enrollment of students.

In the area of planning, the Board adopts and provides for the enforcement of all necessary policies for the management and governance of the College. For example, at the May 2, 2018 Board meeting (St-VII-2aJ), a presentation was made on the Strategic Plan 2018-2021, in advance of the Board's vote on the plan at a later meeting.

The Board has ultimate fiduciary responsibility for the College and is required to ensure the fiscal well-being of the institution through approval of the operating budget and capital plans for submission to and approval by the local sponsor, Herkimer County, and the State University trustees prior to the beginning of the fiscal year; monitoring the operating budget and ensuring that appropriate procedures are initiated to correct budget variances; providing for an annual external audit of the College financial operation, providing support for ensuring that the revenue necessary to maintain and operate the College is available, ensuring that the College is able to support participation in federal, state, and local financial aid programs, establishing tuition and fees within legal limits, and adopting policies regarding payments, refunds and official records. For example, at the Board of Trustees meeting on June 28, 2017 the Board approved the College's operating budget and the tuition and fee structure for the 2017-2018 academic year, as well as community education services, facilities utilization, child care and non-credit programming fees and new part-time employee and adjunct pay scales (St-VII-2aK).

2b. Has sufficient independence and expertise to ensure the integrity of the institution. Members must have primary responsibility to the accredited institution and not allow political, financial, or other influences to interfere with their governing responsibilities

As requested by the Herkimer County Legislature and in accordance with Article 18 of the General Municipal Law (St-VII-2bA) and the Herkimer County Ethics Law (St-VII-2bB), each spring, all trustees are required to complete an ethics packet (St-VII-2bC), attesting to any political, financial or other influences that may interfere with their governing responsibilities. The Board also discussed at their October 20, 2018 workshop (St-VII-2bD) the development of a Conflict of Interest Policy and a committee of several board members was formed to research and draft a policy which was presented at the Board's November 20, 2019 meeting, Resolution 19-10: Conflict of Interest Policy was presented (St-VII-2dE) and approved at the January 15, 2020 Board meeting (St-VII-2dE.1).

The Board of Trustees completes an annual Self-Assessment (St-VII-2bF) and discusses the results (St-VII-2bG) to ensure that they are meeting their ethical standards and responsibilities and to determine areas in need of improvement. Upon discovering that their written ethical expectations were weak in some areas, at their November 30, 2016 meeting, the Board of Trustees formed a committee to review their board Self-Assessment Survey in an effort to institute a more comprehensive survey (St-VII-2bH). The Board approved a new template of the Self-Assessment at their April 26, 2017 meeting (St-VII-2bI) and has been implemented (St-VII-2bJ).

2c. Ensures that neither the governing body nor individual members interferes in the day-to-day operations of the institution

According to the College President, the Board refrains from interfering in day-to-day operations of the institution, and at no time has the current President thought otherwise. Included in the new trustee orientation with the College President and Board Chair is an overview of the Roles & Responsibilities of the Board, which includes fiduciary responsibilities, setting policies for the institution, and general oversight of the institution's effectiveness. (St-VII-2cA). Similarly, the Senior Vice President for Administration & Finance states that the Board does not interfere with the day-to-day financial operations of the institution (St-VII-2cB).

2d. The Board of Trustees oversees, at the policy level, the quality of teaching and learning, the approval of degree programs and the awarding of degrees, the establishment of personnel policies and procedures, the approval of policies and by-laws, and the assurance of strong fiscal management

At the March 24, 2016 meeting, the Board discussed adding an Academic and Student Affairs Committee to its committee structure (St-VII-2dA). This Committee is responsible for reviewing materials relating to academics and student affairs, and vetting resolutions pertaining to these areas before being brought to the full Board. This change in

committee structure was approved in the bylaws at the Board's April 20, 2016 annual meeting (St-VII-2dB). From April 20, 2016 to October 20, 2018, the Academic and Student Affairs Committee of the Board was responsible for making recommendations to the Board during full Board meetings regarding these areas. For example, at the Board of Trustees July 11, 2018 meeting, the Academic and Student Affairs Committee presented Resolution 17-22: New Program Proposal-Communication & Media A.S. for approval by the Board (St-VII-2dC). Another example is at the March 22, 2017 meeting, Resolution 16-8: New Program Proposal – Quality Assurance-Property and Asset Management Certificate was presented by the Academic and Student Affairs Committee (St-VII-2dD).

