



INSTITUTIONAL SELF-STUDY

PRESENTED TO THE
MIDDLE STATES COMMISSION
ON HIGHER EDUCATION

2024



Stony Brook
University

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Acronyms

Acronym	Description	Acronym	Description
AAU	Association of American Universities	GEAC	General Education Advisory Committee
ACE	Accelerated College Education (dual enrollment program)	GSO	Graduate Student Organization
AGEP	Alliance of Graduate Education and the Professoriate	IDC	Indirect Costs
ARC	Administrative Review Committee (University Senate)	IDEA	Inclusion, Diversity, Equity & Access (fellows)
ASCC	Arts and Sciences Curriculum Committee	IFR	Income Fund Reimbursable (account)
ATR	Authorization to Recruit (process)	IPEDS	Integrated Postsecondary Education System
BFP&A	Budget, Planning & Financial Analysis, Office of	IRPE	Institutional Research, Planning & Effectiveness, Office of
BNL	Brookhaven National Laboratory	ISPC	Information Security Program Council
BOT	Board of Trustees (SUNY)	MART	Medical and Research Translation facility
BPC	Budget Planning Committee	MSCHE	Middle States Commission on Higher Education
CAPRA	Committee on Academic Planning & Resource Allocation (University Senate)	NCAA	National Collegiate Athletics Association
CAPS	Counseling and Psychological Services	NSSE	National Survey of Student Engagement
CAS	College of Arts & Sciences	NYSED	New York State Department of Education
CBM	Campus Budget Module	OAA	Office of Academic Assessment (discontinued)
CDO	Chief Diversity Officer	OEA	Office of Equity and Access
CEAS	College of Engineering & Applied Sciences	OEE	Office of Educational Effectiveness
CELT	Center for Excellence in Learning and Teaching	OGA	Office of Global Affairs
CIE	Center for Inclusive Education	OVPR	Office of the Vice President for Research
COACHE	Collaborative on Academic Careers in Higher Education (faculty survey)	PACE	Pre-Medical Access to the Clinical Experience
COB	College of Business	RF	Research Foundation of the State Univ. of New York
CPO	Center for Prevention and Outreach	RHA	Residence Hall Association
CRAFT	Communication, Research, Assessment, Fundraising, and Technology (Student Affairs)	RSOM	Renaissance School of Medicine
CSI	Contractual Salary Increase	SBC	Stony Brook Curriculum (general education)
DEC	Diversified Education Curriculum (general education prior to 2014)	SBET	Strategic Budget Executive Team
DEI	Diversity, equity, and inclusion	SBI	Strategic Budget Initiative
DGC	Data Governance Council	SBM	Stony Brook Medicine
DI3	Diversity, Inclusion, and Intercultural Initiatives, Office of	SBU	Stony Brook University
DICE	Diversity, Intercultural and Community Engagement, Department of	SDM	School of Dental Medicine
DoIT	Division of Information Technology	SEA	Student Engagement and Activities, Department of
EOP/AIM	Educational Opportunity Program / Advancement on Individual Merit	SET	Senior Executive Team
ERP	Enterprise Resource Planning system	SHP	School of Health Professions
FSA	Faculty Student Association	SoCJ	School of Communication & Journalism
FY	Fiscal Year (July 1 - June 30)	SOMAS	School of Marine & Atmospheric Sciences
GASB	Governmental Accounting Standards Board	SON	School of Nursing
		SPD	School of Professional Development
		SSW	School of Social Welfare
		SUNY	State University of New York
		SUTRA	State University Tuition Reimbursement Account
		USG	Undergraduate Student Government
		WISE	Women in Science and Engineering program



EXECUTIVE SUMMARY

Executive Summary

Stony Brook University's self-study to reaffirm its institutional accreditation from the Middle States Commission on Higher Education (MSCHE) shows how the University meets all accreditation requirements and also identifies ways to improve operations to reach higher levels of excellence.

About Stony Brook University

Stony Brook University is a leading public research university and a flagship of the State University of New York (SUNY). The University serves 26,000 students and employs over 16,000 faculty and staff in its twelve colleges and schools, its health system, and its research enterprise. Each year, the University conducts over \$300 million in research; the health system serves over 100,000 patients, and the overall organization produces an economic impact of over \$7 billion.

Since MSCHE reaffirmed Stony Brook's institutional accreditation in 2014, the University has addressed recommendations from the MSCHE site visit team to increase access for Black or African American students and formalize assessment processes. Moreover, over the past decade with the last four years under the leadership of President Maurie McInnis, the University has realized historic accomplishments including:

- Recognition as a top university in the United States for improving social mobility, and increasing enrollment of Pell grant students by over 1,300;
- Raising the 4-year graduation rate by 17 percentage points, while keeping equity gaps closed and improving time-to-degree and graduation rates among graduate students
- Designation by Governor Kathy Hochul as a flagship of the State University of New York;
- Selection as the anchor institution for the New York Climate Exchange, a global hub for climate

solutions advanced by the City of New York and the Trust for Governors Island;

- Receiving the \$500 million Infinity Investment from the Simons Foundation, the largest unrestricted gift ever made to a college or university.

The launch of Stony Brook's new, collaboratively developed strategic plan, *Our Moment*, positions the University to capitalize on recent successes and advance its vision to achieve transformative impact by driving innovation and inclusive excellence in education, research, health care, economic and cultural development, and social mobility.

The Self-Study Process

Since the self-study process began in fall 2021, over a hundred faculty, staff, and students across the University have directly engaged in active examination of how the University operates. The self-study team adopted a standards-based approach to specifically focus on each of the seven areas in the MSCHE *Standards for Accreditation* (13th ed.). The team organized itself into seven work groups of 12-15 people from representative areas of the University, including students; one faculty member and one administrator co-chaired each work group. A Steering Committee overseeing the process included the fourteen work group co-chairs, ten additional staff, students and leaders, and a self-study leadership team, consisting of a Professor of Physics & Astronomy, the Director of Health Sciences Academic Support, and the Vice President for Educational and Institutional Effectiveness.

Throughout the process, these groups provided regular updates and reports to the campus community including over a dozen in-person and virtual presentations with opportunities for input and feedback. Deliberate overlap between self-study participants and strategic planning processes informed development of the strategic plan. Overall, the process has been inclusive, comprehensive, and deliberate, resulting in a wide-ranging self-study document that showcases how and why Stony Brook is so effective at carrying out its mission and recommends ways in which the University might advance its record of success.

The self-study placed particular emphasis on four institutional priorities: student success; research and

innovation; financial sustainability; and diversity, equity and inclusion. These priorities offered avenues through which work groups approached standards. These institutional priorities examined in the self-study align substantially with values and priorities that emerged during the University strategic planning process that was carried out during the same time period.

Organization of the Self-Study

In addition to this executive summary, the self-study is framed by introductory material that offers a more detailed overview of the University and a conclusion that summarizes findings and recommendations. Seven chapters comprise the body of the self-study and address each respective standard of accreditation, plus selected requirements of affiliation:

Chapter 1 examines the University's mission and goals in the context of global operations and strategic planning processes. The chapter showcases successes accomplished from strategic planning in the 2010s and how the University's new strategic plan *Our Moment* was collaboratively developed and will guide the University for the next five years. The chapter concludes by identifying opportunities to better communicate progress and accomplishments related to the strategic plan.

Chapter 2 presents the University's policies and practices to ensure ethics and integrity with a focus on promoting a welcoming environment in which all students, faculty, and staff can thrive. The chapter concludes by identifying opportunities to evaluate the placement and scope of the University Ethics Officers, consolidate information about grievance procedures, and continue to promote equity and inclusion to foster a welcoming campus climate.

Chapter 3 discusses the high quality of the learning experience at Stony Brook, including the University's highly effective faculty, deliberate design and delivery of curriculum, an improved general education experience, and world-class graduate education that fosters research and scholarship. The chapter concludes by identifying opportunities to increase the number and diversity of talented faculty members, to monitor alignment of general education with new requirements from SUNY, and to enhance transparency and organization of academic policies and procedures.

Chapter 4 discusses how the University supports the student experience and raised the graduation rate by 17 percentage points over the past decade through a focus on student success. The chapter also discusses the importance and impact of co-curricular aspects of the student experience. The chapter concludes by identifying opportunities to extend improvements in graduation rates through the reinstated Student Success Team, extending systematized transfer equivalency to international students, and examining and enhancing academic advising.

Chapter 5 discusses the development and reinforcement of academic assessment, including a new Office of Educational Effectiveness to evaluate how well students accomplish outcomes established by the faculty as well as how that information is used to make improvements. The chapter concludes by identifying opportunities to extend efforts to provide helpful feedback to programs, continue formalization of roles and cyclical processes, and examine how assessment results can more often inform resource allocation.

Chapter 6 discusses planning and resource allocation processes including capital and facilities planning, financial budgeting and improvement processes, and resources supporting operations. The chapter concludes by identifying opportunities to ensure financial resources allow the University to add and retain faculty and staff to achieve ratios closer to the median of the public AAU, and to explore development of a resource allocation model that is more predictable and aligned with the goals of the new strategic plan. As a flagship, Stony Brook should not rely solely upon the SUNY system-level external audit but also pursue campus-level auditable financial statements.

Chapter 7 discusses governance and administration, including the University's various governing and decision-making structures, policies, and leadership. The chapter identifies opportunities to fully realize its new identity as a flagship as a leader in the SUNY system, to establish a consistent chairperson review policy, to continue to improve governance and communication.

An inventory of evidence accompanies the self-study to document findings.



INTRODUCTION

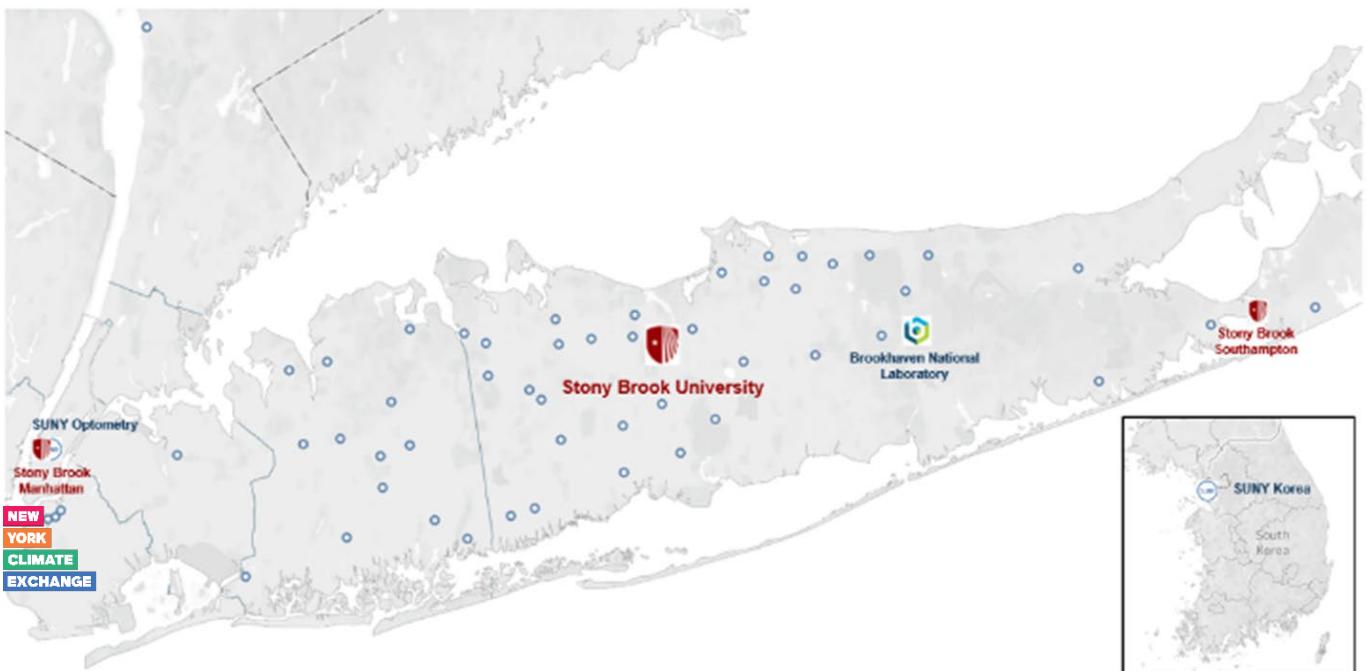
Introduction

From its modest beginnings in 1957 as a teacher’s college in Oyster Bay, Stony Brook University has grown to become one of the world’s leading research universities and a flagship of the State University of New York (SUNY). Stony Brook fulfills its mission by delivering world-class educational programs, cutting-edge research and intellectual endeavors, and innovative patient-centered health care. The University is a leading contributor to economic growth, technology, and culture for communities on Long Island and the wider geographic region. The University celebrates diversity in all its forms, seeking to elevate traditionally underserved populations and position the University in the global community.

RA1 *The institution is authorized or licensed to operate as a postsecondary educational institution and to award postsecondary degrees; it provides written documentation demonstrating both. Authorization or licensure is from an appropriate governmental organization or agency within the Middle States region.*

With an enrollment of almost 26,000 students and more than 16,000 faculty and staff members, Stony Brook is the top-ranked public university in the State of New York and an unparalleled engine of social mobility for citizens of the state and the country. Situated on over 1,400 acres on the north shore of Long Island, the campus boasts more than 220 buildings, including a sizeable presence on the eastern end of Long Island in Southampton, as well as additional locations in Manhattan and dozens of instructional sites across Long Island. Stony Brook University maintains a prominent global footprint with internationally recognized research centers in Kenya and Madagascar, and administers the SUNY Korea campus in Incheon, South Korea.

Since 1998, Stony Brook has co-managed the U.S. Department of Energy’s Brookhaven National Laboratory (BNL). The University maintains 100 joint faculty appointments with BNL, extending significant opportunities for research collaboration and educational opportunities for students at all levels. Faculty in Stony Brook’s Physics and Astronomy Department conduct over \$25 million of research annually in part because of access to BNL resources. Dozens of undergraduates participate in summer internships and learning experience at BNL. More than 60 graduate students receive stipends from BNL for conducting research sponsored by the Dept. of Energy,



and since 2015, over 40 of these have gone on to postdoctoral positions at BNL.

Overall, the University conducts \$325 million of research annually, with particular strengths in physics and energy research, marine and atmospheric sciences, and medical fields including research on cancer, aging, and children’s health. Because of its prominence in research excellence, the University was invited to join the American Association of Universities (AAU) in 2001.

**Units with More Than \$5M
R&D Expenditures in 2022-23**



Stony Brook University offers a comprehensive range of academic programs across a broad array of disciplines, providing students with

RA2 *The institution is operational, with students actively enrolled in its degree programs.*

diverse and engaging learning opportunities. The West Campus under academic leadership of the Executive Vice President and Provost houses six academic Schools and Colleges, the Graduate School, and numerous Centers and Institutes; the East Campus under academic leadership of the Executive Vice President of Health Sciences houses five academic Schools and a Program in Public Health. Collectively through these units, the University offers more than 60 undergraduate majors as well as more than 130 graduate programs, including doctoral and professional programs. The university also offers a variety of online and distance learning options, enabling students to access

educational resources from anywhere in the world. With such a vast array of academic offerings, Stony Brook University is committed to providing students with a world-class education that prepares them for success in their future careers.

Over the past decade, Stony Brook has become a national leader in improving student success by raising the four-year graduation rate for entering first-year undergraduates by 17 percentage points from 47 percent to 64 percent, and improving time to degree at all degree levels. Stony Brook is one of the rare institutions among the AAU where gaps in equity are closed – at Stony Brook, students with Pell grants graduate at the same rates as those from more affluent backgrounds; students who identify as Black and Latinx graduate at the same rate as white students, and students who are the first in their families to go to college graduate at the same rate as those with a long family tradition of pursuing higher education. Stony Brook is one of just a handful of elite institutions that have markedly expanded economic access, having added over 1,300 Pell grant recipients to overall enrollment over the last decade.

This success within the University translates to success in students’ lives and careers after they graduate. In the year immediately following graduation, 95% of bachelor’s degree recipients are employed or pursuing further study; within 5 years, almost 50% have enrolled in further study. Among bachelor’s degree recipients, just 41% borrow

Fall 2023 Distinct Headcount Enrollment

(inclusion of double majors and dual degree programs causes the sum of all units to exceed the grand total)

	UG	GR	Total
West Campus			
Arts & Sci, College of	10,790	1,694	12,484
Business, College of	1,434	498	1,932
Comm. & Journalism, Sch. of	294	37	331
Eng. & Appl. Sci., College of	3,740	1,604	5,344
Marine & Atm. Sci., Sch. of	643	149	792
Professional Dev., Sch. of		1,245	1,245
Other West Campus Programs	195	267	462
East Campus			
Dental Medicine, School of		204	204
Health Professions, School of	552	599	1,151
Medicine, Renaissance Sch. of		718	718
Nursing, School of	288	682	970
Social Welfare, School of	93	536	629
Other East Campus Programs		235	235
Grand Total	17,549	8,316	25,865

Fall 2023 Headcount Enrollment in Largest Academic Programs

Bachelor's Degree Programs	N	Master's Degree Programs	N	Doctoral Degree Programs*	N
Biology	2,317	Nursing (various)	609	Medicine (MD)	544
Psychology	2,022	Social Work	533	Computer Science	246
Health Science	1,543	Computer Science	390	Physical Therapy (DPT)	221
Business Management	1,434	Business Administration	238	Physics	182
Computer Science	1,129	Human Resource Mgt.	230	Dentistry (DDS)	180
General	820	Computer Engineering	139	Chemistry	157
Economics	752	Physician Assistant	136	Music Performance (DMA)	157
Applied Math & Stat.	636	Occupational Therapy	120	Applied Math & Stat.	129
Biochemistry	557	Liberal Studies	116	Electrical Engineering	81
Mathematics	507	Higher Ed. Admin.	106	Mathematics	70
Political Science	436	Health Administration	96	Materials Sci. & Eng.	63
Mechanical Eng.	382	Finance	84	Biomedical Engineering	62
Sociology	303	Applied Math & Stat.	76	Molecular & Cell. Bio.	57
Nursing	288	Public Health	70	History	53

* PhD program unless noted.

educational loans at any point in their undergraduate career, and average loan debt is just \$22,700, well below the national average. Ten years after graduation, the average annual salary of a Stony Brook bachelor's degree recipient approaches \$85,000, and these results are the same for students who enter from disadvantaged socioeconomic backgrounds as for those from more affluent circumstances. These remarkable results prompted Raj Chetty's team at the Stanford Center for Poverty and Inequality to rank Stony Brook #3 in the United States for improving the social mobility of students. Almost 8,000 individuals complete a degree or certificate each year at Stony Brook, and collectively, Stony Brook's alumni contribute over \$36 billion annually to economic impact worldwide. Across all colleges and universities in New York State Stony Brook ranks #1 for the number of degrees awarded in mathematics, #1 in physical sciences, #2 in medicine and health fields, and #2 in biological sciences.

Stony Brook's long-standing commitment to academic excellence is reflected in its status as a member of the AAU, which is a direct result of the quality of its faculty. Stony Brook employs more than 3,000 faculty members who teach, conduct research, serve the public, and deliver exemplary and compassionate health care. Ninety-eight percent of Stony Brook's tenured and tenure-track faculty hold doctoral or terminal degrees in their fields, and just over 90% of all full-time instructional faculty, regardless of

tenure status, hold doctorate or terminal degrees. The university's instructional faculty have collectively received more than 2,500 national, international and disciplinary

awards, honors, and fellowships; thirteen are members of national academies; and eight faculty members have won or participated on teams that won a Nobel Prize. Stony Brook ranks 42 out of 146 R1 universities in the United States for the number of awards per tenured and tenure track faculty member. The student-to-faculty ratio at Stony Brook is 19:1, which is consistent with other public universities in the AAU.

Stony Brook's excellence ranges across the disciplinary spectrum in education and research. U.S. News and World Report ranks Stony Brook among the top 50 in the country in over 20 disciplinary areas. Among those in the top 25 are Clinical Psychology (#3), Nuclear Physics (#3), Nursing Education Online (#7), Nursing Online (#8), Geometry (#9), Topology (#12), Algebra (#17), Political Methodology (#18), Physics (#21), and American Politics (#24). Over fifteen units conducted \$5 million or more in sponsored research and development in 2022-23.

Stony Brook Medicine is the premier academic healthcare system of Stony Brook University, providing high-quality, patient-centered care to 2.8 million residents on Long Island and beyond. The system includes a four-hospital network spanning all of Suffolk County, more than 1,400

physicians in nearly 150 specialties, a 350-bed skilled nursing facility for veterans, a cancer center, heart institute, neurosciences institute, trauma center and 216 community-based ambulatory healthcare locations. Stony Brook Medicine is also home to more than 100 research labs and is involved in nearly 100 clinical research trials, advancing medical knowledge and improving patient outcomes. Stony Brook's Renaissance School of Medicine and four other Health Sciences schools operate in synergy with the healthcare system.

Embracing a vibrant tapestry of cultures, perspectives, and backgrounds, Stony Brook University takes immense pride in celebrating diversity as a cornerstone of its institutional ethos. In 2020, *USA Today* ranked Stony Brook #9 in the country for campus diversity, and *US News & World Report* regularly ranks Stony Brook among the top national universities for diversity and social mobility. Stony Brook's University Hospital is among the first eight hospitals in the United States to attain the Health Care Equity Certification from The Joint Commission. By championing diversity, Stony Brook creates a dynamic and supportive community that prepares graduates to thrive in an interconnected world and shape a more equitable and inclusive society.

The University gives back to its community in numerous ways. On the macro-level, the annual economic impact of the University on Long Island is \$9 billion. Numerous initiatives and partnerships with local groups and organizations bring the University and its resources into communities. For example, in November 2023 the Renaissance School of Medicine Black Men in White Coats chapter hosted more than 500 K-12 students, educators, parents, college students, healthcare professionals and community leaders at a summit to advance diversity and representation in healthcare. The University Libraries through the Ready For Success Information Literacy Project has partnered with Brentwood High School since 2021 to improve college and workforce research skills in their students. And in 2023, the University re-instituted the first Communiversity Day since the onset of COVID-19 to bring 2,000 community members on to campus to a festival style event that show cases University offices and departments in hands-on participatory learning about nature, safety, technology, food, and music.

Stony Brook is governed by the SUNY Board of Trustees, with local supervision on affairs such as presidential searches and naming buildings and grounds by the Stony Brook Council. The research enterprise is carried out in conjunction with the SUNY Research Foundation, a non-profit organization that facilitates administration of sponsored projects.

Developments since the 2014 self-study

Over the past decade, Stony Brook has overcome numerous external challenges to not only address recommendations from the last self-study process, but also to realize historic and unprecedented accomplishments.

Between 2007 and 2023, the University navigated an environment of fiscal austerity in which the State of New York reduced state tax support by almost 50% on an inflation-adjusted basis, while the state simultaneously discontinued its practice of funding contractual salary increases (CSIs) negotiated at the state level. In-state undergraduate tuition was frozen for five years, and Stony Brook's required fees were held below levels at the University of Buffalo despite higher costs on Long Island. These fiscal pressures prompted periods where hiring replacement faculty and staff was paused, and these pauses led at times to increased workload and erosion of improvements in the student-faculty ratio realized through 2016, so that in 2023-24, the student faculty ratio and student-staff ratio look very much like they did in 2013-14 during the last MSCHE site visit.

The COVID-19 global pandemic that shuttered campus operations along with the rest of the global economy in spring 2020 posed not only operational and financial challenges, but also fundamentally altered the mix of out-of-state and international students willing to come to New York to pursue higher education. Beyond the additional financial pressures of this reality, the cultural shift to greater expectations for remote work, remote learning, and remote interactions has challenged the University's model for community building that historically has relied upon creating community by bringing people together physically.

The external environment at the national and state levels over the past ten years has been turbulent. A series of

high-profile and tragic civil rights violations ranging from the 2014 killing of Michael Brown in Ferguson, Missouri to the 2020 murder of George Floyd in Minneapolis, Minnesota, prompted collective outrage and emotional exhaustion in the University's communities of color. Immigration policies implemented in 2017 distressed the entire community, following detention of several Stony Brook students at airports, and geopolitical tensions between the United States and China have made the U.S. less welcoming to Chinese students and scholars. Political instability and a global loss of faith in leaders and institutions are highlighted by wars in Ukraine and the Middle East as well as the armed insurrection at the U.S. Capitol on January 6, 2023. New York saw a gubernatorial resignation in 2021, and the SUNY system itself has employed four different permanent Chancellors since 2017 (Nancy Zimpher 2009-17, Kristina Johnson 2017-20, Jim Malatras 2020-22, John B. King, Jr. 2023-present).

Finally, a change in campus Presidents during the onset of the pandemic has led to significant transition among senior leadership. Former President Stanley announced he was stepping down in spring 2019 to assume the role of president at Michigan State University. Provost Michael Bernstein served as Interim President from July 1, 2019 to June 30, 2020. Maurie McInnis was named as Stony Brook's Sixth President in March 2020 and participated in planning decisions even before she assumed the Presidency on July 1, 2020. In her three and a half years in role, President McInnis has assembled a highly qualified, energetic, and results-oriented leadership team.

Entering the 2023-24 Academic Year, Stony Brook is in a stronger position than ever. While many universities have struggled with enrollment challenges, Stony Brook's enrollment remains near its pre-pandemic high and plans to grow modestly over the next five years, with a goal to extend gains in graduation rates while keeping equity gaps closed.

Governor Kathy Hochul has supported Stony Brook by designating the University as a flagship institution and highlighting the University's key role to drive research for the State of New York. The New York State Budget for the first time in over a decade has provided additional operational support along with significantly increased capital support, and the SUNY Board of Trustees has

offered more flexibility to the flagship institutions for graduate and out-of-state tuition rates.

In 2023 following an international competition, Stony Brook was selected to serve as the anchor institution for the development of the New York Climate Exchange on Governors Island in the harbor between Manhattan and Brooklyn. The Exchange will be a first-of-its kind international center for developing and deploying dynamic solutions to the global climate crisis, while also acting as a hub for New Yorkers to benefit from the rapidly evolving green economy. The New York Climate Exchange will convene the top minds on climate science, environmental justice and policy to experiment, discover, and lead the way in the global response to climate change. Core partners include BCG, IBM, the Georgia Institute of Technology, the University of Washington, Pace University, Pratt, and Good Old Lower East Side.

Also in 2023, the University received a historic and transformational \$500 million gift from the Simons Foundation – the largest-ever unrestricted endowment gift made to a U.S. institution of higher education. The gift is called the Simons Infinity Investment to convey the enduring impact and the ongoing support of the Simons Foundation and its co-founders and co-chairs, Jim and Marilyn Simons, to Stony Brook University. The gift is intentionally structured to capitalize on the endowment matching program that was championed by Governor Hochul in the recently passed state budget, so that New York State will match the first \$200 million of the Simons Foundation gift with an additional \$100 million for Stony Brook's endowment. This gift will play a foundational role in further strengthening Stony Brook's core mission and its ability to achieve its bold vision outlined in its forthcoming university strategic plan.



Aerial View of the Exchange. Credit: © SOM | Brick Visual



**STANDARD I:
MISSION AND GOALS**

Standard 1: Mission and Goals

“The institution’s mission defines its purpose within the context of higher education, the students it serves, and what it intends to accomplish. The institution’s stated goals are clearly linked to its mission and specify how the institution fulfills its mission.”

Overview

This chapter demonstrates how Stony Brook University’s mission and strategic planning have set ambitious and meaningful goals to achieve transformative impact by driving innovation and inclusive excellence in all university endeavors. Stony Brook University’s meteoric rise from its founding in 1957 as a college to prepare teachers for the Long Island region to a leading global research university and one of the two flagships of the SUNY system has been guided by its bold mission. This mission has five goals:

- to provide comprehensive undergraduate, graduate, and professional education of the highest quality;
- to carry out research and intellectual endeavors of the highest international standards that advance knowledge and have immediate or long-range practical significance;
- to provide leadership for economic growth, technology, and culture for neighboring communities and the wider geographic region;
- to provide state-of-the-art innovative health care, while serving as a resource to a regional health care network and to the traditionally underserved;
- to fulfill these objectives while celebrating diversity and positioning the University in the global community.¹

RA7 *the institution has a mission statement and related goals, approved by its governing board, that defines its purposes within the context of higher education.*

These five goals of the mission serve as beacons for excellence and guide all critical activities at Stony Brook. In addition, they served as foundational principles in the

development and implementation of the University’s last strategic plan (2013-18), a large-scale intermediary Strategic Budgeting Initiative in 2020-22, and the development and deployment of the ambitious goals for the future set forth in the University’s new strategic plan *Our Moment*.

During 2023-24, units on campus are aligning their planning documents with the priorities and objectives of *Our Moment*, and an annual action plan is under development.

