



PERIODIC REVIEW REPORT

Presented by:

Baruch College, CUNY, New York, NY
Dr. Mitchel B. Wallerstein, President

Presented to:

Middle States Commission
on Higher Education

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Date of the most recent decennial
evaluation team's visit: April 11-14, 2010

Baruch
COLLEGE 

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**Certification Statement:
Compliance with MSCHE Requirements of Affiliation and
Federal Title IV Requirements
Effective October 19, 2012**

Bernard M. Baruch College, City University of New York
(Name of Institution)

is seeking (*Check one*): Initial Accreditation
 Reaffirmation of Accreditation through Self Study
 Reaffirmation of Accreditation through Periodic Review

An institution seeking **initial accreditation** or **reaffirmation of accreditation** must affirm that it meets or continues to meet established MSCHE Requirements of Affiliation and federal requirements relating to Title IV program participation, including the following relevant requirements under the Higher Education Opportunity Act of 2008:

- Distance education and correspondence education (student identity verification)
- Transfer of credit
- Assignment of credit hours
- Title IV cohort default rate

This signed certification statement must be attached to the executive summary of the institution's self-study or periodic review report.

The undersigned hereby certify that the institution meets all established Requirements of Affiliation of the Middle States Commission on Higher Education and federal requirements relating to Title IV program participation as detailed on this certification statement. If it is not possible to certify compliance with all requirements specified herein, the institution must attach specific details in a separate memorandum.

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

(Chief Executive Officer)

13 May 2015
(Date)

(Chair, Board of Trustees or Directors)

(Date)

SECTION 1: EXECUTIVE SUMMARY

INTRODUCTION

Baruch College continues to build substantially and substantively on the momentum of the last decade. An institution with a sharpening sense of its identity within an increasingly technological and globalized terrain, Baruch is cognizant and respectful of its role within The City University of New York (CUNY), the city's public university system. CUNY is the largest urban university in the United States, with 24 separate institutions, over 480,000 total students, and one of the most diverse student bodies in the nation. CUNY's rich history includes over 165 years of excellence in bringing higher education to the residents of the city of New York, a mission that continues to evolve to this day. Baruch College is increasingly attuned to its role in preparing its students to be productive participants in the 21st-century global society.

Baruch College, located in the heart of Manhattan's financial and cultural center, was established 96 years ago as a constituent part of The City College of New York and is one of the most competitive senior colleges in the CUNY system. Baruch earned a 2010 gold badge from U.S. News & World Report as one of America's best colleges and was ranked sixth among best master's degree-granting public colleges. In addition, in 2014, Forbes named Baruch as one of the nation's best colleges for value.

A thriving, urban, multicultural institution, Baruch is home to three schools: the Zicklin School of Business (ZSB), which is the largest graduate and undergraduate business school in the nation accredited by the Association to Advance Collegiate Schools of Business (AACSB); the Mildred and George Weissman School of Arts and Sciences (WSAS); and the School of Public Affairs (SPA). Each of the schools offers both undergraduate and graduate degrees. Baruch offers 25 graduate-level specializations; CUNY's PhD programs in business and industrial/organizational psychology are housed at Baruch. A joint degree leading to an MPA/MS in public administration and nursing, established with Hunter College a decade ago, is thriving. The Master's in Financial Engineering attracts an academically elite international student body. A Master's in Arts Administration is admitting its first class in Fall 2015; a Master's in International Affairs is in development.

At the undergraduate level, Baruch offers 35 majors and 93 minors. The College's highly ranked business program has a strong liberal arts foundation and has produced many of the nation's top corporate business leaders.

In 2014, Baruch College enrolled 18,090 students, of which 14,857 were undergraduate. Full-time students were 64.2% of the student population, and 50.6% were men. The students are racially and ethnically diverse, with 39.9% Asian or Pacific Islander, 34.7% White non-Hispanic, 14.3% Hispanic, and 10.9% Black non-Hispanic. Historically, graduate and undergraduate business degrees are the predominant area of study, representing 67.6% of the students. We enroll 16.1% of students in arts and sciences degree programs and 5.6% in public affairs degree programs. Ten percent of our students have not declared a degree intention. Seventy-seven percent of our students are New York City residents.

We have 525 full-time faculty members, including 242 in the Weissman School, 204 in the Zicklin School, 50 in the School of Public Affairs, 21 librarians, and 8 in the areas of counseling, psychological services, SEEK (Search for Education, Elevation, Knowledge), and student affairs.

The College has approximately 700 full-time, non-faculty employees. (See [Appendix 1.1](#) for an organizational chart detailing members of the administration; [Appendix 1.2](#) provides links to our catalog; Baruch no longer publishes a printed catalog.) The College operates on a \$120 million tax-levy budget (slightly over \$217 million on an all-funds basis). We are also supported by the Baruch College Fund, which has assets totaling over \$180 million.

Baruch's last reaccreditation visit took place in April 2010. Baruch capitalized on the work done in the self-study for that visit. Recognizing that the mission statement was over a decade old and thus did not fully characterize the College's evolution and growth, the College drew on the input of all segments of the Baruch community in developing a new Strategic Plan, revising its mission statement to reflect its current undertakings and goals:

“Baruch College of the City University of New York remains dedicated to being a catalyst for the social, cultural, and financial mobility of a diverse student body, reflective of its historical mission—namely, to educate men and women, primarily from the City of New York, for leadership roles in business, civic and cultural affairs, and academia. It offers rigorous baccalaureate, master’s, and doctoral programs to qualified students who seek careers in business, public affairs, and the arts and sciences. Integrating professional education with the arts and sciences for undergraduates, Baruch College’s faculty cultivates its students’ analytical ability, critical thinking, cultural awareness, and ethical sensibility. The College’s graduate programs focus on professional preparation that enables students to become leaders and innovators in their fields. The faculty’s contributions to knowledge reflect a commitment to teaching, research, scholarship, public policy, and artistic creativity. Through executive education, continuing studies programs, and public events, Baruch engages the larger civic and international community that includes its supportive alumni, extending the College’s visibility and nurturing its global reputation.”

Work on the College's current Strategic Plan began in 2010. Composed of faculty, students, and administrators, including the deans of the three schools, a Strategic Plan Committee met monthly throughout the 2011-12 academic year to identify major strategic issues, review a variety of analytic materials, and discuss, debate, and refine successive drafts of the Strategic Plan. This effort culminated with distribution of a draft of the Strategic Plan to the Baruch community for review and comment in numerous forums. The Strategic Planning Committee then approved a final version of the plan in November 2012 and transmitted it to the President for his review and approval. Final adoption was official in January 2013. The Baruch College Strategic Plan 2013–2018 (BCSP) (see [Appendix 1.3](#)) envisions the overall mission of the College, setting forth five strategic goals:

1. Enrich and Expand Academic Programs
2. Enhance the Academic and Co-Curricular Experience
3. Deepen Engagement with the World Outside the Campus
4. Establish Effective College-wide Coordination and Collaboration
5. Strengthen Financial Foundation and Infrastructure

Because this Strategic Plan involved concerted effort and because its development involved substantial input from faculty, staff, students, and administration, it will serve as a structuring element for this Periodic Review Report (PRR). Overall, Baruch is well positioned as it works to

implement its Strategic Plan. As this PRR demonstrates, Baruch has accomplished a great deal in the last five years regarding issues mentioned in our last self-study and in advancing the overall qualities expected in the Middle States Characteristics of Excellence. Examples of Baruch's major accomplishments discussed in this PRR include advances in institutional effectiveness; increased commitment to hiring and retaining diverse, excellent faculty; a growing culture of assessment; and the development of exciting new educational offerings.

SUMMARY OF MAJOR INSTITUTIONAL CHANGES AND DEVELOPMENTS SINCE THE DECENNIAL EVALUATION

Baruch has undergone changes in its undergraduate curriculum, its management information system, and its assessment processes. Some of the more notable developments, which this report will discuss in further detail throughout, include:

- 1) After several years of a "pause" in faculty hiring, we have renewed our faculty with more than 90 new colleagues (Standard 10).
- 2) As part of our commitment to civic engagement, we have developed and adopted strategic plans for both diversity enhancement and globalization. We measure progress annually on each (Standard 1).
- 3) Baruch has now adopted CUNYfirst, the CUNY implementation of PeopleSoft, providing faculty and staff at all levels with unprecedented access to data to support academic decision making (Standard 2, Standard 3).
- 4) Baruch College has embarked on a major investment in organizational effectiveness that includes training, "Cross-Border" Teams (CBTs), and development of sustainable energy practices (Standard 4, Standard 7).
- 5) In concert with the entire CUNY system, Baruch has effected a curricular reorganization designed to ease transfer among all CUNY colleges. The College has adjusted its requirements and developed new course offerings (Standard 11).
- 6) Innovative academic programs have been developed in financial engineering (undergraduate) and arts administration (graduate), and are in process in international affairs (graduate) (Standard 11).
- 7) Assessment is taking place regularly in all three schools with increasing levels of faculty education, participation, and buy-in (Standard 14).

PREPARATION OF THE PERIODIC REVIEW REPORT

The report was prepared by a committee convened by the President, co-chaired by Provost David Christy and Dr. Mary McGlynn from the Department of English. Dennis Slavin, Associate Provost for Teaching and Learning, served as Associate Chair.

The first meetings about the PRR took place in Fall 2013. In October of that year, newly appointed Provost David Christy traveled to Philadelphia to meet with Robert Schneider, who was then the College's liaison with the Middle States Commission on Higher Education (MSCHE). The Provost, Associate Provost, and Director of Academic Assessment attended relevant training over the next 18 months, consisting of MSCHE conferences and webinars as well as CUNY-organized workshops. Planning discussions between Associate Provost Slavin and the Provost took place throughout the end of 2013. In March of 2014, they asked Mary McGlynn to join the conversation. The first meeting of the steering committee was held a few weeks later, with a working group

convened in early June 2014. The steering committee and working group met in various configurations throughout the summer and fall.

The steering committee included:

David Birdsell, Dean, School of Public Affairs and Special Assistant to the President for Institutional Effectiveness

John Choonoo, Director, Office of Institutional Research and Program Assessment

David Christy, Provost

Katharine Cobb, Vice President for Administration and Finance

Ben Corpus, Vice President for Enrollment Management and Strategic Academic Initiatives

Marjorie Dorimé -Williams, Director of Academic Assessment

Mary Gorman, Chief of Staff, Office of the President

Erec Koch, Associate Provost, Academic Administration and Faculty Development

Linda Lemiesz, Chief of Staff, Office of the Provost

Mary McGlynn, Department of English

Sharon D. Ricks, Director, Center for Academic Advisement

Dennis Slavin, Associate Provost for Teaching and Learning

The working group included the steering committee as well as:

From the School of Public Affairs: David Birdsell, Dean; Jerry Mitchell, Associate Dean

From the Weissman School of Arts and Sciences: Jeffrey Peck, Dean; Gary Hentzi, Associate Dean

From the Zicklin School of Business: Fenwick Huss, Dean; Donald Schepers, Senior Associate Dean; Clifford Wymbs, Executive Director of Undergraduate Programs

The committee collected data from a variety of sources, including questions circulated to members of the President's Cabinet. Assistance was provided by Edward Adams, College Registrar; Lisa Edwards, Assistant Vice President for Campus Operations; Christina Latouf, Vice President for Communications, External Relations and Economic Development; Lisa Vaia, Director of Academic Assessment, Zicklin School of Business; Lucas Waltzer, Director, Center for Teaching and Learning; Megan Joskow, Office of the Associate Provost; James Drucker, Communications and Marketing; Melissa Hebert, Communications and Marketing; Sally Fay, editorial services; and Joanne Tzanis, technical consultant.

Throughout Fall 2014, the committee gathered responses to the internal and external recommendations from the previous site visit and began to assemble the necessary data and input for the main body of the report. A first draft was written in January and February of 2015; each section had one or two major authors. The co-chairs co-wrote the Executive Summary; the Associate Provost for Teaching and Learning wrote Section 2, with input from the Vice President for Administration and Finance, the Vice President for Enrollment Management and Strategic Academic Initiatives, and the Director of Academic Assessment. The co-chairs wrote Section 3. Section 4 combined reports from the Vice President for Administration and Finance and the Vice President for Enrollment Management and Strategic Academic Initiatives; Section 5 combined reports from the Special Assistant to the President for Institutional Effectiveness and the Director

of Academic Assessment. Section 6 was a joint effort of the Chief of Staff for the President, the Vice President for Administration and Finance, and the Provost. The co-chairs assembled the entire report, supplementing sections with information acquired from other contributors, and received feedback from the Provost and Associate Provost as well as Institutional Research to create a full first draft.

Once the report was prepared, it was shared with CUNY's central administration, in March of 2015. During his comments to the Faculty Senate on April 2, 2015, Provost Christy announced the upcoming release of the report to the campus community and input was solicited. A period for public comment and feedback began with the posting of the report on the College website on April 16, 2015, following an announcement at the General Faculty Meeting. After public discussion and community feedback, revised versions were prepared.

OVERVIEW OF THE PRR

Section 2: Summary of the Institution's Response to Recommendations from Previous Evaluation and to Commission Actions (Standards 1–14)

Following this Executive Summary, the PRR engages with the recommendations made in the context of the previous Middle States evaluation. This section comprises four parts. First, we revisit the visiting team's recommendation on institutional resources (**Standard 3**). Next, the report turns to the visiting team's recommendation on enrollment management (**Standard 8**). Third, this section examines Baruch's response to the visiting team's recommendation on assessment of student learning (**Standard 14**). Finally, we turn to Baruch's own extensive recommendations (**Standards 1–14**). Baruch made 52 recommendations in its 2010 self-study, and this report offers an overview of our progress and challenges in response to them, and it references a detailed appendix in which each recommendation is addressed in turn.

Section 3: Major Challenges and Opportunities (Standards 1–14)

Here Baruch examines some of its major challenges and opportunities, seeking not to list each in turn but rather to offer a representative snapshot of the sorts of issues the College faces, how these have been approached, and the prospects we envision for improvements and growth. Organizing the concerns in this section as mainly relating to institutional effectiveness (Standards 1–7) or educational effectiveness (Standards 8–14), we explore some of the possibilities and pitfalls facing our students, faculty, staff, and administration as the College faces a new budgetary landscape; adopts a new General Education curriculum; develops curricula, research agendas, and programs responsive to an increasingly globalized culture and marketplace; and discusses the limits and possibilities of hybrid and online education.

Section 4: Enrollment and Finance Trends and Projections (Standards 2, 3, and 8)

Baruch College, like other institutions nationwide, has seen a decline in graduate enrollments, specifically and most significantly in MBA matriculation. At the same time, undergraduate enrollment has soared, in part due to eased transfer processes within CUNY and in part in response to the budget shortfalls from the dropping number of MBA students. This section will examine in detail the trends and projections we are able to trace in enrollment and finance.

Section 5: Organized and Sustained Processes to Assess Institutional Effectiveness and Student Learning (Standards 7 and 14)

Beginning with the appointment of Dean David Birdsell as Special Assistant to the President for Institutional Effectiveness, institutional effectiveness has taken a central role in the planning by the administration. Baruch College has also made substantial investments and progress since its last self-study in its ability to assess both institutional effectiveness and student learning. The second half of this section reviews the progress the College has made in assessment since the last site visit, highlighting accomplishments in various departments.

Section 6: Linked Institutional Budget and Planning Processes (Standard 2)

Because Baruch College is part of a larger university system subject to both state and city budgets, our budget and planning processes are shaped by many external factors. Section 6 makes clear what aspects of budget and planning fall within the College's purview and explains how the College approximates an all-funds budget and practices financial foresight.

Appendices

Each section of this report makes reference to information that may be useful to the reviewers, which we present as appendices (referenced throughout).