Due to the small size of the Board and the committees, the information discussed in committees often was repeated in the full board meetings; therefore, the Board decided to dissolve the Academic and Student Affairs Committee and the Administration and Finance Committee. The Board updated their bylaws to reflect this change at a special meeting held on October 20, 2018 (St-VII-2bE). Since that change in bylaws, all academic and student affairs related business has been addressed in the full board meetings. For example, at the January 16, 2019 meeting, several academic related resolutions were presented to the full Board and approved, including Resolution 18-6: New Program Proposal: Pre-Employment Corrections Certificate; Resolution 18-12: Proposal to Discontinue: Laboratory Technician A.A.S.; and Resolution 18-15: New Program Proposal: Art Education A.S (St-VII-2dF). As stated in Standard III, part of the process for approving new academic programs, the Board reviews the New Program Feasibility Analysis report that identifies the need for the proposed new program, as well as the fiscal implications (St-III-2dF.1)

The Board maintains policies pertaining to employee access to personnel files, employee compensation, designation of acting presidents, hiring of college personnel, eligibility for emeritus, payment of accrued sick days for Executive Council members, sabbatical leave, anti-bullying, and fraud and irregularities (whistleblower policy). The Board reviews and approves the Faculty Staff Handbook annually (St-VII-2dG). Annually, typically at the March meeting, the administration presents recommendations to the Board regarding promotion and tenure of faculty and merit pay for staff, and the Board votes on the resolutions (St-VII-2dH).

2e. The Board of Trustees plays a basic policymaking role in financial affairs to ensure integrity and strong financial management. This may include a timely review of audited financial statements and/or other documents related to the fiscal viability of the institution

The Board of Trustees plays a basic policymaking role in financial affairs to ensure integrity and strong financial management. To ensure that the Board is regularly informed of the financial status of the institution, the Board is provided with a Statement of Revenues and Expenditures prior to each regularly scheduled Board meeting (excluding the September meeting due to the end of the fiscal year). Prior to the change in bylaws deactivating the Administration and Finance Committee (January 24, 2018), the Sr. Vice President for Administration and Finance reported on the Financial Statement to the Administration and Finance Committee, and the Committee Chair then presented the report to the full Board for approval (St-VII-2eA). Since the deactivation of the Administration and Finance Committee, the Sr. Vice President for Administration and Finance reports on the Statement of Revenues and Expenditures directly to the full Board, and they vote to approve the report.

All capital projects and change orders are presented to the Board for approval. For example, at the November 29, 2018 meeting, Resolution 16-6A: Smart Grid Laboratory – Amended was presented to the full board and approved, as was Resolution 17-5A: Approval of Extension for Consultant – Smart Grid Laboratory and Resolution 18-4: Swimming Pool Equipment Infrastructure Upgrades (St-VII-2eB).

An external independent audit is conducted annually in January, as described in Standards II and VI, and a comprehensive report is provided to the Board, along with a presentation by the auditing firm, D'Arcangelo & Co. The Board has an opportunity to ask questions and discuss, then votes to approve the Audit Report (St-VII-2eC) (St-VII-2eD).

2f. Appoints and regularly evaluates the performance of the Chief Executive Officer

After the resignation of the College's third president in Fall 2013, the Board acted immediately to appoint the Vice President of Administration and Finance, Nicholas Laino, as Interim President (St-VII-2fA.1). Under Mr. Laino's leadership, the College completed its MSCHE Periodic Review Report. To begin the search to appoint a permanent President, the Board investigated and interviewed several search firms and ultimately entered into a contract with CollegeCEOs, Inc. to lead the presidential search (St-VII-2fA). Prior to the start of the search, the Vice President of

CollegeCEOs, Inc., spoke at a special Board meeting on June 11, 2014 (St-VII-2fB) and proposed a timeline for the search process (St-VII-2fC). The Board designated a diverse group of members for the search committee to ensure all college constituencies were represented (St-VII-2fD).

The search formally began in August 2014 with the first meeting of the search committee. Under the direction of the Vice President of CollegeCEOs, Inc., the search committee exercised procedures that aligned with the State University of New York's Guidelines for Presidential Searches for Community Colleges (St-VII-2fE). Letters of applications and curriculum vitae were reviewed on a secure site by the committee, and 11 candidates were interviewed.