Evidence of Compliance

Clearly Defined Mission and Goals

1.1 *an institution has ... a clearly defined mission and goals that*

1.1b *address external as well as internal contexts and constituencies.*

Stony Brook’s mission and its five goals set the course for the University to realize its tremendous successes over the past decade. The University’s mission, goals, and strategic plans address internal and external contexts. They are informed by values to

support and empower each member of the Stony Brook community, and to deepen our powerful and lasting impact by collaborating to transcend campus borders.²

Highest quality educational programs

To carry out the first goal of the mission, the University has developed, delivered, and sustained a comprehensive range of undergraduate, graduate, and professional academic programs. As discussed in greater detail in Chapter 3, the University ensures this aspect of the mission is accomplished through detailed curricular planning in a wide array of disciplines, employing faculty and staff who are leaders in their respective fields, and nurturing students from all backgrounds to achieve their educational goals and excel in their futures. *U.S. News & World Report* in 2024 ranked Stony Brook #58 in the country among national universities, #26 among public universities and #1 among public universities in New York; most graduate and professional programs are nationally or globally ranked.

Programs in physics, mathematics, and psychology ranked in the top 10 nationally.

Stony Brook's students excel in their fields of study. In the year immediately following graduation, 94% of bachelor's degree recipients are employed or pursuing further study. Within 5 years, almost half of graduates have enrolled in further study. Stony Brook is regularly named a Fulbright Top Producing Institution. Ten years after graduation, the average annual salary of a Stony Brook bachelor's degree recipient exceeds \$84,000, placing Stony Brook 8th out of the 41 public R1 universities that participate in the U.S. Census Postsecondary Education Outcomes project. Of particular note, these results are the same for students who come from socioeconomically disadvantaged backgrounds as for their counterparts from more affluent families. These remarkable results prompted Raj Chetty's team at the Stanford Center for Poverty and Inequality to rank Stony Brook among the top universities in the United States for improving the social mobility of students.³

Cutting-edge research

1.1e *mission and goals that ...include support of scholarly inquiry and creative activity, at levels and of the type appropriate to the institution*

Conducting world-class research is integral to Stony Brook's mission and identity, as reflected by the University's Carnegie Classification as "Doctoral, Very High Research" or R1 institution, as well as membership in the AAU.

High expectations for faculty and students to conduct research have propelled annual research expenditures over \$300 million, placing Stony Brook in the top 100 universities ranked by the National Science Foundation. More than 900 principal investigators and researchers lead research teams pursuing discoveries supported by more than 2,000 sponsored awards. With Battelle, Stony Brook has co-managed Brookhaven National Laboratory, a U.S. Department of Energy research laboratory, which itself has produced seven Nobel Prize winning discoveries and won 37 R&D 100 Awards since 1998, and currently employs 2,500 staff members.⁴

Leadership for economic growth, technology, and culture

The University's education, research, and health care enterprise promotes over \$8.9 billion in economic output for Long Island and the region, \$3.4B in earnings, and over 55,000 jobs, accounting for about 3% of Long Island's GDP. The University's regional economic impact adds \$16 to economic output for every \$1 of state investment in the University, representing a 1600% return on New York State's tax investment.

Stony Brook's commitment to arts and culture is significant, with numerous cultural centers, performance spaces, festivals, galleries, musical, and theatrical events. The Staller Center for the Arts offers theater, dance, classical and popular entertainment throughout the year. The Charles B. Wang Center provides space for the exploration of Asian and Asian American culture, with performances, conferences, art, films, lectures, and exhibitions. The Pollock-Krasner House & Study Center is a public museum that displays the settings in which these two artists created many of their works. The Lichtenstein Center houses multiple programs in the creative arts and extends the University's cultural reach to Southampton on the east end of Long Island and into the heart of Manhattan.⁵

State-of-the-art innovative health care

As a major health system on Long Island, Stony Brook Medicine treats more than 38,000 inpatients, nearly 1.5 million outpatients and more than 130,000 emergency room patients annually through the promotion of caring and cutting-edge health care. Eighty-seven Stony Brook Medicine physicians were named "Top Doctors" on the Castle Connolly Top Doctors 2023 list. Stony Brook University Hospital was recognized in 2023 and 2024 as one of America's 50 Best Hospitals by Healthgrades, placing the hospital among the top 1% in the country and was also recognized by Healthgrades as one of America's 100 Best Hospitals for Cardiac Care (2015-24) and Stroke Care (2016-24). Additionally, the hospital was named by Becker's Hospital Review to its "Great Hospitals in America" list for 2023.⁶

Celebrating diversity and global positioning

Stony Brook's mission-level imperative to celebrate diversity is a perennial strength. Three out of five students

at Stony Brook identify as Asian, Black or African American, Latinx, Native American, or Pacific Islander. Half of undergraduates are either first generation students or receive Pell grants. Moreover, as discussed in Chapter 2, Stony Brook fosters an inclusive environment that values and respects the rich mosaic of cultures and perspectives of our students, faculty, and staff. The Office of Diversity, Inclusion & Intercultural Initiatives (DI3), oversees implementation of the campus Action Plan for Diversity, Equity, and Inclusion. Students sign the University's Community Pledge, which speaks about dignity, respect, commitment to challenging racism, holding ourselves accountable, affirming freedom of expression, and curiosity to learn about, celebrate, and honor the diversity of our community.

Mission Development, Affirmation, and Review

Stony Brook's mission is rooted in a set of core expectations in New York State Education Law (§ 351) which states that the mission of SUNY is to "provide to the people of New York educational

services of the highest quality, with the broadest possible access, fully representative of all segments of the population in a complete range of academic, professional and vocational postsecondary programs."⁷

The first four goals of Stony Brook's mission -- to use its research and scholarly resources to educate students and advance knowledge, as well as to provide patient care, community service and economic development for Long Island and New York -- were refined in a strategic planning process that began in 1992. A SUNY "mission review" process in the late 1990s involving a broad range of campus participants led to affirmation of this mission by SUNY in a Memorandum of Understanding. The fifth goal of the mission to accomplish the other objectives while celebrating diversity and positioning Stony Brook in the global community was added in the following years and

1.1a *mission and goals that ...are developed through appropriate collaborative participation by all who facilitate or are otherwise responsible for institutional development and improvement.*

1.1c *are approved and supported by the governing body.*

appears in the 2004 self-study submitted to MSCHE. This mission was reaffirmed by SUNY in the Mission Review II process (2005-2010).⁸ Since 2010, SUNY has continued to monitor mission-level success of the campus through various initiatives, including the Power of SUNY campus report cards, SUNY Excels, and what has now evolved into executive data summaries with benchmarks.⁹

Evaluation and Review of the Mission

1.1g *mission and goals that ...are periodically evaluated.*

The mission has stood the test of time since its last revision in the early 2000s; it is referenced regularly and reviewed during major

planning activities. Housed in the Office of the President, the Office of Institutional Research, Planning & Effectiveness (IRPE) has a primary responsibility "to provide a valid, consistent and accurate understanding of how Stony Brook University is advancing its mission." IRPE maintains an extensive set of dashboards for internal and external stakeholders offering significant insight into success in mission areas.

In the most recent review of the mission in Spring 2022 at the kickoff of strategic planning activities, IRPE led the senior leadership team through a wide range of strategic indicators and benchmark comparisons to review the mission areas of education, research, economic development, and diversity. The Executive Vice President and CEO of Stony Brook Medicine led a similar review of how the University accomplishes its mission to provide state-of-the-art innovative health care. This review clearly demonstrated Stony Brook's strong position compared to other public Universities in the Association of American Universities (AAU), illustrating strengths as well as areas for improvement. The mission continues to provide a firm foundation for strategic planning and operations that advance excellence internally for education, research, and patient care in order to broaden an already impressive external impact in developing global leaders, innovation, and the health and welfare of the community.¹⁰

Publication and Prominence of the Mission

1.1f *mission and goals that ...are publicized and widely known by the institution's internal stakeholders.*

The Office of the President publishes the University mission statement on its website and likewise hosts materials for the University's strategic plan. The mission features

prominently in strategic planning documents and major initiatives, like the Strategic Budget Initiative (SBI), which deliberately align strategic goals with pillars of the mission. Nevertheless, the prominence and dissemination of the mission could be enhanced, and one recommendation emerging from the self-study process is to highlight to internal stakeholders more extensively how the mission has driven pursuit of initiatives like raising the graduation rate and leadership in the New York Climate Exchange on Governors Island.¹¹

University Goals Set Through Strategic Planning

Stony Brook's institutional goals are audacious yet realistic ambitions to advance the University's mission as well as address urgent global crises, such as climate change, rising inequality, and deteriorating public health. With leadership from the President, institutional goals are established through strategic planning processes, which are comprehensive in scope, developed collaboratively, consistent with Stony Brook's mission as a leading research university, and implemented to achieve remarkable results.

Reimagining Stony Brook:

A Strategic Vision 2013-2018

Under former President Stanley's leadership and with input from Stony Brook's major schools, colleges, administrative areas, students, and various institutional stakeholders, the University developed *Reimagining Stony Brook: A Strategic Vision 2013-*

2018, the strategic plan that guided it through the 2010s.¹² The University's Colleges and Schools prepared strategic plans to align with the six goals established in the University's strategic plan: (1) enhance undergraduate and graduate education, (2) renew excellence in research and scholarship, (3) increase access, (4) extend global impact, (5) build and maintain infrastructure, and (6) lead economic growth and improve reputation.¹³

1.2 *institutional goals that are realistic, appropriate to higher education, and consistent with mission.*

1.1d *mission and goals that ... guide faculty, administration, staff, and governing structures in making decisions*

Strategies to enhance undergraduate and graduate education included: hiring faculty as outlined in SUNY 2020, implementing and assessing a new general education curriculum, increasing the number of teaching assistant lines, supporting new approaches to STEM education, expanding programs for economically disadvantaged students, expanding the K-12 pipeline, creating new learning spaces, creating a university-wide culture of assessment, and recognizing outstanding teachers. By the end of 2018, the University had hired 308 tenure-track faculty (although this did not keep pace with

Timeline of Major Planning Activities	
2013- 2018	<ul style="list-style-type: none"> Implementation of <i>Reimagining Stony Brook: A Strategic Vision</i> under former President Stanley
2019	<ul style="list-style-type: none"> Assessment of accomplishments from <i>Reimagining Stony Brook: A Strategic Vision</i> Short update of <i>Reimagining Stony Brook: A Strategic Vision</i> under former Interim President Bernstein
2020-2022	<ul style="list-style-type: none"> Development and implementation of the Strategic Budget Initiative (SBI) under President McInnis
2022-2023	<ul style="list-style-type: none"> Development of <i>Our Moment</i> under President McInnis <ul style="list-style-type: none"> Phase 1 – Project REACH, led by VP Strategic Initiatives Rose Martinelli Phase 2 – Conclusion of <i>Our Moment</i> under leadership of Provost Carl Lejuez
2023-2024	<ul style="list-style-type: none"> Launch of <i>Our Moment</i>, and alignment of unit strategic plans with institutional plan

retirements), increased the number of teaching assistants from 787 to 897, expanded programs supporting women in STEM, renovated Library study spaces, and refreshed classroom technology.¹⁴

To achieve goals to renew excellence in research and scholarship, the University invested in faculty and programs in targeted areas and also developed innovative infrastructure to enhance excellence in research. The University directed resources to interdisciplinary cluster hires, programs, and successful research centers, and courted philanthropic support in the arts and humanities, resulting in millions of dollars to support creative writing and film programs. The Office of the Vice President for Research launched an Office of Proposal Development to provide support to identify and support complex application processes for highly competitive, multi-million-dollar proposals. The University streamlined processes for proposal submission, grant management, and postdoc hiring; improved customer culture through staff training; and accelerated clinical contract review as well as Institutional Review Board approvals. The University also instituted additional research compensation for faculty investigators who obtained external funding beyond normal expectations.¹⁵

To support and extend goals for access, Stony Brook developed an array of student-facing initiatives. The University expanded enrollment in its Educational Opportunity Program (EOP) by almost 150 students and added funds to support Turner Fellowships for graduate students who contribute to the diversity of the University. Resources were added in an array of student support areas such as Veterans Affairs and Multicultural Affairs to enhance services to students and ensure their success. Support was also added to Human Resource Services to improve the campus climate and targeted services, and hundreds of employees participated in extensive 6-hour workshops through the Recognizing Equity, Diversity and Inclusion (REDI) Project to enhance understanding and celebration of individual and group diversity in the campus community.¹⁶

To achieve goals to extend global impact, Stony Brook implemented extensive outreach and recruitment initiatives worldwide, but with a particular focus on China to recruit high-performing students into Stony Brook's

world-class academic programs. As a result of these activities, enrollment of international students increased from 3,752 in fall 2013 to 4,599 by fall 2019. SUNY Korea grew from 37 students in 2013 to 700 in 2019. While the university targeted increases in study abroad participation, outbound study abroad decreased somewhat over this period. Global impact and outreach initiatives also extended to embracing faculty from diverse cultures, supporting incoming and outgoing Fulbright Scholars, and encouraging international collaborative research at the Turkana Basin Institute in Kenya and Centre ValBio in Madagascar.¹⁷

To build and maintain infrastructure, the University completed multiple significant infrastructure projects. New student-centered spaces in Frey Hall, Computer Science, Melville Library, Campus Residence Halls and the Student Union Building have brought together key constituents through collaborative learning spaces and IT Tech stations. To make the student experience easier to navigate, student service offices were centralized including Academic Advisement, the Registrar, Financial Aid and Student Accessibility Support Services. New or renovated athletic facilities include the 4,000-seat basketball venue Island Federal Credit Union Arena, the University Pool, and LaValle Stadium. New buildings enhanced University research, including the new Computer Science Building; Medical and Research Translation (MART) building; Children's Hospital; renovation of three cancer-research floors; creation of the Marine Science Station; and spaces for Southampton Physical Therapy, Occupational Therapy, and the Physician Assistant programs.¹⁸

To sustain leadership in economic development and improve the University's reputation, the University supported business development and advanced infrastructure for innovation. Through Start-Up NY, Stony Brook incubated 22 companies and sustained five externally funded economic development programs. Over \$200M in funding from technology commercialization has been facilitated through Intellectual Property Partners, and more than 90% of licensing revenue for the entire SUNY system comes from Stony Brook patents. The economic impact study published in 2018-19 indicated the University's impact on the economy resulted in a \$7.23 billion increase in economic output, accounting for more

than 3% of all economic activity in Nassau and Suffolk Counties.¹⁹

After the close of 2018, Stony Brook began preparing a report on the progress achieved and accomplishments realized under this strategic plan in preparation for the start of a new planning cycle. The accomplishments summarized above were documented in that assessment report, including remarkable gains in graduation rates, an increase in research output, and the addition of almost 2,000 students to the University. During spring 2019 as this report was prepared, however, then President Stanley announced his departure from Stony Brook to become President at Michigan State University. As a result, this assessment report, although largely completed, was not broadly distributed beyond senior leadership.²⁰

Reimagining Stony Brook: Strategic Vision 2019 Update

Following the appointment of Provost Michael Bernstein as the Interim President in Summer 2019, the University paused assessment of the 2013-18 strategic plan and embarked upon a short-term update of 2013-2018 Strategic Vision that left its major goals in place. This approach provided continuity and ensured ongoing progress on goals for student success and research productivity without saddling the incoming president with a strategic plan that they had no hand in developing. The public announcement on March 26, 2020 that Dr. Maurie McInnis would become Stony Brook's sixth president came about two weeks following the University's shutdown in response to the onset of the COVID-19 global pandemic. Both the appointment of Dr. McInnis and the crisis brought on by the pandemic as the University cared for the health and safety of students, faculty, staff, and community interrupted progress on this plan and rendered it less relevant as a roadmap for action.²¹

Strategic Budget Initiative (SBI)

Soon after President McInnis's term officially began on July 1, 2020, she launched a Strategic Budget Initiative (SBI) to examine how to sustain financial support for critical areas of the University's mission. SBI published a website transparently outlining the challenges facing the University – some of which predated the pandemic – available revenues, and projected expenses. SBI established an imperative to identify opportunities for new resources, not simply cut costs, and importantly replace a mindset of

limitation and scarcity with an outlook of opportunity and measured strategic investment.

Four guiding principles drove the work of SBI: 1) ensuring strategic alignment, 2) leveraging collaboration opportunities, 3) coordinating support from the technical support group, and 4) providing regular updates to the Stony Brook community. A steering committee coordinated the activities of five task forces: Academic Portfolio; Operations Alignment; Research and Innovation; Stony Brook Medicine; and Optimizing Campus Cultural, Athletic and Facilities Resources. Faculty and staff comprised the task forces, which in turn developed 17 working groups, also composed of faculty and staff to explore issues and make recommendations, allowing a broad range of ideas and opportunities before the involvement of academic leadership. This transparent process included all stakeholders at various stages. In December 2020, an online survey gathered input about the SBI, garnering 2,230 responses from faculty and staff. Throughout spring 2021, Working Groups and Task Forces held town to share recommendations, and updates were posted on the President's webpage seeking comments. Implementation began in June 2021, and updates were provided to the campus through 2022.²²

Our Moment

In spring 2022 as effects of the pandemic continued to recede, President McInnis launched a process to develop a new strategic plan for the University. This process had two phases. The first was an initial visioning phase in spring 2022, led by then Vice President for Strategic Initiatives Rosemaria Martinelli, dubbed Project REACH—short for Reimagine, Accelerate Change. Project REACH, facilitated by Nebo Consulting, was led by a steering committee of 25 University leaders and a Visioning Committee composed of 20 faculty, staff, and students, selected from a blind review of 130 applicants. Both groups participated in the mission review described above and met regularly through spring 2022 to craft a bold, multi-page statement about future aspirations. The campus community provided input on this comprehensive vision for Stony Brook's future state through a series of five workshops in May 2022. This input allowed the Visioning Committee to distill material into a set of four values and seven strategic themes. Each of these seven themes was explored by a work group over summer 2022.²³

The second stage of strategic plan development was led by Provost Carl Lejuez, who joined the University at the end of April 2022. These efforts were facilitated by a team from the Huron Consulting Group headed by a Stony Brook alumnus. Over this period, the comprehensive statement of future aspirations and the material from the seven thematic groups was transformed into a strategic plan featuring bold statements for vision, values, priorities, and objectives. This process was also broadly inclusive of faculty, staff, and students. It incorporated input from four in-person and virtual town halls in October 2022 with 433 registrants, two community Forums in April 2023 with 95 registrants, as well as two surveys in Spring/Summer 2023, garnering 351 responses.²⁴

The resulting strategic plan was launched in fall 2023 and features the following highlights:

Our Vision

As New York's flagship and a first-choice institution, Stony Brook University achieves transformative impact by driving innovation and inclusive excellence in education, research, healthcare, economic and cultural development, and social mobility.

Our Values

- **Community:** We support and empower each member of our Stony Brook community, acknowledging that our students, faculty and staff all have distinct needs and make unique contributions.
- **Excellence:** We maintain the highest standards, acting with integrity in all we do to build upon our legacy as one of the nation's great public research universities.
- **Equity:** We ensure that each member of our community feels a sense of belonging, is afforded equal opportunity, and is treated with dignity and respect.
- **Collaboration:** We take interdisciplinary approaches to complex challenges and transcend our campus borders to deepen our powerful and lasting impact.
- **Innovation:** We foster a dynamic, engaging and motivating environment that encourages ambitious discovery, creativity and bold, unconventional thinking to guide and enhance our impact on the world.

Our Priorities

Stony Brook University will achieve its vision by pursuing four priorities:

- **Transforming Learning & Teaching.** Evolving our world-class education and student support by expanding high-impact and collaborative learning, and providing comprehensive support from recruitment through graduation and beyond.
- **Growing Our Research Enterprise for Impact.** Driving innovation and creativity in research and scholarship by increasing public-private partnerships, expanding intra- and interdisciplinary collaboration, and investing in infrastructure and support for our researchers.
- **Serving Communities as a Public Flagship.** Serving as a resource to New York State and beyond by promoting reciprocal engagement, advancing cultural and economic development, and increasing access to quality healthcare.
- **Reimagining the Way We Work.** Strengthening operational maturity and effectiveness by modernizing our technology, developing consistent and equitable policies and procedures, and investing in our infrastructure and facilities.

The plan itself offers more detail about objectives and high-level metrics associated with each of these priorities. In each subsequent year, the University will develop annual implementation plans to carry out the priorities of *Our Moment* to be coordinated and monitored under the leadership of the Vice President for Strategic Initiatives.²⁵

Stony Brook Medicine developed its own strategic plan in close alignment with *Our Moment* to promote synergies between academic programs and health care delivery. Colleges, Schools, and Vice-Presidential areas are aligning their strategic plans with *Our Moment* over the course of 2023-24.²⁶

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

RA10 *Institutional planning integrates goals for academic and institutional effectiveness and improvement, student achievement of educational goals, student learning, and the results of academic and institutional assessments.*

Goals for student success and institutional improvement

MSCHE places particular emphasis on goals that focus on student learning and related outcomes. Stony Brook University has been a leader in setting and achieving goals for student success. At a meeting of higher education leaders at the White House in January 2014, then-President Stanley set a goal for Stony Brook to raise its 4-year graduation rate from 47% to 60% by 2018.

The University met that goal early, and as of 2023-24, the 4-year graduation rate stands at 65%, and the six-year graduation rate stands at 78%. Average time to bachelor's degree has decreased from 4.23 years in 2013-14 to 3.92 in 2022-23. Equity gaps among Black, Latinx and white students are largely closed, and the University has made progress lowering the gender gap so that men now trail women by only 5 percentage points. Importantly, as a result of these institutional improvements, over 4,100 additional students have graduated on time with an estimated economic benefit of \$314 million dollars from \$58 million of savings in tuition and fees and \$266 million in additional earnings potential. The details about the systems and support structures developed to meet and exceed these goals are discussed at length in Chapter 4.

President McInnis has set bold goals to extend these efforts further. In a commitment through the American Talent Initiative and made publicly through her State of the University Address in 2022, she has set targets for Stony Brook to increase its one-year retention rate to 92% and its six-year graduation rate to 85% by 2030, while continuing to keep equity gaps closed. Achieving these goals will entail a significant reduction in the rate at which students

transfer to other institutions, which stands at 11%, and a reduction of the 9% who leave Stony Brook and do not re-enroll at another college. Support services and strategies to accomplish these goals are discussed in Chapter 4. Goals across graduate education focus on enhancing the quality and desirability of our graduate programs, as well as indicators of student success during graduate training and career readiness/success following graduation.

In addition, *Our Moment* outlines five specific objectives in the priority for Transforming Teaching and Learning: 1) Expanding Student Access; 2) Fostering Student Success; 3) Supporting Innovative and Inclusive Pedagogy; 4) Enhancing Experiential and Service Learning; and 5) Developing Engaged, Global Leaders. Additional detail about these appears within the University plan itself, within the strategic plans of key units across the University including Schools/Colleges, and the action plans developed annually to address specific approaches to execution of the plan and measurement of its success.²⁷

Assessment of mission and goals

Beyond the periodic review of mission and goals most recently conducted

through Project REACH, the Office of Institutional Research, Planning & Effectiveness (IRPE) provides information to the public and to internal constituencies about the extent to which the mission and goals of the University are being accomplished. The University Fact Book, for instance, provides significant and detailed information to the public about graduation rates, degree completions, student outcomes, enrollment, faculty and staff levels, multiple dimensions of diversity, and financial aid. Data are available in static and dynamic formats, and because of robust data governance, reliable and curated data are available within days of official census dates.

Behind secure University firewalls, significantly more data are available through Tableau Dashboards in Stony Brook Analytics. More than three hundred faculty and staff have secure access to dynamic dashboards which provide insight into how Stony Brook's mission is accomplished. Major areas include admissions, courses and credit hours, degree completions and student outcomes (earnings and

1.4 *periodic assessment of mission and goals to ensure they are relevant and achievable.*

graduate school placements), enrollment, financial aid, graduation and retention rates, human resources, planning, rankings, research, and student charges. Most of these dashboards provide views at the institution-, college- and program-level, and allow for disaggregation of populations. Delivery of this information has pushed assessment of the mission from an episodic activity to a regular state of operations for all areas of the institution.²⁸

Evaluation & Areas for Improvement

Stony Brook's mission drives everything it does, especially in the areas of education, research healthcare, and diversity. Where there has been less coordinated attention is in the goal to lead economic growth, technology, and culture for neighboring communities and the wider geographic region. Metrics for broader economic impact are available, but details about spin-offs and more granular connections between initiatives and impact have not been consistently measured and tracked. Importantly, the mission sets the stage for its strategic plan that will guide future directions.

This plan benefits from both the bold leadership of President McInnis and collective shaping and input from all levels of the University community. Even in the depth of the COVID-19 pandemic, the University's reaction was to assemble a broadly representative group of task forces to examine critical issues, craft data-informed action plans,

and execute them. The University could improve, however, in internal communication about how activities align with planning and how the results achieved can be tied back to the plans that were put in place.

Areas for Improvement

- To better highlight the centrality of the mission to Stony Brook's operations, the University should publish the mission in the four academic bulletins, include the mission in the published strategic plan and place the mission in a more prominent place on the University website, not simply on the President's and Provost's web sites.
- To build broader community buy-in for the goals of the new strategic plan, the University should communicate contents of *Our Moment* more prominently than the last plan was promoted. The University should continue to use the strategic plan to guide operations through annual action plans.
- To illustrate the extent of Stony Brook's success a function of deliberate planning and actions, the University should communicate progress, success, and shortcomings on strategic plan initiatives well beyond the leadership team, such as through the President's State of the University Address, so that students, faculty, and staff understand progress.

¹ 1_1 Mission Statement

² 1_1b Mission & Goal Internal External Alignment

³ 1_1 Facts & Rankings

⁴ 1_1e Goals Supporting Scholarly Inquiry

⁵ 1_1e Economic and Cultural Impact

⁶ 1_1 Stony Brook Medicine Recognitions

⁷ 1_1 NY Education Law Sec 351

⁸ 1_1acg Mission Approval

⁹ 1_1c SUNY Exec Data Summary SBU

¹⁰ 1_1g Mission Review Project REACH

¹¹ 1_1f Mission Publicized

¹² 1_2 Strategic Vision 2013-18

¹³ 1_1d Unit Plans 2010-2020

¹⁴ 1_2 Strategic Vision 2013-18 Assessment, p.4

¹⁵ 1_2 Strategic Vision 2013-18 Assessment, p.10

¹⁶ 1_2 Strategic Vision 2013-18 Assessment, p.15

¹⁷ 1_2 Strategic Vision 2013-18 Assessment, p.20

¹⁸ 1_2 Strategic Vision 2013-18 Assessment, p.23

¹⁹ 1_2 Strategic Vision 2013-18 Assessment, p.26

²⁰ 1_2 Strategic Vision 2013-18 Assessment

²¹ 1_2 Strategic Vision Update 2019

²² 1_2 Strategic Budget Initiative

²³ 1_2 Project REACH

²⁴ 1_2 Huron Strategic Plan Materials

²⁵ 1_2 Our Moment

²⁶ 1_2 Unit Strategic Plans 2023-2029

– MAYA ANGELOU



STANDARD II: ETHICS AND INTEGRITY

Standard 2: Ethics and Integrity

Ethics and integrity are central, indispensable, and defining hallmarks of effective higher education institutions. In all activities, whether internal or external, an institution must be faithful to its mission, honor its contracts and commitments, adhere to its policies, and represent itself truthfully.

Overview

This chapter shows how Stony Brook University fosters a culture of integrity, respect, and honesty. Among the five values that frame the University's strategic plan *Our Moment*, three of them are central to this chapter:

- **Community:** We support and empower each member of our Stony Brook community, acknowledging that our students, faculty, and staff all have distinct needs and make unique contributions.
- **Excellence:** We strive to maintain the highest standards, acting with integrity in all we do to build upon our legacy as one of the nation's great public universities.
- **Equity:** We ensure that each member of our diverse community feels a sense of belonging, is afforded equal opportunity, and is treated with respect.

Stony Brook's commitment to inclusion deliberately cultivates an environment in which any individual or group can feel welcomed, respected, supported, and valued. The University's commitment to equity has resulted in upholding fair and just practices and policies that ensure all campus community members can thrive, receive fair treatment, and feel a sense of dignity and respect.

As a part of the SUNY system, Stony Brook follows SUNY policies, procedures and regulations and also exercises autonomy to establish campus policies and processes to support its specific needs and values to govern local operations. Through these policies and practices, Stony Brook creates a climate of inclusive excellence that fosters

innovation and research of the highest standards, while at the same time protecting human rights and intellectual freedoms.²⁹

The discussion below shows how Stony Brook protects free intellectual inquiry, promotes a welcoming and just campus community, and has processes for individuals to raise concerns when problems arise. It demonstrates how conflicts of interest are avoided, and special attention is given to how a *just and equitable* campus environment is maintained. The University communicates honestly and truthfully in recruiting and conducting business. Stony Brook excels at promoting affordable access to excellence, thus advancing the social mobility of its students. In conducting all of its business, the University follows the letter and spirit of all laws and regulations in educating students and conducting research as well as meets standards of accreditation and requirements of MSCHE policies. It is through the University's dedication to ethics and integrity, respect for individuals and their communities, that Stony Brook has been so successful in advancing its mission.