SECTION 2: SUMMARY OF THE INSTITUTION'S RESPONSE TO RECOMMENDATIONS FROM PREVIOUS EVALUATION AND TO COMMISSION ACTIONS

The visiting team in 2010 conveyed three recommendations to the College and the members of Baruch's own self-study task force included an additional 52. The visiting team's three recommendations focused on the following areas: Institutional Resources, Enrollment Management, and Assessment of Student Learning. In Section 2 we deal with each in turn, finding that: although the College has made important strides towards developing an all-funds multi-year budgeting model, significant technical and practical constraints remain (Section 2A); university-wide changes in undergraduate curriculum and transfer credit evaluation along with ongoing changes in demand for some programs mean that the multi-year enrollment plan recommended by the visiting team remains elusive—at the same time that developments in the last five years have made the enrollment planning process more transparent and more widely discussed (Section 2B); and the College's commitment to an ongoing process of assessing student learning, judged to be acceptable in 2010, has strengthened in the past five years (Section 2C). Section 2D accounts for the progress we have made in having accomplished (or nearly accomplished) a large majority of our own 52 recommendations; the status of each of the 52 appears as [Appendix 2.1](#).

A. VISITING TEAM'S RECOMMENDATION ON INSTITUTIONAL RESOURCES (STANDARD 3)

Recommendation:

The team recognizes the Baruch College self-study report recommendation to develop three-year business plans, and recognizes that the Baruch College administration is now proceeding with elements of multi-year enrollment and budget forecasting. We recommend developing an all-funds multi-year budgeting model under various resource scenarios, consistent with the College's overall strategic planning process.

Response:

We have made substantial progress in achieving an all-funds, multi-year approach to our budget planning. A chart showing an all-funds annual financial report is attached (see [Appendix 2.2](#)). As is evidenced, Baruch draws on several funding sources: foremost are tax-levy funds, which come from tuition revenues and state allocations. Some tax-levy money is kept by CUNY to handle costs that are managed centrally, like fringe benefits. Other tax-levy money is collected and maintained at Baruch; these funds include Income Funds Reimbursable (IFR) funds (primarily student technology fees and continuing education tuition). Non-tax-levy income includes philanthropic funds (mainly the Baruch College Fund), Designated Funds Group (DFG) funds (local non-tax-levy accounts, including program fees from executive programs and non-tuition funds collected locally), research grants, and related entities funds. Our methods of tracking and planning must track these various streams as well as envision their collective use.

Each year the College makes a three-year financial plan for tax-levy funds. CUNY is in the fourth year of a five-year state budget agreement of modest yearly tuition rate increases paired with, upon legislative and gubernatorial approval, maintenance of state support at the current levels. Therefore, our budget modeling for the next three years anticipates the rate increase and steady state support

for 2014–15 and 2015–16 but no rate increase after that. Baruch is in the process of further refining its budget model, using the newly available data in CUNYfirst, the university’s fully integrated management information system, to encompass all business processes. Baruch’s goal is to further improve budget planning via development of enrollment and tuition revenue targets for each school and program (see [Section 4](#) for further discussion).

In addition to the tax-levy financial plan, Baruch also prepares separate one-year budgets for the Baruch College Fund (BCF) and for the auxiliary and College association funds. Those budgets are approved by their respective boards. DFG funds are used to cover the expenses of the activities generating the funds; any funds in excess of those expenses provide some reserve funds for the divisions and the College. Technology expenditures, funded from several different sources, are reviewed and authorized by the Vice President for Information Services in a consolidated approach to managing the available resources. Typically, technology needs must be analyzed using a multi-year approach, given the need to update and support the hardware and software. Each of these separate budgets is overseen ultimately by the Vice President for Administration and Finance.

President Wallerstein’s administration is firmly committed to the spirit of an “all-funds” approach, with the recognition that we face significant technological obstacles to creating one consolidated all-funds budgeting model as recommended, since each funding source is a stand-alone system. The system we use for managing our tax-levy budget, CUNYfirst, a PeopleSoft/Oracle system, is a CUNY implementation, not a Baruch College system. CUNYfirst is controlled centrally, affording Baruch only limited ability to make local changes. Since CUNYfirst will not provide all of the functionality we need, we are required to rely on a number of “shadow systems.” For instance, Baruch will not enter transactions into the New York State payroll system. Rather, we will provide the information to CUNY Payroll Services, which then provides the data to the New York State payroll system, which in turn issues the payroll checks to our staff and maintains the official payroll record. Thus, considerable distance is in place between our budget and the official record. These sorts of limitations to what we can plan and implement on campus affect our ability to develop an “all-funds” budget.

Because of such systems and processes, we cannot prepare a consolidated budget planning and allocation document at the beginning of each fiscal year. Nevertheless, the College takes a coordinated approach to our budget with full knowledge of the available resources and restrictions on those different funding sources. For example, tax-levy funds are governed by the most restrictive procurement rules, while BCF funds generally follow the intent of the donor and endowment spending policies. Mindful of various rules and limitations such as these, Baruch takes an all-funds approach to the use of our resources despite the inability to unify budgets.

These limitations do not hamper our commitment; rather, they challenge us to find new ways to adapt and progress towards a more coherent budgeting model. CUNY is working on a business intelligence project, using the data in CUNYfirst, and Baruch’s Administration and Finance staff are working on a similar project. The College is developing a new model and plans to bring on a consultant and to begin development of various executive dashboards.

One illustrative example of our all-funds budgeting is faculty salaries in the Zicklin School of Business. Hiring and retaining business school faculty is a challenge. In many cases, the salary requirements for faculty are higher than can be supported by our tax-levy budget, given the union contractual compensation guidelines. In those cases, Baruch uses BCF funds for salary supplements

after maximizing the tax-levy salary. The College develops multi-year models for use of those resources, taking into consideration the commitments made to faculty at the time of hiring and the funds that will be needed to retain those same faculty members.

In another example, we have certain areas that are heavily supported by philanthropic funds, like the Starr Career Center. In that case, full-time staff are supported by the tax-levy budget so they can receive a full benefits package, but some of the part-time budget and OTPS (Other Than Personnel Services) expenditures are supported by the BCF funds. We also model contingency plans to replace philanthropic funds with tax-levy, should such an adjustment be needed in the future.

In sum, Baruch College has developed and will continue to rely upon and improve an all-funds, multi-year model, despite the limitations of our financial systems.

B. VISITING TEAM'S RECOMMENDATION ON ENROLLMENT MANAGEMENT (STANDARD 8): STUDENT ADMISSIONS AND RETENTION

Recommendation:

We recommend that the multi-year enrollment plan that is currently in the drafting stage be widely discussed and finalized.

Response:

Baruch College has principles in place to support a multi-year enrollment plan. Our goal remains full implementation of a multi-year enrollment plan, but this has yet to be achieved, in large part due to budget uncertainties and the need for flexibility in admissions, which ensures that Baruch can maintain its operational budget with assured tuition and fee revenue from students. Actual enrollment targets continue to be set on an annual basis, in conversation with the CUNY Central Administration.

Three changes have occurred within Baruch and CUNY that have mandated a short enrollment-planning horizon:

- Graduate enrollment in MBA programs has declined nationwide, and Baruch has experienced a decline in applications and enrollments in that program. Because the MBA program has enhanced tuition and fees, the impact on our budget is significant.
- Baruch had a breach in academic integrity in our Executive MBA program that was widely reported by the media in the metro area, where the majority of our students live and work. The school took aggressive legal and administrative steps that corrected this situation, but fully rebuilding the damage to our reputation will take several years. See [Section 3](#) for further discussion.
- CUNY adopted a system-wide common core curriculum that is designed to enable students to move efficiently between CUNY institutions. This Pathways curriculum has invalidated some models built on historical data regarding when students would transfer and what courses they would need to complete after joining us at Baruch. This curriculum innovation has “reset” many of our historical patterns associated with transfer admissions.

A three-year planning process for student enrollment remains our goal. We are taking several actions that specifically support this goal. First, we are educating our faculty about the challenge of rebuilding demand for our graduate programs. This is a fundamental market development activity wherein we are clarifying our message and the core benefits of each program. Second, we are introducing new, market-facing master's degree programs. This includes a program in arts administration and proposed programs in data science and in global media cultures. Third, we are engaging our faculty to provide advice and input on undergraduate admissions. The Faculty Senate Executive Committee, the Vice President for Enrollment Management, and the Provost meet each fall to include faculty in conversations about admissions. The Chair of the Faculty Senate has regularly invited the VP for Enrollment to address the entire Faculty Senate with a Q&A over the past three years. Moreover, the Faculty Senate voted to create an Enrollment Management Committee at its May 1, 2014 meeting. The Enrollment Management Committee will advise the President in the formulation of policy related to graduate and undergraduate enrollment management, including qualifications and numbers of incoming students, the deployment of financial aid resources, and responses to Central Office enrollment management policies. This expanded role for faculty represents a major step in improving our planning processes.

Since the last site visit, Baruch has taken steps to increase student satisfaction with all aspects of the admission and registration process and all related student services. The VP for Enrollment has launched professional development and customer service training for departments to improve student satisfaction, as well as increased part-time staff, expanded office hours, and implemented new technology to assist management of student issues in academic advisement, career services, counseling, and student affairs. Investments in publicity have included postcards, emails, and a new customer relationship management software, Hobsons, that personalizes and allows us to segment communications to specific students.

C. VISITING TEAM'S RECOMMENDATION ON ASSESSMENT OF STUDENT LEARNING (STANDARD 14)

Recommendation:

We recommend that the College work to ensure that the assessment processes and activities put in place in the last several years continue after this visit. The increased activity in this area appears to be recent, and loss of momentum following this visit is possible.

Response:

There has been no loss of momentum since the site visit. Indeed, assessment is one of Baruch's areas of major growth and progress. Since Baruch's self-study in 2010, the College has continued its work on assessment of student learning, taking significant steps to strengthen and improve assessment practices across the institution as a means of ensuring continual evaluation of and enhancement of our degree programs. Most prominently, the Provost's Office hired a Director of Academic Assessment, who supports and assists with assessment processes for the entire College. Baruch has also hired its first dedicated Director of Assessment, Accreditation, and Program Learning in the Zicklin School of Business, as well as an Academic Programs Specialist in the School of Public Affairs, both of whom help to manage the assessment process within their schools.

Assessment practices have become habitual across Baruch, and are recognized as integral to the

maintenance of a strong and competitive curriculum that is properly preparing students for their paths after graduation. At the course level, departments and curriculum committees require that learning goals be included on course syllabuses. Curriculum and assessment committees across the College also continue to have discussions about the importance of clearly articulated learning goals that can aid in the overall process of assessment. Results from assessments are also shared with faculty and administrators during curriculum committee and assessment committee meetings. This process helps promote accountability among departments in each school.

Across the institution, Baruch has maintained and increased the levels of assessment activity. Within the Zicklin School of Business, almost all of the undergraduate majors and all of the graduate programs have established learning goals and have completed multiple cycles of assessment. The majority of the undergraduate and graduate programs in the Weissman School of Arts and Sciences and the School of Public Affairs have established learning goals; many have assessment processes as well. The programs and departments at Baruch College continue to develop and refine learning goals and assessment practices as well as make thoughtful use of assessment results. The following table provides an overview of the current status of each school with respect to learning goals, assessment procedures, completed assessments, and implementing changes based on results.

School	Program Level	Learning Goals	Assessment Procedures	Completed Assessments	Implemented Changes
WSAS	Undergraduate	80% (N=15)	80%	73%	73%
	Graduate	100% (N=4)	100%	100%	50%
ZSB	Undergraduate	92% (N=12)	92%	92%	50%
	Graduate	100% (N=15)	67%	67%	67%
SPA	Undergraduate	100% (N=1)	100%	0%	0%
	Graduate	33% (N=3)	33%	33%	33%

Within the Zicklin School, there continue to be regular cycles of assessment that encompass student learning at both the undergraduate and graduate level. The BBA learning goals are in their third and

fourth rounds of assessment and all BBA majors have been assessed. The MBA learning goals are in their second and third round of assessment. The Director of Assessment, Accreditation, and Program Learning continues to work with ZSB faculty to promote curricular improvement by using assessment results.

Since the last self-study, the Weissman School has assessed all of the majors and graduate programs within the school. Many of the departments have even completed a second round of assessment for their majors. Assessments of the minors in the school have also begun since 2010. Many departments have made significant changes to curricula or their assessment processes based on the first round of results. [Section 5](#) contains examples of changes made in response to assessment.

At the time of the self-study, the School of Public Affairs was just beginning the process of assessment. Subsequently, SPA has made substantial progress in the area of assessing student learning. An assessment committee made up of students and faculty has taken on the task of organizing the process at the school. With the help of the Director of Academic Assessment, members of the SPA faculty have created programmatic learning goals for both the undergraduate and graduate public affairs programs. Faculty on the curriculum committee work to ensure that learning goals are also being used at the course level. During the 2013–14 academic year, the School of Public Affairs Assessment Committee assessed three professional competency areas, which consisted of nine learning goals, for the Master of Public Administration program.

One area in which Baruch has not achieved as much progress since Spring 2010 relates to General Education (“Gen Ed”). In Fall 2010, discussion of the Pathways plan, CUNY’s university-wide Gen Ed program, began. It soon became apparent that many changes in Baruch’s core curriculum would be under discussion. In light of that uncertainty, most assessment efforts of Gen Ed at Baruch were temporarily suspended, with subsequent refocus on majors, etc. The new Gen Ed curriculum, Pathways, took effect in Fall 2013. Based on a set of learning goals that are uniform university-wide, this curriculum has required some significant changes to the courses in our Gen Ed curriculum and the restructuring of those assessment efforts. The Director of Academic Assessment and the Weissman faculty have revised their approach to assessing the Gen Ed courses at the College. New assessment committees were formed for each of the eight Pathways content areas, and faculty members in several areas worked across departments to develop assessment tools to examine common learning goals. Each of the eight content areas is being assessed for the first time during the 2014–15 academic year. Finally, in addition to the assessment of Pathways Gen Ed areas, since Fall 2012, the College has participated in the CUNY-wide administration of the Collegiate Learning Assessment (CLA), which assesses the writing and critical thinking skills of a representative sample of beginning freshmen and graduating seniors. As further exemplified in [Section 5](#) of this report, the number and variety of assessments in operation at Baruch testify to the College’s commitment to ongoing evaluation and improvement of teaching and learning.

D. BARUCH’S OWN RECOMMENDATIONS

Our 2010 self-study included 52 of our own recommendations that ranged from easily and quickly accomplished to beyond the scope of our efforts. That said, the overview is positive: of the 52 recommendations, we have accomplished 19 and have made significant progress on 28 of the others. In [Appendix 2.1](#), the former are marked “✓” and the latter as “✓ Ongoing.” Rather than report on each of the 52 recommendations in turn, in the next few pages we will summarize our progress according to the structure of our self-study, which grouped together several of the MSCHE

standards. We offer more systematic and comprehensive responses to each of the recommendations in [Appendix 2.1](#).

Recommendations of Chapter 2: Overall Mission, Integrity, and Institutional Development

Standard 1: Mission, Goals, and Objectives

Standard 6: Integrity

Standard 7: Institutional Assessment

Nearly all of the eight recommendations in this chapter have been met. Three of these related to CUNY's annual Performance Management Process, the "PMP" (recommendations 1.1, 7.1, and 7.2 in [Appendix 2.1](#)). An assessment tool designed to help the CUNY Central Office gain a better picture of the progress of each college, the PMP measures colleges against a series of benchmarks and long-term data. All three PMP recommendations involve improving the process of goal setting by linking it more specifically to the College's own strategic plan and by engaging members of the faculty in the goal-setting process.

The PMP landscape has changed CUNY-wide since our self-study in 2010: as of 2014–15 it consists of a far smaller number of metrics mandated by the university, with colleges indicating three to five larger goals drawn from their Strategic Plans. This change, along with a series of presentations about the PMP to Baruch's Faculty Senate, has gone a long way towards addressing the issues reflected in the recommendations, as does the specific link to goals of the College's Strategic Plan. All three recommendations, then, have been met.