The committee then narrowed the list to four candidates, and on November 20, 2014, the Board Chair notified the campus community in writing of the four finalists, and a news release was issued (St-VII-2fF). On November 25, 2014, the schedule for open forums with the candidates was announced (St-VII-2fG). In addition to open forums with the public, candidates met with various constituents, including employees in each of the bargaining units, non-bargaining unit employees, students, Academic Senate, Executive Council, Foundation Board members, and the Board of Trustees (St-VII-2fH). Following the forums, the Board reviewed feedback received from members of the aforementioned groups. A special board meeting took place on December 18, 2014 was unanimously adopted to appoint Dr. Cathleen C. McColgin as President of Herkimer County Community College (St-VII-2fI, St-VII-2fJ, St-VII-2fK). On January 13, 2015, the State University of New York Board of Trustees (St-VII-2fL) approved the appointment of Dr. McColgin. An official announcement was then released to the college community via email and a news release was issued to the media and posted on the College website (St-VII-2fM).

Annually, the President presents to the Board of Trustees a report indicating accomplishments during the prior year and proposed goals for the future (St-VII-2fN). The President is evaluated by the Board of Trustees using an evaluation instrument provided by the Director of Institutional Research through a Survey Monkey link for anonymity (St-VII-2fO). After the deadline, the Director of Institutional Research sends results to the Board Chairperson, who then discusses the results with the President.

2g. Is informed in all its operations by principles of good practice in board governance

As outlined in the Bylaws (St-VII-2gA), the Board shows good practice in board governance by following Roberts Rule of Order and McKinney's General Construction Law Section 41. The Board maintains a relationship with the Herkimer County attorney, who is called upon for counsel, as necessary, at Board meetings or as a follow-up to Board meetings, and to ensure that the Board follows rules of order. In addition to regular and special meetings, up to two board workshops are held annually to allow for discussion about matters of the College, as well as to review and discuss results of Board Self-Assessments.

The Board of Trustees is a member of the New York Community College Trustees (NYCCT), whose mission is "to strengthen the trustees of community colleges through education, advocacy and communication (St-VII-2gB)." Board members are notified of and often attend NYCCT meetings and conferences. For example, the Board Chair and Vice Chair and the College President attended the fall conference in 2018 (St-VII-2gC).

2h. Establishes and complies with a written conflict of interest policy designed to ensure that impartiality of the governing body by addressing matters such as payment for services, contractual relationships, employment, and family, financial or other interests that could pose or be perceived as conflicts of interest

In order to avoid conflicts of interest, each board member is required to complete an ethics packet every year, in which members of the Board must disclose their spouse and dependent children (if applicable), business positions, outside employment, future employment, past employment, investments, other income, third-party reimbursements, interest in contracts, debts, gifts and honorariums, and political party affiliations (St-VII-2hA).

It is a policy of the Board that all purchases of goods and services by the College shall be in accordance with General Municipal Law (GML), Articles 5A and 18. No employee, officer or board member shall have a conflict of interest as defined by GML Section 801 in any purchase or contract to the College. A conflict of interest exists when, in the purchasing of goods and services, the officer or employee, individually or as a member of the board, has the power to a. Negotiate, prepare, authorize or approve the contract; b. Audit bills or claims for payments, or; c. Appoints any officer or employee who has such power or duties (St-VII-2hB).

2i. Supports the Chief Executive Officer in maintaining the autonomy of the institution

It is the responsibility of the Board to support the College President in maintaining the autonomy of the institution by advocating to the sponsor, Herkimer County, the College's interest in areas such as budget, capital facilities, and contract negotiations (St-VII-2iA). The Board is also committed to unified, reliable, and consistent responses to inquiries by the news media, thus maintaining the autonomy of the institution from outside groups and influences (St-VII-2iB). The President affirms that the Board allows the institution to operate independently and affirms her autonomy (St-VII-2iC).

3. A Chief Executive Officer who: a. is appointed by, evaluated by, and reports to the governing body and shall not chair the governing body

According to State Education Law, the Board delegates responsibility to the College President to appoint all other staff members (St-VII-3aA). Section 2f includes details related to the appointment of the College President.

The evaluation tool currently used to evaluate the College President was created in 2011 by the College's third president in collaboration with the Board of Trustees. The tool evaluates: effectiveness dealing with the community, legislative representatives and other community college leaders; poise under pressure, integrity, sensitivity and responsiveness to affirmative action, student needs, faculty and staff needs, responsiveness to the Board; ability to grow as an administrator, set and achieve personal goals; and level and quality of communication with the Board and ability to represent the college at local, state, and national levels to ensure the President maintains performance level toward fulfillment of the College's mission. The last part of the evaluation extensively addresses the President's relationship and dealings with the Board, including keeping trustees well-informed on issues or concerns, providing them with in-service training opportunities, providing sufficient quality information in order to make decisions, as well as other detailed areas (St-VII-3aB). President McColgin's first evaluation took place in the summer of 2018 (St-VII-3aC).