Evidence of Compliance

Academic freedom, intellectual freedom, freedom of expression, and respect for intellectual property rights

Academic freedom

The Policies of the SUNY Board of Trustees articulate protections for the exercise of academic freedom, and Stony Brook University holds paramount its

commitment to academic

freedom as the cornerstone of scholarly inquiry. The contract between the State of New York and United University Professions asserts consistent principles of academic freedom. Faculty recognize and value how Stony Brook protects academic freedom, as shown in the 2017 and 2022 Collaborative on Academic Careers in Higher Education (COACHE) Surveys, in which faculty cited academic freedom among the best aspects of working at

2.1 *a commitment to academic freedom, intellectual freedom, freedom of expression, and respect for intellectual property rights.*

Stony Brook, behind only the quality of colleagues and geographic location. Faculty register their highest levels of satisfaction on items like their own “influence over the focus of research” and “discretion over course content.”³⁰

Intellectual freedom

As an academic institution, Stony Brook celebrates intellectual freedom and enables its faculty and students to access and research information from all points of view. The University Library, for instance, provides students, faculty, and researchers with the means to reach their fullest potential by ensuring an equitable and balanced collection that reflects and anticipates the University’s teaching, research, and clinical requirements and to ensure the availability and integrity of information resources now and into the future. As a service to the broader community, Stony Brook University provide open access to research, scholarship, and creative work widely, through the library’s online Academic Commons repository.³¹

In addition, the University ensures research is conducted safely, responsibly, and ethically. The Vice President for Research oversees the research enterprise and a robust policy environment that protects the rights of human subjects, provides for humane care and use of animals, protects research data, safeguards against research misconduct, and ensures the safety of researchers.³²

Freedom of Expression

The university’s commitment to freedom of expression is encapsulated in President McInnis’s September 2021 message, “Stony Brook University is dedicated to open inquiry, knowledge, and insight. As such, free speech and peaceful assembly are fundamental to our mission. True freedom of expression demands that we acknowledge the rights of others to hold and express beliefs different from our own.” Satisfaction for respectful consideration of the other’s view by the faculty and administration is comparable to other public AAUs. Over three-quarters of students agree that people at the University are open to the opinion of others.³³

Nevertheless, disagreements occur. A recent example involved a faculty member’s post on Stony Brook’s social media, which the Senior Vice President for Health Sciences and the Provost characterized as “incendiary” and “inappropriate.” This led the University Senate to pass a

resolution for reversal, labeling it a “public rebuke and discreditation.” Following the event, the parties met on several occasions to discuss the rationale behind the administration’s statement. They agreed on the value of reviewing the university’s social media guidelines, which is occurring during 2023-24.³⁴

Respect of intellectual property rights

Stony Brook University and SUNY encourage and reward innovation while vigorously promoting compliance with applicable laws, regulations, policies, and other obligations through consistent policy and guidance. SUNY’s Patents, Inventions, and Copyright Policy is codified in state regulations, and to support the public good it guarantees intellectual property rights, encourages innovation, and aids creators. The SUNY Research Foundation has also adopted this same policy framework, and the Chancellor has issued guidance for its implementation. Per the SUNY Patent and Inventions policy, a minimum of 40% of gross royalties are to be paid to the inventor(s). Intellectual property matters at Stony Brook University are managed by Intellectual Property Partners (IPP). IPP partners with the SUNY Central Research Foundation to assess risk on its licensing portfolio.³⁵

Respectful and Inclusive Campus Climate

A Climate of Caring, Respect, and Civility

Stony Brook University provides equal access to a world-class education in a caring environment, where differences are respected and embraced, civility is practiced, inclusion is promoted, freedom of expression is welcomed, civil discourse is encouraged, and a firm stand is taken against divisiveness and insensitivity in all venues and forms. These principles are captured not just in the mission and the strategic plan, but also in the Stony Brook Statement of Community, and the Community Pledge.³⁶

Stony Brook policies display its commitment to diversity, equity, and inclusion (DEI). These include an Equal Opportunity/Affirmative Action Policy that prohibits discrimination on the basis of many personal characteristics

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

and beliefs. The University created a Chosen or Preferred Name Policy to ensure a chosen name and gender identity is used where possible. Other policies promoting a climate of respect and civility address accommodating pregnant students, digital accessibility, notices in publications, relationships, and sexual misconduct and reporting.³⁷

Following the racial unrest in Ferguson, Missouri, Stony Brook developed a comprehensive action plan in 2015 to increase diversity, expand access, develop a nurturing campus climate, and to establish a culture of accountability around DEI. Progress on this plan is tracked by the Vice President for Equity & Inclusion, a position added in 2017 to serve as the Chief Diversity Officer (CDO).³⁸ Consistent with SUNY's Diversity, Equity, and Inclusion Policy, the CDO reports directly to the President, and serves on the President's Cabinet and University Council. The CDO directly oversees the Office of Diversity, Inclusion, and Intercultural Initiatives (DI3), which pursues the vision to grow Stony Brook University into the nation's premier leader and exemplar model for DEI in higher education, health care, research, and the broader society. With leadership from DI3, efforts extend to every school, college, and campus unit, each having created a DEI plan and committee addressing its unique local needs and opportunities.³⁹

Other organizational units support the creation of a welcoming and equitable campus. The Office of Equity & Access (OEA) governs compliance with Stony Brook policy and state and federal laws that prohibit discrimination and sexual misconduct. OEA ensures the Stony Brook experience provides equal opportunity in a safe and inclusive environment. The Office of Multicultural Affairs within the Division of Student Affairs and numerous campus programs also advance Stony Brook's efforts to support diversity and equity on campus. The Vice Provost for Faculty Affairs has DEI in her portfolio and structures programming and initiatives to promote these goals through workshops and professional development.⁴⁰

Many indicators point toward success in fostering an inclusive environment. In the Spring 2021 SUNY Student Satisfaction Survey, more than half of undergraduates report they are satisfied or very satisfied with their sense of belonging on campus, and four out of five report they are satisfied or very satisfied in the acceptance of individual

differences on campus. Importantly, there are no marked differences between underrepresented minority students and the total population on these items. Recent COACHE surveys indicate that the climate of respect among Stony Brook faculty is comparable to the of peer institutions, as evidenced by metrics of departmental collegiality, collaboration, and mentoring. Furthermore, as indicated by SUNY PRODiG data, retention rates of Black and Hispanic faculty are slightly higher than those of white and Asian faculty, and women in STEM and medical faculty positions have retention rates comparable to men. Stony Brook Medicine and Stony Brook Southampton Hospital have been re-designated as "Leaders in LGBTQ Healthcare Equality" by the Human Rights Campaign (HRC) Foundation for 2022-2024.⁴¹

Results from multiple surveys related to campus climate inform the work that remains to be done. The campus pulse survey shows that students who identify as Black or Hispanic are slightly more likely to recommend Stony Brook to a friend than are students who identify as white or Asian, yet when asked specifically about campus climate, faculty, staff and students who identify as Black or African American and Hispanic express concerns with the climate at much higher rates than those who identify as white or Asian. Women are more concerned about sexual violence than men, and individuals who identify as LGBTQ+ are more likely to report bias on the campus based on gender identify and sexual orientation than those who identify as cisgender and straight.⁴²

Fostering Student Diversity & Inclusion and Equity in Academic Success

Stony Brook University has a long history of fostering equity and inclusion. Highly effective programs and units, many of which are discussed in Chapter 4, include the Educational Opportunity Program/Advancement on Individual Merit (EOP/AIM, established in 1968), the Collegiate Science and Technology Entry Program (C-STEP, established in 1986), and the Center for Inclusive Education (CIE, established in 2002). More recent programs include the Alliance of Graduate Education and the Professoriate (AGEP), Women in Science & Engineering (WISE), the Pre-Medical Access to the Clinical Experience (PACE) program, and started in just the past year, the Simons STEM Scholars Program.

To ensure all undergraduates understand the importance of DEI, Stony Brook added a general education requirement in 2019 to Respect Diversity and Foster Inclusiveness, and this requirement is consistent with SUNY's new general education framework, effective in 2023. These and numerous other student programs and activities have helped Stony Brook achieve recent recognition as the ninth most diverse university in the country.⁴³

Fostering a Climate of Respect among Faculty, Staff, and Administrators

Stony Brook University has offered numerous experiences and trainings for professional development on DEI. All employees are required to complete the "ReportIt: Ending Sexual Misconduct" training and to complete an annual ReportIt review training. There is a specialized ReportIt module for Responsible Employees, which includes administrators and policymakers. An example is the Responding to Equity, Diversity, and Inclusion Project, which provided 73 implicit bias seminars to 961 campus community members. These were 6-hour-long trainings for staff and faculty to understand the diverse cultures that make up the Stony Brook community. Another was a full-day, university-wide event, the Cultural Competency Seminar, which addressed implicit bias, sexual misconduct, hidden bias in the classroom, diversity awareness, and how to report concerns. The event was attended by approximately 3,000 staff and 1,000 faculty. Although well-attended, an assessment revealed participants did not perceive the seminar to be effective, and led to current efforts to build local committees focused on DEI in all units. These committees are listed on the DI3 website, and meet monthly as the newly formed Stony Brook DEI Council.⁴⁴

Faculty and staff are encouraged to promote diversity through the development of new academic and student affairs initiatives and community and outreach events. Funding is available through the Presidential Mini-Grants for Departmental Diversity Initiative, which began in 1995. The initiative supports selected proposals to promote awareness, skills, and knowledge about issues related to race, gender, sexual orientation, ethnicity, abilities, age and/or religion. Over the last five years, 63 Presidential Mini-Grants have been awarded.⁴⁵

Equitable Complaint and Grievance Resolution

Grievance Policies

Students, faculty, and staff at Stony Brook University have fair, well-documented and disseminated means for filing complaints or grievances. The policies and procedures are accessible through appropriate university websites and publications. The procedures protect due process rights and provide levels of appeal to ensure fairness and impartiality.

Students have access to academic grievance information and procedures for filing grievances through student bulletins and academic online resources. When there are complaints against faculty, teaching staff or a department about course discrepancies, students can submit complaints through the Academic Integrity website. The academic and residential judiciary procedures in place allow for fair and impartial proceedings for all parties involved. Students have many routes for filing non-academic grievances, as well as for addressing allegations of discrimination, equity and access, accessibility, classroom disruptions, bias and hate crimes, and sexual misconduct.⁴⁶

For employees, well-defined and formal grievance processes are codified in each collective bargaining agreement, and the Office of Employee and Labor Relations provides advice and counsel about the grievance process. Employees at the university are represented by seven different labor unions, and contact information for each is provided on the Employee and Labor Relations website. The Employee and Labor Relations website also links to the website of the New York State Governor's Office of Employee Relations (oer.ny.gov) which houses the text of each union contract (oer.ny.gov/state-union-contracts). Procedures for Research Foundation employees to resolve workplace issues are detailed in the SUNY RF Employee Handbook.⁴⁷

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

Students, faculty, staff, and other interested parties are also able to file complaints with external agencies, including SUNY, the New York State Department of Education, and MSCHE. Links to file complaints with these groups are posted on Stony Brook's website.⁴⁸

Avoiding Conflicts of Interest

Conflict of Interest Policies

To maintain public trust and avoid even the appearance of a conflict of interest, state, system, and campus policies and procedures ensure that employees operate with the highest level of integrity. The New York State Public Officers Law Code of Ethics requires Stony Brook University employees to avoid conflicts of interest and avoid conduct that would leave an impression they can be improperly influenced in the performance of their official duties. Special ethics training is required for employees who make policy or lobby state agencies. Consistent with the State Law, the SUNY Conflict of Interest Policy directs faculty and staff to consult with university officers to assess potential conflicts. The Stony Brook University Human Resources Ethics page aggregates various laws, regulations, and other information. Various Stony Brook policies address particular conflicts, such as personal relationships, business relationships and external interests and commitments. Policies and procedures for avoiding, disclosing, and managing conflicts of interest in research are contained in the SUNY RF Conflict of Interest Policy. The same policy pertains to employees of the Research Foundation. The SUNY Board of Trustees is responsible for central administration, supervision, and coordination of the SUNY system. Board members are obligated to the same high standard of integrity, which includes the New York State Public Officers Law Code of Ethics and other details outlined in the general summary information document for the SUNY Board of Trustees.⁴⁹

Procedures for Disclosing and Addressing Conflicts of Interest

All faculty, researchers, executive and senior leadership, and others who conduct transactions on behalf of the

2.4 *the avoidance of conflict of interest or the appearance of such conflict in all activities and among all constituents.*

University must disclose all financial, personal, and professional interests, activities, and relationships that create, or could be perceived to create, a conflict of interest. Disclosure is done through a Required Annual Disclosure Certification as specified in the Stony Brook Disclosure of External Interests & Commitments Policy. Additionally, the New York State Commission on Ethics and Lobbying in Government requires State officers or employees designated as "policymakers" and those above a certain salary threshold to file the NYS Annual Statement of Financial Disclosure. Locally, the disclosure is supported by the Ethics Administrator in Stony Brook University's Human Resource Services.⁵⁰

Additional requirements for research are outlined in the Disclosure of External Interests & Commitments Policy. A Designated Institutional Official (DIO), appointed by the Vice President for Research, administers the conflict-of-interest policy for research activities. No new research activity may commence until the DIO completes their review of the required Annual Disclosure Certification. Conflict of Interest Training is required prior to engaging in funded research activities and must be re-taken at least once every four years. Researcher certification records are maintained by the Vice President for Research.⁵¹

Fair and impartial employment practices

Hiring

Stony Brook University is committed to employment practices that are free from discrimination and ensure equal opportunity. The University's the Equal Opportunity/Affirmative Action Policy and hiring practices comply with federal and state laws and conform to SUNY's Equal Opportunity Policy. Stony Brook's policy provides for equal opportunity in employment for all qualified persons and prohibits discrimination in employment practices, including recruiting, hiring, transfers, promotions, benefits, compensation, training, educational opportunities, discipline, daily responsibilities, and termination.⁵²

The Office of Equity and Access serves the entire campus community and works to ensure fair and impartial hiring

2.5 *fair and impartial practices in the hiring, evaluation, promotion, discipline, and separation of employees.*

practices. For faculty searches and hiring, the Office of the Provost, in collaboration with DI3, provides support around issues of faculty diversity. For example, job posting outlets towards ensuring a diverse applicant pool are provided. Also, faculty hiring search committees must include a diversity liaison, and there is required DEI training for the entire search committee.⁵³

Evaluation and Promotion

Stony Brook University maintains a fair and consistent approach to the evaluation and promotion of its faculty and staff. The University's policies and procedures are consistent with the Policies of the Board of Trustees of the State University of New York, which outline the expectations for the equitable evaluation and promotion of Academic and Professional employees. Stony Brook's internal processes promote fairness, transparency, and impartiality through a combination of external letters, initial review, and recommendation by a committee of faculty peers. Consistent with SUNY policy and union agreements, staff and professional employees are evaluated and receive feedback at regular intervals. Those who satisfy specific service requirements are eligible for permanent appointment. The eligibility requirements and details of the process are overseen by the Office of Human Resources.⁵⁴

Discipline and Separation

Stony Brook University has robust, fair, and transparent processes for handling employee discipline and separation. The procedures are outlined in detail in collective bargaining agreements. The Office of Employee and Labor Relations has a primary role in advising supervisors on matters of contract interpretation and application for State employees. Labor Relations managers commonly provide advice on issues such as: time and attendance, counseling techniques, addressing grievances, interpreting union contracts, interacting with unions, and pursuing disciplinary action.

Human Resources provides information for employees planning to leave or who have recently left SBU employment. Part of the off-boarding process involves an anonymous exit interview.⁵⁵

Improving Standards, Processes, and Services

The HR Now Initiative was launched to meet the changing needs of the Stony Brook University workforce by creating a new approach to how Human Resources support is delivered, providing strategic services and programs, and providing comprehensive, expert HR leadership across the University through efficient and expedient processes. An initial step in support of this initiative was the creation and hiring of a new Assistant Vice President for People, Culture, and Engagement in 2023 to provide leadership to new and expanded areas of HR, including Training and Organizational Development, Culture and Engagement, and Talent Acquisition. A new Vice President for Human Resources began her appointment in January 2024.⁵⁶

Stony Brook's policies have promoted an equitable environment within the institution, as evidenced by retention rates of employees that are comparable by race and by gender, yet these policies have not produced recruitment results that have diversified faculty and staff to a desirable level.⁵⁷

Honesty and truthfulness in communications

Ethical Marketing & Communications

Stony Brook University is committed to honesty and truthfulness in all forms of communication. Its Office of Marketing & Communications has a process for public relations announcements involving multiple levels of review and approval to ensure accuracy and consistency.

The review process typically involves feedback from multiple senior leaders including legal counsel and subject matter experts. To ensure recruiting materials are accurate and consistent, they work with Enrollment Management, which as a member of the National Association for College Admission Counseling, follows the *Guide to Ethical Practice in College Admission*.

2.6 *honesty and truthfulness in public relations announcements, advertisements, recruiting and admissions materials and practices, as well as in internal communications.*

RA14 *the institution and its governing body/bodies make freely available to the Commission accurate, fair, and complete information on all aspects of the institution and its operations...*

When statements involve official statistics, Marketing & Communications and all other offices consult with the Office of Institutional Research, Planning & Effectiveness (IRPE) to ensure the accuracy of data released publicly. IRPE is responsible for providing a valid, complete and accurate picture of the University. Central to its mission is a desire to seek the truth and assure that all individuals are treated with honesty and respect. IRPE follows the Code of Ethics established by the Association for Institutional Research, and the New York State Ethics Laws and Regulations.⁵⁸

The Data Governance Council plays a key role in maintaining data integrity for the campus, including oversight over data access, report standards, and data quality initiatives. These efforts ensure all areas of campus can trust the data they use for making decisions and in communications.⁵⁹

Affordability, Accessibility, and Financial Education

Promoting Affordability and Accessibility

Stony Brook is one of the most successful universities in the country in promoting access and affordability.

Over a third of the undergraduates who attend Stony Brook receive Pell grants, the third highest proportion in the entire AAU, and one out of every two undergraduates are either first generation students or Pell grant recipients. Furthermore, there are no equity gaps in graduation rates between Pell grant recipients and other students, nor between first generation students and those from families with more educational capital. More than half of bachelor's degree recipients earn their degrees incurring no student loans at all. Nine out of ten PhD students pay no tuition or fees. The University provides over \$40M in institutional aid through scholarships, waivers, and discounts to undergraduates and over \$30M to PhD students in the form of tuition and fee waivers.⁶⁰

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

Financial Education

Stony Brook University provides effective financial education to current and prospective students, resulting in cohort default rates below 3% prior to the pandemic, and at 1% since the pause on repayment of federal student loans. The Office of Financial Aid, through in-person consultation and various online resources, provides information for students, parents, and supporters to understand funding sources and options available to reduce the cost and enhance the value of their education. In addition to providing financial aid information, the Office of Financial Aid webpage lists many resources, including calculators, video instruction, and campus job opportunities. It also links to the U.S. Department of Education's College Scorecard, which provides information on graduation rates, annual average cost, and other details allowing the value of Stony Brook University to be compared with other U.S. institutions.

Other resources include Money Smart Seawolves, covering a wide range of financial literacy topics; the Financial Aid Video Library, providing step-by-step guidance for students at every stage of their academic careers; and the Responsible Borrowing Guide, providing information applicable to students and graduates.⁶¹

Compliance with Legal and Regulatory Requirements

Legal and Regulatory Compliance

Stony Brook's operations are carried out in compliance with a complex layering of hundreds of federal and state laws and regulations; the policies of the State University of New York; and the policies and procedures of MSCHE and dozens of programmatic accreditors and organizations like the National Collegiate Athletics Association (NCAA).

The President holds ultimate responsibility for compliance and delegates this responsibility to knowledgeable cabinet

RA5 *The institution complies with all applicable government (usually Federal and state) laws and regulations.*

2.8 *compliance with all applicable federal, state, and Commission reporting policies, regulations, and requirements.*

members (see Chapter 7) who ensure compliance in their respective areas, ranging from the handling of credit card information under the Graham-Leach-Bliley Act, to the processing federal financial aid under Title IV of the Higher Education Act, and to the protection of intellectual property funded by federal sponsors under the Bayh-Doyle Act. In addition, the Office of General Counsel, which reports to the SUNY Senior Vice Chancellor for Legal Affairs provides comprehensive legal support services, with the Stony Brook President as the chief client. Compliance coordination through shared governance is provided by the Risk & Compliance Owner Committee (RCOC), that is assembled from risk and compliance owners, and works to identify and assess recommendations to mitigate potential risks. The Vice President for Enterprise Risk Management oversees the RCOC and maintains a risk register for the University.⁶²

The Office of Audit and Management Services, reporting directly to the President, also supports compliance functions. An annual message from the University President reminds faculty and staff that, as Stony Brook is a publicly funded institution, entrusted with significant resources, there is a shared responsibility to maintain a robust system of internal controls to protect the public trust and ensure compliance with the New York State Governmental Accountability, Audit and Internal Control Act of 1987. The office conducts internal independent audits, reviews and investigations of financial, operational and compliance activities of the University. Campus wide, reports of potential fraud are made to the Assistant Vice President for Audit & Management Advisory Services who coordinates with other University offices as necessary to investigate the allegation. As required, reports and details of the investigation are filed with SUNY.⁶³

Compliance with Accreditation-Relevant Federal Regulations

The Compliance Verification Evidence Report that accompanies this self-study demonstrates compliance with seven specific federal requirements. These requirements include student identity verification in distance and correspondence education, transfer credit policies and articulation agreements, Title IV program responsibilities, institutional record of student complaints, required information for students and the public, standing with state

and other accrediting agencies, written arrangements, and assignment of credit hours.^{64 65}

Public Disclosures and Consumer Information

The University provides accurate and complete consumer information. Disclosures required by the Higher Education Act are aggregated in a single publicly accessible

2.8a *the full disclosure of information on institution-wide assessments, graduation, retention, certification and licensure or licensing board pass rates.*

consumer information web page maintained by IRPE, with links to resources for general institutional information, health and safety, financial assistance, student outcomes, and other required informational items.

To meet requirements of MSCHE Public Disclosure Procedures II.C and II.D, the Office of the Registrar website provides information about academic and exam calendars, class schedules and offerings by term, and current and archival undergraduate, graduate, and health sciences bulletins that contain academic program completion requirements, required course sequences, course descriptions, policies, and regulations. Policies addressed in the bulletins include transfer of credits, admission, withdrawals, grading, satisfactory academic performance, and complaints or grievances. The website directly links additional policies, including attendance verification, credit/contact hours, and the Family Education Rights & Privacy Act.

Policies on student withdrawals and refunds are linked by both the Consumer Information page and the Student Financial Services page. The Student Financial Services page and the Financial Aid website provide cost of attendance details for undergraduate, graduate, and health sciences programs, as discussed in Section 2.7 above.⁶⁶

Substantive Changes and MSCHE Compliance

The Vice President for Educational and Institutional Effectiveness serves as Stony Brook's Accreditation Liaison Officer (ALO) and in that role ensures the University's compliance with all MSCHE policies, procedures, and requirements. Since the last MSCHE accreditation visit, Stony Brook worked with the Commission following substantive change policies and procedures. These include moving courses delivered at an additional location in Manhattan 410 Park Avenue to two other locations. Creative Writing, Film, and a handful of related courses were moved to 535 8th Avenue, and delivery of selected courses in Social Work was moved to SUNY Optometry. The University has submitted supplemental information reports as requested by the Commission related to actions of programmatic accreditors for programs in physical therapy, occupational therapy, and clinical psychology. All issues were resolved with these accreditors and all programs are in good standing.⁶⁷

2.8b *the institution's compliance with the Commission's Requirements of Affiliation;*

2.8c *substantive changes affecting institutional mission, goals, programs, operations, sites, and other material issues which must be disclosed in a timely and accurate fashion;*

2.8d *the institution's compliance with the Commission's policies.*

RA6 *the institution complies with applicable Commission, interregional, and inter-institutional policies.*

Policies and Practices for Assessment of Ethics and Integrity

To support the University's culture of compliance and accountability across the institution, Stony Brook revised its Policy on Policies in December 2022 to refine its process for developing, maintaining, and publishing University-wide policies. The updated Policy on Policies confirms all

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

university-wide policies be approved by the University President or designee, specify an issuing authority and responsible area, and include dates of publication and next review (no more than three years). The policy places responsibility for the University Policy Manual under Enterprise Risk Management – a Vice Presidential Area established in 2021 – to manage its dissemination (web-accessible) and ensure policies are appropriately reviewed.⁶⁸

Following a review of practices in 2017-18, publication of the Health Sciences Bulletin moved to the same platform as the Undergraduate and Graduate Bulletins. The academic policies in the Health Sciences Bulletin are reviewed on an annual basis. Individual schools under Health Sciences have specific policies guided by their professional accreditations, which are included in their Handbooks or on a website dedicated to policies and procedures. An examination of practices to review academic policies in the Undergraduate and Graduate Bulletins found these policies were reviewed on an ad hoc basis. To address these issues, the Provost's Office has implemented a review requirement of no less than three years. These reviews will be overseen by the Vice Provost for Academic Affairs, a new role that includes a focus on academic policy and procedures, with input from shared governance groups as appropriate.

To assess campus climate, the University deploys multiple surveys on a regular schedule. These include the SUNY Student Opinion Survey, the COACHE Faculty Job Satisfaction Survey, the National Survey of Student Engagement, the SUNY Sexual Violence Prevention Survey, a student campus pulse survey, and various campus climate surveys including the Viewfinder Campus Climate Survey and the Higher Education Data Sharing Consortium (HEDS) Diversity and Equity Campus Climate Survey. Results are processed by IRPE and distributed to appropriate constituencies. For example, results from the 2017 COACHE survey were presented to the University Senate, and a working group analyzed the results, identified issues in a report, and the University has made progress in addressing these. A similar process is underway with the 2022 COACHE survey results.⁶⁹

Evaluation & Areas for Improvement

Stony Brook operates in a multi-layered legal, regulatory and policy environment and effectively complies with multiple demands for accountability and transparency. Led by values to promote community, excellence, equity, collaboration, and innovation, Stony Brook promotes an environment of open inquiry and dialogue. The University has a mission-level commitment to diversity that is inclusive and supported by resources and personnel to promote a welcoming campus climate. While these efforts are laudable, extensive work remains to be done to ensure all populations feel accepted and can thrive. The University is a leader in promoting accessibility and affordability.

Towards the preservation and continued enhancement of the University's high standards of ethics and integrity, the following recommendations are offered.

- To ensure that all members of the community have a resource for ethical consultations, the University should evaluate the scope, level, and charge of the University Ethics Officer, currently housed in Human

Resources who supports the New York State Commission on Ethics and Lobbying in Government.

- To facilitate processes for voicing concerns, the University should explore ways to streamline communication about how to file a complaint, such as by providing an aggregated list of resources or through search engine optimization.
- To promote an environment of equity and inclusion, the University should increase its professional development trainings on maintaining respectful communication, managing difficult conversations, and resolving conflict.
- To enhance diversity among faculty, staff and students, the University should evaluate and improve efforts to recruit and retain individuals who contribute to the diversity of the community in many ways.
- To foster a climate of respect, continue to prioritize community and campus engagement through open forum discussions and other venues to promote open dialogue and understanding.

²⁹ 2_X Policy Indices

³⁰ 2_1 Academic Freedom

³¹ 2_1 Intellectual Freedom

³² 2_1 Research Policies

³³ 2_1 Freedom of Expression

³⁴ 2_1 Freedom of Expression-Issue

³⁵ 2_1 Intellectual Property Rights

³⁶ 2_2 Campus Community

³⁷ 2_2 Equity and Access Policies

³⁸ 2_2 Diversity Plan and Monitoring

³⁹ 2_2 Diversity Inclusion & Intercultural Initiatives

⁴⁰ 2_2 Additional Diversity Programs

⁴¹ 2_2 Campus Climate Data

⁴² 2_2 Survey Results by Group

⁴³ 2_2 SBC Diversity Requirement

⁴⁴ 2_2 Professional Development on DEI

⁴⁵ 2_2 Presidential Mini-Grants

⁴⁶ 2_3 Student Grievances

⁴⁷ 2_3 Employee Grievances

⁴⁸ 2_3 Complaints to Regulators

⁴⁹ 2_4 Conflicts of Interest

⁵⁰ 2_4 Financial and Other Disclosures

⁵¹ 2_4 Research Conflicts of Interest

⁵² 2_5 Equal Opportunity Policies

⁵³ 2_5 Faculty Diversity Programs

⁵⁴ 2_5 Promotion and Evaluation

⁵⁵ 2_5 Employee Separation

⁵⁶ 2_5 HR Now

⁵⁷ 2_5 Employee Statistics

⁵⁸ 2_6 Ethics in Communications

⁵⁹ 2_6 Data Governance

⁶⁰ 2_7 Affordability

⁶¹ 2_7 Financial Education

⁶² 2_8 Compliance Functions

⁶³ 2_8 Audit & Management Advisory Services

⁶⁴ 2_8 Institutional Federal Compliance Report

⁶⁵ 2_8 Institutional Federal Compliance Supplement

⁶⁶ 2_8 Public Disclosures

⁶⁷ 2_8 MSCHE Compliance

⁶⁸ 2_9 Policy on Policies

⁶⁹ 2_9 Surveys



**STANDARD III:
DESIGN AND DELIVERY OF THE
STUDENT LEARNING EXPERIENCE**

Standard 3: Design & Delivery of the Student Learning Experience

“An institution provides students with learning experiences that are characterized by rigor and coherence at all program, certificate, and degree levels, regardless of instructional modality. All learning experiences, regardless of modality, program pace/schedule, level, and setting are consistent with higher education expectations.”