The three recommendations related to Standard 6 (6.1–6.3) charged the Office of the Provost with better outreach and promotion of initiatives regarding integrity and ethics. The designated Associate Provost now makes multiple efforts each semester to alert faculty to these initiatives, including information to include on syllabuses; faculty development events; best practices regarding creation and administration of exams; and availability of support for proctoring. Classroom instruction on ethics in the business school, especially for juniors and seniors, is emphasized by increased attention within the curriculum committees to ensuring that ethics is substantively included on every syllabus/course schedule. Forms that include ethical awareness as a school-wide learning goal have been introduced to highlight the place of ethics and other goals within each course. (Note: 80 percent of our undergraduates take most of their courses as juniors and seniors in the business school.) The College's annual Ethics Week further emphasizes the ethical dimension of all disciplines through classroom discussion and invited speakers. Reporting of academic integrity violations to the College's Academic Integrity Officer is emphasized repeatedly as a fundamental component of our academic integrity policy in orientations of new faculty and in departmental discussions. All three recommendations are ongoing—new initiatives from the Provost's office were introduced in Fall 2014 and others are planned for the near future—but demonstrable progress has been achieved.

Within Chapter 2, the only recommendation that remains only partially met is 7.3: "The Vice President for Finance and Administration, working with the Office of Institutional Research, should expand the use of Logic Models as a framework for assessment to the College's administrative units." Whereas logic models have been used in Student Affairs and for our Cross-Border Teams, other administrative units are considering use of different assessment tools, with decisions postponed until the final implementation of CUNYfirst.

Recommendations of Chapter 3: Planning, Governance, and Resources

Standard 2: Planning, Resource Allocation, and Institutional Renewal

Standard 3: Institutional Resources

Standard 4: Leadership and Governance

Standard 5: Administration

We have made demonstrable progress towards meeting the 13 recommendations of Chapter 3, our options and flexibility in these areas necessarily shaped by our status as a public institution that is part of a larger university. Here we highlight some notable achievements since 2010, with specifics detailed in [Appendix 2.1](#); further discussion of administration and finance can be found in the opening segment of the PRR, as well as in [Section 6](#).

CUNYfirst, an enterprise resource planning tool adopted university-wide, has been implemented in stages at Baruch, starting in Spring 2014 (recommendations 2.2 and 2.3). We have made great strides towards full-scale adoption—including the newfound ability of all units in the College to monitor their own revenues and expenses (recommendation 2.3)—but this is truly a work in progress, as it has been on CUNY’s other campuses. The potential for new data analysis is exciting: beginning in the summer of 2015 the Provost and the VP for Administration and Finance will begin to build a model to estimate the cost of educating a student by major or degree program. This kind of analysis is only possible now that we will have a full academic year of CUNYfirst data.

Although there have been no significant changes in the university’s allocation model (recommendation 3.1), CUNY began to address some major resource disparities through an allocation of \$7.8 million in FY13–16. (CUNY’s fiscal year (FY) encompasses a 12-month period from July 1 to June 30.) This allocation has had great impact through faculty hires and increased support for student services (reflected in our response to recommendation 9.2).

Constraints related to public funding are ongoing (recommendation 3.2); thus is it particularly gratifying that in 2011 the CUNY Board of Trustees approved our request to boost MPA tuition revenue and to impose academic excellence fees for all master’s programs other than the MPA: these changes augment revenue available to all three of Baruch’s schools.

The continuation of the technology plan that has greatly enhanced use of educational technology campus-wide, as called for in recommendation 3.5, has been met, as has the recommendation (4.1) to increase efforts to engage students “in all aspects of the life of the College,” primarily through formal outreach to student government at the undergraduate and graduate levels.

Our recommendation (5.1) to “be particularly mindful of needed administrative support” has sculpted spending plans and proposals. One good example is our bundling of requests for more student service positions and additional funding for new faculty positions in Zicklin. The funded request provided for 29 new faculty lines and 17 staff positions providing direct services to students.

Recommendation 5.2, which relates to College adoption of “internal metrics that specify optimal processes and outcomes for administrative services” and the “development of enhanced and more effective administrative processes,” has been straightforwardly addressed: institutional effectiveness initiatives in our Strategic Plan have significantly changed our approach to “planning, collaboration, execution, and evaluation,” produced “new efforts at data collection and analysis,” and “established

Cross-Border Teams (CBTs) to bring staff from different areas of the College together to discuss and improve related tasks” (detailed at length in [Appendix 2.1](#)). The scheduling of regular meetings of the VP for Administration and Finance with business managers and other administrative groups fulfills another recommendation (5.3).

Recommendations of Chapter 4: Student Recruitment, Retention, and Support

Standard 8: Student Admissions and Retention

Standard 9: Student Support Services

Ten of the 11 recommendations of this chapter have been met or have seen substantial progress, as delineated both in [Section 2B](#) above and in [Appendix 2.1](#), including regular consultations between the VP for Enrollment Management and the Faculty Senate (recommendation 8.2) and significantly increased staff in student support services (recommendation 9.2). The Hobsons customer relations management software has greatly streamlined multiple aspects of several administrative processes, as noted in recommendation 8.3. As discussed in [Section 5](#), some 500 members of the full-time staff in Spring/Summer 2013 received customer relations training in Spring 2013 (recommendation 9.1). Review and revision of the College’s many websites with an eye to meeting student needs (recommendation 9.3) has taken place: the College’s site is now fully ADA compliant; the College’s Undergraduate and Graduate Bulletins are now fully digitized; and many offices have evening operating hours to accommodate students whose schedules do not permit them to take care of administrative issues during regular business hours. [Appendix 2.1](#) details how the other recommendations of this chapter have been successfully addressed; only CUNY-wide adoption of the “Common Application” (recommendation 8.1) has not received substantive discussion.

Recommendations of Chapter 5: Faculty

Standard 10: Faculty

There have been significant successes on two of the recommendations in this chapter: the flexible retirement policy recommended in 10.1 has been implemented and “the College has hired a new Chief Diversity Officer who also has Title IX responsibilities. She will recruit a colleague who will be principally tasked with conducting investigations. The CDO is directly involved with the newly appointed Associate Provost for Faculty Development and Research and the Provost in ensuring that all academic hiring processes maintain equity and transparency. ([Appendix 2.1](#))”

The remaining recommendations of this chapter have proven among the most difficult to meet because of constraints over which the College has little control. Reducing teaching loads, for example (recommendation 10.3), is difficult because they are part of our collective bargaining agreement, and midtown Manhattan presents feasibility and financial obstacles to the acquisition of new space (recommendation 10.6); that said, we feel extremely fortunate to have been able to add the 25th Street pedestrian plaza, which has transformed the physical presence of our campus since 2010. Work on other ongoing issues for this chapter includes expanding our commitment to improving the experience and effectiveness of adjunct faculty; and defining and communicating to junior faculty the respective roles of scholarship, teaching, and service in tenure and promotion decisions. Since work towards tenure and promotion is central to the experience of junior faculty, we want to continue to work with untenured faculty, especially in preparation for the third-year dean’s review, to encourage them to clarify their goals regarding scholarship, teaching, and service,

as well as to engage in a discussion with their dean and their faculty colleagues to seek advice, in order to ensure that their individual goals are aligned both with the shared goals of the faculty and within the context of their discipline.

Recommendations of Chapter 6: Development and Assessment of Educational Programs

Standard 11: Assessment of Educational Offerings

Standard 12: General Education

Standard 13: Related Educational Activities

Standard 14: Assessment of Student Learning

We have successfully addressed nearly all of the 14 recommendations in Chapter 6 over the past five years. Although issues remain around the preparation and transition of transfer students to Baruch (recommendations 11.1 and 11.2), the implementation of Pathways should ease transfer within the university. Independent of the move to Pathways, all of the recommendations related to General Education (12.1–12.4) have been met, as have nearly all of the recommendations in the area of “related educational activities” (13.1–13.3). The only qualification involves recommendation 13.1: “The College should articulate the standards by which the written works of students who are not native English speakers are judged, and the College should strengthen programs for its large population of non-native speakers.” Whereas we have vastly strengthened our program for ELL (“English language learner”) students through the creation of a “Tools for Clear Speech” program that works with nearly 1,000 students a year, and through the addition of several ELL experts to the staff of our Writing Center (which sees some 9,000 students each academic year), we have not as a college attempted to articulate these standards.

The five recommendations related to assessment of student learning have been met. Although at the time of our self-study not all of our three schools had made substantial progress in such assessment, they now have, and each has committees working actively in support of the assessment endeavor along with their deans and associate deans (recommendations 14.1–14.2).

The College also has built on the recommendations of the Writing and Quantitative Pedagogy task forces (recommendation 14.4). Most importantly, as discussed in [Section 2C](#) and recommendation 14.5, in Fall 2013 the Provost’s office hired a Director of Academic Assessment to lead and coordinate assessment of student learning College-wide and to ensure coherence and rigor in the assessment process. (See [Section 2C](#) and [Section 5](#) for further discussion of assessment.)

We continue to expand use of our assessment technology for oral presentations (recommendation 14.3). Our Bernard L. Schwartz Communication Institute developed a web application—now managed by the Center for Teaching and Learning—called Vocat (Video Oral Communication Assessment Tool). Between Spring 2014 and Spring 2015, Vocat was used by more than 3,400 students in 180 courses, including ACC 2101, BPL 5100, BUS 9551/9552, CIS 2200/3750/3810/4800, COM 1010, ENG 2100/2800, FRO 1000, IBS 5750, PAF 9103, POL 3103/3346, SPA 4012/4222, and THE 1041/1043. Student presentations are recorded (or the students record themselves) and uploaded to the web, where instructors are easily able to annotate the video and to grade it following their own rubrics. Vocat has also been used outside of courses by the Communication Institute, the Student Academic Consulting Center (Tools for Clear Speech), and the New York Community Trust Leadership Seminar at the School of Public Affairs; it is currently being shared with four other CUNY schools.

SECTION 3: MAJOR CHALLENGES AND OPPORTUNITIES

As is noted in the Executive Summary, Baruch College’s current Strategic Plan was adopted in January 2013, the culmination of an 18-month planning effort involving all segments of the College community. The plan envisions the overall mission of the College while specifying concrete, measurable goals and objectives. The plan sets forth five strategic goals:

- 1) Enrich and Expand Academic Programs
- 2) Enhance the Academic and Co-Curricular Experience
- 3) Deepen Engagement with the World Outside the Campus
- 4) Establish Effective College-wide Coordination and Collaboration
- 5) Strengthen Financial Foundation and Infrastructure

With this new Strategic Plan and a revitalized sense of collective purpose and definition, Baruch sees ample opportunities within each of our strategic goals. (The Strategic Plan can be found in [Appendix 1.3](#).)

The campus-wide effort to heighten civic engagement, pillar three of the Strategic Plan, serves as a means of unifying a number of important goals, namely maintaining our commitment to academic integrity; continuing to foster equity, diversity, and inclusion, whether in hiring and admission practices or in program development; increasing attention to globalization and its challenges and opportunities; and cultivating a culture of civility, freedom of speech, and open inquiry. Our challenge as we work on this goal and the others in the Strategic Plan is to move beyond our verbal commitment into concrete actions. The rest of this section will examine representative examples of places where the College has opportunities to make measured and meaningful interventions, and the challenges we face.

INSTITUTIONAL EFFECTIVENESS

The first seven standards focus on institutional context, an area in which the College has invested substantial efforts, made some notable alterations to its practices, and seen major progress in the past several years. In light of the recognition of a need to modernize and streamline the internal administrative practices of the College, Baruch adjusted institutional processes and created the role of Special Assistant to the President for Institutional Effectiveness. Dean David Birdsell, the first person to hold this position, was charged by the President with “lead[ing] the effort to analyze the major institutional bottlenecks and process problems that often prevent us from delivering efficient, timely and high quality service, whether to our students or to one another” (press release, 12/13/12). The resulting insights and efficiencies are detailed in [Section 5](#).

Cross-Border Teams

Among the larger improvements in productivity and morale was the creation of cross-border teams (CBTs) representing the enactment on campus of the Strategic Plan’s vision to “make the College a friendlier, more transparent, and less challenging place to study and work.” These CBTs draw their membership from stakeholders engaged in substantially similar work while housed in separate units across the College; for example, international recruitment takes places at the department level, at the school level, through Global Studies, and so on—the CBT for this group brings together the various groups engaged in such recruitment to allow them to compare best practices and avoid replication.

There are currently 11 teams.

Administrative Reorganization

Global Strategies

Baruch created a new President’s Cabinet position in 2011, Vice Provost for Global Strategies, currently held by WSAS Dean Jeffrey Peck. Baruch’s goal is to develop a global mindset from which to make decisions about hiring, program development, student learning, student recruitment, and collaborative research. The establishment of this position speaks directly to the third pillar in the Strategic Plan. Vice Provost Peck oversaw the development of our Global Strategic Plan for 2014–2019; its mission statement speaks to the College’s goals within Global Initiatives:

“The core mission of Baruch College’s global strategy is to: 1) enhance curricular and extra-curricular initiatives focused on global themes in order to educate our students to world affairs during their studies at Baruch and in their post-graduate careers in order to prepare them for a future that will require them to be globally educated and literate, 2) raise student awareness of the political, economic, cultural, social, and ethical issues related to an interconnected world that are essential to being an informed and engaged citizen in the most cosmopolitan city in the world, 3) make the Baruch campus a welcoming, culturally sensitive environment that will attract international students and faculty, delegations, and institutional partners, 4) take advantage of the College’s strengths—its rich diversity, high-performing students, excellent faculty, strong academic reputation, and location in Manhattan—to maximize our engagement with the international academic world.”

The opportunities to increase Baruch’s global connections for faculty and students carry with them the major challenge of securing reliable funding. The Global Strategic Plan sets forth concrete goals for global initiatives, including increasing recruitment of international students, increasing study abroad for undergraduates, building on faculty collaborative research, and creating global academic programs (see [Appendix 3.1](#)).

Enrollment Management and Student Affairs

Further high-impact restructuring includes the reorganization of Enrollment Management and Student Affairs as separate units. In keeping with recognition at institutions nationally of the importance of enrollment management, President Wallerstein decided to ensure that the Vice President for Enrollment Management could dedicate full attention to this crucial aspect of Baruch’s mission. Enrollment management speaks to both the need for us to meet budgetary targets and the commitment we have to admitting students who are academically well qualified and reflect the population of students that we are charged with serving. The new discrete unit will provide coordinated support services in course scheduling, financial aid, and academic advisement to ensure the success of these students. The separation also brought Student Affairs under the purview of the Provost’s office, in keeping with the second pillar of the Strategic Plan. Particularly at a school that is predominantly attended by commuters, the student experience is enhanced via co-curricular activities. For example, freshman learning communities not only increase student retention but help to develop an immersive student life experience for freshmen. This reorganization contributes to institutional effectiveness as well as student admission, retention, and graduation.

Academic Assessment and the Center for Teaching and Learning

Another notable development, specific to Standard 7, was the creation in 2013 of a new Office of Academic Assessment. The creation of this office, the staffing of it, and the consequent standardization of assessment timelines and practices are helping the College to verify that it is in compliance with standards as well as working to ensure student success and improve outcomes in teaching and learning. In her first two years, its director, Dr. Marjorie Dorimé-Williams, has overseen the creation of learning goals across the three schools at undergraduate and graduate levels; the completion of several cycles of assessment within Zicklin at both graduate and undergraduate levels; and the development of assessment processes in most programs in the Weissman School of Arts and Sciences and the School of Public Affairs. A more in-depth discussion of these assessment processes and plans can be found in [Section 5](#). Furthermore, both professional schools at Baruch now have discrete offices for assessment. The Zicklin School of Business's Office of Assessment, Accreditation, and Program Learning named a new director in 2013. In Summer 2014, the School of Public Affairs named an individual to lead assessment efforts in that unit, driven by NASPAA assessment criteria.