President McColgin provides a report to the Board of Trustees at each regular meeting to update trustees on various topics and issues, as well as inform them of her activities with various stakeholders on campus and in the community (St-VII-3aD). In an effort to inform the Board, the President also arranges for presentations by various members of the campus community on topics of interest to the Board. For example, at the May 2, 2018 meeting, the Academic Senate President updated the Board on agenda items for the Senate including bookstore orders, registration and enrollment numbers, and their review of Satisfactory Academic Progress standards; Strategic Planning co-chairs presented the College's plans on the 2018-2021 Strategic Plan; and Associate Dean of Academic Affairs for Assessment and Institutional Effectiveness presented on a recent visit from Middle States Liaison Dr. Stephen Pugliese (St-VII-3aE).

3b. Has appropriate credentials and professional experience consistent with the mission of the organization

Dr. Cathleen McColgin holds credentials and experience required to fulfill the duties and responsibilities of her position as president of Herkimer County Community College (St-VII-3bA). Prior to her appointment as President, Dr. McColgin gained extensive leadership experience as Provost and Senior Vice President at Onondaga Community College, and as Provost at Cayuga Community College. She also has a wide range of experience working in various levels of academics, including student academic support services and as a faculty member and coordinator of the Nursing Arts Laboratory at Cayuga Community College. "She also has worked as a registered nurse and served as an officer in the United States Army Reserve as a member of the 376th Combat Support Hospital, obtaining the rank of captain. McColgin has served on several college-wide, SUNY-wide, and local community boards and committees and is an evaluator for the Middle States Commission on Higher Education." (St-VII-3bB).

3c. Has the authority and autonomy required to fulfill the responsibilities of the position, including developing and implementing institutional plans, staffing the organization, identifying and allocating resources, and directing the institution toward attaining the goals and objectives set forth in its mission

Per Board policy, the College President has the authority to appoint all College personnel, in accordance with provisions indicated in all bargaining unit agreements where required. In addition, the President has the authority to re-appoint personnel. Should there be a situation requiring non re-appointment of a full-time college employee, the President will bring the matter to the attention of the Board prior to taking final action (St-VII-3cA).

The College President ensures that the College's Governance Structure is updated annually, and institutional and departmental planning processes and timelines are adhered to, as discussed in Standard I and VI.

3d. Has the assistance of qualified administrators, sufficient in number, to enable the Chief Executive Officer to discharge his/her duties effectively and is responsible for establishing the organization's efficiency and effectiveness

The College President is supported by an Executive Council of qualified administrators including the Senior Vice President of Administration and Finance, Provost, Dean of Students/Director of Athletics, Director of Public Relations, Director of Admissions, Director of Institutional Research and Assistant to the President, as well as a Secretary who also serves as administrative assistant to the Board. All departments, programs and employees are represented by an administrator on the Executive Council (St-VII-3dA, page 4). The President holds regular meetings with the Executive Council, and meeting minutes are available in the MyHerkimer portal (St-VII-3dB). The President also holds meetings individually with all direct reports. These meetings are an opportunity for administrators to discuss any topic with the President.

4. An administration possessing or demonstrating: a. An organizational structure that is clearly defined and that clearly defines reporting relationships

The Organizational Chart illustrates the structure and reporting relationships of all College positions, as well as auxiliary organizations and is updated annually and made available to faculty and staff in the MyHerkimer portal (St-VII-4aA).

4b. An appropriate size and with relevant experience to assist the Chief Executive Officer in fulfilling his/her roles and responsibilities

Administrative positions are responsible for the operations planning, assessment and management of their respective departments. Most administrators supervise faculty and/or staff and manage departmental budgets. As of January 2018, there were 24 administrative positions, in addition to the College President, identified by job descriptions on file in the Human Resources office, as follows:

1. Assistant Dean of Academic Affairs for Assessment & Institutional Effectiveness
2. Assistant to the President
3. Associate Dean of Academic Affairs Business, Health, Science and Technology
4. Associate Dean of Academic Affairs Humanities/Social Science
5. Associate Dean of Academic Affairs, Internet Academy
6. Bursar
7. Controller
8. Dean of Students
9. Director of Academic Support
10. Director of Admissions
11. Director of Advisement Services
12. Director of Athletics
13. Director of Campus Safety
14. Director of Facilities
15. Director of Financial Aid
16. Director of Human Resources
17. Director of Institutional Research
18. Director of Library Services
19. Director of Public Relations
20. Director of Residence Life
21. Network Administrator
22. Provost
23. Purchasing Agent
24. Sr. Vice President for Administration and Finance

Based on a January 11, 2018 examination of job descriptions and current resumes on file in the Human Resources office, with the exception of one, all administrators meet or exceed the experience and educational requirements identified in their respective job descriptions (St-VII-4bA). The administrator not meeting the educational

requirements of the job description was previously employed at another community college, as well as at Herkimer College, and was deemed to be the most qualified candidate based on experience.