Overview

This chapter illustrates how Stony Brook’s world-class academic programs provide a comprehensive education of the highest quality to students at all levels and across all modalities. As the #1 public university in New York, Stony Brook proudly helps its diverse population of students climb the ladder of social mobility, ranking #3 in the country among institutions that move students from the bottom 20% of the income distribution to the top 20%. Stony Brook produces more bachelor’s degrees in math and physical sciences than any other university in New York and ranks #2 in the state for the number of bachelor’s degrees awarded in health fields and biological sciences. Stony Brook is nationally ranked in forty graduate disciplines throughout the arts & humanities, social sciences, STEM, and professional fields. Fields ranked in the top 20 in the country include clinical psychology, nuclear physics, nursing and nursing education (online), geometry, topology, algebra, and political methodology.⁷⁰

This chapter documents standards, processes, and achievements in designing and delivering educational

programs to foster a coherent and robust student learning experience. It shows how Stony Brook maintains rigorous standards through the high-quality instruction delivered by its talented faculty, the commitment of dedicated staff to student success and operational excellence, and a culture of empirical assessment that leads to improvement, including enhancements we made in response to COVID-19. The chapter also describes the principles, processes, and outcomes of the general education program for undergraduate students, and it illustrates how graduate students develop advanced proficiency in research, scholarship, and independent thinking, guided by highly qualified faculty. It finally describes the periodic assessment of the effectiveness of academic programs, including the institutional review and approval of third parties that deliver instruction.

Evidence of Compliance

Academic Programs

Stony Brook University awards bachelor’s degrees in 60 major fields of study leading to the Bachelor of Arts, the Bachelor of Science, and the Bachelor of Engineering. Undergraduates may opt to add a minor in one of 80 fields or one of 120 specializations within their major. At the graduate level, the University delivers just under 100 programs leading to the master’s degree, as well as 50 research/scholarship doctoral programs leading to the Doctor of Philosophy and the Doctor of Musical Arts. In addition, Stony Brook offers professional doctoral programs leading

3.1 *an institution has certificate, undergraduate, graduate, and/or professional programs leading to a degree or other recognized higher education credential, of a length appropriate to the objectives of the degree or other credential, designed to foster a coherent student learning experience and to promote synthesis of learning.*

RA9 *the institution’s student learning programs and opportunities are characterized by rigor, coherence, and appropriate assessment of student achievement throughout the educational offerings, regardless of certificate or degree level or delivery and instructional modality.*

to the Medical Doctor, Doctor of Dental Surgery, Doctor of Nursing Practice, and Doctor of Physical Therapy. The University also delivers just over 50 academic programs leading to an Advanced Graduate Certificate at the post-baccalaureate or post-master's levels.⁷¹

State and System Standards and Review Procedures

The New York State Education Department (NYSED) sets standards for and must approve academic programs leading to a degree or certificate, and Stony Brook's faculty define curricular objectives, student learning outcomes, and prerequisites within this regulatory framework. These standards include requirements for curriculum, faculty (discussed below), financial resources and facilities, library resources, admissions, academic support, and assessment. As validated through the regulatory approval process, all of Stony Brook's academic programs comply with NYSED requirements for content and credit hours. NYSED subjects programs to subsequent review and approval after cumulative curriculum changes amount to 33%, a change in focus or design, addition of a concentration or specialization, or altering requirements such as an internship or clinical placement.⁷²

Prior to review by NYSED, the SUNY Office of Academic Programs and Planning requires programs to proceed through a rigorous review process. This includes a program announcement or letter of intent; an extensive proposal, typically a hundred pages or more, including information required by NYSED, such as learning outcomes, an assessment plan, syllabi, transfer plans, distance education, and other relevant materials; and an external evaluation from two experts. SUNY academic affairs staff review and must approve programs before they are forwarded to NYSED.⁷³

University Curriculum Development and Review Procedures

When designing programs and courses, faculty follow the University's baseline requirements for course syllabi to ensure clarity for students and a robust environment for learning. This essential information on syllabi includes learning objectives, statements about university academic policies, the Student Accessibility Support Center and the Americans with Disabilities Act, academic integrity, and critical incident management. The Center for Excellence in Learning and Teaching (CELT) provides support and

consultation for instructional design, and syllabus templates for in-person and online courses. In creating programs and delivering courses, the Office of the Registrar ensures that curriculum adheres to the credit hour policy established by SUNY and that the academic calendar provides sufficient time for instruction.⁷⁴

To maintain high standards of pedagogical effectiveness, curriculum committees in the Schools and Colleges review proposals from departments to modify or create new academic programs. These curriculum committees have established procedures for creating, changing, and deactivating programs; proposing new courses; changing pre-requisites; changing course titles; editing course descriptions; and other relevant matters. Committees align their review processes with accreditor, SUNY, state, and federal requirements. At the university-level, the Undergraduate Council reviews programs and issues that affect multiple areas of the University, and the Graduate Council reviews and approves programmatic changes for all PhD programs and West Campus master's and certificate programs.⁷⁵

With leadership from the Vice Provost for Academic Affairs and the Assistant Provost for Academic Program and Curriculum, the Provost's Office coordinates how the University interfaces with SUNY and NYSED throughout the internal curriculum development process. Resources include annotated versions of program proposal and revision forms, checklists for proposal submission, guidelines for how to select external reviewers, programmatic consultations, and a decision assistant to help faculty select the most appropriate form and process for what they need to accomplish. While there have been some challenges with the pace of program submission and approval, a collaborative examination and realignment of procedures has led to significant advancements in the past two years.⁷⁶

Disciplinary Accreditations and Program Review

Program and department faculty monitor all programs on an ongoing basis to ensure course availability, appropriate staffing, and that students make adequate degree progress. About a third of Stony Brook's academic programs are accredited by disciplinary accreditors, which provide an additional level of quality assurance. On a periodic basis, programs are reviewed extensively. Stony

Brook examined its infrastructure for program review in 2022-23 and established a new policy and set of procedures, which are discussed below in Section 3.8.⁷⁷

World-Class Faculty

RA15 *The institution has a core of faculty (full-time or part-time) and/or other appropriate professionals with sufficient responsibility to the institution to assure the continuity and coherence of the institution's educational programs.*

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

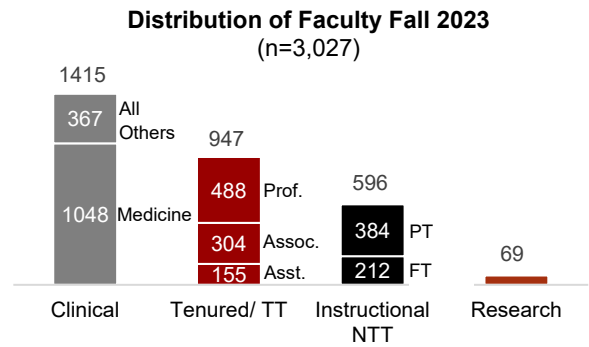
3.2a *rigorous and effective in teaching, assessment of student learning, scholarly inquiry, and service, as appropriate to the institution's mission, goals, and policies*

Stony Brook University boasts eminent and highly qualified faculty members who collectively have received over 2,500 national, international and disciplinary awards, honors, and fellowships. Among the current faculty in 2023-24, 30 have won a Guggenheim Fellowship; 13 are members of national academies; three have won the MacArthur Foundation Prize; two have won the Fields Medal from the International Mathematical Union, and four have won or participated on teams that won a Nobel Prize. Ninety-seven current faculty members have been elevated to the rank of distinguished professor

by the SUNY Board of Trustees. Stony Brook ranks 41 out of 146 R1 universities in the United States for the number of awards per tenured and tenure track faculty member.⁷⁸

Stony Brook employs over 3,000 faculty members with breadth in responsibilities for instruction, research, service, and clinical care. About a third (947) of the faculty are tenured or on tenure track and hold responsibilities for instruction, research, and service. Just under half (1,415) of the faculty carry clinical titles with responsibilities to provide health care and clinical services as well as provide instruction in credit-bearing academic programs as well as in graduate medical education (GME) for medical residents and interns. Just under a fifth (596) are non-tenure track

lecturers and visiting professors with principally instructional responsibilities, and over a third (212) of these are full-time employees with annual or multi-year contracts, while the remaining group (384) hold part-time appointments. A small group (69) of research faculty hold principal responsibilities for conducting research. All faculty conducting research are supported by almost 300 postdoctoral scholars, over 100 non-faculty research scientists, and over 1,000 technical and administrative support staff to carry out the research mission.



Article VI of the SUNY Board of Trustees Policies places responsibility for instruction, research, and service with the faculty of the university. As described in Section 3.1 above, Stony Brook's faculty have responsibility for designing the curriculum through academic governance, and the faculty are also responsible for delivering a high-quality learning experience in the classroom. The role of faculty in assessing the general education curriculum and academic programs is discussed in chapter 5. The base teaching expectation of tenured or tenure-track faculty is on average four courses per year, but the specific course load varies from discipline to discipline. Expectations for research, service, and clinical obligations are outlined on the Provost's website and managed at the department level. Departments in the Renaissance School of Medicine maintain expectation for the delivery of relative value units (RVUs) by faculty with clinical responsibilities.⁷⁹

Faculty Qualifications

The qualifications of Stony Brook's faculty far exceed the requirements of New York State. Ninety-eight percent of Stony Brook's tenured and tenure-track faculty hold doctoral or terminal degrees in their fields, and the remaining two percent have

3.2b *faculty ... are qualified for the positions they hold and the work they do.*

demonstrated virtuosity in performance and creative arts. Among the clinical faculty, 71% hold doctoral degrees and the remaining 29% hold credentials appropriate for the delivery of clinical care, such as family nurse practitioners, physician assistants, and licensed clinical social workers. Over half (53%) of non-tenure track faculty hold doctoral or terminal degrees, and the remaining group hold master's degrees, demonstrated depth of experience in creative and performing arts, and/or extensive experience in industry. Stony Brook ranks #23 among the 38 public AAU Universities in the proportion of full-time instructional faculty with a terminal degree.⁸⁰

Like many universities, Stony Brook has faced challenges recruiting scholars from diverse backgrounds into the faculty ranks. As of fall 2023, just a third of the tenured and tenure-track faculty are women, and only 8% identify as Black, Hispanic, American Indian, or Pacific Islander. As part of both its overall mission to advance diversity, equity, inclusion, and social justice goals, the university has launched the Inclusion, Diversity, Equity and Access (IDEA) Fellowship. IDEA fellows are appointed to two-year positions as non-tenure track faculty. Fellows with an upward trajectory of scholarly achievement and a demonstrated contribution to inclusion, diversity, and equity are invited to join the tenure-track faculty through an internal promotion process. IDEA fellows are starting work on helping catalyze the university's commitment to inclusive solutions-driven research and scholarship at intersections of different disciplines including Black, Latinx, and Indigenous diaspora studies; ethical artificial intelligence, information systems, and data science and literacy; Sustainable climate justice and solutions; health disparities and critical health, quantum futures. Individuals from under-represented groups comprise 75% of the 2023 class of IDEA Fellows, and future initiatives will seek to extend efforts to senior under-represented faculty hires. These efforts support the student learning experience by providing more avenues through which faculty can better reflect the diversity of the student body.⁸¹

3.2c *faculty ... are sufficient in number.*

Student-Faculty Ratio

Maintaining a healthy student-to-faculty ratio provides high-quality

education and individualized mentoring to students. Stony Brook monitors student faculty ratios in four ways: 1) the

"undergraduate" student-faculty ratio published in IPEDS and the Common Data Set, 2) the ratio of students to tenured/tenure track faculty, 3) the ratio of nonmedical students to nonmedical faculty, and 4) the ratio of nonmedical students to nonmedical tenured/tenure track faculty. These ratios show planned improvement from 2011 to 2015 as net new faculty were added under provisions of SUNY 2020 – an agreement with the State of New York to allow for tuition increases to support faculty and staff hiring. By 2022, however, the student-faculty ratio had dropped almost to 2011 levels due to financial pressures discussed in Chapter 6.

Perhaps the most important of these measures is the last one, depicting the ratio of nonmedical students to nonmedical faculty, which removes some of the outsized effects of the Renaissance School of Medicine on overall University statistics. In 2023, the ratio of nonmedical students to nonmedical tenured/tenured track faculty stood at 32.2 to 1, which falls at about the 25th percentile among public AAU institutions. Climbing to the public AAU median of 29.1 to 1 would require the addition of 70 tenured and tenure-track faculty outside of the medical school at current enrollment levels. While student-faculty ratios remain a target for improvement, student engagement has remained high, with even slight improvements in academic quality as observed in results from the National Survey of Student Engagement and the SUNY Satisfaction Survey.⁸²

Both to supplement Stony Brook's high-quality faculty and to train the faculty of the future, Stony Brook employs just over 1,000 graduate teaching assistants to serve as readers and graders for undergraduate courses, often through leading recitation sections and assisting in laboratory settings. In instances when they are appropriately qualified, advanced graduate students may serve as the primary instructor of an undergraduate course. All Ph.D. students must complete at least one semester of practicum in teaching under supervision.⁸³

High-Quality Faculty Support

As one of America's leading research universities, Stony Brook is deeply committed to helping faculty achieve excellence in teaching, research, and service; faculty members also have access to resources and services ranging from technology support, to procurement, to human resources, to physical infrastructure.

Overall, Stony Brook employs over 4,000 staff members to support faculty members and students to support goals for education, research, and service. For every ten faculty members, the University employs 26 staff members and the ratio of students to staff has remained between 7.0 and 7.5 to 1 over the past decade, with a recent bump in 2023 to 6.7 to 1. Even with this recent improvement, Stony Brook remains in the 25th percentile of public AAU institutions for the student to staff ratio. Planning efforts such as the Strategic Budget Initiative, the Research Task Force, and Project REACH have indicated that increased levels of staff support would enable faculty to better focus on instruction and research.⁸⁴

Educational Support for Faculty

The Center for Excellence in Learning and Teaching (CELT) offers faculty instructional design and pedagogy support, as well as a rich array of training, course development, and assessment resources. A testing center is available for students to take in-person exams. The switch to remote learning during the COVID pandemic prompted faculty to re-examine their classes and become stronger educators, with more tools and strategies in their teaching toolbox. CELT updated syllabus templates to reflect these changes and collaborated with faculty and staff to share strategies for inclusive pedagogy through well-attended panels.⁸⁵

During 2023-24, the University has taken a thoughtful approach to addressing the impacts of artificial intelligence (AI). Stony Brook has provided guidelines to faculty to promote an informed approach to integrating AI tools in their teaching. CELT and the University Libraries have engaged faculty and students in discussions and sharing, training and consultation. The University has invested in the Institute for AI-Driven Discovery, and is aligning AI initiatives with the University's strategic plan *Our Moment*.⁸⁶

Supporting the institutional mission of fostering diversity and inclusion, the Center for Inclusive Education (CIE) focuses on advancing diversity in graduate education, academia, and the scientific workforce. Likewise, the University's accessibility resources provide support to faculty and students through a central hub on its website.⁸⁷

3.2d *faculty ... are provided with and utilize sufficient opportunities, resources, and support for professional growth and innovation.*

Mentoring also plays a key role in faculty development. Junior faculty are assigned a mentor from their unit and a mentor from outside of their unit. Mentors meet with their mentees at least twice a year and serve as both advisors and advocates. Each year mentors and mentees prepare a short report about achievements, work in progress and challenges. This report is reviewed by senior faculty in the department and their feedback, and the Department Chair discusses the report and feedback with the mentee and mentor. The new Vice-Provost for Faculty Development has been working with deans and department chairs to identify gaps and additional opportunities that can be supported with central initiatives that complement existing unit-level efforts.⁸⁸

Stony Brook's University Libraries serve as an invaluable resource for faculty scholarship and research. Its collections include over 1.5 million print and electronic titles housed across 8 library locations, additional electronic media and digital resources from across almost 500 databases, and highly valued rare books, manuscripts, maps, and artifacts which are housed in the Special Collections and University Archives. Research materials not held in Stony Brook's collections are easily accessible through an extensive interlibrary loan network. In addition, Stony Brook Libraries offers resources in the form of data management workshops, support and infrastructure for faculty-edited open access journals, open educational resource grants, and scholarly communication events. Budgetary pressures have impacted library staffing at Stony Brook and across the country, but as funding to the University has increased, vacant positions are being refilled and new positions

added to address the needs of a 21st century research library.⁸⁹

The Office of the Vice President for Research (OVPR) plays a central role in supporting faculty research. It provides services that allow faculty to focus on cutting-edge science and scholarship by facilitating proposal development, proposal submission, award management, communication with sponsors, and compliance. Stony Brook has strategically positioned itself to successfully compete for funding, as evidenced by the University's quarter of a billion dollars of externally sponsored research activity each year. The University continues to optimize this positioning through "Tiger Teams" that map existing strengths to address expected high-impact areas for new funding, guiding University investments in support of faculty research. OVPR also enables technology transfer to bring research to market. Faculty have access to financial support for research and other initiatives through OVPR seed funding, the Provost Venture Fund, the Targeted Research Opportunity program in the Renaissance School of Medicine, and Presidential mini grants.⁹⁰

Faculty Review, Promotion & Tenure

As described in Chapter 2, the SUNY Board of Trustees and the collective bargaining agreement with the United University

3.2e faculty ... are reviewed regularly and equitably based on written, disseminated, clear, and fair criteria, expectations, policies, and procedures.

Professions (UUP) have established strong and equitable policies for the review, promotion, and tenure of faculty members. Evaluation is based on mastery of subject matter, effectiveness in teaching, scholarly ability, effectiveness of University service and continuing growth. The policies outline broad definitions and obligations at the University level, while allowing flexibility for each campus and disciplinary variation as appropriate at the department and program level.

At Stony Brook, expectations have been set for annual review of faculty, mentoring, review of research/scholarship/creative activity, evaluation of teaching, institutional and professional service, and external references. Overall processes for promotion and tenure are overseen by the Office of the Provost for faculty

on West Campus and the Office of the Executive Vice President for Health Sciences for faculty on East Campus. Policies are clear and readily available to faculty members. In addition, Colleges and Schools maintain specific procedures; each is consistent with University policies and the Policies of the Board of Trustees.⁹¹

The University has conducted a number of ad hoc studies on faculty promotion and retention rates. A study in 2021 on faculty hires from 2014 through 2020 showed that 86% of men and 84% of women hired into tenure-track lines were retained. Similarly, 86% of faculty from underrepresented racial and ethnic backgrounds were retained compared to 84% from other backgrounds. Studies conducted by the Provost's Office have indicated that time to promotion and to tenure is longer for faculty who are women and those who identify as underrepresented minorities. During 2023-24, Stony Brook is establishing more detailed and regularized metrics for addressing this issue.⁹²

In Fall 2022, the Provost in collaboration with the Executive Committee of the University Senate assembled a committee to review existing promotion and tenure guidelines for all schools and colleges to make recommendations about possible revisions at the University level that would include disciplinary flexibility at the College/School level. The Committee delivered recommendations at the end of Spring 2023, which are under review with any changes to be led by the Vice Provost for Academic Affairs and with collaboration from the Executive Committee of the University Senate and the deans of each college or school.

Overall, faculty are central to all educational activities at Stony Brook. Faculty drive the process of curricular design, delivery, and assessment to foster intellectual growth of students, maintain disciplinary coherence, and promote high levels of achievement. Faculty actively participate in administrative processes of implementation and reviews, including external accreditation and continual assessment that filters into regular departmental and faculty updates. With a highly qualified faculty that is supported by adequate resources and professional staff, our educational mission is maintained at a high level in relation to peer institutions.

Comprehensive and Accessible Academic Program Information

Academic bulletins published online represent the official source of information about academics.

Separate bulletins are published for students in Undergraduate, Graduate, Health Sciences, and School of Professional Development (SPD) programs. These regularly updated bulletins include course descriptions, prerequisites, and recommendations for course sequencing with expected time for program and degree completion. Additionally, the undergraduate bulletin includes a suggested course sequence for every major, including general education courses.⁹³

In addition to the bulletins, students receive information through electronic tools to navigate and track their requirements and plan their courses of study and successful degree completion. Students use SOLAR -- Stony Brook University's enterprise-wide, self-service system -- to manage personal information, register for classes, print schedules, view and pay bills, update personal contact information, view transcripts, and submit student employment timesheets. Degree Works is an easy-to-use degree audit tool for undergraduate students and their advisors to track their program completion. Additionally, undergraduates have access to the Navigate mobile app which helps students build a path to graduation by helping students select majors, make appointments, connect with academic and student support resources, and complete a range of other actions.⁹⁴

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

Learning Resources and Opportunities

Stony Brook's priority to promote student success has placed emphasis on enabling students to graduate in four years whenever possible, and the unparalleled increase of the 4-year graduation rate by

3.4 *sufficient learning opportunities and resources to support both the institution's programs of study and students' academic progress.*

17 percentage points in the past decade is a testament to these efforts. Numerous factors contribute toward this remarkable accomplishment. While a range of onboarding, advising, and academic support programs discussed in Chapter 4 contribute to this success, the principal way the University accomplishes its educational mission is through the delivery of over 12,000 classes each year. This wide range of course offerings provide students with an ample choice of course content, course level, and time slots. Some courses and programs include online and hybrid options; all levels include opportunities for experiential learning, supervised research, and individualized instruction. Course delivery in the summer and winter sessions allows students to accelerate progress toward degree completion. A recent focus on academic planning has improved course availability and cut course waitlists by about a third.⁹⁵

Library Resources

In addition to the support to faculty provided by the University Libraries as discussed above, the libraries provide essential resources to students for collaborative intellectual space and for learning. A major renovation of the main library building in 2016 increased seating by 150%, created new flexible learning spaces, combined technology and library services into single service points, outfitted the space with durable and environmentally green flooring and furniture, and significantly expanded technology, Wi-Fi, and electrical outlets.

To support student learning and research, the University Library instruction continued to thrive in the virtual environment during the COVID pandemic and currently offers research and instruction support through either in-person, synchronous online, or asynchronous online curricula. In addition, the library offers collaborative and interdisciplinary programming for students through events such as the STEM Speaker Series, enhances their own

research knowledge through workshops and helps them to relax during stressful times of the semester through pet therapy sessions. Many events maintain flexible modalities, with both virtual and in-person options offered every semester.⁹⁶

Engaged Learning

Stony Brook University has a strong commitment to learning grounded in experience and discovery, as exemplified in objectives in *Our Moment*:

- **Enhancing Experiential Learning** to facilitate practical, hands-on experiences in the classroom and beyond that enable our students to develop workforce-ready skills and habits while meaningfully contributing to our local and global communities.
- **Developing Globally-Engaged Learners** who bring innovative thinking and commitment to the betterment of society, and expertise to their careers, communities, and the world.

Three out of four (76%) Stony Brook graduates complete a designated applied learning course as part of their degree programs, with the bulk of this activity in research, internships, practica, and clinical placements. The University will increase participation in these activities as it carries out its strategic priority to transform learning and teaching.⁹⁷

The University houses a variety of programs to enhance the quality of student learning experience.

- **The Undergraduate Research and Creative Activities (URECA)** program is a university-wide program that has supported undergraduate research and creative activity since 1987 and continues to grow and develop new opportunities for students in the form of summer research stipends, faculty mentorship, and annual poster and presentation opportunities. URECA's Frances Velay Women in Science Research Fellowship Program and Explorations in STEM financially support student researchers and URECA's annual Celebration Symposium has returned to onsite mode.
- **The Vertically Integrated Projects (VIP) Program** based in CEAS focuses on cross-disciplinary collaboration amongst undergraduate students,

graduate students, and faculty. The collaboration builds on diverse experiences and expertise of students and faculty in order to engage in a long-term project or solve a problem.

- **International Academic Programs** facilitate study abroad experiences for Stony Brook students and others to expand their horizons and develop critical skill sets for a modern global citizen, make academic discovery, and pursue personal growth. The International Student Success unit develops programs, resources, and events to help our international students acclimate and adjust to the U.S. educational environment and find various campus resources for academic success and professional growth.
- **University Scholars** is a program for the top 7% of the incoming class and enriches learning through special symposia, events, organizations, and outreach activities.
- **The Honors College** follows an interdisciplinary curriculum in conjunction with majors of a hundred students many of whom pursue a senior thesis and work closely with a faculty member on a scholarship or research project.
- **The Women in Science and Engineering (WISE)** seeks to increase the number of individuals from underrepresented groups in science, engineering, and mathematics. Participants develop close-knit study groups, receive mentoring, and take specially designed courses.
- **The Simons STEM Scholars program**, supported by a \$57 million gift from the Simons Foundation in 2022 (prior to the Infinity Investment), is a training ground for the next generation of diverse leaders in STEM with full educational funding and dedicated programming, advising, mentoring, and networking opportunities.
- **The Collegiate Science and Technology Entry Program (CSTEP)**, supported by funding from the New York State Department of Higher Education, encourages and prepares historically underrepresented and economically disadvantaged students to pursue educational programs in STEM and health fields.⁹⁸

Additional opportunities for academic growth and exposure to scholarly communication outside the classroom come from Stony Brook's more than 50 research

Centers and Institutes, many of which regularly offer lectures, symposiums, workshops, interviews, and exhibits not only with Stony Brook's own renowned faculty, but also with experts from around the world. The Centers and Institutes are particularly valuable for graduate student communities across all disciplines, as they help graduate students grow in disciplinary knowledge, explore new research directions and scholarly communication opportunities, and network with fellow graduate students and faculty members across campus.⁹⁹

In 2023-24, Stony Brook is launching a Center for Interprofessional Innovation to promote collaborative, hands-on learning among students in all five Schools in the Health Sciences Center. Training aspiring health professionals in interdisciplinary simulations and case studies enhances their communication and understanding of team members' roles and responsibilities, and ensures that learning is both relevant and reflects the professional environment in which they will provide care.

General Education – the Stony Brook Curriculum (SBC)

Stony Brook undergraduate students complete their education with a breadth and depth of knowledge that ensures they will have a strong foundation for their major program, future studies, and personal and professional lives. The Stony Brook Curriculum (SBC) is Stony Brook's general education program, and it requires students to accomplish four broad goals: Demonstrate Versatility, Explore Interconnectedness, Pursue Deeper Understanding, and Prepare for Life-Long Learning. Twenty objectives are nested with these four goals, and these objectives both align with MSCHE requirements and extend beyond them.

3.5 *a general education program, free standing or integrated into academic disciplines, that*

3.5a *offers a sufficient scope to draw students into new areas of intellectual experience, expanding their cultural and global awareness and cultural sensitivity, and preparing them to make well-reasoned judgments outside as well as within their academic field.*

The SBC is competency-based rather than disciplinary-based. Faculty in any department or program may propose a course to fulfill one or more SBC requirements. Courses are reviewed by College or School curriculum committees before SBC approval is attached to the course. In practice, students on average take about 40 SBC-approved credits outside of the requirements of their major.¹⁰⁰

3.5b *offers a curriculum designed so that students acquire and demonstrate essential skills including at least oral and written communication, scientific and quantitative reasoning, critical analysis and reasoning, technological competency, and information literacy. Consistent with mission, the general education program also includes the study of values, ethics, and diverse perspectives.*

Demonstrate Versatility

The first part of the SBC general education framework solidifies foundational skills and exposes students to areas beyond their chosen academic field(s). This versatility of learning is achieved through 10 of the 20 SBC objectives that include foundational skills expected of college graduates like writing effectively, quantitative problem solving, and speaking a foreign language. Students must also complete courses that deliver competencies in the arts, global issues, human behavior and society, humanities, natural sciences, technology, and the United States. These courses may be completed in any department or discipline where these competencies are delivered. For instance, PHI 116: The Philosophy of America's Founding fulfills the requirement to understand the political, economic, social, and cultural history of the United States; and Anthropology 101: Human Biology fulfills the requirement to study the natural world.¹⁰¹

Explore Interconnectedness

While competencies fulfilling requirements to demonstrate versatility may be in courses grounded in single disciplines, the SBC's goal to explore interconnectedness requires students to take an interdisciplinary course. These specially designated courses must examine significant relationships between science or technology and the arts, humanities, or social sciences. These courses prompt students to make informed judgements about the reciprocal relationships

between the “different” ways of disciplinary thinking and to recognize that their work has societal implications. Popular courses include EST 201: Technological Trends in Society, SOC 340: Sociology of Human Reproduction, and ATM 103: Extreme Weather.¹⁰²

Pursue Deeper Understanding

To ensure that general education objectives are not fulfilled and subsequently forgotten, students must follow up with more advanced coursework in three of four broad groupings of the foundational objectives. At least one of these areas must be outside of the main focus of their major. Courses in this area are offered at the 200- through 400-levels. Each major specializes in at least one of the broad groupings: Humanities and Fine Arts; Social and Behavioral Sciences; Science, Technology, Engineering, and Mathematics. The fourth area, Experiential Learning, allows students to apply knowledge and skills acquired within the classroom in real-world settings in which insights and skills developed through real-world experience enhance academic success and professional development. Internships, practica, and independent research offerings fulfill this requirement.¹⁰³

Prepare for Lifelong Learning

The final general education area seeks to foster academic and career success by laying the foundations for lifelong learning. These goals are often delivered by courses related to the student's field of study but may also be fulfilled in other areas. These five competencies include the practice of and respect for critical and ethical reasoning, respect for diversity and cultural competence, the evaluation and synthesis of researched information, speaking effectively before an audience, and writing in the discipline.¹⁰⁴

Oversight of General Education

The Undergraduate Council (UGC) and the General Education Advisory Committee (GEAC) oversee the SBC. Curriculum committees at the College/School levels ensure courses align with general education outcomes, and faculty in departments and programs deliver courses and assess student learning outcomes. Assessment of the SBC is discussed in detail in Chapter 5.