The establishment in 2013 of the Center for Teaching and Learning (CTL), which is the nexus of efforts in online and hybrid coursework, has aided in planning and tracking innovations across campus. CTL-enabled course development projects are faculty initiated; CTL provides guidance in exploiting available technologies and ensuring that learning assessment is included in the design of instruction. While assessment and other tracking of student learning had been in place prior to these developments, the new hires committed to working together have only increased cooperation between school and College efforts and enhanced the campus conversation about student outcomes.

Challenges to institutional effectiveness include ensuring that salaries for faculty and staff remain competitive; that space for essential activities can be leased near our midtown campus location despite a tight, escalating market; that renovations of existing spaces continue apace; and that technical and instructional design support for the planned increase in hybrid and online education is on pace with need.

For instance, securing space for Baruch's curricular and co-curricular needs presents an ongoing concern. Baruch has one of the lowest square footage per student ratios within the senior colleges at CUNY. (The current ratio is 65 FTE/NASF, or full-time equivalents per net assignable square feet.) There is no available space left on campus, yet the growing student population and College mission require more space. Given the tight real estate market adjacent to our campus, Baruch has sought to increase efficiencies in utilization of space to deliver a college experience to its students. One of the most pleasant changes since the last MSCHE review has been the developing of the outdoor pedestrian plaza, which closed 25th Street to vehicular traffic and has greatly augmented the campus feel. Other efforts to remodel space, namely the Field Building, are ongoing, providing serious space challenges as floors are rendered unusable during renovation. Efforts to acquire space for residential dormitories and for a student activity center remain incomplete and difficult, although again, strategic use of existing space ameliorates some of the difficulty. For example, three new student lounges have been carved out, and the library master plan focuses on better aligning our library spaces with the demands of our users, adapting the rapidly changing trends in how we teach and learn in a 21st-century academic environment.

Ethical Integrity at Baruch

Baruch cultivates academic integrity among students and faculty and an ethical code of conduct throughout the campus community via the public posting of ethical standards on the College website; via orientation sessions for new students, faculty, and staff; and via events, offices, and processes designed to foreground ethics. This latter category includes such items as an Ethics Week, Institutional Review Board workshops, the Zicklin Center for Corporate Integrity, and the appointment of a Research Integrity Officer. Other proactive measures include the attention to civic engagement at the undergraduate level as a means of preparing students for responsible and effective citizenship. Through such initiatives, Baruch demonstrates its compliance with Standard 6.

At the same time, Baruch College has seen its commitment to its ethical standards challenged internally, most markedly by grading irregularities in the Zicklin Executive Master's programs. Baruch's response was immediate and literally transformed this challenge into an opportunity. Beginning with thorough internal investigations of the charges, Baruch worked closely with law enforcement. The administrator for the executive programs who was charged with forging signatures of professors and administrators at Baruch and falsifying grade-change forms pleaded guilty to 21 felony charges and 10 misdemeanor charges and was sentenced to serve six months of jail time as well as pay court fees.

Importantly, Baruch showed its commitment to ethics in that it not only cooperated with but helped to build the case for the District Attorney so that the consequences were significant. The students involved were provided with pathways to complete any necessary work to avoid rescinding of degrees and to ensure that no Zicklin degree was awarded that had not been fully earned. While the ethical breach was serious, Baruch's swift, proactive response both disposed of the matter effectively and had positive effects on the community. The institutional response resulted in an overhaul of the structure of the programs, offering tangible proof to students, faculty, and staff of the College's commitment to ethical standards and helping to shape conversations about integrity in other units.

EDUCATIONAL EFFECTIVENESS

The second seven standards center on educational effectiveness, though many of the areas that fall more neatly into educational practices have institutional components as well. One such area includes how Baruch interacts with other academic colleges within CUNY—a site of major challenges facing Baruch in the coming years. These interactions center on student transfer, including course and program articulation, as well as degree completion and advisement.

Transfer and General Education Challenges

CUNY is designed to enable large numbers of high school graduates, some of whom are not fully college-ready, to begin their education at a CUNY community college. Once they are successful at that level, they may transfer to a senior college such as Baruch. A significant majority of senior college graduates transferred from a community college or another four-year institution. The effectiveness of this process requires coordination of courses, programs, and academic advisement protocols (Standard 9, Standard 11, Standard 12). The university, seeking a uniform set of Gen Ed requirements that would create consistency and streamline transfer among CUNY's 19 undergraduate colleges, implemented the Pathways program in Fall 2013. The Pathways plan replaced Baruch's own Core Curriculum, which had been developed locally by our faculty and

administration. The old model relied upon a fairly specific, limited set of courses that fulfilled core requirements in a number of disciplines in the arts, sciences, and humanities; the new plan mandates a composition core and a math and science core, and then follows a distribution requirement model, in which students select from a variety of courses falling under one of five headings. CUNY's distribution headings are:

- 1) Global Cultures
- 2) US Experience in Its Diversity
- 3) Creative Expression
- 4) Individual and Society
- 5) Scientific World

Many of the objectives of the old core are met by the gateway courses to each of Baruch's three schools, as well as by the Pathways "college option," whose stated intention is to maintain what is distinctive about each college. Baruch's college option retains two aspects of its BA, BSPA, and BBA programs that made its students especially well-rounded: first, its Great Works of Literature course, a writing-intensive seminar that surveys a global range of well-regarded literary texts, builds the essential literacies of analytical reading and writing, improves student communication in traditional and digital formats, and fosters creative inquiry and collaboration through interactive discussions, student presentations, and written compositions developed in and out of class. The other signature of the Baruch degree in the 21st century has been the arts and sciences minor required of all undergraduates. Baruch now uses the remaining college option courses to maintain the minor in some form for most undergraduates, which preserves the ongoing opportunity to graduate students with a well-rounded education and exposure to advanced methods of inquiry and critical thinking. One major challenge facing the College is encouraging this degree of immersion while at the same time complying with the Pathways regulation that students who arrive to Baruch with sufficient transfer hours receive a waiver for all or part of our "college option." The College has taken concrete steps to address this concern: during the Spring 2015 semester, the curriculum committees of all three schools have passed resolutions recommending that Pathways be amended to allow for the college option to be required in full at senior colleges; Baruch could thus provide a full three-course liberal arts minor of all students regardless of whether they began college at Baruch or elsewhere.

As an undergraduate school that accepts far more transfer students than it exports, Baruch is particularly concerned with ensuring that those students are well prepared academically when they arrive, in addition to well advised, so that their move to Baruch can be seamless and their path to graduation efficient. The long-term effects of the curricular changes of the Pathways curriculum are not yet fully clear. Pathways has achieved its goal of reducing the frequency with which CUNY community college courses are denied credit when transferred to a CUNY senior college. Baruch will continue to track student outcomes and graduation rates carefully.

Advisement and Enrollment Challenges

Certainly there is an anecdotal perception that transfer students have poorer educational outcomes than those who begin at Baruch as freshmen, but this perception is not clearly supported by our data. What is more often true is that transfer students do not always arrive having received accurate advisement. While CUNY-wide advisement is beyond Baruch's purview, the Provost has championed the adoption of advisement software CUNY-wide in an effort to improve this process

for students within the City University system. The issue is most acute when students are seeking admission to a major that requires specific foundation courses as prerequisites for most upper division courses. For example, students who intend to study business at Baruch often have not completed calculus. Given the complexity of the system, it is unsurprising that students will receive different, even conflicting information from different advisors, as well as from faculty advisors, the website, and the Bulletin, and our challenge is to reduce misinformation while establishing strong relationships between students and undergraduate advisors.

The graduate programs report that both admissions and advising staff are stretched (Standard 8). Additionally, enrollment trends are shifting so that MBA programs are seeing smaller numbers of applications while MS programs in disciplines like digital marketing, financial accounting, and financial engineering are growing. Baruch's tuition rates are subject to approval by our Board of Trustees and the State of New York. Baruch has set a premium credit-hour rate for the MBA, and decreases in enrollment in that program have created budget shortfalls. A major challenge in the coming years will be to stabilize enrollment and revenue streams; Baruch's plans for this are discussed in [Section 6](#).

Like most American universities, Baruch's budget is created based upon some assumptions regarding tuition revenue, and the uncertainties associated with graduate enrollment are significant. The College is also keenly aware of the need to build its reputation for excellence in education and reduce its reliance on comparative low cost in attracting students to our degree programs. Enrollment is discussed at length in [Section 4](#).

Diversity

Baruch College's student body is one of the most diverse in the nation, bringing an unparalleled breadth of cultural experience to the campus that enriches teaching, scholarship, and student life. The College pledges to build on this foundation to provide undergraduate, master's, and doctoral students with the skills, knowledge, and perspectives to pursue their aspirations in a truly global city and globalized world. The College is committed to enhancing racial, ethnic, and gender diversity in its faculty. In student admission and retention and in faculty hiring, our need and desire to seek candidates that enhance racial, ethnic, and gender diversity is constant and unmistakable. The Provost's office created a strategic plan for faculty diversity, which is reviewed annually; initiatives for recruiting and retaining underrepresented students fall under the auspices of the Vice President for Enrollment Management and Strategic Academic Initiatives. The Faculty Senate has recently turned its attention to this issue as well.

Faculty

The renewal of our faculty ranks (Standard 10) via the hiring of more than 90 new faculty members presents Baruch with many opportunities: we have made hires in emergent fields such as global studies, in keeping with the Strategic Plan, and expect to continue to expand our global initiatives. This influx of faculty came after an extended period of budget constriction that prevented replacing faculty who left or retired, meaning the overall size of the faculty has not grown by 90 net new positions. The replenishing of the faculty ranks allows for the opportunity to increase the presence of full-time faculty in entry-level courses, with the hope that this will enhance student learning. Each school is continuing to improve transparency in tenure and promotion, especially in preparation for the third-year dean's review.

Morale remains the most significant challenge for faculty relations and for many faculty members themselves. Some of the factors affecting morale are beyond the College's immediate control because of its status as a public entity whose budget is controlled by both the city and state governments. Moreover, the central administration for the entire CUNY system can feel disconnected from the faculty's concerns. As a result, both financial and structural developments in the past five years have significantly influenced faculty morale. Such challenges to faculty morale fall into three categories: shared governance, the labor contract, and budget/infrastructure limitations.

Faculty at Baruch were nearly uniform in their discomfort with the methods by which the CUNY central administration implemented Pathways, opposition stemming largely from discomfort with its leveling of requirements across the university as well as from its departure from established channels of faculty governance. As discussed in this section under "transfer and general education challenges," Baruch developed and refined a carefully crafted core curriculum through a longstanding collaboration among faculty in the professional schools and the arts and sciences. While adjusting to the new curriculum has been a substantial challenge, it has, in conjunction with the growing attention to assessment at Baruch, created an opportunity for departments to analyze and reshape their curricula. Processes are in place to assess Pathways via existing curriculum committees, and faculty governance will be strengthened by the addition of a senate committee evaluating changes to the curriculum moving forward. The ongoing conversations about what students in the 21st century need have inspired thoughtful discussions across the College, creating buy-in. It will take time, however, for faculty to regain faith in the central administration.

The faculty's contract expired in 2010 and has yet to be renegotiated with city and state officials. Clearly there is immense opportunity to improve faculty morale within contract discussions. The last contract increased support for sabbaticals, for instance. A related problem is endemic in the Zicklin School of Business in particular. After years of productive hiring, with clear benefit for the College's reputation, for student learning, and for increasing the proportion of full-time faculty, many long-term faculty in the business school find themselves massively undercompensated when compared both to market rates and to more recent hires. The latter problem, known as salary inversion, serves as a disincentive and leads to disaffection in College governance and scholarship even for those who remain committed to their teaching. At the same time, the failure to obtain market-rate salaries for new hires has led to the loss of promising new colleagues. The challenge is to continue to find creative ways to retain current faculty; certainly the successes in the last capital campaign will present opportunities to supplement salaries, fund research, and provide material support.

Other campus-wide challenges affect faculty as well. Key among these are space pressures, adjunct faculty unsettled by their contingent status, and continued high teaching loads. In each case, the College has actively listened to faculty and works to find means of improving. Understanding the experience and needs of adjunct faculty is a crucial concern on our campus. Baruch has been able to create opportunities within the other challenges cited: while Manhattan makes physical growth difficult, the renovation of the Field Building will increase and enhance laboratory spaces for the Department of Natural Sciences, as an example, but the School of Public Affairs is fully "landlocked" and has difficulty finding office space for new faculty. The Weissman School has sought to ameliorate high teaching loads by using the Digital Measures online curriculum vita database to track faculty research productivity. Where in the past faculty had to complete annual applications for research reassigned time, now such time is granted automatically to those whose creative and scholarly output meets certain requirements. The streamlining of the research reassigned time process has made a tangible, positive contribution to morale in Weissman.

New Educational Frontiers

Inviting International Students to Baruch

In keeping with the College's Strategic Plan goal of deepening engagement with the world outside the campus, Baruch has been increasing its international contacts, with particular emphasis on strengthening ties with universities in China, Brazil, and Turkey. Clearly there is immense opportunity in expanding research opportunities and cross-campus collaborations as well as offering Baruch students and foreign students the opportunity to study away. Baruch must ensure that such students are well served pedagogically. For example, it is crucial that students who are for the first time taking courses taught in English receive adequate preparation and proper placement (Standard 13). As we develop new international enrollment schemes, we will need to find better diagnostic tools to ensure that students are ready to succeed at Baruch. We also need to develop more opportunities for students whose home base is not New York City to engage with a commuter student campus. Baruch's residence hall is a step in this direction; see [Section 4](#) for further information about this development.

Online and Hybrid Instruction

The Strategic Plan, within its objective to strengthen the foundations of academic excellence across the College, set forth the goal of moving 20 percent of courses online, which offers an opportunity for innovation and responds to student interest in flexible options. Challenges on this front include ensuring quality outcomes, providing adequate training and infrastructure for courses, and developing best practices. For instance, we need to determine if hybrid courses are most effective when the face-to-face meetings are evenly spaced throughout the semester or when the face-to-face component is front-loaded into frequent meetings early in the term. A further challenge comes in encouraging open-mindedness among faculty regarding the move to hybrid and online courses. Clearly not all programs are equally well suited to all types of instruction, and many are concerned that a one-size-fits-all approach should not dominate policy.

High-Impact Practices for Undergraduate Student Learning

In an effort to both improve outcomes and connect classroom to mission, the College wants to continue to build its use of high-impact educational practices. Many departments already incorporate such opportunities into their curricula throughout undergraduate coursework. Of course, the exciting promise of high-impact practices comes with some challenges. The College wants to avoid a scattershot approach in which any number of such practices are employed without consistency. Moreover, a number of the practices being considered for widespread implementation would require larger commitments of resources, or, at the very least, a shift in where resources are deployed. Recent research suggests that the most efficient and cost-effective way to reap the benefits of high-impact practices is to build in one such practice early in the college years and one near graduation. Baruch sees the potential to enrich student achievement via an expansion of such educational opportunities.

Assessment

Assessment presents a few challenges to the campus: although it is a key component of accrediting agencies, some faculty feel that their academic freedom is being compromised. The wealth of new

hires has created substantial conversation about assessment across the campus, and discussions with these assessment experts has helped some faculty to recognize the productive capabilities of assessment and to see the relationship between assessment on the one hand and teaching and learning on the other. Another opportunity to “move the needle” on student learning is via improved assessments and more effective use of existing assessments (Standard 14). As noted in [Section 5](#), the assessment process is becoming regularized and systematized, in part through College-wide coordination.