Prior to January 16, 2019, these positions were classified as non-bargaining unit positions. In November 2018, several non-bargaining unit employees began the process to obtain representation by a bargaining unit. The Board of Trustees voted on January 16, 2019 to recognize the Herkimer County Community College Administrative Association (HCCCAA) (St-VII-4bB). The positions currently not represented by a bargaining unit include the President, Sr. Vice President for Administration and Finance, Provost, Dean of Students, Director of Public Relations, Controller, Director of Information Technology, Director of Campus Safety, Assistant to the President, Director of Human Resources and Administrative Assistant to the President.

Regarding sufficient personnel ratios, due to a 31% decline in FTE from 2009 to 2018, the number of teaching faculty has decreased 37%, and CSEA has decreased 32%, the number of non-teaching faculty has decreased 30%, the number of administrative/non-bargaining unit employees has declined by 13%. While the decrease in administrative/Non-Bargaining Unit staff has been at a lesser rate than other groups, as well as student enrollment, the workloads of these positions are typically not directly correlated to the number of students enrolled (St-VII-4bB.1).

4c. Members with credentials and professional experience consistent with the mission of the organization and their functional roles

Herkimer College utilizes a search process that ensures positions are filled with the most qualified and experienced candidates. All administrative positions have minimum qualifications as identified by their job descriptions. Search committees are selected by the President or another administrator who has knowledge and expertise in the field for the position sought. The selection process follows the Herkimer County Community College Guidelines for Conducting the Job Search and Interview Process Handbook (St-VII-4cA, St-VII-4cB). An example of this process implemented is the 2018 appointment of the Director of Admissions. A search was conducted under the title of Dean of Enrollment. The documented search process was followed utilizing web-based Interview Exchange by Hirezon, but resulted in no suitable candidate, and the search was extended, and again did not result in a successful candidate. The search was then extended under the new title of Director of Admissions. There were 45 applicants from which the committee and administration utilized the documented fair search process, resulting in a successful appointment.

4d. Skills, time, assistance, technology and information systems expertise required to perform their duties

Herkimer College supports professional development. Every department is encouraged to plan for and requisition resources for professional development opportunities for their staff and specific needs. The department operational planning process facilitates these efforts (St-VII-4dA).

4e. Regular engagement with faculty and students in advancing the institutions goals and objectives

The College President and other administrative staff members have regular engagement with faculty, staff, and students, in a variety of ways. All-Campus meetings and Division meetings are held regularly during the academic year in order to inform employees of personnel updates, enrollment projections, and academic and student affairs initiatives. College committees are comprised of representative members from across campus where administrators, faculty and staff meet regularly working toward common goals in support of the College's mission (St-VII-4eA). The President meets monthly with Academic Senate officers and has regular email communications with the Academic Senate President.

The strength of administrative and student engagement is exemplified in the Middle States Self Study Student Focus Group activity. The Middle States Self Study Student Focus Group provided an opportunity for engagement between administrators, faculty, staff and students. Results of the focus group indicated that the College President and Dean of Students are the administrators most recognizable to students, as having attended student activities and athletic events (St-VII-4eC). The SGA President also received feedback from constituents that they would like to see more of these types of focus groups and possibly initiate one themselves. The President regularly engages with students in a variety of ways. She attends new student orientation, the welcome back dinner for resident assistants, and roundtable discussions with Honors Seminar students. The President also speaks directly with students in classes and hosts a Leaders at Lunch event in which she and other senior level administrators have lunch with student leaders including SGA representatives, student ambassadors and resident assistants. This is an opportunity for dialogue between the

students and the administration, and to identify student concerns and ideas to enhance the student experience. The President also enjoys having fun with students in an informal way like scooping ice cream for prospective students on Accepted Student Day; participating in Jersey Day “Tailgate Party” with faculty, staff and students; and serving students at the end-of-semester “Late Night Breakfast.” The College President has an open-door policy and is known by the athletic teams as one of their biggest fans in attendance (St-VII-4eE).