The UGC is a standing committee of the University Senate, and among its responsibilities is “reviewing and

coordinating all curricular and other academic matters that are not limited to a single major governance unit”; this includes policy related to the SBC. Because of the volume and scope of oversight needed, the Provost in conjunction with the University Senate established GEAC in 2022-23 composed of twelve faculty and four administrators. The Committee is charged to provide ongoing advice about implementation, evaluation, and assessment of the SBC. In its inaugural year, the GEAC offered recommendations about assessment of the SBC to the University Assessment Council, and performed significant work aligning SBC learning outcomes with SUNY’s new general education framework, effective fall 2023. Monitoring and refining this alignment will continue in 2023-24.¹⁰⁵

Rigorous Graduate and Professional Education

As a leading research university, Stony Brook boasts world-class

graduate and professional programs. Beyond the superficial rankings of graduate programs in *U.S. News & World Report* that ranks Stony Brook graduate programs in forty disciplines, the more empirical metrics in Academic Analytics place five PhD programs in the top decile of all programs nationally and another six in the top quintile, and fully two-thirds of doctoral programs exceed the national median.¹⁰⁶

Faculty teaching in Stony Brook’s graduate programs hold doctoral or other terminal degrees, or widely recognized special competence in the field in which they teach, as required by the New York State Department of Higher Education. Moreover, they are leaders in their respective fields, engage students in research and scholarship, and connect them into their wider disciplinary and professional networks. Faculty with the credentials and areas of expertise are published in the Graduate Bulletin.¹⁰⁷

The faculty have established degree requirements and learning outcomes for all graduate programs. Research requirements for graduate programs are rigorous and extensive. Candidates for the PhD degree must prepare a

3.6 *opportunities for the development of research, scholarship, and independent thinking, provided by faculty and/or other professionals with credentials appropriate to graduate-level curricula.*

dissertation of original and significant scholarly investigation. Master’s degree candidates complete a thesis, a master’s paper, or a comprehensive exam. Candidates for professional degrees are required to complete significant research-informed clinical experiences that prepare them for professional licensure to practice medicine or their intended field of specialization.¹⁰⁸

All doctoral students at Stony Brook University must complete at least one semester of practicum in supervised teaching. Graduate teaching assistants complete a pedagogy workshop during their first year and can improve their teaching through programming through CELT. Graduate students have access to the professional and career development opportunities offered through the Graduate School, such as the PhD career ladder program and fellowship writing workshops.¹⁰⁹

The CIE offers fellowship and grant opportunities such as the NSF AGEP Predominantly Undergraduate Institutions (PUI) Alliance program which focuses on career development for historically underrepresented minority doctoral degrees students in STEM, Bridge to the Doctorate Fellowship which has the goal of increasing the number of underrepresented minority students admitted into STEM graduate programs, and the recently re-funded Institutional Research and Academic Career Development Award (IRACDA) which is committed to increasing diversity as they develop scientist-teachers.¹¹⁰

Many students engage in research at the U.S. Department of Energy Brookhaven National Laboratory (BNL), a multipurpose research laboratory housing large, state-of-the-art facilities such as the Relativistic Heavy Ion Collider, National Synchrotron Light Source II, and the Center for Functional Nanomaterials. In recent years, over 40 Stony Brook PhD graduates have received postdoctoral or professional research appointments at BNL. Students also engage with the many of the fifty research centers and institutes discussed above in Section 3.4.¹¹¹

In sum, the graduate education mission balances cultivation of disciplinary expertise with a centralized support system for personal development and career readiness. This dual focus allows the university to foster interdisciplinary and interprofessional graduate education

that minimizes the adverse effects of hyper-specialization and disciplinary silos.

External Partnerships

Stony Brook University places the highest value on the integrity and quality of its curriculum and educational mission. To that end, the University maintains the delivery of all curriculum under the control and

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

supervision of its faculty. In order to extend educational opportunities, the University has created partnerships to deliver educational programs through international academic partnerships that provide study abroad experiences, through its international additional location at SUNY Korea, and closer to home through dual enrollment programs in high schools on Long Island.

International Academic Programs (IAP)

With over a hundred options for international study, Stony Brook’s International Academic Programs (IAP) give students the opportunity to participate in three types of global academic experiences that are appropriately aligned with their major and minor academic. Students can engage in Partner University Programs, Faculty-Led Programs, or Internship/Experiential Learning, with all three options bearing Stony Brook credit that is reviewed by the Office of Global Affairs (OGA). The curriculum taught through faculty-led study abroad programs are approved through regular curriculum review processes. Courses are also reviewed and approved by using additional review guidelines designed for study-abroad experience.¹¹²

SUNY Korea

Stony Brook University offers undergraduate and graduate programs from the College of Engineering and Applied Sciences and the College of Business to over 800 distinct students each year at SUNY Korea, one of five universities at the Incheon Global Campus in South Korea. Students complete Stony Brook curricula, including the SBC, at SUNY Korea, with one year of study on the main campus in the United States. SUNY Korea faculty are hired with input and approval of the home department at Stony Brook. A

Board of Managers governs SUNY Korea, and executives from Stony Brook University hold six of nine seats on the Board, including Stony Brook's Provost, Chief Financial Officer, and Chief Student Affairs Officer. Programs at SUNY Korea participate in student learning outcomes assessment in the same way as those on the main campus, and a comparison of student performance indicates SUNY Korea students reach the same levels of academic performance as do students who complete all of their studies at Stony Brook.¹¹³

Accelerated College Education (ACE) Program

To support its mission to provide leadership in economic development and culture in surrounding communities, Stony Brook offers the Accelerated College Education (ACE) Program to provide college-level curriculum within the high school setting. This dual enrollment program serves 3,000 high school students a year allowing them to take Stony Brook courses as part of their high school experience. As of 2023-24, 35 courses are offered in 19 participating high schools. Course content is delivered by qualified teachers, who are vetted by faculty in the home department. These courses undergo rigorous review and syllabus alignment by Stony Brook faculty. While only about one in twenty students participating in ACE become degree-seeking students at Stony Brook, they perform as well as or better than students who did not participate in ACE.¹¹⁴

3.8 *periodic assessment of the effectiveness of programs providing student learning opportunities.*

Department/ Program Review

As a central aspect of the University's mission, the delivery of academic programs is under

continual operational scrutiny to deliver appropriate, high-quality courses to students and ensure students meet their academic goals effectively in a timely way. Additionally, faculty assess student learning outcomes on an ongoing basis as described in Chapter 5. Periodically, however, departments and programs engage in a deeper look at themselves through a reflective process. Stony Brook's programs with disciplinary accreditation further engage in robust external review processes through their accrediting bodies to ensure programs are of the highest quality.¹¹⁵

Prior to 2022, the review of programs without disciplinary accreditation had been delegated to Colleges and Schools to carry out as appropriate. For example, the College of Arts and Sciences conducted a rigorous review of all of its programs and departments in 2018, and these reviews substantially informed planning for each department and development of the College's strategic plan. Some units have developed their own shorter-cycle planning activities; the Department of Physics and Astronomy, for example, engages in an in-depth planning and review process every three years, and the Renaissance School of Medicine has conducted reviews of its departments beyond its accreditation cycle through LCME.¹¹⁶

In 2022-23, the Provost appointed an ad hoc committee to examine program review processes and make recommendations for a reinvigorated approach to program review, so that programs without disciplinary accreditors engage in a consistent cycle of self-study and external review. This committee reviewed processes at Stony Brook and at other institutions and made recommendations for a policy that was adopted by the University in 2023.

This policy for department/program review requires all degree and certificate programs to prepare a self-study that includes assessment of student learning outcomes, consistent with SUNY's policy on assessment. In addition, programs participate in an external review every seven years or an external accreditation cycle of no more than ten years. Self-studies may also include a review of research, scholarly, and creative activity, as appropriate. Departments may prepare a single self-study of the department that encompasses all programs in their department. Reports and reviews conducted as a part of programmatic accreditation satisfy the requirement for self-study and external review. Administrative support for this new process is provided by the Office of Educational Effectiveness and data support is provided by the Office of Institutional Research, Planning & Effectiveness.

Eight departments or programs are participating in this new system in 2023-24. All departments and programs are scheduled to complete a review within the seven-year timeframe. They are preparing a self-study that includes a significant amount of data about faculty, unit resources, research, student enrollment and completion, student

learning, DEI, graduate outcomes and plans for improvement. In spring 2024, self-study reports will be distributed to external reviewers and various internal constituencies, including the Undergraduate and Graduate Councils. External reviewers will visit campus to interview program faculty, staff, and students and prepare a report for the program and academic leadership. Departments and programs will prepare a short follow-up report 18 months later to report on progress. This process will be monitored and adjusted throughout 2023-24 to calibrate its scope and parameters.¹¹⁷

General Education Assessment

In addition to periodic indirect assessment of general education courses and learning outcomes conducted through course evaluations and sample surveys, two large studies of the Stony Brook Curriculum (SBC) were conducted in 2018 and 2023. These approaches are discussed in more depth in Chapter 5. As noted in Section 3.5, the GEAC reviews all information about the effectiveness of the SBC and uses it to carry out its charge, including periodic consideration of the purpose and scope of general education in terms of its relevance and impact on students and departments.¹¹⁸

Assessment of Programs that Support Faculty

Multiple units across the university support faculty in their efforts to teach, conduct research, and serve the broader community. For example, University Libraries and CELT offer consultations, training, and other resources to all Stony Brook faculty. The Library specifically reports on Academic Engagement activities. Over this past year, they have increased their orientation sessions participation by 19%, and all workshop participation by 38% from the previous year. The Library conducts assessment surveys of workshop participants and has partnered with IRPE to assess information literacy learning outcomes.

CELT requests feedback from participants throughout the year via activity surveys. Furthermore, an annual survey sent to all faculty who have attended an activity throughout the year provides the opportunity for faculty to provide feedback over the full spectrum of the programming offered by CELT rather than the individual activities. Of the 284 participants who filled out workshop surveys between 2020 and 2032, 93% reported that they intended to use the content and skills they learned in their

own course/professional work and 90% reported that they were likely to recommend CELT workshops.¹¹⁹

Evaluation & Areas for Improvement

The University has done a remarkable job advancing the excellence of its academic programs, as evidenced by improvements in graduation rates, programmatic and university rankings, and the success of its students after graduation.

The faculty of the University are impeccably qualified and capably provide high quality instruction, but their number must increase for the University to meet its ambitious goals for transforming learning and teaching, and leadership in research. While the University is working on diversifying its faculty, women are insufficiently represented among the tenured and tenure-track faculty, as are faculty who identify as Black, Latinx, or American Indian.

The Stony Brook Curriculum produces strong and improved general education outcomes from the prior Diversified Education Curriculum, and the program development and review processes are strong and place control and oversight appropriately with the faculty of the University. Stony Brook's graduate programs are rigorous; furthermore, master's degree and professional programs continue to grow. At the PhD-level, Stony Brook ranks #17 in the public AAU in terms of research doctorates awarded per tenured/tenure-track faculty member.

Addressing the following areas would improve how the University delivers on its mission:

- To further enhance transparency and facilitate communication, develop a central hub for academic information, including academic policies, curriculum committees' processes, faculty review, academic bulletins, cross-unit programs, and other resources.
- To ensure continued excellence in academic programs, prioritize efforts to improve student-to-faculty ratios with particular focus on adding tenure-track faculty.

- To serve its diverse student population, more effectively recruit university leaders, faculty and staff that reflect this diversity.
- To ensure the SBC remains forward-looking and addresses SUNY’s recent adoption of a new

general education framework, examine the purpose and impact of general education.

⁷⁰ 3_1 3_6 Facts and Rankings	⁹⁵ 3_4 Courses
⁷¹ 3_1 Academic Programs	⁹⁶ 3_2d 3_4 University Libraries
⁷² 3_1 NYSED Regulations	⁹⁷ 3_4 Experiential Learning
⁷³ 3_1 SUNY Program Development and Revisions	⁹⁸ 3_4 Enrichment Programs
⁷⁴ 3_1 Syllabus Policies and Resources	⁹⁹ 3_4 Centers and Institutes
⁷⁵ 3_1 Curriculum Committees	¹⁰⁰ 3_5 Stony Brook Curriculum
⁷⁶ 3_1 Provost Program Approval Resources	¹⁰¹ 3_5 Stony Brook Curriculum (see pp. 2 and 11)
⁷⁷ 3_1 3_8 Accredited Programs	¹⁰² 3_5 Stony Brook Curriculum (see pp. 3 and 15)
⁷⁸ 3_2a Faculty Awards	¹⁰³ 3_5 Stony Brook Curriculum (see pp. 3 and 16)
⁷⁹ 3_2a Faculty Responsibilities	¹⁰⁴ 3_5 Stony Brook Curriculum (see pp. 3 and 18)
⁸⁰ 3_2b Faculty Qualifications	¹⁰⁵ 3_5 General Education Oversight
⁸¹ 3_2b Faculty Diversity and IDEA Fellows	¹⁰⁶ 3_1 3_6 Facts and Rankings
⁸² 3_2c Sufficient Number of Faculty	¹⁰⁷ 3_6 Graduate Faculty Credentials
⁸³ 3_2c Graduate Teaching Assistants	¹⁰⁸ 3_6 Graduate Degree Requirements
⁸⁴ 3_2d Staffing Ratios	¹⁰⁹ 3_6 Graduate Enrichment Programs
⁸⁵ 3_2d Center for Excellence in Learning and Teaching	¹¹⁰ 3_6 CIE Graduate Support Programs
⁸⁶ 3_2d Artificial Intelligence	¹¹¹ 3_6 Unique Graduate Research Opportunities
⁸⁷ 3_2d Center for Inclusive Education	¹¹² 3_7 International Academic Programs
⁸⁸ 3_2d Faculty Mentoring	¹¹³ 3_7 SUNY Korea
⁸⁹ 3_2d 3_4 University Libraries	¹¹⁴ 3_7 ACE Program
⁹⁰ 3_2d Research Support for Faculty	¹¹⁵ 3_1 3_8 Accredited Programs
⁹¹ 3_2e Faculty Promotion and Tenure	¹¹⁶ 3_8 Department Reviews Before 2023-24
⁹² 3_2e Promotion Metrics	¹¹⁷ 3_8 Department and Program Review
⁹³ 3_3 Academic Bulletins	¹¹⁸ 3_8 General Education Assessment
⁹⁴ 3_3 Tech Supporting Degree Progress	¹¹⁹ 3_8 Faculty Support Program Assessment



**STANDARD IV:
SUPPORT OF THE STUDENT
EXPERIENCE**

Standard 4: Support of the Student Experience

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

Overview

This chapter shows how Stony Brook University extends opportunities to a diverse population of students from New York and the wider world to pursue educational excellence, ensures they graduate on time, and then helps these students transition quickly to careers or further education. Stony Brook has intentional, effective, and equitable processes to recruit, orient, support, and graduate students, and the University has similarly deliberate and effective programs and structures to support learning and well-being in and out of the classroom.

Collaboration between the Office of the Provost and Division of Student Affairs at Stony Brook has helped ensure a holistic approach to student success. Responsibility for recruitment, financial aid, student records, advising, and academic support functions are housed in the Provost’s area. Responsibility for other aspects of the student experience rests with the Division of Student Affairs, which houses major functions such as orientation; Student Health, Wellness and Prevention Services; Campus Residences; Community Standards; and

Career Services and Experiential Learning. These areas deliver high-quality services to students and collaborate to optimize the student experience. They have raised the 4-year graduation rate for first-time undergraduates by 17 percentage points over the past decade.

From recruitment through graduation, Stony Brook has invested in student success by expanding high-impact practices and building on them in new and innovative ways. This includes campus-wide, coordinated efforts around student success such as a campus-wide student success team, data analytics, proactive advising strategies and the hiring of retention-focused specialists, newly updated orientation programs and first-year learning communities, and more structured systems to support faculty-student engagement.

Stony Brook’s new strategic plan *Our Moment* continues this work and sets objectives for expanding student access to transformational educational opportunities, advancing our longstanding commitment to social mobility, and fostering student success in all facets of students’ lives, including academic achievement, emotional and social well-being, and economic stability. Among the goals set by the University are ambitious targets to raise the six-year graduation rate for first-time students to 85% and the one-year retention rate to 92%. Developing new and innovative approaches to support the student experience will be central to reaching these targets.

Evidence of Compliance

Focus on Student Success

In 2014, Stony Brook made a commitment at the White House Summit on Expanding College Opportunity to raise the four-year graduation rate for first-time undergraduates from 47% to 60% by 2018. The University met and surpassed this goal, with a current four-year

4.1 *clearly stated, ethical policies and processes to admit, retain, and facilitate the success of students whose interests, abilities, experiences, and goals provide a reasonable expectation for success and are compatible with institutional mission.*

graduation rate of 64% -- an increase of 17 percentage points. The 6-year graduation rate is 78%, and an additional 13% transferred to complete degrees at other institutions or are still enrolled. Importantly, Stony Brook has prioritized both equity and excellence in all aspects of the student experience. Equity gaps are largely closed: students who identify as Black and as Latinx graduate at the same rates as students who identify as white, students receiving Pell grants graduate at the same rates as those who do not, and first-generation students graduate at the same rates as those from families with more educational capital. Positive results have also been achieved at the graduate level, where the average time to degree for Ph.D. students has been reduced to under 6 years and time to master's degree remains below 2 years, with over 68% and 85% of students graduating, respectively.¹²⁰

The educational opportunities provided at Stony Brook translate to significant post-graduation success, allowing students to reduce educational debts and advance in their careers rapidly. Nearly 19 out of 20 bachelor's recipients are employed or pursuing continuing education one year after graduation. Ten years post-graduation, undergraduate, master's and doctoral degree alumni earn salaries well above national averages and in the top third among the public AAU institutions. The increases in the graduation rate have allowed an additional 3,500 students to graduate on-time, amounting to an economic benefit to these students of a quarter of a billion dollars from \$50 million of savings in tuition and fees and \$213 million in additional earnings capacity.¹²¹

Sustained and Coordinated Approach

To achieve these remarkable results, the University took a sustained and coordinated approach to improve student success. Under the leadership of the Vice Provost for Undergraduate Education, a broadly constituted Academic Success Team was convened to identify and address issues that would improve student success. This team included leaders from all advising units, deans' offices, tutoring and academic support, enrollment management, information technology, student accounts, special programs, the career center, student affairs, the registrar, financial aid, and institutional research.

Using a Deming-cycle method of "plan-do-check-act," the Academic Success Team took a multi-pronged approach

that incorporated numerous initiatives, many of which are discussed in greater detail later in this chapter. These included expanding institutional research and use of in-house data analytics; launching an Academic Success Center; reforming policies on retaking classes, registration expectations, and academic probation; developing a Finish in Four program to focus on students in their third and fourth years and deploying a completion mini-grant program; identifying and segmenting populations of students in the most need of support, including men, students with GPAs between 2.0 and 2.5, and students behind in credits; improving class availability; and improving success rates in classes in which students earned disproportionate course grades of D, F, and W.¹²²

In 2020, with the pressures of the COVID-19 pandemic and leadership changes, the University shifted from a centrally coordinated student success meeting to more localized responsibility within individual units. Stony Brook was able to sustain its pre-pandemic progress, with retention and graduation rates falling by only 1-2 percent. Nevertheless, Stony Brook recently adopted ambitious goals to improve one-year retention to 92 percent and the six-year graduation rate to 85 percent. In direct support of these goals, a broad-based and coordinated Student Success Team has been restarted, led jointly by the Vice Provost for Undergraduate Education and the Vice President for Student Affairs.

Admissions, Retention, and Student Success

Stony Brook recruits, admits and enrolls highly qualified students across diverse backgrounds and academic interests, and then delivers the highest-quality education as a vehicle for social mobility.¹²³ A redesigned Division of Enrollment and Retention Management sets the agenda and direction for enrollment strategies at the undergraduate level that align with institutional mission and priorities. Graduate recruitment strategies are set by programs in Colleges and Schools with support from the Center for Inclusive Education (CIE) and the Division of Enrollment Management.¹²⁴

Admissions functions maintain policy and procedure documents that guide decisions and daily practice across multiple aspects of recruitment and evaluation of student applicants. Evaluation of students is based on a holistic evaluation model that is reviewed and enhanced annually.

Stony Brook’s undergraduate admissions are test-optional and employ the College Board Landscape adversity index to promote social mobility and to identify students most likely to succeed. Stony Brook University is a member of the National Association for College Admission Counseling and follows best practices within NACAC’s Guide to Ethical Practice in College Admission. The Division of Marketing and Communications is responsible for ensuring marketing and communications strategies are conducted in a socially responsible and ethical manner.¹²⁵

Like most flagship institutions in the 2020s, Stony Brook has performed well in meeting enrollment goals for undergraduate and graduate students. Stony Brook has made impressive strides by adding 1,300 Pell grant recipients since 2016 and raising the percentage of undergraduates receiving Pell grants to 38%, ranking #3 among the AAU. The Bloomberg Philanthropies American Talent Initiative recently designated Stony Brook a “high flier” in recognition of these efforts. The university anticipates steady growth in both student headcount and tuition revenue over the next several years. However, Stony Brook has continued to find it challenging to recruit African American students and American Indian students at the graduate and undergraduate levels and will continue to implement creative approaches to ensure these populations have appropriate access to the University.¹²⁶

Transparent Costs and Financial Aid

Stony Brook provides accurate, comprehensive information about tuition, fees, and room and board for all prospective and current students as well as the general public. The Financial Aid website includes the full cost of attendance for different living arrangements, a net price calculator, and financial literacy material. The Office of Student Financial Services website publishes detailed billing and payment information, including payment options, international student payments, billing dates, refunds, and past due balance penalties; academic bulletins (a.k.a. “catalogs”) link to this site. Costs for professional programs are published on their respective sites as required. These resources are updated regularly to display current and accurate information.¹²⁷

4.1a *accurate and comprehensive information regarding expenses, financial aid, scholarships, grants, loans, repayment, and refunds.*

The Office of Financial Aid also publishes in-depth information about scholarships, state, and federal student aid programs. The Graduate School provides information about funding opportunities, including fellowships, to prospective graduate students; the Graduate Bulletin offers detailed requirements for financial support of doctoral students; and the Center for Inclusive Education provides extensive information on travel funding, research grants, and emergency funding for graduate students.¹²⁸

Placement and Developmental Education

As part of the University admissions process, applicants are reviewed for their potential to succeed in a diverse and rigorous academic community. Admitted undergraduate students take placement tests to determine readiness

for first semester coursework. In some instances, even highly capable students still require additional developmental support in targeted areas, while other students may have the ability to take more advanced coursework in the first semester.¹²⁹

4.1b *a process by which students who are not adequately prepared for study at the level for which they have been admitted are identified, placed, and supported in attaining appropriate educational goals.*

University Placement Exams/Assessments

Prior to entering, new undergraduate students are required to take several assessments to place them in the proper course or curriculum sequence. In most instances, qualifying AP scores or college transfer credit determine placement. Students without these courses or scores complete an assessment for placement in math, writing, foreign language, and/or chemistry. Additionally, entry-level mathematics and physics courses have an extended add/drop period, usually after students have been notified of the results of the first exam, allowing students to switch into the most appropriate course level. About 400 undergraduates each year out of over 17,000 are identified for placement in developmental mathematics or writing courses. Prior to the COVID-19 pandemic, pass rates in developmental math courses averaged about 85%. Pass rates fell to just 50-60% through the pandemic, although they have shown slight improvement in 2023 as the University has returned to more regular operations.¹³⁰

Educational Opportunity Program/Advancement on Individual Merit (EOP/AIM)

Stony Brook's Educational Opportunity Program/Advancement on Individual Merit (EOP/AIM)

established in 1968, supports economically disadvantaged students whose academic qualifications do not meet regular admissions standards. EOP students complete a mandatory summer program, focusing on math, writing, and scientific thinking. Initially, 55% require remedial math courses, but by summer's end, 97% can enroll in college-level math. Throughout the academic year, students receive individualized support, including EOP Counselors, tutoring, coaching, workshops, and access to dedicated resources. Remarkably, EOP students achieve a six-year graduation rate of 76%, just slightly below the 78% for other Stony Brook students but significantly higher than the 64% for EOP participants at other SUNY 4-year institutions. This achievement is notable given the link between academic readiness and student success.¹³¹

Intensive English Center

Undergraduate students from other countries who do not yet meet the English proficiency requirement but are otherwise academically qualified for admission are provided an opportunity for conditional admission if they attend the Intensive English Center (IEC) as non-credit students. The IEC offers a focused curriculum combined with high support programming to assist students with improving their language skills and preparing for full undergraduate admission. At the graduate level, proficiency in English is required for admission, with additional speaking competency requirements for PhD candidates and Master's students who serve as Teaching Assistants. The IEC offers courses in oral academic English for graduate students who must raise their speaking proficiency in English so they can meet their teaching requirements.¹³²

Orientation, Advisement and Counseling

New Student Orientation

Each summer, Stony Brook welcomes about 5,000 new first-year and transfer undergraduate students. In 2018, a

4.1c *orientation, advisement, and counseling programs to enhance retention and guide students throughout their educational experience.*

taskforce was charged to examine and update New Student Orientation through an intensive evaluative process including feedback from students about the timing, modality, and content of orientation. This review process resulted in numerous enhancements, including the establishment of interactive online modules, a new and expanded New Student and Transition Programs office to oversee orientation, a Welcome Week of programming, and new content to support families of students. In addition, a successful pre-orientation Seawolves Outdoor Adventure Program (SOAP) was launched in 2021 to engage new students in team building through off-campus excursions. Updated programming focuses on developing a sense of belonging, skill development, and mentoring.¹³³

Pre-arrival and arrival orientation for graduate students is facilitated through the Graduate School including a series of online modules that highlight policies and procedures, key resources for student services, and an introduction to graduate student life. Various graduate programs, Colleges and Schools also provide relevant programming.¹³⁴

Post-Arrival Transition Programs

All first-year undergraduates participate in the Undergraduate Colleges (UGCs), which incorporate a variety of high-impact practices, including vibrant first-year learning communities that offer continued transition support and connect students with faculty, staff and campus resources for a successful first year at the University. In their first semester, all first-year students take a Stony Brook 101 course to foster a sense of belonging, promote engagement, clarify individual plans and purpose, and involve them in a dialogue on social responsibility and inclusion. In their second semester, first-year students must take Stony Brook 102, a small seminar class taught by faculty from across disciplines designed to connect students to faculty in a small-group setting early in their academic careers. For incoming transfer students, an equivalent seminar (ADV 101) is offered that focuses on transfer student transition, campus resources, and overall success. For graduate students, post-arrival support continues through their academic departments and programs.¹³⁵

Academic Advising

Advising has played an increasingly central role in student success, providing a way for students to connect with campus resources and explore interests and purpose as global citizens.

Stony Brook structures undergraduate academic advising to match advisor expertise with student needs. First-year students receive general advising through the Undergraduate Colleges. Students in their second year and beyond, as well as transfer students, are advised through Academic and Transfer Advising Services (ATAS). Specialized advising is provided for specific populations in programs like the Honors College, University Scholars, Women in Science and Engineering (WISE), EOP/AIM, and Athletics, all exclusively staffed by professional advisors.