Assessment is an area of focus at the school level as well; the Zicklin School of Business Office of Assessment, Accreditation, and Program Learning was created in 2012. All Zicklin undergraduate and graduate assessment came under its auspices with the naming of a new director in late 2013. Like the campus-wide Office of Assessment, the mission of the ZSB Office of Assessment, Accreditation, and Program Learning has been to move beyond generating required responses for mandated assessments by the Association to Advance Collegiate Schools of Business into a recognition of assessment as integral to the maintenance of a strong and competitive curriculum that is properly preparing students for careers and life after graduation. Departments place increasing importance upon using assessment results to make meaningful changes in the curriculum, to strengthen the school and student population, and to evaluate and improve continuously. Particular strengths of ZSB’s current approach to assessment include its attention to student communication skills, both oral and written, as well as its reflection of 21st-century business needs and practices via incorporation of global and ethical awareness as barometers for assessing the student population.

Within WSAS, assessments have been taking place at the departmental level; all of the departments with majors in Weissman have completed at least one full round of assessment since our MSCHE review five years ago. Philosophy developed and administered early assessments of the Gen Ed learning goals of ethical awareness and critical thinking, and in response to the results the department developed a course in ethics and critical thinking, which has just been added to the College’s curriculum. Similarly, the English department conducted an assessment in Fall 2012 of upper-division students. As a result, English has implemented a new course with the needs of English majors and minors in mind and the goal of improving student writing; the course also fulfills Pathways requirements. Closing the loop in this way—devising an assessment and then reacting to its outcomes—ensures that students receive effective, targeted instruction.

As the College moves further into hybrid and online approaches to teaching and learning, assessment will need to adapt to measure outcomes. Please see [Section 5](#) for further discussion of assessment of student learning.

Further Educational Challenges

Other challenges exist, namely the growth of WSAS as a “destination” for arts and sciences majors as well as the building on the contacts and opportunities for experiential learning in SPA. The growth of majors in both programs, as well as the growth of transfer students, presents Baruch with the prospect of extending its reputation for excellence. Harnessing such increasing groups will enhance the perception of the College as a well-rounded, high-quality institution.

Baruch is at work to ensure its compliance with new State of New York mandates about experiential learning, striving to ensure these efforts are consistent with CUNY’s.

SECTION 4: ENROLLMENT AND FINANCE TRENDS AND PROJECTIONS

FINANCE TRENDS AND PROJECTIONS

Overview

Baruch is one of 24 institutions in the CUNY system. The CUNY Budget Office provides each college in the system with a base allocation of state tax-levy support based upon historical budget models and an allocation based on our enrollment and tuition revenue target. Tuition is billed by the College and sent to CUNY, which remits to the state. If Baruch meets the tuition revenue target, we have spending authority to spend it. Any revenues collected over the target can be retained as CUTRA (City University Tuition Reimbursable Account). We are permitted to carry over 3 percent of CUTRA funds to the next fiscal year.

We submit financial plans to CUNY for approval detailing our revenue and expense projections, covering the current year and next three years. (Financial plans for FY13, FY14, and FY15 and anticipated financial plans for FY16 through FY18 are provided as [Appendices 4.1–4.4](#).) The CUNY Budget Office prepares year-end financial reports based on CUNY and College data. (CUNY reports for FY12 through FY14 are provided as [Appendices 4.5–4.7](#); IPEDS data for FY12 through FY14 are included as [Appendices 4.8–4.10](#).) Baruch College financial data is included in CUNY’s financial statements, which are audited by CUNY. We do not do independent audits of our tax-levy budget.

The capital budget for Baruch is managed by CUNY. We do not have an independent capital budget. Therefore, we cannot provide audited financial statements of either our operating or capital budgets.

New Revenue Sources

Since 2012, Baruch has cultivated new funding streams while continuing to develop traditional sources.

- **CUNY Compact:** In FY 2007, CUNY developed a vehicle for programmatic funding called the CUNY Compact, representing the shared commitment of the state, CUNY, and students to provide funding for CUNY. The Compact is funded primarily by tuition revenue, but also includes philanthropy funds, as well as savings generated by measures taken to be more efficient and productive. Prior to FY11, the unpredictability of changes in CUNY’s revenue and level of state support made multi-year planning very difficult. In FY11, the legislature gave CUNY authorization to implement five years of modest tuition increases (\$300 per year for in-state undergraduate tuition and proportional rate increases for graduate students and out-of-state students) and committed to maintain state support at the same level, meaning the increased tuition would all go to new investments. The Compact is the means used by CUNY for distribution of funds generated by increased tuition. Based on this, the College has been able to make multi-year spending plans and fund our Strategic Plan initiatives. The yearly financial plans for the College include our Compact spending plan.
- **CUNY Investment Plan for Baruch:** In FY11, CUNY committed to provide \$7.8 million in base budget allocation for the hiring of 29 new faculty and research support for those

faculty, primarily in the Zicklin School of Business. Additionally, the funding was for increased staffing in areas providing direct student services. As of FY14, the plan was fully implemented.

- Academic Excellence Fees: In FY12, we obtained approval to implement academic excellence fees to support a number of our graduate programs in the Zicklin School of Business, the School of Public Affairs, and the Financial Engineering graduate program in the Weissman School of Arts and Sciences; we added an academic excellence fee in the MPA program in 2014. These fees have allowed us to invest in direct student services and other initiatives designed to enhance the quality of our graduate programs.
- Philanthropy: Philanthropic giving has not been a well-established tradition in the CUNY system, but Baruch alumni nevertheless understood early on the necessity for such contributions and gave generously. We completed our \$150 million capital campaign in June 2013, exceeding our goal at \$157 million. Among the significant gifts were a \$7 million gift from the Weissman family to endow the Weissman School, a \$5 million gift to endow the Dean of the Zicklin School and faculty salary support, and a gift of \$3 million to support the Sandra Kahn Wasserman Jewish Studies Center.

We are creating a permanent pedestrian plaza on 25th Street between two main campus buildings—the Vertical Campus and the Information and Technology Building / Newman Library—with the assistance of major gifts from two alumni and smaller gifts from others.

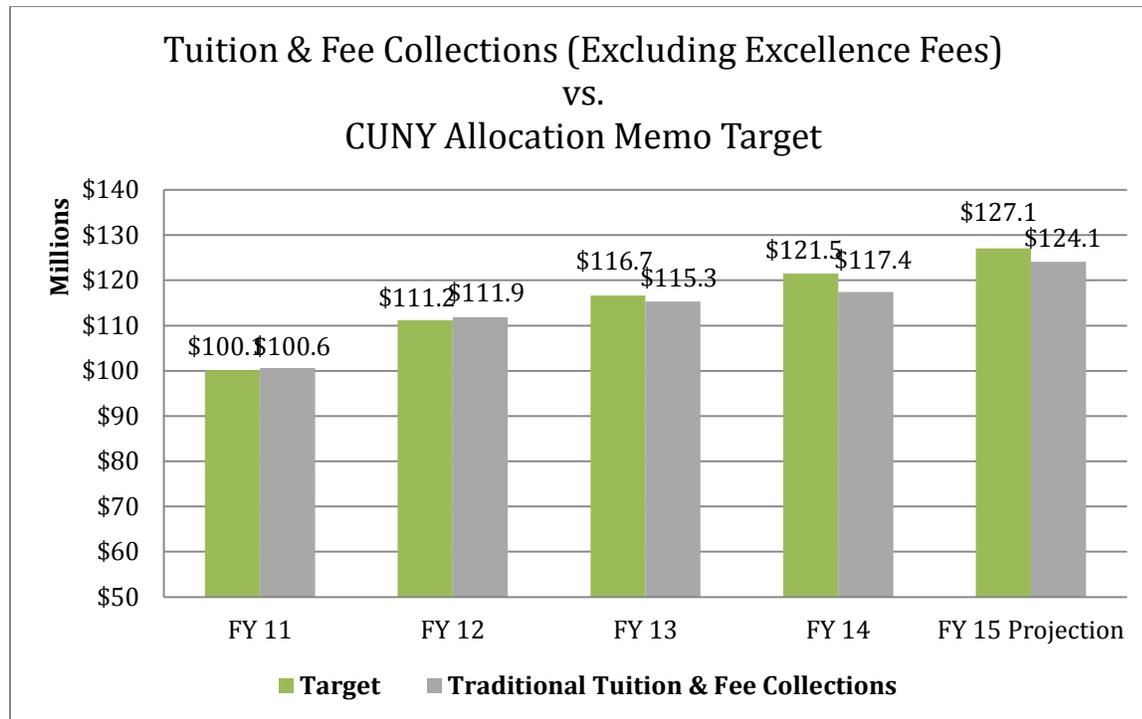
The campaign also helped to create more than 95 new scholarships for students. Significant contributions endowed the Narendra Paul Loomba Department of Management and the Allen G. Aaronson Department of Marketing and International Business. Baruch named many sites on campus, including 19 classrooms, 2 conference rooms, a multimedia newsroom, a career development center, and the Hillel Suite. The campaign oversaw the creation of the William Newman Chair in Jewish Studies, as well as the Ruth Printz O'Hara Professorship in Holocaust Studies, the Allen and Mary Aaronson Student Center, the Marvin Schwartz Student Excellence Fund, the Amy Hagedorn Scholarship Fund in SPA, and the Shelly and Donald Rubin Museum of Art Fund.

In FY15, the philanthropy budget was \$15.4 million. Baruch expects philanthropy will continue to grow and remain a vehicle for enhancing the quality of our facilities and academic programs.

- Executive Programs: For decades, the Zicklin School of Business and School of Public Affairs have offered a variety of executive programs that generate tuition and program fees. We are actively seeking to refresh current offerings and develop others, both domestically and internationally. We anticipate this will be a growth area for the College in the next few years.
- Student Building Fund: In 2011, the students passed a resolution to impose a \$30/ student fee to create to support the acquisition of a Baruch College student center. The student-driven initiative was designed to address the serious space shortages at the College and the need to run top-rate extracurricular programs. The fee generates approximately \$1,029,000 a year. We have matched those funds with a \$3,000,000 gift from alumnus Allen Aaronson.

Present and Future Financial Challenges

Baruch has experienced a significant drop in overall graduate enrollment—a 20 percent decline since FY11. Each year, our tuition revenue target is adjusted by the amount of revenue expected to be generated by the tuition increase if our enrollment remained flat. If our revenue remained flat, in FY15 we would have generated sufficient funds to meet our tuition revenue target of \$127.1 million. However, because of the drop in graduate enrollments, we did not meet the target. The chart below demonstrates the impact of the enrollment drop on revenue collection.



The revenue loss has been mitigated by tuition revenue from modest yearly tuition increases and by admitting larger numbers of undergraduate transfer students, as well as by reductions on the expense side. Our long-term response is to build market-facing degree programs that will attract significant numbers of well-qualified students who are assured of excellent placement after graduation. In Fall 2014, the Office of the Provost sponsored a series of workshops for graduate program directors on tactics and strategies. To support financial planning and projections, the Budget Office, using data from CUNYfirst, available for the first time in FY14, created a tool for graduate admissions staff designed to assist with tuition revenue projections. The Provost and the VP of Administration and Finance described the challenges and the plan to address those challenges in a joint letter to the campus community (see [Appendix 4.11](#)).

The five-year program of tuition increases will end in FY16 and we do not have any current expectation that the legislature will authorize any new increases going forward. Moreover, CUNY is negotiating a new union contract and we have been told that, in a break with precedent, the state will not cover the increased personnel services cost generated by the contract. Anticipating those new expenses, we have built our financial plans with these new challenges in mind.

We have been actively seeking a space for the student center but have been hampered by being in

one of the hottest real estate markets in Manhattan, itself seeing record real estate values.

ENROLLMENT TRENDS AND PROJECTIONS

Overview

Baruch College receives funding from New York State using line item appropriations for each college within CUNY. CUNY's budget comprises four major components. These are:

- College base budgets, which are appropriated to individual CUNY colleges;
- Central Administration funds appropriated to CUNY;
- Funds for fringe benefits, energy, and building rental costs;
- University-wide programs, which are lump sum appropriations that are largely allocated to the individual colleges via formulae.

Colleges receive an initial allocation of their annual budgets at the beginning of the academic year. Subsequent allocations are made during the year to adjust for revenue collections and to disburse additional funds. Therefore, tuition and fee collections by our college from enrollment are a critical component of the Baruch College budget.

We seek to ensure the integrity of our budget by enrolling sufficient numbers of qualified students. Baruch's enrollment decisions are guided by these broadly shared goals:

- restore recent declines in the number of graduate students;
- maintain and enhance the academic indicators of our incoming freshman class;
- increase the diversity of students in all programs, particularly from historically underrepresented minorities;
- confirm our reputation as an attractive, global college by increasing the number of applications from international and domestic out-of-state students;
- maintain our historic mission to provide access to academic excellence for the people of New York City of limited economic resources through a robust transfer process; and
- communicate the benefits of all of our degree programs, measured by a gradual increase in undergraduate inquiries, applications, and enrollments in the Weissman School of Arts and Sciences and the School of Public Affairs by both first-year and transfer students.

Planning and Projections

Baruch's enrollment plan is based upon our conviction that Baruch College provides education of the highest quality and excellence to its students and is structured to ensure that the students we accept as freshmen or transfer students are given the support and attention they need to reach

graduation.

Baruch sets its own annual enrollment targets for Baruch College in collaboration with CUNY Central, which does not set multi-year enrollment goals. Our annual targets reflect the goals we stated above, but they also respond to system-wide issues that Baruch may be called upon to address. A recruitment plan is developed each year and is assessed and revised every six months for undergraduate admissions.

Baruch College does have a strategic approach to enrollment management that supports our College Strategic Plan and uses a multiple-year planning horizon. We seek to maintain budget stability while enrolling at least 20 percent of our students at the graduate level, with a total enrollment of over 17,500 students during Fall and Spring semesters. Our strategy attempts to maintain a small buffer on overall headcount, which is dependent upon physical campus capacity, full-time equivalent faculty, business accreditation standards set by the AACSB, and academic program review. We stretch our total enrollment to 18,000 students if we cannot meet our graduate program enrollment target, because graduate students contribute higher tuition and fees. Support of this strategy requires that we maintain a pool of qualified applicants for all of our programs. Baruch created an enrollment research department, with strong links to the College's institutional research, in order to design and build econometric algorithms, financial aid leveraging models, digital market incursions and analytics, and innovative tactics to meet our enrollment goals. Ours is the first such effort in CUNY, and has since been adopted by the CUNY Central Administration and several CUNY colleges. Aligned with a deliberate focus of brand management (distinctive messaging to a global community through inspired constituents), aggressive positioning, and the art of creating competitive advantage through values such as curiosity, innovation, and ingenuity, we have institutionalized and propelled improved margins in a host of differentiated arenas within enrollment management at the College.

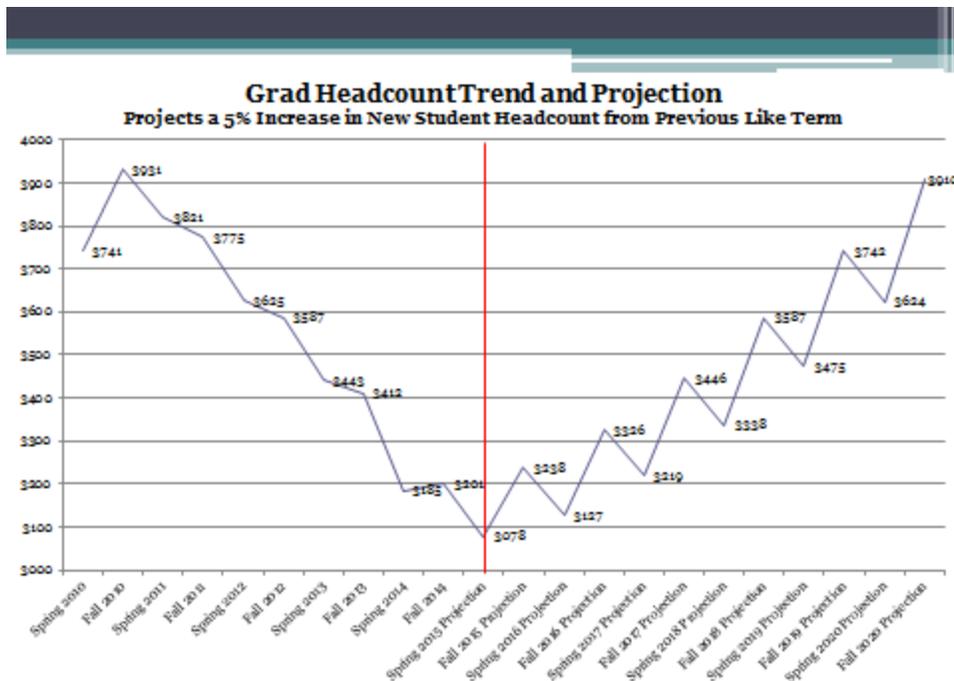
The tactics detailed here have initially been applied to undergraduate enrollment at Baruch. In response to graduate enrollment declines during the past four years, the Vice President for Enrollment Management will engage with deans and program directors in each of our schools to supplement our decentralized approach to graduate admissions. Our target is to increase graduate enrollment to 3,900 within the next six years.