The Dean of Students, Provost and Sr. Vice President for Administration and Finance also regularly engage with students and attend student activities such as Yards for Yearley, SUNY’s Got Your Back, and athletic events. The Sr. Vice President for Administration and Finance is as an officer on the Faculty Student Association, which includes faculty, staff and student representation and is a member of the Housing Corporation, which oversees residential life and housing, providing him with opportunities to engage with residential students. All three administrators are adjunct faculty at Herkimer College providing them with a significant amount of direct engagement with students.

4f. Systematic procedures for evaluating administrative units and for using assessment data to enhance operations

Overall institutional assessment and evaluation of administrative units is ongoing. The administration uses results of various surveys to identify areas that need improvement as well as areas that are functioning satisfactorily. Surveys such as the Community College Survey of Student Engagement (CCSE), Faculty/Staff Survey, Continuing Student Survey, Entering Student Survey, and Graduate Student Survey, as well as institutional data (IPEDS, SUNY Institutional Research Information System, Financial Aid Data Submission), are reviewed by the administration and shared with pertinent staff to evaluate all aspects of the campus. Survey results are available for faculty and staff to view in the MyHerkimer portal.

The Executive Council establishes annual priorities that cover all areas of the College and prioritizes items and identifies who is responsible for each item (St-VII-4fA). The Executive Council Priorities are disseminated to departments to assist them in creating their operational planning. Annually, each department head is required to develop and submit to their respective Executive Council member an Operational Plan. Executive Council members also develop and submit Operational Plans for their divisional area(s). Operational plans include goals and initiatives that support the College’s Strategic Plan. Status updates on all Operational Plans are required on a quarterly basis. Additionally, Executive Council members are to report status updates on Executive Council priorities on a quarterly basis (St-VII-4fB). This process is also described in Standard VI.

5. Periodic assessment of the effectiveness of governance, leadership, and administration

As outlined previously, the Board regularly completes a Self-Assessment Survey, and the Board regularly evaluates the effectiveness of the President. The Executive Council creates a list of goals for itself and assesses its own progress towards them annually (St-VII-5A). The College leadership also reports on the institution’s effectiveness through the previously described Institutional Effectiveness Report Card (St-VII-5B).

The student leadership, Student Government Association, assesses itself through setting annual goals, as shown in its meeting minutes, which it later revisits (St-VII-5C). The faculty leadership, the Academic Senate, uses a summative report written by the Senate President to his or her teaching and non-teaching constituents to summarize the previous year’s activities and introduce topics for the upcoming year (St-VII-5D).

The College’s mission to provide quality education is in one way measured through its Quality Rubric (St-VII-5E), developed in support of the Core Values. Measuring what we value gives us the pulse on how well operations and offerings are serving our diverse learners and our campus communities.

In 2016, in response to internal research on communications and student success, the College developed and implemented a Service Excellence campaign stating that “We Will” commit to maintaining and improving levels of service excellence within our areas of operation (St-VII-5F). Those Service Excellence precepts guide interactions and remind students, faculty, staff, administrators and visitors, that “Herkimer College is your community college, where every student counts and every employee makes a difference.”

In 2018, the College again conducted a Faculty/Staff Survey—this time to assess the tenets of service excellence. Because the College was under new leadership and a movement toward quality through greater service excellence,

the intended purpose of the 2018 survey was to provide a baseline from which the College could gauge improvements and facilitate future planning and decision-making (St-VII-5G). The Survey Team, under the leadership of the Director of Institutional Research invested nearly two years of intense development to align the survey with Core Values, the Service Excellence Plan and the College's strategic goals. The purposeful design of the 2018 Faculty/Staff survey was intended to provide an assessment of employee perceptions regarding work climate, job satisfaction, communications and other important issues for service excellence and institutional effectiveness. Each section of the results contains a series of follow-up questions to address future opportunities in leadership, planning and resources. Department Leaders and Pillar Committees are encouraged to utilize these questions for future planning.

The 2018 Teaching and Learning Survey was administered together with the Faculty/Staff Survey. While the Teaching and Learning Survey was designed to specifically guide academic decisions, it also was purposely designed to assess Service Excellence (St-VII-5I).