Major-specific advising occurs within academic departments. While most departments rely on faculty advisors, large programs like Psychology and Biology, with over 2,000 undergraduates each, also have professional staff advisors alongside faculty. The College of Engineering and Applied Sciences offers general and major advising through the Office of Undergraduate Student Services. Health professions and graduate students follow department-focused advising, with smaller cohorts tailored to graduate-level requirements.¹³⁶

A standing committee of advising directors provides coordination for advising and offers an eight-week Academic Advising Certificate Program open to all faculty and staff working in advising capacities. The program increases knowledge of good advising practice, data-driven approaches to advising, culturally responsive advising, and supporting students through mental health challenges. Over the past decade, nearly 550 faculty, staff and graduate students have completed the program, allowing for greater consistency in training, services, professionalization, and overall best practices.¹³⁷

Finish Line Advising supplements general advising and advising in major departments through a retention/success advising program. While the original Finish in Four program in 2016 was staffed by two part-time success advisors, the current Finish Line model has expanded to five Assistant Directors and a department of Undergraduate Retention Initiatives and Success

Engagement (U-RISE). The expanded U-RISE portfolio includes specialized advising for academically suspended students, a Finish Line program that focuses on four-year graduation, as well as five- and six-year graduation, and the newly appointed Student Success Through Applied Research (SSTAR) Lab. SSTAR conducts original research on topics that impact student retention and overall success, and uses that research to inform on-the-ground interventions and support units across the campus in their own retention work.¹³⁸

Advising Technology - Staff and students use the EAB Navigate student success platform, which has increased coordination across units on campus and has streamlined the student experience. Navigate is used to schedule and document advising and tutoring appointments, run outreach campaigns, and receive progress reports from faculty. Student Affairs units and the Office of Financial Aid also use Navigate. Since the adoption of Navigate, student advising appointments have nearly doubled, and faculty engagement with student progress reports to advising units has increased to 60 percent.¹³⁹

Counseling and Wellness

The COVID-19 pandemic exacerbated a steadily increasing concern about mental health and the academic, social and personal implications for students, so that in the 2021-2022 academic year alone, 60% of students nationally reported at least one mental health issue. Even prior to the pandemic, Stony Brook had a variety of resources in place to support students in their psychological and physical well-being. In addition to student-facing resources and support, a comprehensive website, the Red Book, was created in 2019 to better guide faculty and staff on recognizing and responding to a student in need. The Red Book includes educational resources, specific campus contacts, and a direct reporting feature to report student behavior that may have an impact on individual health and safety, or the health and safety of the community. TimelyCare discussed in Section 4.5, now provides 24/7 virtual access to high-quality medical and mental health services.

- *Student Health Services* provides accessible and holistic primary care to all Stony Brook students, including services for dietary/nutrition, sexual health,

LGBTQ services, preventive care, travel medicine, and immunization records.

- *Counseling and Psychological Services (CAPS)* provides free and confidential counseling services to any Stony Brook student allowing students to have one-time, regular, or group counseling. CAPS has an after-hours crisis line and oversees virtual on-demand services through TimelyCare.
- *Krasner Psychological Center (KPC)* - Stony Brook also provides outpatient mental health services through an affiliated non-profit training clinic for clinical psychologists.
- *Center for Prevention and Outreach (CPO)* supports and educates the student community about substance abuse/dependence, healthy relationships and interpersonal violence, and mental and physical health. Programs and services include Red Watch Band, QPR, and Green Dot bystander intervention programs, healing arts events, counseling with a professional Survivor Advocate and Prevention Specialist.
- *Consult, Assess, Respond, Educate (CARE) Team* - The CARE team assesses and addresses student behavior that may threaten the health and safety of an individual student and/or the community. The team uses a coordinated care and behavioral assessment model, with representatives from across departments and services in academic and student affairs.
- *Student Support Team (SST)* – The Student Support Team consists of trained professionals who assist students in a non-clinical setting with resources and referrals about concerns that may be impacting them personally, academically, and financially. SST manages the Student Emergency Support Fund to assist students with unexpected financial challenges.
- *Student Accessibility Support Center (SASC)* - SASC is the designated support and service center for students with disabilities. SASC arranges accommodations as well as empowers students with disabilities as they navigate the college setting.
- *Food Pantry* - The Food Pantry provides immediate access to a stable food source and additional resources to all students, faculty and staff who are food insecure or are at risk for food insecurity.¹⁴⁰

Academic Support, Transfer and Career Placement

4.1d *processes*

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

Academic Support

Reporting to the Vice Provost for Undergraduate Education, the Academic Success and Tutoring Center (ASTC) provides one-on-one and small group tutoring for common entryway courses using the Navigate appointment system. In addition, ASTC

coordinates Peer Assisted Learning sessions, where students practice additional course content in a more informal small group setting. ASTC has also established a network of college skill-based tutors who help students learn important professional skills such as time management and goal setting. Tutoring services are provided for 73 courses, including courses in Applied Mathematics and Statistics, Biology, Chemistry, Computer Science, Economics, French, Physics, and Psychology. Over 7,000 tutoring sessions are held each year, with 91% of students reporting that the sessions allowed them to make progress toward their academic goals and 94% of students reporting that they would recommend ASTC tutoring. ASTC has partnered with Campus Residences to provide tutoring in university-owned housing to facilitate access to academic support.¹⁴¹

Additional Campus Tutoring and Learning Centers target specific academic areas, including: the Mathematics Learning Center, the Writing Center, the AMS Help Room, the Biology Learning Center, the Chemistry Learning Center, the Physics Help Room, and the Spanish Writing Center. Graduate students can take advantage of the Dissertation Writing Bootcamp, the Inter-University Doctoral Consortium, and Presidential Dissertation Completion Fellowships. International students have opportunities for supplementary academic development through Curricular Practical Training.¹⁴²

Facilitating Transfer to Other Institutions

Stony Brook University strives to provide an exceptional educational experience to all students and has made considerable progress in increasing student retention, while decreasing time-to-degree. Nevertheless, some

students choose to transfer to other institutions. Currently, 10-15% of undergraduate students transfer to another institution, and nearly all (~80%) of these students graduate.

This high completion rate post-transfer is partially facilitated by Stony Brook's participation in the SUNY Exchange Program. The SUNY Exchange Program requires that transfer pathways are developed when new programs are developed and approved, as discussed in Chapter 3. These pathways outline how lower-division courses in each program fit into programs at other SUNY institutions, facilitating credit acceptance and shorter time-to-degree for students who transfer between campuses. Stony Brook has also made the process of sending transcripts as easy as possible, and when requested, Stony Brook faculty will provide current (e.g. mid-semester) grades and reference letters to support student transfer.

Success After Graduation

Stony Brook University is committed to ensuring the successful career placement and continuing education of graduates. These efforts are observed through the successful careers of our students. Over the past 5-10 years, Stony Brook has made a concerted effort to offer new cross-cutting programmatic opportunities. A brief description of a few of these initiatives follows.

Career Center - The Stony Brook University Career Center provides centralized services for all majors and degree levels, including alumni since 2020. The Center maintains a strong employer network through eight career communities; offers customized information, training sessions, and career connections; conducts individualized career coaching sessions; and hosts workshops on resume writing and networking.

The Center manages a credit-bearing career development curriculum in partnership with the Provost's Office, and oversees numerous on-campus student employment and internship opportunities alongside specialized experiential programs like Explorations in STEM and Pathways to Healthcare. They launched the Center for Service Learning and Community Service in 2022 to strengthen university-community partnerships and public service outreach, and recently began stationing staff in the College of Business

and the College of Engineering & Applied Sciences to further enhance services and outreach.¹⁴³

Optional Practical Training (OPT) allows recent graduates who attended Stony Brook on an F-1 student visa to obtain temporary employment and gain practical experience and training in fields directly related to their degrees. The Visa and Immigration Services (VIS) office manages this process and ensures that all eligibility requirements are met by applicants. All students who are interested in requesting an OPT period must go through on-campus training and meet with an immigration advisor.¹⁴⁴

External Fellowships/Office of Professional Development - The Graduate School supports undergraduate and graduate students pursuing external fellowships that require a campus nomination process and provides advising/programming for all external fellowship applicants. For example, the office delivers information on Fulbright Scholarships and Goldwater Scholarships as well as a three-month "boot camp" for applicants to the NSF Graduate Research Fellowship Program. Over the past eight years, the office has steadily increased the number of applicants and recipients to competitive scholarship programs and Stony Brook is regularly named a Fulbright Top Producer. The Office of Professional Development in the Graduate School also delivers professional and workforce development programming and administers the Office of Postdoctoral Affairs, which houses the PhD Career Ladder Program, an NSF funded program to support a learner-centered career exploration pathway for PhDs both inside and outside of academia. The Office sponsors the annual three-minute thesis competition and delivers numerous workshops such as grant writing, data literacy, entrepreneurship, and policy and decision making.¹⁴⁵

Transfer Credit and Articulation Agreements

Transfer Credit

Stony Brook publishes its policies for the acceptance of transfer credit through academic bulletins and websites of the Registrar and the Graduate School. The University's Consumer Information webpage links to these policies.

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

At the undergraduate level, Stony Brook University accepts transfer credit for all courses passed with a letter grade of C or higher at regionally accredited institutions or recognized by the Program on Noncollegiate Sponsored Instruction of the State of New York and recorded on official transcripts. Credits are evaluated and may be accepted for applicability to specific Stony Brook University degree requirements. Following SUNY policy, Stony Brook awards transfer credit for all successfully completed credits of an Associate of Arts or Associate of Science degree earned at a CUNY or SUNY institution.¹⁴⁶

Stony Brook University's capabilities to articulate undergraduate transfer credit have grown dramatically. Common courses have been evaluated by the Stony Brook faculty to ensure that the same learning objectives are met. These equivalencies are documented in a publicly available, web-based transfer equivalency database so that students can make informed decisions about transferring. More specialized courses at the graduate and undergraduate levels are assessed on a case-by-case basis. To date, over 96,000 courses have been articulated from more than 1,600 institutions of higher education. These processes positively impact student recruitment, retention, and timely graduation. This database is also useful for students wishing to participate in the National Student Exchange or Study Abroad programs that involve coursework at other institutions.¹⁴⁷

Articulation Agreements

To enhance access and promote diversity and inclusion, Stony Brook University offers articulation agreements through SUNY Transfer Paths. There are strong

partnerships and Joint Admissions Agreements with Suffolk County Community College and Nassau Community College, institutions that together account for more than one-third of the transfer student population.¹⁴⁸

Globally, Stony Brook has over 100 partnerships, in approximately 45 countries, including articulation agreements with universities such as Ajou University, the University of Seoul, and Konkuk University in South Korea, and Anhui University in China. The Office of Global Affairs manages these partnerships and provides a comprehensive listing on the Stony Brook Global Partnerships webpage.¹⁴⁹

Evaluation of transfer credits at the graduate level is more nuanced. University policy stipulates that a maximum of 12 credits may be transferred to a master's program and a maximum of 6 credits towards a certificate program with the approval of the program and the Graduate School provided they have not been used towards satisfying the requirements for another degree or certificate. Transfer credits for a doctoral degree program are allowed only if those graduate credits are relevant to the learning outcomes of the Stony Brook University graduate program.¹⁵⁰

Stony Brook University accepts the recommended American Council on Education credits for the military courses on the Joint Services Transcript (JST), but currently does not accept credits for military experience. The Academic and Transfer Advising Services office reviews the JST for credit and general education requirements. If the student appears to have credit towards a major or minor requirement, the relevant department will review the credits for applicability.

While Stony Brook does not offer college credit for life or prior work experience, the University places significant value on experiential education as part of the structured academic program under the supervision of faculty members, and as discussed in Chapter 3, experiential learning is part of the Stony Brook Curriculum.

Student Records and Data Security

4.3 *policies and procedures for the safe and secure maintenance and appropriate release of student information and records.*

Fulfilling the University's mission depends upon living up to a commitment to maintain the confidentiality, integrity, and availability of information. This commitment features a

robust system of policies and structures to ensure privacy and confidentiality.

Family Education Rights and Privacy Act (FERPA)

Stony Brook University stores student data for academic tracking and to document interactions with faculty and staff while safeguarding privacy and complying with federal and State laws. Stony Brook's policy on records allows students to share records with other individuals by completing a FERPA Release Form and to withhold directory information from public release. The University Registrar annually informs the campus community about this policy and student rights under federal law.¹⁵¹

Data Security Policies and Initiatives

The University's Policy on Data and Data Access requires a legitimate educational or institutional purpose to access university data, including student records. A corresponding Sensitive Information Classification Policy categorizes physical and electronic data into high, medium, and low categories of risk for the purpose of determining access, permissions, and security precautions.

The University's broadly constituted Data Governance Council recommends and implements institutional policy for governance of university administrative data. The Information Security Program Council (ISPC) manages cyber risk to Stony Brook University's mission and publishes related policies, procedures and standards to protect all members of the community. For instance, ISPC oversees Stony Brook's requirement that all faculty and staff complete Cybersecurity Awareness Training on an annual basis. Two-factor authentication is required to access most university data and the University provides the community access to LastPass, a password management service.¹⁵²

Campus Life and Activities

Stony Brook University provides a learning and living environment where all students can grow and succeed academically and personally, while celebrating diversity and positioning the University in the global community.

The Division of Student Affairs and the Division of Athletics are led by senior administrators who sit on the President's Cabinet, and their budgets, facilities and operations are governed by the same principles and procedures that govern all other programs in resource allocation, facilities management, and general oversight.

4.4 *athletic, student life, and other extracurricular activities that are regulated by the same academic, fiscal, and administrative principles and procedures that govern all other programs.*

Student Affairs and Engagement

The Division of Student Affairs provides the umbrella for student life and extracurricular activities, including oversight of over 350 recognized student clubs and organizations, recreation activities, residential life, commuter student services, and multicultural engagement. Students can participate in organizations related to academics, activism, and advocacy, community service, religious and spiritual communities, and more. An Involvement Fair is held at the start of every fall semester to promote student involvement. Students also have access to SBEngaged, a web portal that makes it easy for students to explore organizations and events they find personally relevant. Stony Brook understands the importance of student involvement and provides recognition to students and organizations that demonstrate excellence in civic engagement, commitment to generating awareness of diversity and social justice issues, leadership, and improvement of student life through an annual awards ceremony.¹⁵³

Student Engagement and Activities

In Summer 2019, Student Affairs reimagined the organizational structure of student life by developing the Department of Student Engagement and Activities (SEA), as well as strategically expanding the Office of Multicultural Affairs into a Department of Diversity, Intercultural and Community Engagement (DICE) in Fall

2023. The development of SEA increased the administrative support and advisory responsibility around student clubs and activities, and ensures that student organizations, including fraternities and sororities, receive fair access to university resources, and adhere to the Community Guidelines handbook. These guidelines regulate and ensure consistency for academic, fiscal, and administrative principles and procedures across all student life organizations, including obligations to maintain university affiliation, event planning, recruitment, risk management, communications, and other areas. Additionally, DICE not only provides educational programs for students that promote cultural competency and diversity leadership development, they also provide advisement and guidance to student clubs and organizations around diversity related issues and concerns.¹⁵⁴

Several governing bodies and advisory groups work closely with Student Affairs and SEA to make recommendations and provide feedback on student needs and experiences pertaining to these extracurricular activities. In particular, SEA advises the Undergraduate Student Government (USG) and the USG-led Student Activities Board and works collaboratively with several other advisory boards and governing bodies, including the Graduate Student Organization (GSO), Residence Hall Association (RHA) and the Recreation and Wellness Advisory Board. Additionally, as part of the shared governance structure, the University Senate has a standing committee on Student Life which consults with and advises the Vice President for Student Affairs on all co-curricular aspects of undergraduate and graduate student life.¹⁵⁵

Recreation and Wellness

Stony Brook recognizes the importance of fitness and wellness programs for promoting positive lifestyle behaviors, social development, and both short- and long-term health outcomes. Campus Recreation and Wellness offers fitness programming to improve the quality of student life in a safe, professional, and friendly environment. Students have access to a variety of services and activities including a dedicated on-campus recreation center, competitive intramural sports, 36 sport clubs, fitness and wellness classes, personal training, a swimming pool, an outdoor field complex, and a ropes course. The Recreation and Wellness (RAW) Advisory Board, consisting

of students, faculty, and staff, provides feedback and recommendations related to the mission and policies of Campus Recreation and Wellness, advises on the use of the recreation and wellness student fee, and ensures that all New York State safety recommendations and guidelines are being followed.¹⁵⁶

Office of Student Conduct and Community Standards

The Code of Student Responsibility applies to all Stony Brook students, governing behavior and compliance with state and federal laws. The Office of Student Conduct and Community Standards educates and holds students accountable, using both informal conversations and formal processes, including hearings with a panel of students, faculty, and staff. They maintain a database of sanctions spanning over 15 years, analyzing data for educational effectiveness and patterns.¹⁵⁷

A separate Title IX Grievance Process is used for complaints involving Title IX and sexual misconduct. Stony Brook students must also adhere to policies in the University Policy Manual, Rules of Public Order, and those set by the Office of Student Affairs.¹⁵⁸

Facilities for Student Life

Several areas in the Student Activities Center and Stony Brook Union have been created or renovated to increase gathering places for the University's diverse students, faculty, staff, alumni, and visitors. Examples include a Center for Service Learning & Community Service, Graduate Student Lounge, the Career Center, Union Club Hub (game room), and meditation and lactation rooms. Student Centers review annual usage of the Student Activity Center and Union spaces and the types of events held in those spaces. The United Nationalities in Transcending Ideologies (UNITI) Cultural Center and LGBTQ* Center are available to students and provide opportunities for engagement in educational programs and multicultural learning and advocacy. The Sensory Space, operated by the Student Accessibility Service Center (SASC), offers students a place to refocus and manage their sensory inputs. Veteran students have access to the new Student Veteran Lounge, which features a broad range of amenities.¹⁵⁹

For the 10,300 students living on campus, the Department of Campus Residences provides services and programs to

create a positive living experience. Professional live-in staff and more than 300 Resident Assistants (RAs) offer ongoing support to strengthen community and belonging.

For students living off-campus, the Department of Student Community Development (SCD) offers services, programs, advocacy, and outreach to make sure commuter students have a rewarding university experience. A commuter assistant program pairs incoming commuter students with senior peers to provide mentoring. Commuter student lounges, like the newly renovated Pit Stop, are available for commuter students to study, relax, and interact. The SCD web page provides vetted off-campus housing options, landlord reviews, rental checklists, and resources for finding roommates.¹⁶⁰

Intercollegiate Athletics

Stony Brook offers nine women's and seven men's intercollegiate sports with approximately 500 student athlete participants annually. These activities follow National Collegiate Athletic Association (NCAA) guidelines, with oversight from the Stony Brook Compliance Office.¹⁶¹

While Stony Brook's football program has competed in the Coastal Athletic Association (CAA) since 2013, the University became a full-time member of the CAA in 2022 after spending two decades in the America East Conference (AEC). The move to the CAA has enhanced its competitive reputation nationally. Importantly, almost half (243) of Stony Brook's athletes were recognized on the CAA Commissioner's Honor Roll for having a GPA over 3.0. Student success is also at its highest level ever, with a graduation success rate of 93% reported to the NCAA in July 2023.¹⁶²

Stony Brook is committed to promoting student-athlete success in every area of their lives and recognizes the impact of practice and travel schedules on academic and extracurricular experiences. Student-athletes are supported through a specialized and focused network, modeled on the NCAA Life Skills Program. Customized services including academic advising, tutoring, career advisement, counseling, and life skills programming – all housed in the Goldstein Family Student-Athlete Development Center, a 6,000-square foot facility. In 2022-2023, an inaugural Director of Athletics Mental Health

Services was hired to extend support for student-athlete well-being. The Director, in a position shared between Athletics and Counseling and Psychological Services (CAPS), is responsible for providing psychotherapy and counseling specifically to student-athletes as well as promoting health and wellness through programming and other initiatives.¹⁶³

Third-Party Student Support Services

Dedicated student affairs and academic affairs professionals deliver almost all student support services. In very limited instances, such as to ensure 24-hour availability of resources, the University has engaged third-party providers to supplement local services offered on campus. All services delivered by third-party providers are selected and approved by relevant administrative areas and proceed through New York State and/or institutional review and adhere to state purchasing and contracting policies.

4.5 *adequate and appropriate institutional review and approval of student support services designed, delivered, or assessed by third-party providers.*

Faculty Student Association

The Faculty Student Association is a non-profit 501(c)(3) organization that provides dining services, bookstore services, and several other auxiliary services to Stony Brook. The FSA Board of Directors oversees the management of FSA. It is composed of members appointed by the University President, student governance, and the University Senate. The Executive Director of FSA is an ex-officio, non-voting member of the Board.¹⁶⁴

TimelyCare

As part of a COVID emergency response, Stony Brook used a criteria-based selection process led by the Associate Vice President for Health, Wellness, and Prevention Services to adopt TimelyMD (TimelyCare), a telehealth and telecounseling platform that gives students 24/7 virtual access to both medical and mental health services. In its inaugural year in 2022-23, there were over 4,000 student visits to TimelyCare. Stony Brook students who used TimelyCare gave it a very favorably rating, averaging over 4.8 out of 5, and in 70 percent of visits,

students reported reduction of distress. While students can still access on-campus health, wellness, and prevention services, TimelyCare provides expanded on-demand virtual access for medical care. This service is overseen by the Associate Vice President for Health, Wellness, and Prevention Services, and is available to both undergraduate and graduate students taking courses either online or in-person.¹⁶⁵

STAR-NY Tutoring

In 2019, Stony Brook's Academic Success and Tutoring Center applied for membership in STAR-NY, a consortium of SUNY colleges and universities that provides free online tutoring to SUNY students. This service enhances current campus tutoring services by expanding drop-in availability, providing more flexible evening hours for students and increasing the number of subject areas for which students can receive support. The application and membership approval phases were led by Stony Brook's Director of Academic Success and Tutoring, and included a committee of academic stakeholders such as the Writing Center Director, and the Procurement Office, which was responsible for reviewing and executing the Participating Institution Agreement (PIA) for a consortium program.¹⁶⁶

International Student Recruitment

Following an evaluation of capacity and success in recruiting international students, Stony Brook entered into a relationship with Shorelight in 2023-24 to assist with recruitment of international students and widen the funnel of student applications. Stony Brook has complete oversight of marketing materials used by this vendor, and the University retains all responsibility and functions for the evaluation of applications and admission of students into programs. The Office of Global Affairs is exploring additional relationships that have similar safeguards to ensure recruiting practices are honest and ethical, prospective students are treated fairly, and Stony Brook's high standards and reputation are maintained. Only recruiters with certification through the American International Recruitment Council (AIRC) or the International Consultants for Education and Fairs (ICEF) are under consideration.¹⁶⁷

Assessment of Programs Supporting the Student Experience

At Stony Brook University, the assessment of programs that support the student experience has been a high priority and is seen

4.6 *periodic assessment of the effectiveness of programs supporting the student experience.*

as critical for ensuring high-quality services and opportunities for students. Areas supporting the student experience regularly evaluate the success of their initiatives that support the student experience. For example, the Office of Student Life collects and analyzes data about event participation and space usage to address programming needs and disparities across time slots. The student wellness units conduct joint weekly clinical quality assessment and improvement activities to ensure quality clinical services. These areas also conduct regular needs assessments using surveys and focus groups to enhance promotion of outreach and prevention services related to sexual violence victimization, mental health, vaccination, and other areas.¹⁶⁸

The Student Affairs Communication, Research, Assessment, Fundraising, and Technology (CRAFT) Team consults on and, in many cases, primarily develops regularized surveys about activities, satisfaction, attitudes, and other perceptions. The Office of Institutional Research, Planning and Effectiveness provides data support for programmatic assessment activities, and also manages the process for administrative units to prepare annual reports that include goals, key performance indicators, and plans for improvement.¹⁶⁹

Evaluation & Areas for Improvement

Stony Brook's success in increasing graduation rates by 17 percentage points over a decade is remarkable and matched by few other institutions in the country. The COVID-19 global pandemic interrupted this progress, and to achieve the President's ambitious goals to reach a 92% retention rate and 85% six-year graduation rate, the University should take an assertive approach by returning

to intensive examination, planning, and execution of student success and retention efforts.

Undergraduate advising has matured over the past decade and recent investments will address some capacity issues. The overarching model, however, remains decentralized and as a result, appropriate coordination can be overly complex, and students are often uncertain whom to approach and what procedures to follow.

- To integrate students into academic life at Stony Brook, the University should examine the first-year seminar curriculum for relevance and effectiveness, as well as examine the compensation structure for Stony Brook 101 instructors to ensure they are compensated fairly for delivery of high-quality instruction.
- To offer students optimal advising, the University should ensure that as enrollment grows, advisors are

added to maintain and improve the ratio of advisors to students.

- To provide the best advising experience possible and enhance the connection between students and their program faculty, the University should examine the organization and structure of undergraduate advising including general advising, special programs, and advising in the major. This examination should include relevant stakeholders and make recommendations that are focused on the student.
- To extend improvements in retention and graduation rates, the University should commit to the restructured Student Success Team launched in 2023-24 under the leadership of the Vice Provost for Undergraduate Education and Vice President for Student Affairs, ensuring its recommendations and initiatives receive full support.

¹²⁰ 4_1 Student Outcomes and Degree Completion

¹²¹ 4_1 Success After Graduation

¹²² 4_1 Advancing Academic Excellence

¹²³ 4_1 Admissions and Enrollment Profile

¹²⁴ 4_1 Admissions Annual Reports 2022-2023

¹²⁵ 4_1 Ethical Admissions Practices

¹²⁶ 4_1 Recruitment Successes and Challenges

¹²⁷ 4_1a Transparent Costs

¹²⁸ 4_1a Financial Aid and Scholarships

¹²⁹ 4_1b Developmental Education

¹³⁰ 4_1b Placement Assessments

¹³¹ 4_1b Annual Report EOP

¹³² 4_1b Grad School English Proficiency Requirements

¹³³ 4_1c New Student Transition Programs

¹³⁴ 4_1c Graduate School Orientation Outline

¹³⁵ 4_1c Post-Arrival Transition Programs

¹³⁶ 4_1c Academic Advising

¹³⁷ 4_1c Academic Advising Certificate

¹³⁸ 4_1c Undergraduate Retention Initiatives (U-RISE)

¹³⁹ 4_1c Advising Technology

¹⁴⁰ 4_1c Counseling and Wellness

¹⁴¹ 4_1d Academic Success and Tutoring Center

¹⁴² 4_1d Graduate Support

¹⁴³ 4_1d Career Center

¹⁴⁴ 4_1d Optional Practical Training

¹⁴⁵ 4_1d Graduate Research Support

¹⁴⁶ 4_2 Transfer Credit

¹⁴⁷ 4_2 Transfer Equivalency Database

¹⁴⁸ 4_2 Joint Admissions and Articulation Agreements

¹⁴⁹ 4_2 Global Partnerships

¹⁵⁰ 4_2 Graduate Transfer Credit Policy

¹⁵¹ 4_3 FERPA and Student Access Policy

¹⁵² 4_3 ISPC and Cybersecurity Training

¹⁵³ 4_4 Student Life

¹⁵⁴ 4_4 Community Guidelines for Student Orgs

¹⁵⁵ 4_4 Student Affairs Governing and Advisory Groups

¹⁵⁶ 4_4 Recreation and Wellness

¹⁵⁷ 4_4 Student Responsibility and Conduct

¹⁵⁸ 4_4 Conduct Policies and Grievance Procedures

¹⁵⁹ 4_4 Student Life Facilities

¹⁶⁰ 4_4 Campus Residences and Comm Dev

¹⁶¹ 4_4 Athletics Compliance and Guidelines

¹⁶² 4_4 CAA Invitation and Outcomes

¹⁶³ 4_4 Student Athlete Development

¹⁶⁴ 4_5 Faculty Student Association

¹⁶⁵ 4_5 TimelyCare

¹⁶⁶ 4_5 STAR-NY Agreement

¹⁶⁷ 4_5 International Recruiters

¹⁶⁸ 4_6 Student Affairs Assessment

¹⁶⁹ 4_6 Assessment Processes



**STANDARD V:
EDUCATIONAL EFFECTIVENESS
ASSESSMENT**

Standard 5: Educational Effectiveness Assessment

“Assessment of student learning and achievement demonstrates that the institution’s students have accomplished educational goals consistent with their program of study, degree level, the institution’s mission, and appropriate expectations for institutions of higher education.”

Overview

This chapter describes how assessment practices at Stony Brook have become ingrained into the University’s structure, policy, practice, and culture through a commitment to assessment from new leadership. While the Commission made no formal recommendations in its reaffirmation of Stony Brook’s accreditation in 2014, the site visit team offered several recommendations to advance the effectiveness of its assessment processes.¹⁷⁰ Stony Brook has followed these recommendations and made remarkable strides to bolster assessment of how effectively the University delivers its educational mission. These advancements include:

- Created and developed an Office of Educational Effectiveness (OEE) to support assessment of academic programs,
- Appointed assessment coordinators for every academic program,
- Established a university-wide Assessment Council,
- Established a university-wide assessment policy,
- Regularized annual reporting of assessment activities,
- Ensured certificate programs have clear learning outcomes and included these programs in the same assessment system as degree programs,

- Conducted two major assessments of general education outcomes as well as instituted mechanisms to systemize this activity, and
- Established assessment awards and an annual assessment recognition event.