Baruch College has increased overall enrollment over the past 10 years in response to growing demand, budget challenges, and new programs, as well as to ensure sufficient revenue to support other elements of the Baruch College Strategic Plan.

BARUCH COLLEGE – ENROLLMENT PROJECTIONS: Fall 2015 - Fall 2017			
	Fall 2015	Fall 2016	Fall 2017
	N	N	N
Regularly Admitted First-time Freshmen	1200	1200	1200
SEEK/CD First-time Freshmen	113	150	175
Total First-time Freshmen	1313	1350	1375
Total Advanced Standing Transfers	1935	1850	1750
Total UG New Students	3248	3200	3125
Total Undergraduate Enrollment	14361	14400	14500
New Graduate Enrollment	1085	1211	1211
Total Graduate Enrollment	3143	3300	3400
Total Enrollment	17504	17700	17900
Undergraduate FTEs	11443	11500	11600
Graduate FTEs	2086	2200	2300
Total FTEs	13529	13700	13900

These enrollment projections reflect a number of deliberate decisions by Baruch College and trends that we see in the higher education marketplace:

- Given our goal of maintaining quality and diversity among the undergraduate population, the College will not increase the incoming freshmen headcount.
- Baruch has set targets to increase the number of SEEK freshman students; that program provides special academic support services, and the applicant pool includes significant proportions of students from historically underrepresented groups.
- Baruch is committed the CUNY model of an integrated university with “low-friction” transfer processes. Transfer student numbers have been temporarily increased in response to the decline in graduate students. This has placed some stress on our undergraduate student academic support services. We will gradually reduce the total number of transfer students to pre-2010 levels.
- The majority of Baruch undergraduate students will continue to transfer from other colleges. Freshmen admissions include SAT scores and the courses completed in high school as two of the factors in determining eligibility. At the same time, many New Yorkers are described as English language learners, and some did not complete a high school curriculum that supported college readiness. Attendance and academic success at our community colleges provides these students with a second opportunity to be admitted to Baruch as transfer students, with the sole criterion for admission being completion of community college courses with good grades.



Recruitment Challenges and Opportunities

The College has invested in several activities that are designed to support our enrollment and revenue goals.

- Baruch is correctly described as one of the most diverse institutions in American higher education. We see an opportunity to further enhance the learning opportunities for our students by attracting a modest number of out-of-state and international students to our programs. This is a new initiative, the effectiveness of which will be measured by tracking international student inquiries, applications, and enrollments.
- The College is improving the essential infrastructure necessary to ensure success of out-of-state and international students. For example, Baruch will increase the number of student spaces, for which we sign a multiple-year contract at a residence hall near 97th Street and Third Avenue. Access to College-operated residence life is essential to out-of-state and international students.
- Baruch’s Global Strategic Plan has identified several nations that are the focus of our initial outreach to freshmen, including China, Brazil, and Turkey. This plan also includes a host of faculty research and program development initiatives that are also directed at these three partner countries. In 2013, the College created additional study-abroad opportunities for our students in Turkey.
- Our Faculty Senate formed a new Enrollment Management Advisory Committee to ensure a faculty voice in enrollment management priorities.

- Our initiatives for greater organizational effectiveness created a Cross-Border Team of representatives from various campus offices focused on international student recruitment, retention, and persistence.
- The Vice President for Enrollment Management has formed a Graduate Student Enrollment Council that meets regularly throughout the year to address all elements of recruitment, registration, and enrollment of graduate students.
- Finance and Enrollment Management have developed planning tools and models that link enrollment in specific programs to expected tuition and fee revenue. This should create transparency and support earlier identification of trends that could have an impact on the College's overall budget. These reports and models are shared with deans and program directors.
- President Wallerstein has enlisted the expertise of Professor Dan Stefanica to focus on specific tactics to improve the four-year and six-year graduation rates. Stefanica identifies the small number of cases that can yield immediate results with appropriate intervention.
- In terms of academic quality of the incoming freshman class, the College has had recent success attracting more applicants that are not only diverse, but very strong in terms of their SAT scores. Our average freshman SAT scores for each of the last four years increased steadily, from 1209 in 2011 to 1230 in 2012, 1239 in 2013, and 1247 in 2014.
- Our CUNY data indicate that Black freshman enrollment increased during each of the most recent five years. Baruch enrolled 79, 81, 83, 107, and 123 Black freshmen during the Fall semester of each of those years. Hispanic freshmen enrollment was 147, 134, 118, 100, and 155 during those same years. Our Enrollment Management staff plans to build on the recovery in Hispanic enrollment last year by continuing its aggressive efforts at recruitment.

Baruch monitors our success in attracting qualified students to our programs, and we monitor the activity of our competitors in the New York City area. The competitive nature of the higher education marketplace is rising as public and private colleges and universities within New York State invest more dollars in their recruitment efforts.

Enrollment data from the past three years, as reported by the Integrated Postsecondary Education Data System (IPEDS), is included in [Appendix 4.12](#).

CONCLUSION

Baruch's enrollment strategy seeks to reflect a common campus mission, image, and identity to maximize outreach. The key to strengthening enrollment systems under this plan is to assume a much more proactive and aggressive role in competitive recruitment strategies. By changing the way that we approach the admissions process, Baruch will realize competitive enrollment results that will serve quality, academic excellence, diversity, and revenue management.

SECTION 5: ORGANIZED AND SUSTAINED PROCESSES TO ASSESS INSTITUTIONAL EFFECTIVENESS AND STUDENT LEARNING

Emphasis on assessment and accountability has increased in the past five years, both at the College and throughout CUNY. This section will examine first the dimension of Institutional Effectiveness and then Assessment of Student Learning.

INSTITUTIONAL EFFECTIVENESS

The Baruch College Strategic Plan 2013–2018 explicitly recognizes the need to improve the College’s administrative infrastructure. While many of Baruch’s units function effectively in isolation, the plan urges greater “coordination across the institution in ways that make the College a friendlier, more transparent, and less challenging place to study and work” (p. 14). While this mandate is broad, the BCSP specifies four areas for particular attention: improving multi-unit processes, reducing routine points of administrative friction that involve multiple hand-offs (e.g., billing, invoicing, registration status, etc.), improving customer service, and building responsiveness to the College’s many constituencies into our institutional culture.

Recognizing the need to begin working on solutions even before the BCSP was completed, President Wallerstein created the Special Assistant to the President for Institutional Effectiveness. School of Public Affairs Dean David Birdsell was appointed as Special Assistant on July 1, 2012 and continues to serve in that role, working closely with the President and the President’s Chief of Staff.

The Special Assistant began his work by focusing on staff. He visited with key constituencies on campus (including the Chairman of the Faculty Senate; all members of the President’s Cabinet; a selection of department chairs in all three schools; staff in the Registrar’s Office, the Finance Office, and Admissions; and academic support staff) to find out what satisfactions staff find in their work as well as the sources of frustration, both personally and institutionally. Four strong themes emerged from these conversations:

- Unfamiliarity with the people and business practices employed in units of the College other than the respondent’s, coupled with a strong interest in interacting with others across the institution.
- A sense that Baruch is not an easy place to work and that customer service and collective ownership of results are in need of improvement (though almost all respondents thought that this was a problem in units of the College other than their own).
- A desire to be visible to and heard by senior administration.
- Great commitment to and satisfaction in the Baruch mission.

The Special Assistant’s team developed plans in the weeks prior to the January 2013 release of the BCSP to harness the energies of staff across the College in the service of the strategic plan’s goals; to recognize staff for the good work that enabled the College’s successes over the past 20 years; to improve the flow of information from and to the President’s Cabinet; and to do a more consistent job of measuring staff satisfaction. To that end, five major interventions were launched together with the release of the final BCSP: the re-creation of an organization called the College Senior Staff;

the launch of Cross-Border Teams; an unprecedented “All-Hands” meeting with an accompanying website; College-wide training; and a staff survey (fielded immediately prior to these interventions to create a baseline against which progress can be measured). Each intervention is described below.

Re-creation of College Senior Staff

President Kathleen Waldron (2005–2009) established the College Senior Staff (CSS) shortly after her arrival. Comprising most senior professionals reporting directly to Cabinet officers, the CSS at that time met irregularly and served a primarily informational function. The College decided to re-establish and reframe CSS in December 2012. As before, membership was drawn from the ranks of senior professionals reporting directly to Cabinet officers, but with more formal membership rules (e.g., invitations come from the CSS Steering Committee, not individual Cabinet members). Beyond sharing information among units of the College, the new CSS was to be a deliberative body, identifying collective problems and, together, thinking through possible solutions.

The new CSS was also conceived as a means of better ensuring the transmission of decisions made at the Cabinet level to the operational level represented by the CSS membership. Heretofore, Cabinet decisions were conveyed, if they were conveyed, by the individual Cabinet members to their respective units. Through CSS, the President, Provost, and other Cabinet officers could communicate face-to-face with the College’s senior leadership, better ensuring that messages would be clear and consistent while emphasizing College-wide rather than unit-level priorities.

CSS has proven effective in helping to harmonize administrative processes across the campus. This was nowhere more apparent than during two significant challenges to morale: the CUNYfirst implementation and the introduction of a new timesheet system to track the hours of the College’s professional staff (a CUNY-wide change in personnel practice). The Vice President for Administration and Finance and the Director of the Baruch College Technology Center, who were in charge of CUNYfirst implementation for the campus, were able to align staff efforts through CSS. At each meeting, we were able to identify and correct misconceptions about the system, more effectively prepare staff for changes in their units, show how changes in one unit would affect business practices in another, and greatly reduce redundant exposition.

The most powerful evidence that these interventions were effective was the comparatively successful implementation of CUNYfirst. While other campuses in earlier “waves” (Baruch was included in the final phase of implementation) experienced Summer enrollment declines, trouble tracking Fall registration, and other start-up problems, we experienced very few of these problems and managed to maintain our Summer enrollments while improving graduate and undergraduate enrollments in the Fall and Spring terms compared to 2013–14. These interventions directly fed the institutional priority of maximizing enrollment and, therefore, operating revenue.

The timesheet implementation posed different problems, as senior professionals with titles in the HEO (Higher Education Officer) range, some with decades of experience at the College, were required for the first time to account for hours worked with daily timesheets. CSS was able to get ahead of rumor and resentment to provide solid, consistent information and to help shape the implementation. Human Resources presented an initial version of the directions and tracking tools to CSS; many members had suggestions to improve the ability of the forms to capture activity in their units. Without CSS, the rollout would have produced an initial round of frustrated employees unable to enter their data properly. Of course, CSS could not eliminate the anger that many felt over

having to document their hours in ways that they found demeaning, but clear messaging and improved data collection mitigated a difficult situation.

Starting in December 2014 each CSS meeting has centered around attention to one of the College's key constituencies, starting with students. The Associate Dean invited student leaders to the December meeting to discuss their interests in staff encounter and their experience with staff at the College. Based on that discussion, CSS created a list of staff willing to serve as club mentors, appear at student events, and take part in shaping student experience. Just a week after this meeting, that list was used to expand staff presence at an annual event supporting students in the library studying for their final exams.

Members of the CSS also concluded, after listening to the students, that staff themselves could benefit from mentor relationships with more seasoned members of the staff. The Management CBT took on the responsibility of crafting a mentorship program and will bring forward a proposal in Fall 2015.

The CSS Steering Committee records the action commitments in minutes and follows up with the relevant party to ensure that progress is being made or that there are material reasons for changing direction.

Launch of Cross-Border Teams

Many tasks at Baruch College are undertaken in different units by different staff focused on similar issues. Student advisement, for example, is undertaken by the central advising staff (focused primarily on students who have yet to declare a major), the Transfer Center, the office of the Zicklin School Dean for Undergraduate Programs, the Weissman School's Associate Dean's Office, the School of Public Affairs Associate Dean's Office, the same three schools' graduate advisement offices, the SEEK program, the Honors program, and the ZSB and SPA executive programs, and at the department level for most of the College's majors.

While it makes sense to locate advisement closest to the programs in which students are enrolled, multiple offices multiply the likelihood that students will receive at least slightly different information. To reduce such confusion, as well as to share best practices, strategize together on new regulations, and harmonize messages posted to the web and other College media, we chose to convene representatives of all of the College's advisement teams from time to time to share notes and synchronize practices to the greatest extent possible, given differences in curricula and student bodies.

The practice of sharing insights, ideas, and information about emerging trends is the basic idea behind CBTs, which bring together people engaged in substantially similar work to coordinate processes and improve, collectively, the work that they do. At this writing there are 11 CBTs at Baruch involving well over 100 staff (roughly one-sixth of our full-time total) beyond CSS: Advising Outcomes; Business Managers; Education and Training; Facilities; Globalization; Graduate Billing; International Recruitment; Management; Registration Implementation; Retention and Persistence; and Staff Morale. CBTs routinely report at CSS meetings, allowing other CBTs, as well as the traditional, VP- and Dean-led administrative units, to improve horizontal communication across the College. Further, they help staff to get to know and work with people outside of their units. CBTs have already been used to solve urgent problems around graduate billing; to foster cooperation

around and greater visibility of the College's international programs; and to harmonize business practices around a host of issues such as travel reimbursements, part-time faculty hiring and procurement, and redressing contradictory information on the College's advisement websites.

One example can show the effectiveness of CBTs. In graduate billing, an ad hoc CBT drew together staff from all relevant offices—Bursar, Registrar, Finance, Financial Aid, the three schools, and Institutional Effectiveness—to identify and rectify the sources of errors in graduate billing in Fall 2013 and Fall 2014 (relating to newly approved tuition differentials and academic excellence fees). The institutional knowledge built from convening the CBT makes it more likely that we can identify such problems in prospect and address them before a new semester begins.

We can see evidence of improved communicative practice in all of the focused arenas in which the CBTs operate, but can we measure that empirically? To answer that question, we have commissioned a member of Baruch's faculty, Professor Rachel Smith, to produce a study of Baruch's server logs to document changing patterns of communication from unit to unit. Our hypothesis is that communication will have changed gradually from Spring 2013, with more interdepartmental messaging as a fraction of all messaging. To the best of our knowledge, this will be the first such investigation in an institution of higher education. To ensure the security of employees' personal information (nothing is being collected beyond unit-level information about the "to" and "from" headers in email messages) and to preserve publications rights, the proposal has been submitted to and approved by CUNY's Institutional Review Board. Dr. Smith, a scholar of higher education administration with deep experience in organizational network analysis, will collaborate with colleagues from Cornell University. The project should be in the field in Fall 2015.

All CBTs have produced logic models detailing their principal goals, their key activities (when known), the expected outcomes, and a process for measuring progress toward goals. Since this is an institutional change management initiative in its very early stages, processes for institutional cooperation continue to be developed. Updating and revising these logic models and putting data into the superstructure will make the CBTs routine, robust vehicles for achieving College-wide goals in many areas addressed in the BCSP.