As of Fall 2018, Herkimer College is also piloting a new assessment tool, in the form of a Shared Governance Rubric (St-VII-5H), created by the Faculty Council of Community Colleges and endorsed by the SUNY Council on Assessment. This tool provides an evaluative process that assesses the roles of the Board of Trustees, President, faculty and students, as well as the climate of shared governance, institutional communication, and areas of joint decision-making, as well as overall structural arrangements of shared governance on the campus. Since this is only the beginning of a pilot, full use of this tool is not yet complete and will be phased in over time.

Conclusion

The aforementioned evidence supports the claim that Herkimer County Community College is indeed governed and administered in a manner that allows it to realize its stated mission and goals in a way that effectively benefits the institution, its students, and the other constituencies it serves. Herkimer College has education as its primary purpose and operates as an academic institution with appropriate autonomy.

The Service Excellence program is a result of strong leadership creating and embracing a purposefully designed program, infused into all levels of planning and operations, with evidence of assessments to inform future initiatives. Herkimer College has worked diligently since 2010 to move beyond compliance by establishing programs, policies and procedures foundational to an institution of higher education. Herkimer has achieved this and beyond, having launched institution level initiatives that have propelled the College as a leader among community colleges. Further, they show tenacity, creativity and unity in mission. Herkimer aspires to be compliant with requirements, and to excel in quality for the future.

Opportunities for Improvement and Innovation

- Utilize survey results to inform decisions/initiatives that will enhance campus governance and institutional effectiveness.

Herkimer College Self-Study Steering Committee Membership

Asst. Prof.	Christian	Avis	English
Ms.	Karen	Ayouch	Director of Institutional Research
Mr.	Alfred	Berowski	Director of Library Services
Ms.	Mary Ann	Carroll (<i>Co-Chair</i>)	Associate Dean, Assessment/Institutional Effectiveness
Assoc. Prof.	Nora	Dusseault (<i>retired</i>)	Information Science
Mr.	Donald	Dutcher	Dean of Students/Director of Athletics
Assoc. Prof.	Jennifer	Herzog	Biology
Ms.	Shari	Hunt	Secretary to the President
Ms.	Linda	Lamb	Associate Dean, Internet Academy/Continuing Education
Dr.	Nicole	McDaniels (<i>Co-Chair</i>)	Assoc. Professor, Biology
Mr.	William	McDonald	Associate Dean, Business/Health/Science/Technology
Ms.	Marjorie	Moore	Director of Academic Support Center
Mr.	Michael	Oriolo (<i>Self-Study Sup.</i>)	Provost
Ms.	Suzanne	Paddock	Director of Career Services
Dr.	Robin	Riecker	Associate Dean, Humanities/Social Science
Ms.	Rebecca	Ruffing	Director of Public Relations
Mr.	James	Salamy	Director of Human Resources
Mr.	Daniel	Sargent	Assistant to the President
Ms.	Rebecca	Socolof	Research Assistant
Asst. Prof.	Kathleen	Stables	Corrections
Assoc. Prof.	Lindsey	Taube	Mathematics

Verification of Compliance Team

Ms.	Karen	Ayouch (<i>Chair</i>)	Director of Institutional Research
Ms.	Mary Ann	Carroll	Associate Dean, Assessment/Institutional Effectiveness
Asst. Prof	Amy	Getman	Accounting
Ms.	Jaclyn	Harrington	Assistant Registrar
Ms.	Suzanne	Paddock	Director of Career Services
Ms.	Stacie	Shepardson	Senior Accountant

Work Groups

Standard I: Mission and Goals

Assoc. Prof.	Pepe	Aragon	Physical Education
Ms.	Suzanne	Paddock (<i>Co-Chair</i>)	Director of Career Services
Mr.	Joshua	Parkinson	Advisement Specialist
Dr.	Mark	Polkosnik	Professor - Legal Studies & Paralegal
Instructor	Matthew	Powers	English
Mr.	Daniel	Sargent (<i>Co-Chair</i>)	Assistant to the President
Prof.	Janemarie	Verri	Social Science

Standard II: Ethics and Integrity

Ms.	Karen	Ayouch (<i>Co-Chair</i>)	Director of Institutional Research
Asst. Prof.	Lisa	Calli	Social Science (Psychology)
Asst. Prof.	Justin	Como	Studio Art
Ms.	Stephanie	Conley	Librarian
Prof.	Paul	Dusseault (<i>retired</i>)	Business/Health/Science/Technology
Ms.	Wendy	Marchese	Director of Counseling
Mr.	William	McDonald (<i>Co-Chair</i>)	Associate Dean of Academic Affairs – BHST Division
Asst. Prof.	Amy	Roepnack	Fashion Buying and Merchandising
Mr.	Timothy	Rogers	Director of Campus Safety
Prof.	George	Smith	Chemistry
Dr.	Denver	Stickrod	Director of Admissions
Ms.	Amber	Stone (Minosh)	Senior Admissions Assistant