Stony Brook’s practices to reflect upon and improve the educational experience have substantially contributed to the University’s achievement of goals to improve student success at all levels, including increasing the four-year graduation rate by 17 percentage points over the past decade while keeping equity gaps closed. Indeed, graduation rates have improved for all groups at all levels due in part to the University’s focus on assessment and improvement of its educational program.

Nevertheless, there is more work to be done to achieve Stony Brook’s bold goals to raise the 1-year retention rate to 92% and 6-year graduation rate to 85% and continue to improve time-to-degree at all levels, while ensuring outcomes are equitable for all groups. To accomplish these goals, the University recognizes the need to continue efforts to assess and improve the delivery of its educational mission by adopting sustainable and flexible procedures for assessment and evaluation which encourage best practices across the University.

Evidence of Compliance

Clearly Stated Educational Goals

5.1 *clearly stated educational goals at the institution and degree/program levels, which are interrelated with one another, with relevant educational experiences, and with the institution's mission.*

The first part of Stony Brook's mission is to deliver educational programs of the highest quality, and this ambition is reflected in the goals articulated at degree and program levels. For undergraduate degrees, educational goals are expressed in the learning outcomes of the Stony

Brook Curriculum (SBC)¹⁷¹ and in each undergraduate major program.¹⁷² For graduate and professional degrees, broad outcomes for deep disciplinary knowledge, research, and ethical inquiry are set forth in the Bulletins of the Graduate School and other Schools delivering graduate education and then further specified at the program level.¹⁷³

As discussed in Chapter 3, the curriculum approval process requires faculty in degree and certificate programs to formulate student learning outcomes that describe the knowledge, skills, and competencies that students can expect to gain from a Stony Brook degree. This includes creating a plan for evaluating students' learning outcomes. New programs must also present a curriculum map indicating the courses that assess the program's educational objectives. Faculty prepare program assessment plans and share them with the OEE; these plans show the courses in which each program's learning outcomes are measured.¹⁷⁴

Systematic Assessment of Student Learning

To address recommendations from the MSCHE site visit team in 2014 and to extend improvements in student success, the University has built systems to facilitate effective assessment of student learning and program goals. Given Stony Brook's range of diverse academic programs, assessment at the University is designed to be flexible and place responsibility for assessment with the faculty of individual academic units. The current approach,

which is consistent with SUNY's assessment policy,¹⁷⁵ has evolved since the last Middle States review in 2014, and it reflects the experiences and challenges with sustainable assessment at a large research university.

5.2 *organized and systematic assessments, conducted by faculty and/or appropriate professionals, evaluating the extent of student achievement of institutional and degree/program goals.*

Evolution of Assessment at Stony Brook

As an initial response to the recommendations of the 2014 Middle States site visit team and the University's Assessment Task Force, the University created the Office of Academic Assessment (OAA) to develop a culture of evidence, learning centeredness, and improvement. The OAA was also subsequently tasked with managing activities related to Middle States accreditation. OAA was staffed by two full-time employees: a director who reported to the Vice Provost for Undergraduate Education and a data professional.

From 2017 to 2020, OAA established a network of assessment coordinators across all programs, conducted a pilot to systematize program assessment, and organized a broad assessment of general education (discussed in more depth below). One of the challenges the OAA experienced was scaling its activities and ensuring leadership buy-in for strategy and approach. For example, the pilot program assessment yielded documentation from just fourteen programs over two years, participation was uneven, and at times reports prepared by OAA presented data and narratives that did not match.¹⁷⁶

A review of OAA in 2021 conducted by the Office of the Provost determined that the approach to assessment at that time was overly focused on technology systems with little focus on the development of the culture and relationships needed to nurture and sustain high-quality assessment activities. It is also fair to observe that significant transitions in the Provost's Office from 2019 to 2022 presented challenges to lead a transformation of how the University approached assessment activities, which are necessarily academic in nature and were difficult to advance with changes in academic leadership.¹⁷⁷

The Office of Educational Effectiveness (OEE)

As a result of this review of the University's assessment activities, the Provost restructured OAA in 2022 into a new Office of Educational Effectiveness (OEE). This new Office has a mission to provide leadership and support in implementing high-quality processes to measure student learning outcomes and use results to advance excellence. OEE has a primary focus on student learning at the program level and adds value to the university's multifaceted efforts to promote student success. Moreover, it is charged with playing a key role alongside the Provost and other academic leaders in cultivating and nurturing a culture of assessment on campus.

The new office is staffed by 5.0 FTE, including a Director, two Educational Effectiveness Specialists, an Accreditation and Educational Effectiveness Coordinator, and a Data Manager. The Office reports to the Vice President of Educational and Institutional Effectiveness, who reports jointly to the President and Provost. This organizational structure integrates OEE into the academic areas of the University while connecting it closely with the Office of Institutional Research, Planning & Effectiveness as well as the Enterprise Data & Analytics unit that supports data warehousing and University reporting.

To accomplish its mission, OEE provides consulting, workshops, campus events to schools, colleges, departments, and programs to facilitate assessment of learning outcomes and administrative outcomes. It conducted a survey of all assessment coordinators in Spring 2022, and developed consulting services and events to meet faculty needs identified in that survey. OEE has since regularized an annual collection of assessment plans and results from all academic programs. It instituted an annual assessment Symposium, with very successful events in 2022 and 2023, during which faculty awards for excellence in assessment were conferred or announced.

In 2023-24, OEE advised the Provost in development of the faculty-led Assessment Council, provided feedback on a review of administrative units, assisted in the development and implementation of a program review policy, and completed a broad-based assessment of the SBC with participation from over 100 faculty members. The office also organized a faculty recognition event in spring 2023, which in conjunction with the establishment of

assessment awards, has had a positive effect on the University's culture of assessment.

Vibrant, consistent, and engaged leadership from the Provost since 2022 has been an essential ingredient in the recipe for OEE's success. The Provost himself distributed awards at the Assessment Symposium and all of the recognition awards at the spring luncheon. The Provost meets bi-weekly with the Director of OEE, who is included in Provostial retreats and division planning. The Provost is also the sponsor of the Assessment Council and the Program Review process, highlighting the value placed on assessment at the highest levels of the academic operation and that assessment informs academic priorities.¹⁷⁸

Assessment Council

To ensure the culture of assessment developed at Stony Brook is broad-based, the University has informed direction from the Provost with significant faculty participation from the earliest stages to develop structures and approaches that are organic and effective. In consultation with the University Senate, the Provost established the Assessment Council in 2022 to advise on assessment issues. Faculty members applied to sit on the assessment Council, and sixteen faculty members were selected to represent all areas of the University. The Assessment Council is led by a faculty chair, elected from the membership of the Council. OEE provides staff support and logistical coordination.

The charge of the Assessment Council is to develop campus-wide policies and procedures for academic assessment and to ensure rigorous assessment occurs across Stony Brook's programs. It fosters a culture of assessment enabling the University to understand the impact of instruction on students and to celebrate the success of SBU programs through the accomplishments of students. The Council has numerous responsibilities that include development of an assessment policy, oversight of program and general education assessment, review of assessment reports and systems, development of recognition programs for assessment, and assessment of assessment processes.¹⁷⁹

Assessment Coordinators

Each degree program has a designated assessment coordinator who is responsible for coordinating and

overseeing the assessment process for that program. This includes communicating assessment results to the OEE and helping to provide a higher-level understanding of the status of assessment at Stony Brook University. For example, in spring 2021, a survey of assessment coordinators was conducted to understand the progress made in adopting and analyzing program learning outcomes, and this information subsequently helped to motivate the changes in assessment practices adopted in the 2022 academic year. The assessment coordinator is often the undergraduate or graduate program director for each department and may also serve on the department curriculum committee. Additionally, the assessment coordinator is typically involved in preparing for external accreditation reviews. OEE maintains a list of assessment coordinators and publishes this list on its website.¹⁸⁰

Assessment Policy

Stony Brook's Assessment Policy was developed collaboratively by faculty on the Assessment Council and adopted by the Provost after consultation with the Executive Vice President of Health Sciences, Deans, Department Chairs, Assessment Coordinators, and University Senate. The policy sets forth expectations and requirements that academic degree and certificate programs at Stony Brook University engage in cyclical assessment processes to ensure that students' education is of the highest quality.

The policy stipulates that degree and certificate programs must develop and implement plans to regularly assess educational effectiveness. Faculty must develop assessment plans that include: (1) articulation of the knowledge, skills and abilities that students should achieve by completing the program; (2) strategies to measure all programmatic learning objectives; (3) creation of student performance assessment criteria; (4) a statement of findings and results; and (5) use of results to make necessary changes or improvements when benchmarks are not met.

As required by the policy, programs submit an annual report to the OEE detailing their assessment activities to

5.2a *Institutions ... define meaningful curricular goals with defensible standards for evaluating whether students are achieving those goals.*

demonstrate their progress toward completing a full assessment cycle every five years. Assessment reports are shared with the Assessment Council and programs' respective chairs and dean(s). Importantly, the policy stipulates that program faculty hold primary responsibility for determining how best to assess student learning and educational effectiveness and should develop assessment plans consistent with the standards in their field(s) of study. Findings from the assessment process are used to inform changes to the program and/or educational experience, such as resource allocation and management. To implement this policy, OEE provides administrative support to help faculty apply best practices in assessment, develop comprehensive assessment plans, measure student learning effectively, and interpret results.

Programs with specialized accreditation use annual assessment findings, programmatic updates, and/or other existing sources of evidence pertaining to student learning in accordance with the assessment policy. Programs without specialized accreditation follow the assessment procedures in accordance with the assessment policy, including but not limited to the completion of annual reports.¹⁸¹

Procedures for Assessment of Student Learning

The Office of Educational Effectiveness (OEE) provides guidance to all academic units on best practices, while recognizing that assessment must be tailored to the discipline. To supplement the assessment policy, the Assessment Council has established and published assessment procedures for externally accredited programs, for programs without programmatic accreditation, and for general education. These procedures outline roles and responsibilities for faculty, Assessment Coordinators, Program Directors, Department Chairs, Deans, the Provost and the Assessment Council.¹⁸²

Programs with External Accreditation

About 70 Stony Brook degree and certificate programs are accredited by one of twenty-two external accreditors recognized by the Council of Higher Education Accreditation. Additionally, Stony Brook's Chemistry programs are approved by the American Chemical Society. About 3,000 students, or just under 40%, graduate each year from one of these programs. Programmatic accreditation is managed by programs with oversight from

the relevant Dean; OEE maintains a library of self-studies and reports to accreditors, which contain extensive information about assessment.¹⁸³

Programs without External Accreditation

Programs that are not accredited complete an annual report using a standardized template. Programs develop a comprehensive assessment plan and assess a minimum of one program learning objective per year, completing a full assessment cycle within five years. The Assessment Council's assessment procedures set forth best practices for assessment plans, indicating the plans should enhance the student experience, document improvements in curriculum and pedagogy, review programs and support services, plan professional development, support budgetary requests, and improve key indicators such as graduation rates and student placement.

In 2022-23, total of 198 academic program assessment reports were received; this represents 95% of those required to be submitted. Of these submissions, 94.5% of reports were considered "Acceptable" (64.5%) or "Well-Developed" (30%) according to the review rubric. Most prevalent strengths included strong program goals (62%), clear and well-mapped assessment locations (54%), and strong program learning outcomes (31%). Most prevalent areas for improvement included measurability of program learning outcomes (47%), assessment methods (45%), and benchmarks (36%). OEE sent the Assessment Council's feedback to each program in fall 2023.¹⁸⁴

Assessment of the Stony Brook Curriculum (SBC)

As discussed in Chapter 3, the Stony Brook Curriculum (SBC) explicitly intends students to demonstrate versatility, explore interconnectedness, pursue deeper understanding, and prepare for lifelong learning. Assessment of the SBC was identified as a recommendation by the 2014 site visit team, and the University has accomplished this, demonstrating that the SBC promotes higher levels of

5.2b *Institutions ... articulate how they prepare students in a manner consistent with their mission for successful careers, meaningful lives, and, where appropriate, further education. They should collect and provide data on the extent to which they are meeting these goals.*

learning than the former Diversified Education Curriculum (DEC) and is associated with improved graduation rates and time-to-degree.

Since implementation of the SBC in 2014, the University has included general education assessment in its assessment policy, conducted two large scale direct assessments of general education learning outcomes, analyzed credit completion in general education, and conducted student surveys demonstrating higher levels of institutional contributions to the learning in general education domains. These positive developments parallel improvement in graduation rates and a reduction of time-to-degree to 3.93 years.

The University's assessment policy places responsibility for assessment of student learning in general education with faculty in the department(s) delivering SBC courses using a staggered assessment schedule. This process is coordinated by OEE with significant input and oversight from the Assessment Council. Reports about SBC assessment results are shared with various governance bodies.¹⁸⁵

Direct Assessment of the SBC

Prior to the adoption of this policy, the former OAA and the Undergraduate Council conducted a comprehensive assessment of SBC student learning outcomes in 2018. A collection of committees and working groups that included 24 faculty and 8 administrators established detailed rubrics and methods for measuring the SBC's effectiveness, and these were used in 91 courses across a wide range of departments. The assessment included specific questions on exams and assignments that quantified how well students achieved the learning outcomes. Validity issues related to disciplinary differences and complex rubrics limited the utility of results, however, and the report was not widely distributed.¹⁸⁶

In 2023, with input from the General Education Advisory Committee (GEAC) and the Assessment Council, OEE coordinated a second broad assessment of general education learning outcomes that included 108 faculty participants covering 210 courses across all 20 SBC outcomes. This approach employed mixed methods of interviewing each faculty member and collecting student performance data from specific assignments linked to SBC

learning outcomes. Overall, conversations with faculty were particularly positive, with many faculty indicating the process prompted them to reflect on their syllabus, teaching practices, and student interactions. The Assessment Council, GEAC, and other constituencies are reviewing this report during 2023-24.

Major findings in the report include: (i) 80% of students achieved acceptable or better performance in 16 of the 20 SBC areas, and (ii) approximately 40% of the faculty respondents planned to make improvements to their SBC course as a result of their participation in the general education assessment initiative. Following review of results in 2023-24, the Assessment Council, the GEAC, and other stakeholders will discuss strategies for assessing general education moving forward.¹⁸⁷

Indirect Assessment of the SBC

The Office of Institutional Research, Planning & Effectiveness (IRPE) coordinates multiple indirect assessments of the general education curriculum that broadly indicate the SBC is more effective than the former DEC. An analysis of credits completed in general education courses showed that students taking on average 42.3 general education credits outside of their major before 2014 and 40.2 general education credits outside of their major after 2014.

Analysis of results from the SUNY Student Satisfaction Survey showed that in later years when students were following the SBC, 5-14% more students reported the University made higher contributions to their learning in general education areas than in earlier years when students were following the DEC. Improvements were observed across race, gender, socioeconomic status, and area of study. While the general nature of these questions does not map exactly onto all SBC learning areas, results strongly suggest that students perceive more value from the delivery of general education under the SBC than the DEC.

Finally, a comparison of results on the National Survey of Student Engagement (NSSE) show that Stony Brook students report levels of institutional contribution toward knowledge, skills, and personal development in general education areas at the same level as other public AAU

institutions and that these levels of contribution have increased since the SBC was implemented.¹⁸⁸

Communication of Student Achievement and Success

Stony Brook publishes significant amounts of data on its website to communicate student success assessment results at institution and program levels. For global student outcomes, IRPE publishes trends of retention and graduation rates for undergraduate students entering the University from 2002 through the present. Data are disaggregated by gender and race/ethnicity and are presented for special populations such as Pell grant recipients and participants in the University's Educational Opportunity Program (EOP/AIM). Program-level data at the undergraduate and graduate levels are also summarized and published to include graduation rates, time-to-degree, earnings after graduation, rates of employment in New York State, and rates of graduates pursuing continuing education. Trends of survey data discussed above are also published for consumption by all stakeholders, including the general public.¹⁸⁹

In addition, the learning outcomes identified by program faculty are also published on the University's website. Because all programs intend their curricula to prepare students for careers and/or further study, additional data about completion rates, earnings, placement rates, and career trajectories are included with the learning outcomes, where available.¹⁹⁰

5.2c *Institutions ... support and sustain assessment of student achievement and communicate the results of this assessment to stakeholders.*

5.3f *The institution uses assessment results to ... inform appropriate constituents about the institution and its programs.*

RA8 *The institution systematically evaluates its educational and other programs and makes public how well and in what ways it is accomplishing its purposes.*

Using Assessment Results for Improvement

Because faculty in each department and program have responsibility for assessment of student learning outcomes, approaches are tailored to the specific disciplinary and programmatic needs. Nevertheless, there are commonalities in practices, and these are often clustered by School or College because of the close relationship among their offerings and because they share a common administrative structure through their Dean. In 2023, each College or School prepared summaries of assessment practices in their School or College, including a description of how assessment results have been used within the School. Practices included curricular improvements and adjustments to improve student learning.¹⁹¹

5.3 *consideration and use of assessment results for the improvement of educational effectiveness.*

More broadly, among the 198 annual assessment reports submitted to OEE in spring 2023, five out of six (85%) reported making evidence-based programmatic improvements, and of those that did not report improvements, almost half were new programs, programs with fewer than ten students enrolled, or programs pausing student recruitment. In terms of programs explicitly using learning outcomes assessment to make programmatic adjustments, the preponderance of uses was for improving pedagogy and curriculum (37%), reviewing and revising academic programs and support services (18%), and planning and budgeting for the provision of academic programs and services (12%). In the analysis, a significant proportion of adjustments made because of assessment activities were uncategorized, such as improvements made in response to survey feedback.¹⁹²

Examples of how assessment is used to improve the educational program appear below and derive from multiple sources, including general education assessment, programmatic accreditation reports, and program assessment reports submitted to OEE.

Using Assessment Results to Improve Student Learning

Assessment practices leading to improvements in student learning are most frequently reported by programs with more mature assessment practices. These programs have multiple cycles of assessment data that measure baseline performance before and after interventions and show an improvement in performance.

5.3a *uses of assessment results should include some combination of ... assisting students in improving their learning.*

The Program in Writing and Rhetoric, for instance, annually has assessed SBC writing competencies through a portfolio review of the 4,000 students who take WRT 102: Intermediate Writing Workshop each year. Faculty who did not teach the students participated in evaluation norming sessions before conducting this review. Results have led to broad discussions among program faculty who have made curricular changes to improve clarity and delivery of modes of argumentation and enhance standards for assessing student narrative writing.

The BS in Health Sciences major systematically improves learning by having all course directors review assessment data at faculty meetings and a year-end assessment retreat, leading to action steps. For instance, when students in HAN 335: Professional Ethics were scoring below a benchmark in applying core ethical principles on embedded case-based exam questions, the faculty revised the program to improve student performance. In the first year, the course instructor modeled the principles; in the second year a case study and group projects were added; finally in the third year, the program closed the assessment loop by developing a graphical representation that clarified the nuances among key concepts (morals versus moral distress, moral distress versus ethical dilemma, determining who has locus of authority, and paternalism).

The BS in Business Management program improved student performance in effective communication using rubrics applied to papers and presentations in BUS 447: Business Ethics. When data indicated that 20% of students did not meet benchmark levels of performance, the Business faculty consulted with faculty in the Program in Writing and Rhetoric and created BUS 301: Business Communications in 2016 to provide more opportunities for

writing. Following implementation of this course in 2016, student performance improved to meet the level of faculty expectations, although improvement can still be realized in using evidence to support ideas and conclusions.¹⁹³

Using Assessment Results to Improve Pedagogy and Curriculum

As indicated above, the collection of assessment reports from academic programs in Spring 2023 indicated the most prevalent use of results from the assessment of student learning is to make curricular or pedagogical changes.

5.3b *uses of assessment results should include some combination of ... improving pedagogy and curriculum.*

For example, in the BA in History program, students reading on digital devices in 300-level classes showed limited ability in the key learning objective to critically evaluate historical ideas, arguments, and views. To address this and the challenge of broad research topics, faculty implemented changes to require hard copies of reading materials, focused lectures more on methods rather than content, and dedicated less time to lectures and more to close reading of texts.

In the BA in Economics program, a detailed analysis of embedded test questions in eight classes showed that while students were strong in economic theory, only 70% met the program's benchmark for data analysis and quantitative skills. To address this issue, the program added courses to strengthen skills in data science, machine learning, and empirical approaches in industrial organizational sciences. Based on a survey of graduating students, the program has also identified needs and made curricular adjustments to bolster writing skills and content about finance.

In the BE in Biomedical Engineering program, student performance on laboratory and computer projects in a 200-level class indicated a need in the curriculum for additional programming experiences to work with large scale biomedical data. To address this deficiency, the faculty developed a subsequent course to introduce data science and python programming tailored to real-world data analysis challenges in biomedical engineering.

In the BS in Nursing program, the patient handoff competencies assessed in an advanced course indicated skills were not at desired levels even though handoff skills are introduced in the first clinical course and reinforced in subsequent coursework. Faculty adjusted the course to include an additional simulation just prior to the final practicum experience. Students who did not achieve the benchmark on handoff competency were remediated within the simulation lab and reevaluated before the Capstone course.¹⁹⁴

Using Assessment Results to Review and Revise Academic Programs and Support Services

As described in Chapter 3, results from assessment reports are included in the program review process, with the expectation from all involved that these empirical

5.3c *uses of assessment results should include some combination of ... reviewing and revising academic programs and support services.*

programmatic reviews will be used to drive programmatic elements to support improvements intended to improve learning outcomes.

For example, as part of comprehensive reviews conducted by departments in the College of Arts & Sciences in 2018, the faculty in the English Department introduced four new interdisciplinary courses based on a review of student interest, faculty strengths, and a comparison to peer institutions. Similarly, when faculty in the Music Department surveyed current and former students and reviewed curriculum at peer institutions they found a need to expand the cultural diversity of the course offerings. They revised and added courses in the 200-level sequence of Music courses as a result and submitted them in Spring 2023 to the Arts and Sciences Curriculum Committee (ASCC), as some of the approximately 240 proposals for curricular change the Committee reviews each year.

Assessment reports submitted in Spring 2023 also indicate some programs have assessment strategies directed at general program effectiveness. The MS and PhD programs in Geosciences, for example, conducted an anonymous survey that found some students felt isolated during the pandemic and there has been a general feeling of lack of

cohesion among students in the program. The same survey also revealed interest in a peer mentoring program. As a result, the structure and scope of a new in-department peer mentoring program was defined with input from current graduate students and will be in place by June 2023.¹⁹⁵

Using Assessment Results for Professional Development

As discussed in Chapter 3, Stony Brook provides significant opportunities for professional development and support, including resources through CELT, OEE, OVPR, and the Provost's Office, although provision of these services is not premised upon use of assessment results. Nevertheless, the assessment reports submitted in 2023 offer a few instances of professional development resulting from student learning assessment procedures.

The BS in Health Sciences program used course grade dashboards provided by IRPE to identify potential inequities in student performance in three required 200-level classes. Because the program found that students from underrepresented race/ethnicity groups had disproportionately high rates of earning low grades, the program plans to work with CELT to provide faculty with strategies and high impact practices to enhance inclusive excellence.

An additional example is from the Renaissance School of Medicine (RSOM), which offered a new pre-clinical course "Integrated Pathophysiology: Musculoskeletal/Rheumatology" (MSK) in 2019. Following the initial course evaluations, a dedicated course review team worked closely with faculty clinicians on pedagogy, setting up a schedule of classroom observations and reviewing the course contents with its directors. These observations resulted in an extensive list of recommendations, including when to bring students to the podium to demonstrate skeletal maneuvers and how to better distribute the material between course lecturers. The changes have increased faculty satisfaction with student performance, increased overall student satisfaction in the course from 42% (n=126) to 79% (n=109) in the

5.3d uses of assessment results should include some combination of ... planning, conducting, and supporting a range of professional development activities.

course, all while maintaining a high pass rate on the NBME exam.¹⁹⁶

Using Assessment Results for Planning & Budgeting

Budgeting and planning process discussed in Chapter 6 always requires empirical justification to support budgetary adjustments, and results from assessment of student learning outcomes are at times used to support budgetary requests.

5.3e uses of assessment results should include some combination of ... planning and budgeting for the provision of academic programs and services.

For example, in the BA and BS in Biology programs, higher than usual rates of students earning assignment grades below a B in BIO 204 prompted concern about student mastery of foundational concepts in biology. As a result, additional lecturers were hired in the Departments of Biochemistry & Cell Biology and Neurobiology & Behavior to increase teaching capacity. The program also prioritized scheduling these courses in active learning spaces in Frey Hall.

The MFA in Film program found that only 70% of students met the benchmark for performance on the case study in SPD 505 where they measure competencies to connect to cinematic, cultural, ethical, and professional contexts. In response, the program reported it plans to "close the loop" by hiring a TA to support SPD 505 in the next semester.

In the BE in Mechanical Engineering program, faculty observed a steady decline in students' ability to use the techniques, skills, and modern engineering tools necessary for engineering practice as measured on course-level assessments in MEC 325 to use of M-code and G-code programming for rapid prototyping. To enhance achievement in rapid prototyping, the Department purchased a new CNC milling machine to expose students to CNC milling.¹⁹⁷

Using Assessment Results for Improving Student Success Indicators

As part of the University's efforts to improve graduation rates, Stony Brook has bolstered the Office of Institutional Research, Planning, and Effectiveness (IRPE), by increasing the number of staff from 2.0 FTE in 2013-14 to 7.0 FTE in 2023-24. As a result, the University and its programs have readily available data available to them to monitor student success and connect it to assessment activities.

These resources include multiple ways to examine graduation and retention rates, include first-time students, transfer students, and graduate students, and allow for population level disaggregation. Benchmarking to other institutions is also available, as are dashboards to examine course grade distributions and major migration. For instance, the College of Engineering and Applied Sciences used data from IRPE to optimize course offerings and remove curricular barriers to on-time graduation. This resulted in an increase in the CEAS four-year graduation rate from less than 50% in 2011 to over 70% in 2023.

The Undergraduate Biology Program uses institutional data extensively to investigate student success. The program has conducted a longitudinal assessment of student success in BIO 361 Biochemistry I to identify and adjust prerequisite courses as predictors of academic success in the high-enrollment upper division biochemistry course. The program also regularly uses data from IRPE to identify equity gaps in participation in research courses. The University's investments in institutional research have simplified assessments of this kind and encouraged in-depth analyses. On a macro-level, Stony Brook lowered the rates at which students earned grades of D, F, and W in high enrollment classes as part of the successful strategy to raise graduation rates. In 2023-24, the University returned to using these data to improve student success following COVID.¹⁹⁸

5.3g *uses of assessment results should include some combination of ... improving key indicators of student success, such as retention, graduation, transfer, and*

Assessment by Third-Party Providers

5.4 *adequate and appropriate institutional review and approval of assessment services designed, delivered, or assessed by third-party providers.*

Stony Brook's assessment policy and culture places responsibility for assessment with the faculty. The University does not make use of third-party providers for assessment services beyond use of data from licensing and board examinations. When programmatic accreditation or licensing agencies require students to pass examinations, Stony Brook's faculty review these data and adjust curricula as needed to maintain high pass rates. Licensure pass rates for Stony Brook's programs are universally high and are posted on University and program websites as required.¹⁹⁹

Assessment of Assessment Practices

Stony Brook's evolution in developing robust processes over the past decade has been

characterized by self-reflection and evaluation of how well assessment systems were functioning. This assessment of the University's assessment processes has promulgated changes in organizational structures, resource allocation, policy and process to meaningfully integrate assessment into cyclical processes and cultural norms.

Through 2020, reflective evaluation about assessment processes was largely present only in accredited programs. For example, in addition to reviewing available assessment data, the assessment committee in the College of Business continually redesigns rubrics, embedded questions, and the mechanisms to collect and disseminate this information. Similar practices are common in accredited health science and education programs.

Beginning with the internal review of OAA in 2021 and replacement with OEE, the University has elevated its commitment to assessment, resulting in both structural and philosophical changes that are improving student

5.5 *periodic assessment of the effectiveness of assessment processes utilized by the institution for the improvement of educational effectiveness.*

learning and now driving positive student outcomes. Reflecting its values of accountability, integrity, collaboration, and continuous improvement, OEE has established a trajectory to foster a culture of assessment rather than aspiring to implement workflow applications. The OEE has built reflective exercises into all of its activities, has established key performance indicators for monitoring its operations, and encouraged other units to continually evaluate how well assessment practices accomplish their intended ends.

As discussed previously, the Assessment Council's charge includes review of the University's progress on assessment and making recommendations for improvement. Following the submission of assessment reports in spring 2023, the Assessment Council reviewed all of them and provided feedback. The overall quality of reports was also examined, with 94.5% of them judged to be well-developed or acceptable. These baseline quality measures will be monitored annually as assessment processes continue to mature.