The "All-Hands" Meeting and the Strategic Planning/Effectiveness Website

As noted above, staff were consistent in voicing their sense that they were not entirely visible and had too little contact with senior administration. We reasoned that the release of the new Strategic Plan was a perfect opportunity to set a new tone. So for the first time in the history of the College, the BCSP was released at a meeting of all of the College's full-time staff. On January 18, 2013, substantially the whole of the College's staff came together in Mason Hall, our largest auditorium, to hear the President outline Baruch's successes over 20 years, the staff's role in achieving those successes, and the goals covered by the new Strategic Plan.

After the President spoke, the Special Assistant explained the new CSS and CBT structures and detailed several improvements in processes that had been identified as particularly vexing (travel reimbursement and custodian hiring/allocation). He also introduced an ambitious training agenda for all staff involved in customer service, business intelligence, and change management.

The All-Hands meeting was a chance to reset relationships and to let staff know that they matter, that leadership understands what they have accomplished, and that the College will invest in their

future success. Along with the two presentations, we debuted a video produced over the prior nine weeks portraying the hopes and frustrations of a dozen of the College's full-time staff. It was well received and remains on the website to this day, still gathering hits from inside Baruch.

As important as this day was, more important was the creation of a means of communicating the ongoing process of reorganizing the College. Working with the Office of Communications, Marketing and Public Affairs, Baruch created a series of strategic plan and effectiveness-related web pages to keep everyone up-to-date on new committees and processes and to provide concrete evidence of progress toward goals. Continuously updated, this sub-site provides up-to-date information about new developments and ways for staff to engage with the processes.

College-wide Training

Interviews with staff in the fall suggested one area in which staff themselves felt in keen need of training: customer service. Two other areas were demanded by objectives in the 2013–2018 BCSP: business intelligence and change management. The goal was to use universal training not only as a means to improve staff performance, but to foster camaraderie by showing rank-and-file staff that Cabinet officers and other members of CSS were also undergoing the same training.

We created three tiers of training. At the bottom was everyone on the front line, people generally without managerial responsibilities. In the middle was a group that we came to understand as critical to the College's success: "Key Managers," who typically reported to someone on CSS and who had program-level responsibility within their units. The third training tier was CSS, with shorter engagements designed to acquaint them with what their reports were undertaking and to harmonize vocabulary around management goals.

Over the course of Spring 2014, 83 percent of full-time, non-faculty employees received training, far exceeding any prior attempt at training of this sort at Baruch. We collected responses from attendees and found sharp differences among the three groups. Front-line staff were generally thrilled with their training and felt acknowledged by being asked to participate. CSS-level staff were less enthusiastic about the training but found it useful, particularly as a way of understanding what their staff members would be exposed to.

Key Managers, on the other hand, were deeply frustrated by the training. They pushed back so hard on the original lesson plans that a member of the CSS Steering Committee—either the Special Assistant or the Chief of Staff—had to meet with each training group to get the lessons and purpose back on track. These listening sessions became important in and of themselves. Key Managers, who are charged with executing the bulk of the College's plans, proved to be, as a group, the most dissatisfied employees at Baruch. They shared the rank and file's feeling of invisibility but also felt responsible for implementing policies that they understood imperfectly and for which they felt little senior administrative support.

It was directly from these conversations that the Management CBT was launched in response to the feeling of Key Managers that they needed a forum to express and address their need for development and to have a more prominent voice with CSS and the Cabinet. The Management CBT has become the most active of the CBTs and has posed some of the sharpest questions to senior leadership about the clarity of and support for College-wide initiatives. As noted above, they have also undertaken initiatives for further staff development programs, including peer mentoring.

Further training will be developed by the CBT on Education and Training.

Many of the changes we are seeking to effect will be hard to measure directly. They should, however, over time, produce improvements in relevant batteries of the National Survey of Student Engagement (NSSE) and Noel-Levitz surveys.

Staff Survey and Other Assessment Instruments

In the week prior to the January 2013 All-Hands meeting, staff were surveyed about morale, their feelings of support from senior administration and immediate supervisors, and their sense of connection to the College's mission and Strategic Plan. We found high levels of support for the College's mission but somewhat lower levels of perceived support from direct supervisors and senior administration. When we fielded substantially the same survey in February of 2014, perceptions of support from senior administration had dwindled somewhat. One year's results do not constitute a trend, but there are at least two explanations for the results. First, the parade of challenges in early 2014—from CUNYfirst to the Pathways curriculum reform to HEO timesheets—could have created an overall alienation from senior administration. Second, the All-Hands meeting of January 2013 may have created elevated expectations that were not met. In any case, the decrement was small and could well have reflected successful interventions in the face of policy changes that were difficult for staff to accept. All of these issues will be explored in the third survey, to be fielded in June of 2015.

Sustainability

The Strategic Plan asked for the College to achieve a dramatic 20 percent savings in the College's use of energy over the next five years and develop other sustainability practices. With the support of the Baruch College Task Force on Sustainability, the Office of Campus Facilities has been working to implement these goals. A number of energy-saving projects have been launched, including:

- the installation of LED lights and motion light sensors in offices and hallways;
- capital projects that will replace aging HVAC systems with more energy-efficient systems in the Administration Building and the North Campus;
- cooperation with Con Ed regarding a load management plan for electrical usage in summer months, thereby reducing energy use and generating savings for the College;
- a computer network upgrade that will result in lower energy use; and
- a desktop printer reduction program that saves energy and reduces the number of toner cartridges going into landfills.

The College now has a revitalized and more effective recycling program. We are making it a practice to use environmentally friendly custodial supplies and green paper products with high recyclable materials content.

Conclusion

Changing institutional culture is a long-term commitment that unfolds over years, not months. It is also iterative, requiring myriad recalibrations in the wake of new discoveries. Baruch has launched a thorough-going review of its core administrative practices and is developing the administrative routines necessary to sustain the BCSP. The revision and reconstitution of the CSS, the extension of

consultation and problem analysis through the CBTs, the annual staff surveys, the communication network study, and the direct supervision of all of these processes by the Special Assistant to the President provide Baruch with a platform for shepherding long-term institutional change toward greater openness, efficacy, and sustainability. If the program is effective, results should be apparent in steady improvement in relevant components of surveys such as NSSE and Noel-Levitz.

ASSESSMENT OF STUDENT LEARNING AT BARUCH

Assessment as a culture and a practice has grown considerably at Baruch College over the last five years. As was described in the response to the previous recommendations on assessment in [Section 2C](#), many steps have been taken to improve assessment practices and to use information gained from assessments to improve students' learning. The Strategic Plan's goal of enhancing the academic and co-curricular experience speaks directly to improving the coordination of assessment practices across the College, as well as using information gained through assessment to inform curriculum, pedagogy, and the overall student experience. The Director of Academic Assessment works with faculty and staff in each of the three schools and throughout the College to organize, streamline, and revise assessment practices. For example, prior to the appointment of the Director of Academic Assessment, faculty across the College had no access to centralized resources about assessment, nor were there any established assessment policies. This also meant that development, reports, and responses to assessments were handled in a piecemeal fashion. Currently, the Director helps faculty organize and develop assessments and learning goals and provides a system of accountability through annual reporting (a selection of these reporting forms are provided in [Appendix 5.1](#)).

At all levels of the College, departments and programs have implemented or strengthened practices that focus on assessment and student learning outcomes. Baruch is in the process of revising its institutional learning goals and strives to make expectations known to students and other internal and external stakeholders. The College has also encouraged policies that highlight the importance of assessment and student learning, has increased assessment activities in all three schools, and continues to use assessment to help inform programming and curricular management. Along with making efforts to bolster institutional effectiveness, the College is actively working to use evidence from assessment and other processes across the College to make improvements and be more responsive to students' needs. Examples of some of these changes are discussed later in this section.

Defining Baruch College Student Learning Outcomes

In 2006-07, the College developed 10 General Education and institutional goal areas for students and began assessing them. Discussions beginning in 2011 about Pathways, a CUNY-wide Gen Ed program, created the need to determine the relationship of our Gen Ed goals to the new Pathways goals. In Fall 2013 this new Gen Ed mandate, with university-wide learning goals, took effect. As a consequence, particularly because the Gen Ed curriculum did have some significant changes, the College thought it prudent to revisit our institutional goals. Through the work of a newly formed College-wide Assessment Committee and under the direction of the Director of Academic Assessment, new institutional goals are being developed and will be presented to the faculty for approval. Along with school-, program-, and department-level learning goals, these goals will be available on the College's assessment website (see [Appendix 5.2](#)).

Each school works internally to develop and refine its learning outcomes. The Zicklin School of Business enrolls the largest number of students at Baruch College. Approximately 80 percent of our

students are obtaining either a bachelor of business administration (BBA), a master of business administration (MBA), or a master's degree in a business-related field. Goals specific to each major and department within Zicklin are in place and are currently in the process of being revised. The AACSB also recently reaccredited Zicklin. The School of Public Affairs recently developed new school-wide learning goals that align with the expected competencies that are laid out by the Network of Schools of Public Policy, Affairs, and Administration. SPA offers master's degrees in Public Administration (MPA), Higher Education Administration (MSEd), and Educational Leadership (MSEL), as well as a Bachelor of Science degree in Public Affairs (BSPA). Goals for both the MS in Higher Education Administration and the MS in K-12 Educational Leadership programs are also being revised to reflect expected outcomes among educational programs in the field. Within the Weissman School of Arts and Sciences, each department is required to provide learning goals for any majors or graduate programs. Departments in Weissman have also begun the process of establishing and revising learning goals for all minors. As was stated previously, all programmatic academic learning goals for the College are included in [Appendix 5.2](#) and can also be found on the College's assessment website (http://www.baruch.cuny.edu/assessment/Learning_Goals.htm).

Learning goals across the College are regularly reviewed by departments and assessment committees to ensure that they align with the missions of the College, schools, departments, and courses. All instructors are encouraged to clearly and explicitly list learning goals on their syllabuses. Any new courses or any courses requiring changes that are brought to their respective curriculum committees must have clear and appropriate learning goals listed both on the submitted curriculum forms and in their syllabuses ([Appendix 5.3, 5.4](#)). In addition, efforts are being made to show on syllabuses how individual course goals align with departmental or school-wide goals ([Appendix 5.5](#)). Detailed information about learning goals at Baruch College is maintained on the Office of Academic Assessment's website.

With the exception of Gen Ed, there is currently not a systematic course-level assessment process in place. Course-level assessments and changes are overseen by faculty within their respective departments.

Promotion of Student Learning

The increased focus on assessment and articulating student learning outcomes has prompted the College to develop several strategies to better achieve stated goals. Personnel, resources, and new practices have been established to improve student learning and teaching. Baruch has dedicated resources to employ a full-time Director of Academic Assessment and two part-time assistants to manage and improve assessment processes across the institution. In 2013, the Office of Academic Assessment was established to meet the growing needs of internal and external stakeholders and to improve the efficiency and effectiveness of assessment at the College. The Office of Academic Assessment hosts workshops and forums throughout the year to provide information to the College community about assessment, supports co-curricular assessment efforts through partnerships with academic support units, promotes College-wide assessment policies, and strengthens assessment communication by maintaining a website that provides information about assessment practices at the College and in general. The Director works closely with faculty and staff to provide support and resources for assessment activities and provide more structure for practices across the College.

The Office of Academic Assessment currently hosts two general assessment workshops each

semester in addition to one school-specific forum and one faculty workshop during the academic year. While attendance at these events varies, the school-wide forums have been well attended (25 attendees for the SPA forum and 20 attendees for the Zicklin forum). [Appendix 5.6](#) provides specific information about the content and dates of past workshops. Faculty can also access workshop materials on the assessment website. The Director has also spent the last year putting together General Education committees and working with faculty in Weissman to develop and implement a new plan for assessing the Gen Ed courses under Pathways. Reports from these assessments are available on the internal assessment website. Through collaboration with faculty, the Director has established a schedule for assessing the General Education curriculum (see [Appendix 5.7](#)).

The improvement of the relationship between curriculum, teaching, and student learning outcomes is embedded in many of the processes of the College. We have several committees that manage curriculum and assessment. In Zicklin, both the undergraduate and graduate programs have separate curriculum and assessment committees. Under the direction of the Dean, Zicklin is currently in the process of restructuring its assessment committees into a single, smaller committee. This change is intended to improve the dissemination and use of assessment information throughout the school. SPA has a curriculum and an assessment committee for all programs within the school. For Weissman, the undergraduate and graduate curriculum committees also address assessment issues. Across the College, all new and revised courses reviewed by curriculum committees must have explicit and clearly stated learning goals provided, as noted above. The Director of Academic Assessment attends curriculum and assessment meetings across the College to provide feedback and information about learning goals and assessment activities. Departments are also encouraged to maintain up-to-date curriculum maps that clearly demonstrate which courses address stated learning goals, and department-level self-studies report on assessment activities of majors and minors, as well as specific courses, and forecast future assessments.

Assessment of Student Learning Outcomes

Since 2010, Baruch College has increased its assessment activities and has established schedules for the conducting of assessments within the various schools and departments. The College continues to participate in national and local surveys such as the NSSE and the CLA. Information from these annual surveys provides faculty and staff with indirect information about student learning. The Office of Institutional Research manages data from these surveys and makes information available to faculty and staff.

Currently, the Director of Academic Assessment is encouraging departments across the College to adopt a three- or four-year cycle for the assessment of student learning outcomes. The assessment schedule for each department or program is included in this report ([Appendix 5.7](#)). In addition, the Baruch College assessment website hosts assessment tools, rubrics, and reports (sample rubrics and tools have been provided in [Appendix 5.8](#)). The Director of Academic Assessment is also working with all of the departments in the College that offer minors to finalize learning goals and begin assessing these goals by the 2015–16 academic year.

In Zicklin, all program goals are assessed on a three-year rotational cycle. The Director of the Zicklin Office of Assessment, Accreditation, and Program Learning manages the six BBA general learning goals assessments. Regular assessment of the seventh learning goal, proficiency in the discipline (i.e., assessment of the majors), is being conducted, with at least one round of assessment

of each major completed since the last reaccreditation visit. With the help of the Baruch College Office of Academic Assessment and the Zicklin Office of Assessment, Accreditation, and Program Learning, faculty develop assessment instruments based on established learning goals and carry out assessments within their respective departments.

All of the departments with majors in the Weissman School of Arts and Sciences have completed at least one full round of assessment. In addition, faculty in Weissman are responsible for the assessment of the College's new General Education curriculum under Pathways. Each of the eight Gen Ed content areas has been assessed by their respective departments ([Appendix 5.9](#)). Reports from these and other assessments are available on the College's internal Assessment Reports page ([Appendix 5.10](#)).

Assessment in the School of Public Affairs is organized and conducted by the SPA Learning Assessment Committee. Due to the unique organizational structure of the school, the committee is responsible for managing the assessment of each of the programs in SPA. This requires additional time for assessments to be completed. As was referenced in the recommendation responses in [Section 2C](#), SPA has completed two rounds of assessment for the MPA and has assessed its General Education course.

USING ASSESSMENT RESULTS (CLOSING THE LOOP)

There is an increasing awareness of the importance of using assessment results to improve programs, services, teaching, and learning. The following includes some of the ways faculty have drawn on assessment results, using them to prompt the review of learning goals, the implementation of new programs or courses, and curricular change.

Weissman School of Arts and Sciences

History

- Based on the perceived needs of the history department, assessments of history majors will be conducted every two years, beginning in the near future.
- Adjuncts will receive oversight and guidance in creating syllabuses, as well as information pertaining to the program's learning goals.
- Faculty members will use a database to record the learning goals of each of their 3000-level courses each semester in order to ensure that each learning goal is touched upon.
- The history major has been reorganized to represent six geographical areas.

Political Science

- The department submitted and received approval for adding a capstone course for majors. Prior to assessment, capstone courses only existed for minors.
- Raters asked to provide qualitative comments on student achievement of, or difficulty with, departmental learning goals, in addition to applying rubrics to student papers.
- The department may incorporate some of the General Education learning goals into its departmental learning goals.