Standard III: Design and Delivery of the Student Learning Experience

Dr.	Jennifer	Adjodha-Evans	Asst. Prof., Biology
Asst. Prof.	Jason	Brown	English
Mr.	Frank	Drapalski	Technology Support Technician
Assoc. Prof.	Jennifer	Herzog (<i>Co-Chair</i>)	Biology
Prof.	Mary Jo	Kelley (<i>retired</i>)	Social Science
Asst. Prof.	Jessica	Kelly	Science/Technology/Engineering/Mathematics
Ms.	Linda	Lamb (<i>Co-Chair</i>)	Associate Dean-Internet Academy/Continuing Education
Mr.	William	Pelz	Instructional Designer Internet Academy
Asst. Prof.	Stephen	Sydoriw	Physical Education
Prof.	Maryann	Wrinn	Fine Arts

Standard IV: Support of the Student Experience

Instructor	Grace	Ashline	Human Services
Ms.	Jennifer	Brown	Area Coordinator - Housing
Ms.	Vicki	Brown	Director of Student Activities
Instructor	John	Cook	Information Science
Instructor	Amy	Dommer	Physical Education
Mr.	Donald	Dutcher (<i>Co-Chair</i>)	Dean of Students/Director of Athletics
Ms.	Julie	Kallies	Systems Programmer/Analyst
Ms.	Marjorie	Moore (<i>Co-Chair</i>)	Director of Academic Support Center
Ms.	Katherine	Scanlon	Director of Advisement Center
Asst. Prof.	Daniel	Thompsune	English/Philosophy

Standard V: Educational Effectiveness

Ms.	Tabitha	Carter	Coordinator - Internet Academy
Prof.	Cynthia	Gabriel	English
Asst. Prof.	April	Harris	Criminal Justice/Cybersecurity
Dr.	Karen	Jones	Assoc. Prof., Physical Therapy
Mr.	John	Lasher	Registrar
Assoc. Prof.	Blake	Pitcher	Digital Graphics
Dr.	Robin	Riecker (<i>Co-Chair</i>)	Associate Dean, Humanities/Social Science
Assoc. Prof.	Lindsey	Taube (<i>Co-Chair</i>)	Mathematics
Dr.	Eric	Vernold	Asst. Prof., Director of Education Programs

Standard VI: Planning, Resources and Institutional Improvement

Mr.	Aaron	Alford	Assistant Bursar
Asst. Prof.	Christian	Avis (<i>Co-Chair</i>)	English
Assoc. Prof.	Nora	Dusseault (<i>retired</i>)	Information Science
Ms.	Joy	Edmunds (<i>retired</i>)	Payroll
Prof.	Gale	Farley (<i>retired</i>)	Photo Technology
Mr.	Robert	Fowler	Executive Director of the Foundation
Asst. Prof.	Karen	Karker (<i>resigned</i>)	Engineering
Mr.	James	Salamy (<i>Co-Chair</i>)	Director of Human Resources
Mr.	Robert	Woudenberg	Director of Facilities Operations
Assoc. Prof.	Annette	Yauney	Information Systems
Dr.	Joseph	Matteson	Senior Systems Programmer/Analyst
Ms.	Jackie	Woudenberg	Controller

Standard VII: Governance, Leadership and Administration

Asst. Prof.	Joshua	Belisle	Mathematics
Ms.	Shari	Hunt	Secretary to the President
Dr.	John	McLean	Assoc. Prof., Social Science
Ms.	Patricia	Miller	Senior Financial Aid Assistant
Ms.	Rebecca	Ruffing (<i>Co-Chair</i>)	Director of Public Relations
Asst. Prof.	Kathleen	Stables (<i>Co-Chair</i>)	Corrections
Assoc. Prof.	Jeffrey	Steele	History/Social Science
Asst. Prof.	Faith	Thompson (<i>retired</i>)	Physical Science

Evidence Inventory Managers

Mr.	Alfred	Berowski	Director of Library Services
Ms.	Rebeccah	Socolof	Research Assistant

Board of Trustees

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Mr.	Daniel	Reardon	Trustee
Mr.	Patrick	Russell, J.D.	Trustee
Mr.	Michael	Stalteri, Sr.	Trustee
Mr.	Michael	Testa	Secretary
Miss	Brianna	Hoskins	Student Trustee