Graphic Communication

- Drastically reworked learning goals, going from seven pre-assessment to four post-assessment. This served to streamline and better focus the specialization.

Zicklin School of Business

Communication Skills

- The Zicklin School of Business, in collaboration with the Writing Center, runs an annual workshop on ways to improve student writing and the quality of writing assignments ([Appendix 5.11](#)).
- As of Spring 2014, all entering Zicklin students are required to have taken both English 2150 and Communications 1010 before entering the program (previously, only one or the other was required). This is part of the ongoing efforts to improve students' communication skills.

CPA Exam

- In 2014, \$600,000 was donated to the Zicklin accountancy program, to be allocated over five years, providing students with the opportunity to participate in Becker's CPA test prep courses and improve CPA test results. The pass rate is expected to significantly improve from the current high rate of 49 percent as a result of this donation.

BBA Marketing

- In MKT 3000, students now must present a marketing plan, to emphasize learning goal 1, developing oral and written communication skills.
- MKT 5750 is now largely structured around cases, to emphasize learning goal 2, improving critical and analytical thinking.
- In the next assessment, students' marketing knowledge will be assessed with a marketing case, which will be part of the students' evaluation in MKT 5750.

MS Quantitative Methods and Modeling

- In response to poor assessment results in two learning goals areas, "operations research and mathematical modeling" and "statistics," instructors will provide individual and specific feedback to students on course assignments and spend more classroom time focused on these areas.
- Students are to be provided with more opportunities to write in the curriculum, as they were found to generally have weaknesses in written communication.

School of Public Affairs

MPA

- Active discussion of how the capstone course should be structured and how to develop a common set of learning goals.
- Proposal being developed to improve student writing across the MPA program, to be proposed in Spring 2015, and approved in Fall 2015 (“Writing Across the Curriculum”).
- Full-time Research & Analysis faculty have implemented new teaching strategies to strengthen students’ quantitative reasoning skills using quantitative literacy instruments. Also, trying to measure students’ attitudes and quantitative literacy / quantitative reasoning skills.

General Education

Baruch’s General Education assessments revealed that many of our students had trouble with critical thinking and communication. In response, the philosophy department developed an “Ethics and Critical Thinking” course; this course will be implemented in the Fall 2015 semester. The WSAS faculty has voted to add this course to the “Pre-Weissman Core” (along with our public speaking course and two foreign language courses) so that all WSAS majors will need to complete it before declaring their majors.

Additional examples of “closing the loop” at the College over the last several years are included in [Appendix 5.12](#).

SECTION 6: LINKED INSTITUTIONAL PLANNING AND BUDGETING PROCESS

OVERVIEW

Baruch College approaches planning and budgeting as joint processes, with an eye not just to our internal goals but to the goals we share with the City University of New York at large.

Much internal planning is now guided by Baruch College's five-year Strategic Plan ([Appendix 1.3](#)), which we adopted in Fall 2012 and launched January 2013; it runs through 2018. The Baruch College Strategic Plan 2013–2018 used as its data and analytic underpinning the self-study and subsequent report generated during our 2010 MSCHE reaccreditation review. Given how comprehensive and collaborative that process had been and the ongoing spirit of cooperation College-wide, there was a good deal of confidence that both the information and aspirations expressed therein had wide buy-in from the start. A strategic planning steering committee containing senior administrators, faculty, and students was convened and undertook the task of creating the plan during 2011–12. Consultation with various constituencies—including students, faculty, staff, and alumni and donors—was achieved both through formal governance bodies and via the wide electronic circulation of a draft plan for comment and subsequent open town hall–style meetings. Since its inception, the BCSP has guided College resource allocation decisions.

In addition, all of the schools have followed suit in developing and implementing their own strategic plans, linked to the overall goals identified in the College Strategic Plan ([Appendices 6.1, 6.2, and 6.3](#)). Baruch also developed formal planning documents relating to globalization and to information technology. Further, the College has a Master Plan for capital projects that provides the analytical support for state capital projects ([Appendix 6.6](#)). Interconnections among these planning documents are detailed in the “Linked Planning, Budgeting and Assessment: Integrated Processes” ([Appendix 6.7](#)).

In developing its Strategic Plan, Master Plan, and other planning documents, the College has been careful to align its expressed priorities with those of the City University of New York, as described in the CUNY Master Plan, which covers the period 2012–2016 ([Appendix 6.8](#)). In addition, the university and its constituent campuses engage in an annual goal-setting and assessment exercise called the Performance Management Process (PMP), which addresses enrollment, academic programs, and administrative management and also serves to provide direction to the College's planning efforts. Baruch's institutional planning within the PMP framework takes place at a university level as well as a college level. Goals and targets for each can be found in [Appendix 6.9](#).

BARUCH COLLEGE STRATEGIC PLAN 2013–2018

Budget Planning and Strategic Plan Implementation

Our fiscal year begins July 1, and budget planning for the upcoming fiscal year begins in early winter. We solicit requests and then hold divisional meetings in early winter to review requests and make preliminary decisions, which are adjusted when we receive the budget allocation from CUNY in late spring.

As described in [Section 4](#), the CUNY Compact is the primary source of funding for new initiatives. During the budget planning cycle for FY14, we asked that all budget requests for new funds identify a link to the Strategic Plan, and those requests that established such a linkage were given priority for

new funds. For example, we directed Compact funds to the support of a multi-year effort to increase the number of full-time faculty; to global initiatives; to the Center for Teaching and Learning (CTL); to academic support for students; and to various forms of faculty support—all important Strategic Plan goals.

Strategic Plan initiatives direct other budget decisions as well. For instance, our interim pedestrian plaza on East 25th Street, an important plan milestone, opened in December 2012, with FY14 Compact funds set aside for its maintenance and operation. Additionally, a Presidential Strategic Plan fund was created to provide funds for strategically aligned but unforeseen opportunities during the course of the year. All of these allocations are base-lined, representing a permanent budget from Compact funds towards the advancement of the Strategic Plan.

In FY 2015, we took further measures toward Strategic Plan–based budgeting by requiring all requests for new full-time hires and all replacement hires, not just Compact requests, to identify any and all relevant links to the Strategic Plan. (See attached new Recruitment Authorization Form, [Appendix 6.10.](#))

To demonstrate our continuing use of the Compact to support new Strategic Plan initiatives, we offer here two examples of the connection between the Strategic Plan and such allocations. Since a key goal identified in the Strategic Plan challenges us to expand Baruch’s capacity for and participation in online education, we are using Compact monies to fund the Center for Teaching and Learning, which provides support to faculty developing online courses. Secondly, we supported our diversity goals by increasing funding for additional staff and programming through the Office of Diversity, Compliance, and Equity Initiatives.

Like other colleges, we appreciate the value of “big data” analytics to improve institutional effectiveness. To that end, we have invested in developing these data-mining tools so that we can realize the full range of possibilities presented by the CUNYfirst data to assess our operations and sharpen our strategic planning. In FY14 and FY15, we hired a consultant to assist us in creating reports tools. To cover this budget expense, in FY14 we reallocated funds from all departments’ base budgets, and in FY15 we have base-lined this funding through a Compact allocation. Additionally, we have provided an allocation for development of an executive dashboard using CUNYfirst enrollment, faculty workload, and registration information.

As has been mentioned recurrently, one of the challenges that we face is declining graduate enrollment and the resulting financial impact. In FY14, we used the newly available CUNYfirst tuition data to create an improved tool for tuition revenue analysis and projections, enhancing our ability to do financial and enrollment planning. Starting Fall 2015, our graduate program directors will use this tool to meet the enrollment and tuition revenue targets.

Philanthropy

The College has always linked its institutional goals with its fundraising efforts and leveraged public funds with private dollars. The Strategic Plan has been an important tool in identifying our priorities to prospective donors and has yielded significant results, including the completion of a \$150 million campaign in June of 2013 (closing over goal at \$157 million). Among the many examples of targeted fundraising since then is the aforementioned 25th Street Plaza, funded by a combination of capital funds from CUNY, private funds from donors, and operating funds from the Compact. Very soon

the College will launch a mini-campaign to raise scholarship funds, both to enhance our ability to attract the most competitive students and to increase support for economically challenged students in support of our historic mission. Overall, philanthropy funds have been strategically used to attract faculty and enhance the academic quality of our programs. See [Section 4](#) for further details about philanthropy.

Other Linked Strategic Planning and Budgeting Efforts, Including Developing New Funding Streams

One of the five pillars of our Strategic Plan is to “strengthen financial foundation and infrastructure.” This includes identifying alternative revenue sources that could be used to enhance our operations and reduce our dependence on legislative funding while maintaining support for a rational tuition policy of modest yearly tuition increases. Recognizing that the five years of tuition increases are coming to a conclusion in FY16, the College has been actively pursuing this aspect of the Strategic Plan, since we would not be able to complete other Strategic Plan goals without them. Philanthropy is a strong part of this effort but not the only College strategy. Below are the other alternative sources of revenue and the budget plans that have been developed around them:

- Academic Excellence Fee and Differential Tuition: Recognizing the need to support quality graduate education programs via the requisite support for students, the College obtained CUNY Board of Trustees approval in FY12 to collect an academic excellence fee for graduate programs in Zicklin and SPA and the financial engineering program in Weissman. SPA also received authorization to charge differential tuition in the MPA program and in FY14 a Board of Trustees resolution allowed for an academic excellence fee in that program. These fees have supported graduate assistantships; career service resources like special speakers, events, and experiences; and other initiatives focused on increasing the quality of the MPA program.
- CUNY Investment in Baruch: In FY11, Baruch was successful in persuading CUNY to increase our base budget allocation so we could maintain the academic excellence of Baruch’s Zicklin School of Business and our ability to attract high-quality faculty and students. The \$7.8 million in base tax-levy budget we received went to three main areas: 1) 29 new faculty lines; 2) necessary summer support for that faculty; and 3) 17 additional staff lines to provide direct student services. A comprehensive staffing plan was developed in a consultative process among the Provost, Deans, and Student Affairs in Spring 2012. It is now fully implemented.
- Executive Programs: The College has a number of executive programs. They are important part of our overall offerings and also an alternative revenue stream. We are in the process of a major evaluation of those programs to ensure they are financially viable and sufficiently responsive to the marketplace. The program fees are used to fund the expense as well as provide support for other College strategic initiatives.
- Energy Savings Initiatives: Beginning in FY13, we were allocated a budget for energy expenses; prior to that time, energy expenses were managed by CUNY Central. CUNY base-lined a \$6.8 million allocation using historical averages. We were permitted to retain any savings achieved. Conversely, we had to cover any overages. We developed a plan that was a mixture of education, facilities management, and strategic investments (LED lights,

steamtrap replacement, motion sensors) that would result in an energy savings return on investment. See [Section 5](#) for further discussion of sustainability initiatives.

- **Coordinated Undergraduate Education (CUE) Funding:** CUNY provides these discretionary funds for specific purposes based on the number of student FTEs (75%) and whether the College met the goals we designated as part of the yearly application process. While these funds represent only a small portion of the overall budget and are not representative of our larger planning processes, they do support important Strategic Plan initiatives like easing transfer (for example, through support of the Transfer Center and Orientations), improving retention (the Immersion and SEEK programs), and enhancing student services (the Writing Center). [Appendix 6.11](#) details institutional priorities for CUE funding in 2013–14; it also documents CUE-funded activities and reports on related progress towards goals. Goals for 2014–15 are detailed in [Appendix 6.12](#).
- **Student Building Fund:** We identified a critical need for increased space dedicated to student extracurricular life, an important aspect of student engagement for our commuter college. In FY11, the undergraduate students voted to implement a dedicated student fee towards acquiring a student center. The funds have been supplemented by a \$3 million donor gift and a committee of faculty, staff, and student elected leaders is charged with authority to allocate the funds when an appropriate space is located.

CAPITAL MASTER PLAN AMENDMENT (2008)

In [Section 4](#) we stated that the College pays for capital projects from both state and city funds, except in rare instances, like the Plaza. All projects flow from a Capital Master Plan, developed in conjunction with CUNY. The 1986 Capital Master Plan recognized the need to consolidate the College facilities out of leased space into owned buildings and the creation of the North and South Campuses connected along Lexington Avenue. The North Campus plan (the creation of the Newman Vertical Campus, the Newman Library, and the Information & Technology buildings) was completed in 2001. Additionally, there was a partial renovation of buildings (Administration Building/Steven L. Newman Hall) on the South Campus.

The original plan called for the renovation of the Field Building, also located on the South Campus, but only a few modest renovations were completed. The 2008 Plan Amendment ([Appendix 6.6](#)) identified the need to do a complete renovation of this building and use the opportunities presented to meet the College's severe space shortage. The recommendations in this plan formed the basis for a \$210 million capital budget request. Using an initial allocation of around \$60 million, an overall schematic plan for the building's renovation was developed and the design process was completed for what was identified as Phase 1A. In 2013, we received an additional \$30 million in capital funds. The design was expanded to include all of the infrastructure work necessary. Construction will start in 2016 and is expected to last 30 months. The planning is managed by the CUNY Central Office in close partnership with the College. We meet bi-monthly with the architect, construction manager, and CUNY project managers and engineers.

Although the Field Building is the major focus of the Capital Master Plan, there are other needs that have been identified and form the basis for our capital budget requests and local facilities planning. While the CMP did not discuss the library, the College recognized the necessity of an analysis of the library space in light of current user needs. To that end, we requested and received funding for

development of a library master plan, which could then be used as the basis for soliciting further capital funds and donor funds. That plan is currently in the design phase.

While the College is fortunate to be situated in an attractive area of Manhattan that is well served by public transportation, the opportunity to secure additional space nearby competes with extraordinary demand for high-end housing, technology sector space, and retail that is emerging within the 23rd Street corridor.

CONCLUSION

Baruch College continues to invest in continuous improvement of processes key to its mission and strategic planning objectives. To review tangible actions that support the activation of Baruch College's vision through its strategic plan:

Commitment to Continuous Improvement

- Appointment of Special Assistant to the President for Organizational Effectiveness and subsequent training of College staff
- Development of Cross-Border Teams as an organizational structure to coordinate efforts across the College
- Hiring of new or replacement faculty and staff positions with evidence of alignment with strategic priorities
- Addressing our 52 self-recommendations for improvement as part of the MSCHE Periodic Review Report

Investing in New Initiatives Aligned to our Goals

- Hiring of full-time learning assessment professionals by the College and two of the Schools
- Development of Faculty Diversity Strategic Plan, with annual progress reports
- Establishment and funding of the Center for Teaching and Learning to promote development of online course development
- Implementation of a Global Strategic Plan for Baruch with tangible goals and budget
- Reorganization of the Division of Student Affairs to improve alignment with the academic program

Baruch believes that New Yorkers with the academic aptitude to excel should be provided educational opportunities that challenge them to do their best. We remain firm in our conviction to provide a second point of entry to our academically elite environment by admitting many undergraduates as transfer students. Recent immigrants who are English language learners, graduates of underresourced high schools, and students who may have initially lacked the maturity to focus on their studies have this "second chance" to access Baruch solely on the basis of their community

college performance. Several thousand students do this every year. Providing this opportunity is a manifestation of our mission.

Our sources of public funding from both the city and state and our membership within a multifaceted university system are both gifts and tasks. New Yorkers continue to support higher education more generously than most, and the bureaucracy that has developed to guide decisions within CUNY can be challenging to navigate. Nevertheless, we are committed to the discovery of new knowledge through research, to the education of students, and to the opportunities that effective public higher education can provide.

We are convinced that we meet the standards of the Middle States Commission on Higher Education. We believe that we have demonstrated that we deploy our financial resources consistent with our mission, vision, and strategic priorities. Finally, we have provided evidence that our faculty, curricula, and programs are capable of meeting our stated learning goals for the population of students whom we recruit, enroll, and educate.