General education assessment procedures have also been evaluated. The 2018 general education assessment study reflected on its methods and recommended continued collaboration and refinement of assessment tools. The GEAC also reviewed this report and found that the approach valuably involved faculty to collect a significant amount of data, the approach involved extensive faculty effort and the data could not be reliably used to improve the curriculum. This review informed the approach taken in 2023 to assess the SBC, which intentionally limited the time commitment of every faculty member to 45 minutes or less.²⁰⁰

Evaluation & Areas for Improvement

After a slow start and modest commitment in developing assessment practices, Stony Brook has done a remarkable job pivoting to a different, more robust approach to

assessment activities through the creation of OEE. Importantly, the permanence of assessment activities and structures are now enshrined in policy, budgets, and personnel lines. With full support from the Provost's Office, the OEE has skillfully and collaboratively led development and implementation of an assessment policy for academic programs and general education, systematized collection of annual assessment reports, promoted recognition of assessment activities, and made positive strides to establish a culture of assessment.

Nevertheless, transformation of culture is an incremental process, and Stony Brook will need to continue to focus on assessment and evaluation to regularize assessment cycles and to realize the improvements in educational programs that will improve graduation and retention rates.

Addressing areas below will advance these goals:

- To promote a culture that values assessment as a sustainable and integral part of the educational process, continue to improve communication about recognition, training, and professional development for assessment.
- To ensure Assessment Coordinators have sufficient support, continue to formalize their role as facilitators of the program level assessment processes and liaisons with OEE and the Assessment Council.
- To ensure assessment processes are effective, expand existing mechanisms to provide feedback to assessment coordinators for programmatic assessment and collaborate with the GEAC and the Assessment Council to evaluate general education assessment practices.
- To promote resource alignment, highlight how the results of student learning outcomes assessment can support resource allocation through the University's planning and budgeting process.

¹⁷⁰ 5_X Site Evaluation Team Report 2014

¹⁷¹ 5_1 SBC Learning Outcomes

¹⁷² 5_1 Program Learning Outcomes

¹⁷³ 5_1 Graduate Institutional Outcomes

174	5_1 Curriculum Maps	188	5_2b Gen Ed Indirect Assessments
175	5_2 SUNY Assessment Policy	189	5_2c 5_3f RA8 Comm of Student Achievement
176	5_2 Program Assessment Pilot 2018-20	190	5_2c Student Outcomes
177	5_2 Review of OAA	191	5_3 School College Assessment Summaries
178	5_2 Office of Educational Effectiveness	192	5_3 Use of Assessment Reports
179	5_2 Assessment Council	193	5_3a Use Improve Learning
180	5_2 Assessment Coordinators	194	5_3_b Use Pedagogy and Curriculum
181	5_2a Assessment Policy	195	5_3c Use Review and Revise
182	5_2a Assessment Procedures	196	5_3d Use Professional Development
183	5_2a Accredited Programs	197	5_3e Use Planning and Budgeting
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**STANDARD VI:
PLANNING, RESOURCES AND
INSTITUTIONAL IMPROVEMENT**

Standard 6: Planning, Resources & Institutional Improvement

The institution's planning processes, resources, and structures are aligned with each other and are sufficient to fulfill its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.

Overview

This chapter shows how sound fundamental processes for planning and budgeting have been essential to achieve the University's most aspirational goals, such as being named a flagship institution and New York's top ranked public university, selection to lead the New York Climate Exchange on Governors Island, and attracting the largest unrestricted gift to a public university. Stony Brook's recent successes in raising graduation rates, increasing enrollment, and expanding research epitomizes the effectiveness of the University's processes for deploying resources to address institutional plans and priorities in line with the University's strategic plan.

These accomplishments are even more impressive given the need to navigate the challenges of reduced state tax support, frozen tuition rates, and unfunded contractual salary increases (CSIs). The COVID-19 global pandemic further exacerbated financial pressure by adding costs while dramatically lowering revenues from international and out-of-state students. Stony Brook is only now emerging from a period of fiscal austerity for higher education in New York State, and for the first time in over a decade, has a financial outlook that can support a spirit

of growth and possibility rather than constraint and scarcity. Even in this improved financial climate, resources are limited, and Stony Brook remains focused on responsible stewardship to ensure continued execution of its mission.

This chapter relates how Stony Brook plans and allocates resources based on mission-consistent strategic goals, monitors progress with data, and executes well-defined processes. The University dedicates administrative areas to budget planning, enrollment planning, capital and facilities planning, and informational technology planning. Under President McInnis's leadership, the University has transitioned to an all-funds budgeting approach to allow units to deploy all resources at their disposal more effectively and in accordance with institutional priorities.

The chapter also describes how the Office of Budget, Financial Planning and Analysis (BFP&A) coordinates a participatory planning and budgeting process. This process is aligned with institutional priorities, is directed by leadership with broad participation, and strategically deploys resources for operations and capital investment.

Finally, this chapter outlines how planning for capital investment in facilities, infrastructure, and information technology supports the University's mission. The chapter concludes with how the University continually monitors the effectiveness of these processes and adjusts appropriately to improve their effectiveness.

Evidence of Compliance

University Strategic Plan and Annual Objectives

As discussed in Chapter 1, Stony Brook's goals to promote education, research, economic and cultural development, health care, and diversity are enshrined in the

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

mission. The University crafts deliberate strategic plans for the institution through reflective processes to identify priorities, and during 2023-24 the University is developing the first annual implementation plan for this ambitious agenda.²⁰¹

Vice Presidential Areas, Colleges, and Schools maintain strategic plans for their areas with goals and plans for hiring aligned to the University's strategic plan that frame their annual budget requests and hiring plans. Within Colleges and Schools, Deans have similar processes for planning and resource allocation for their departments and programs appropriate to the size and scope of the School or College. The budgeting process described in more detail below enables units to develop annual plans for investment, which are evaluated, prioritized, funded, and tracked.²⁰²

Administrative units produce annual reports outlining their unit's mission, goals, key performance indicators (KPI's) and data used to assess KPI's, accomplishments, and areas for improvement. These reports are informed by annual budget requests from the units to their Vice-Presidential Area and are used for annual evaluations of unit leaders.²⁰³

Data to monitor effectiveness are broadly available and heavily used. The Office of Institutional Research, Planning & Effectiveness (IRPE) through Tableau dashboards in Stony Brook Analytics distributes metrics that allow faculty and administrators at all levels to monitor institutional and programmatic outcomes. Enterprise Data and Analytics maintains SBU Reporting that provides detailed financial and operational data to faculty and staff. BFP&A coordinates resource allocation and financial forecasting, informs leadership regularly about results through meetings and regular flash reports, and coordinates the larger financial planning process.²⁰⁴

These processes have led to sound financial management in a financially constrained environment, with close alignment of revenues and expenditures. Spending on core functional areas such as instruction, student services, and academic support are comparable to other public AAU institutions. Given the higher costs in Stony Brook's region, this level of spending should likely be higher to deliver world-class programs.²⁰⁵

Planning Processes & Communication

Planning and improvement processes are clearly documented and communicated to the campus community, and incorporate appropriate data.

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

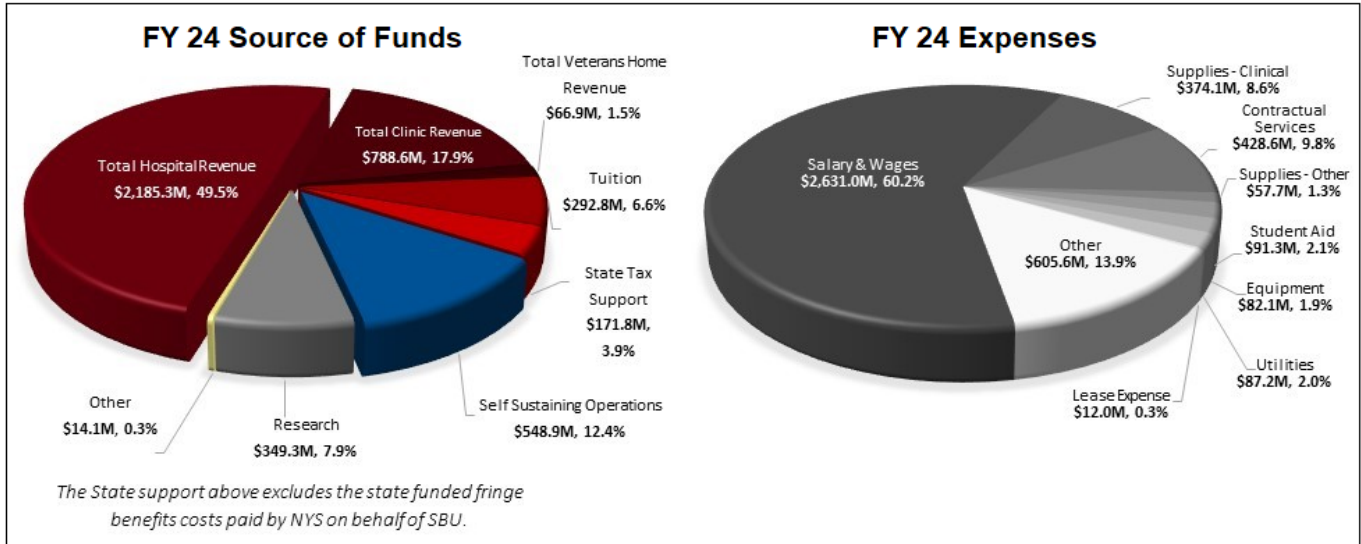
As discussed in Chapter 1, the Strategic Budget

Initiative from 2020 to 2022 included hundreds of campus participants. Task forces made significant use of empirical evidence to inform recommendations and craft action plans, and progress on these plans was communicated to the campus community. Likewise, development of the University's new strategic plan, *Our Moment*, included input from hundreds of faculty members, staff, and students, as well as a significant review of institutional performance data and external benchmarks to inform priorities and objectives.

Processes for budget planning and facilities planning are well-documented and described in more detail below in Section 6.3. Stony Brook also has a planning group for enrollment and revenue that includes senior leaders from the Office of the President, the Provost's Office, Enrollment Management, BFP&A, and IRPE to coordinate enrollment planning. Overall enrollment targets are set annually and approved by this group. Programmatic targets are set through consultative processes at the undergraduate level between Deans and the Vice Provost for Enrollment Management, at the graduate level between program directors and the Vice Provost for Graduate and Professional Education, and for health science programs between Deans and the Office of the Executive Vice President for Health Sciences.²⁰⁶

Institutional priorities, plans and budget decisions are communicated broadly. The President updates the campus about significant internal accomplishments and external contexts through monthly reports to the University Senate, periodic email messages to the campus, and an annual State of the University address to the entire campus community. In her 2023 address, she highlighted welcoming the inaugural class of Simons STEM Scholars, being selected to build the New York Climate Exchange,

garnering the highest state funding in more than a decade,



and the \$500 million endowment gift from the Simons Foundation.²⁰⁷

Prior to the start of the academic year, the Provost hosts a Budget Town Hall Forum to discuss budgetary considerations, outline the status of faculty and staff lines, and elaborate on the strategic decisions for authorization to recruit (ATR) process for new faculty and staff. The Executive Vice President for Health Sciences and CEO of Stony Brook Medicine communicates regularly through weekly Health Beat email communications and holds periodic Town Hall meetings to discuss the state of Stony Brook Medicine. Additional community events were held through the development and launch of the Stony Brook Medicine strategic plan.²⁰⁸

In August 2023, the Senior VP for Finance & Administration and the Senior Associate VP for Budget, Planning, and Financial Analysis made a detailed presentation to the University Senate about the FY23, FY24 and a five-year budget overview including resultant fund balances. Financial leaders have monthly meetings with the University Senate’s Committee for Academic Planning and Resource Allocation (CAPRA) and with University budget officers, and they meet three times a year with VP Areas. Leaders from BFP&A also attended retreats for chairs and deans at the beginning of 2023-24.²⁰⁹

Financial Planning

Stony Brook University has developed sophisticated systems to plan, allocate, spend, and account for how these resources are used to accomplish its mission. Of the overall \$4.4 billion budget for FY2024, the health system and related enterprises support \$3.0 billion of activity, and academics and research support the remaining \$1.4 billion. The University receives revenue through a variety of sources or “funds,” categorized as state purpose funds that include revenue from tuition and state tax support, SUNY Research Foundation (RF), Stony Brook Foundation (SBF), [health system revenue from patients], and self-generated revenue through Income Fund Reimbursable Accounts (IFR). There are constraints around each of the fund types, directing appropriate use and reporting requirements. For the university to have a complete picture of its financial position, the institution has implemented an all-funds budget process.²¹⁰

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

Budgeting Principles

Stony Brook maintains participatory financial planning and budgeting processes aligned with the institutional mission

and goals. Stony Brook's budget process is consistent with the SUNY Budget Handbook and its fiscal guidelines.²¹¹

The University employs evidenced-based financial planning through the annual budget process that incorporates multi-year integrated planning. This process prioritizes goals for student success, research, and equity and inclusion into a stable budget. The budget process funds strategic priorities and creates consistent processes and policies fortified by measurable outcomes that build a stronger University.

The foundation of the University budget process is rooted in seven guiding principles: use of transparent, fair, and strategic processes; two-way discussions on priorities; translating strategic goals into plans; resource efficiency and alignment; optimizing incentives; understanding internal subsidies; and moving beyond incremental budgeting.

In 2021-22 SBU transitioned to an all-funds budgeting approach, a comprehensive framework structured to allocate resources strategically, grounded by five pillars for decision-making that include alignment with overarching goals over parochial perspectives, transparency into funding sources and compliance with restrictions, including all funding sources, using restricted funds strategically to optimize the availability of general purpose funds, and using consistent methodologies with trusted data. The formalized all-funds budget process allows for continuous consultation, quarterly cyclical review, evaluation, and constituent input to improve and sustain fiscal operations for all University areas.²¹²

Budget Process Oversight

Four committees guide, review and make decisions about the annual budget.

The Strategic Budget Executive Team (SBET) is a presidential committee that serves as the deciding body around University-wide allocations; it is responsible for reviewing and making decisions around distribution of resources. Members include the President, the two Executive Vice Presidents, and the two Senior Vice Presidents.

The Senior Executive Team (SET) is a leadership committee that reviews and approves hiring and spending

requisitions that are subject to requisition guidelines; it meets twice per month to review out-of-process requests. Members include the two Executive Vice Presidents, the two Senior Vice Presidents, the Vice President for Human Resources, and chief budget officers for the Provost, Stony Brook Medicine, and Finance and Administration.

The Budget Planning Committee (BPC) is a group of senior budget officers across campus that provides feedback to the SBET around budget practices, policies, and procedures. Members include the Senior Associate Vice President for Budget and Financial Planning, chief budget officers for the Provost, Stony Brook Medicine, and Finance and Administration, and budget officers from selected larger units.

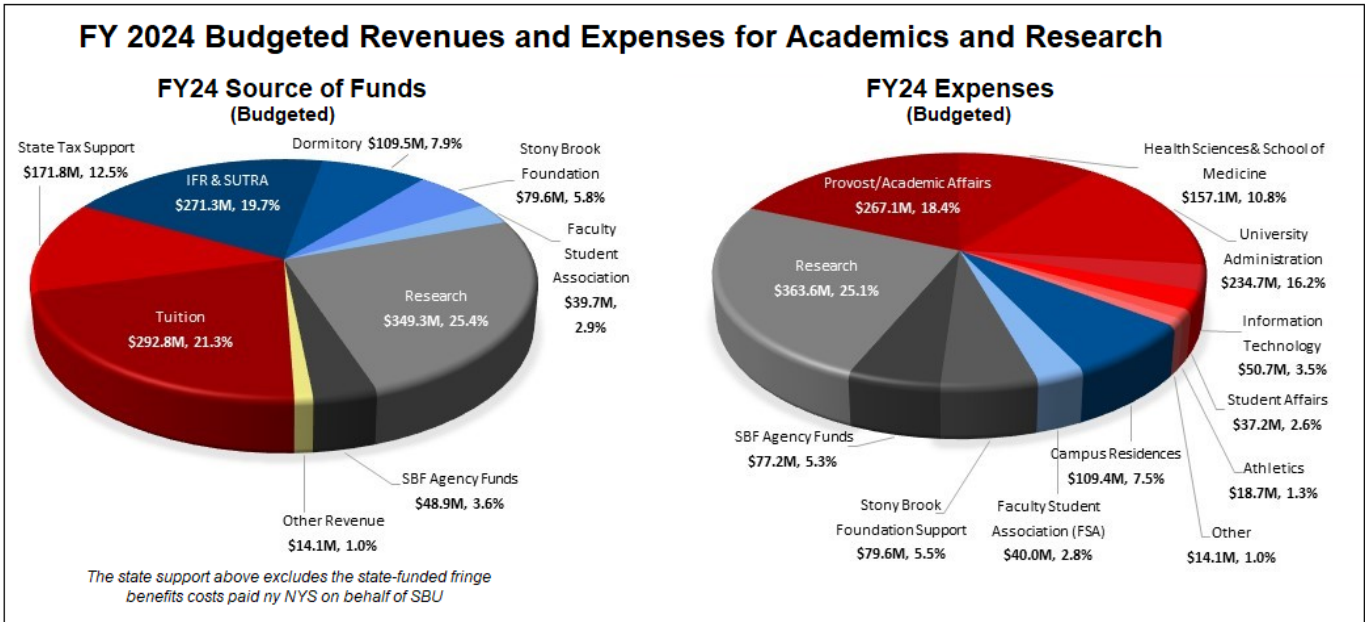
The Committee for Academic Planning and Resource Allocation (CAPRA) is a standing Committee of the University Senate that reviews budgetary procedures and priorities for planning and resource allocation in the Presidential, Provostial, and Vice-Presidential areas. The review is facilitated through regular meetings with key stakeholders from the University Administration. The committee reports to the broader University Senate and relays feedback from Senators to appropriate University Administrators. Members are appointed by the University Senate.

BFP&A provides staff support for these groups and coordinates feedback and decision-making to ensure all funds are allocated to support the University mission and linked to the strategic plan.²¹³

The Budget Process

The budget planning process is supported by the Campus Budget Module (CBM), a planning tool connected to PeopleSoft, that allows all units to plan for future fiscal years.

BFP&A initiates the budget cycle by sending an informational budget call letter to all Vice-Presidential Areas providing guidance for strategic hiring and investment requests that reflect institutional goals and priorities. VP areas then prepare hiring plans linked to key objectives and present these plans to SBET, which reviews, approves, and defers requests based on institutional priorities and projected available resources. Following presidential approval of the budget, BFP&A partners with



SUNY to submit a financial plan package (Form 1) for the upcoming year, including segregation allocations.

On an ongoing basis BFP&A collaborates with the VP areas to review budgeted amounts to actual spending. Budget activity is monitored through a variety of reports, budget transfers and adjustments are recorded, and off-cycle budget enhancements are processed and resolved to meet immediate operational needs.²¹⁴

Fiscal and Human Resources and Physical and Technical Infrastructure

Stony Brook has developed effective and well-defined processes to ensure sufficient revenues are available to support faculty, staff, and infrastructure, despite ongoing financial constraints. The University operates in a fiscally responsible manner so that revenues exceed expenses, and it engages in multi-year planning to ensure resources will be available for anticipated future costs.

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

Fiscal Resources Supporting Operations

To support the \$1.3 billion of costs for academic and research operations, Stony Brook relies on diversified

revenue streams from student tuition and fees, state tax support, research, State University Tuition Reimbursement Account (SUTRA), Income Fund Reimbursable (IFR), and auxiliary enterprises.

The State of New York pays state employees fringe benefits costs and interest charges on capital construction, and these costs are reflected on the University’s financial statements but are not transferred to the University’s operating budget. At the start of the Great Recession in 2008, Stony Brook received over \$190 million from the State for operating expenses, equating to over \$9,000 per FTE enrollment at the time and over \$12,806 in 2023 dollars. This amount was cut to \$148 million by FY 2012 or about \$9,400 per FTE in 2023 dollars and held flat through FY 2023. Because of inflation and enrollment increases, however, state spending per student declined even further to just \$6,579 per FTE in FY 2023 and with the first increase in state support in over a decade in 2024 has rebounded slightly to \$7,289 per FTE.

Tuition revenue grew from \$211 million in FY 2014 to a projected \$281 million in FY 2024 but remains below the pre-COVID peak of \$298 million in FY 2020. Tuition rates for in-state undergraduate students are set uniformly for all SUNY campuses by the SUNY Board of Trustees within limits in state statute. Since 2019, this maximum has been frozen at \$7,070 for the academic year. The Board of Trustees also sets tuition rates for other groups with more flexibility for higher rates. Through 2022-23 these rates

were also required to be uniformly set across the SUNY system, and in 2023-24 Stony Brook and the University at Buffalo were offered the opportunity to raise rates to align more reasonably with their respective higher education markets.²¹⁵

Tuition revenues for undergraduate students are budgeted centrally. Graduate tuition revenues are shared through a formula that distributes 25% of the revenue to units, while 75% is retained centrally; this formula has been revised three times through a process of assessment and consultation since the sharing program was implemented in the late 2010s.²¹⁶

Research operations are supported through externally sponsored awards that include support for direct costs and for indirect costs (IDC) for facilities and administrative costs. Amounts for IDC are distributed by a formula. Auxiliary enterprises for dormitories and food service through the Faculty Student Association (FSA) are self-supporting; revenues for those entities exactly support their costs.

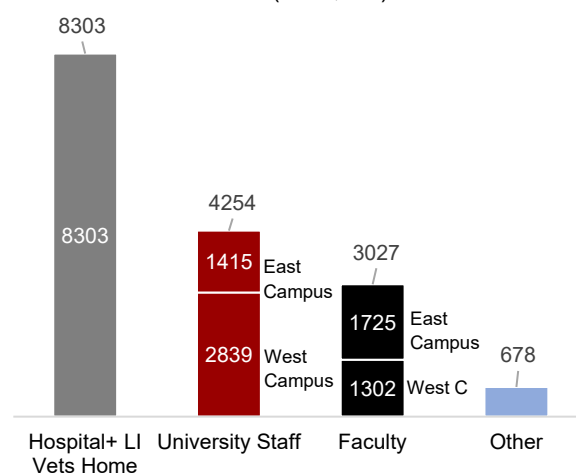
While the University has been able to carry out its mission with these resources, the Strategic Budget Initiative prompted the University to identify additional revenue streams through professional and continuing education, optimization of net tuition revenue, and more effective recruitment and deployment of financial aid. Additionally, during 2023-24 the University is examining its budget model to explore how to create incentives to generate additional revenue and achieve outcomes of the strategic plan in a way that is consistent with its mission.²¹⁷

Human Resources Supporting Operations

Stony Brook employs over 16,000 faculty and staff across the University and health system whose energy and expertise enable the University to deliver its mission. Just under 8,000 employees work in the University Hospital and Long Island State Veterans Home, about 3,000 employees hold faculty roles, just over 4,000 are considered University staff, and several hundred others are in auxiliary or special roles through food service, trades, and other arrangements. In addition, just under 1,900 graduate students, almost entirely in PhD programs, are employed up to 20 hours per week as teaching assistants, graduate assistants, or research project assistants.

As discussed in Chapter 3, Stony Brook employs over 3,000 faculty members with breadth in responsibilities for instruction, research, service, and clinical care. The number of tenured and tenure track faculty increased from 2012 through 2014 as a part of the University’s strategic plan. When state support for contractual salary increases and increased tuition rates were not realized, the number of tenured and tenure-track faculty decreased. As a result, after rising to the median of the public AAU, the student faculty ratio now stands in the lowest quartile among public AAU institutions, a level that is adequate but not optimal.²¹⁸

Distribution of Employees Fall 2023
(n=16,309)



Stony Brook University also employs about 4,000 highly talented and dedicated staff, whose commitment to excellence is essential to the University’s mission. Just as the last strategic plan set goals to increase the number of faculty, it also set goals to hire more staff, and financial constraints also limited expansion of staffing. Indeed, over the past ten years, the number of University staff has remained basically level even while enrollment has increased, posing challenges in supporting operations. When excluding the medical school, the student-staff ratio sits at 7.1 to 1, placing Stony Brook at the 25th percentile among public AAU institutions, and well below the median of 5.4 to 1. This level of staffing also impacts faculty, and Stony Brook’s staff to faculty ratio which is 2.6 to 1, again placing Stony Brook in the 25th percentile of the public AAU and below the median of 3.3 staff to faculty.²¹⁹

As Stony Brook endeavors to add more tenured and tenure-track faculty, the University must also appropriately invest in staff. Benchmarking for HelioCampus illustrates particular areas of need, including staffing in advising, career services, and academic support; and hires have been authorized in 2023-24 to add positions to these areas as a result.²²⁰

Since the last self-study, the University has proactively developed and implemented processes to prioritize and streamline recruitment and retention of talent. Specific processes are: Authorization to Recruit (ATR) process, the launch of Talent Management Systems (TMS) for the recruitment and hiring of staff, and the launch of Interfolio for faculty recruitment, reappointments, sabbatical requests, and the promotion and tenure process.²²¹

In addition, Human Resources has been tasked with creative problem solving and managing talent and culture more than ever before. The division has positioned itself for future success by improving its systems and practices, launching the collaborative HR Now initiative, aimed at enhancing the employee experience.²²²

Contractual salary increases (CSIs) are negotiated by SUNY and the Governor's Office of Employee Relations and included in all collective bargaining agreements; they are essential for recruiting, supporting, and retaining a world-class faculty and staff. The University has not been provided additional funding to support the raises negotiated by the SUNY System. The University is perennially challenged to meet these costs because of constraints on tuition charges at the state level, decreased state support over the past 15 years, and policy requirements at the system level. Increased state support and flexibility to charge market rates for tuition would allow Stony Brook greater latitude to accomplish its mission.

Physical Resources Supporting Operations

Across all locations, Stony Brook's footprint occupies 1,452 acres, with 218 buildings and just over 11 million net square feet of space. The University has over 300 classrooms and maintains over 1.1 million net assignable square feet of laboratory and research space. Numerous facilities support student life and learning outside the classroom, including a Student Activities Center,

recreational facilities and sports fields, and numerous other resources.²²³

Recent additions to the inventory of buildings include the Medical and Research Translation (MART) facility to support the research objectives of the University, the Innovation and Discovery Center to accommodate companies graduating from startup incubators, and the Indoor Practice Facility. The \$75 million state-of-the-art Institute for Engineering-Driven Medicine is funded and in the design phase. Additional residence halls include the Chavez and Tubman residence halls with 750 beds of suite-style housing and the East Side Dining area with 650 seats of dining and mixed-use space. Also added since the last accreditation visit is West Side Apartments Building K with 173 beds across 30 suites. Each suite consists of four to six single bedrooms, one kitchen, two bathrooms and a common living/dining area. With just under half (47%) of undergraduates living on campus, Stony Brook ranks #5 in the public AAU for the highest share of students living on campus.

A major renovation to the 170,000 sq. ft. Student Union was completed in 2020, comprehensively remodeling the Union into a site for centralized services, programs and initiatives, providing an efficient and holistic campus experience. The new facility was designed with a particular focus on meeting students' needs, and houses student services offices as well as student life resources and programs, including ample space for clubs. A major renovation of the Javits Lecture Hall was completed in 2023, transforming the existing lecture halls into state-of-the-art learning spaces; upgrading technology and replacing building mechanical, electrical and safety systems.²²⁴

The University has a strong commitment to facilities sustainability. Stony Brook has been named to the Princeton Review's Guide to Green Colleges for over a decade due largely to its innovative green facilities solutions: solar installations, water conservation, bike friendly campus routes, electric vehicle charging stations, and biodegradable food packaging in campus dining. In 2020, Stony Brook was awarded the Innovation Award by Smart Energy Decisions.²²⁵

Despite efforts to maintain the University’s facilities, a challenging reality is that many buildings were constructed in the 1960s and 1970s, and so a disproportionate number of facilities are approaching their end of life at the same time. The University’s resulting backlog of deferred maintenance amounts to almost \$2 billion, the highest amount across the SUNY System. Historically, capital funding issued to SBU has been minimal and restricted to preservation (repairs) of existing facilities. Stony Brook has begun to advocate for a “repair by replace” approach to demolish inefficient, environmentally dated buildings that are expensive to maintain with modern buildings that are safer, more attractive, more efficient and more conducive to state-of-the-art education and research. These new buildings will reduce operating expenses, meet the Governor’s desired energy reductions, and expand the square footage available with lower capital expense.²²⁶

Technical Resources Adequate to Support Operations

The Division of Information Technology (DoIT) maintains an extensive technological infrastructure supported by capital and operational budgets. DoIT’s operations include delivery of over 120 services and applications including enterprise systems and specialized services, a highly reliable network with high-speed broadband Wi-Fi coverage, thousands of centrally managed computers, telecommunications and email, user support, and cloud-based and on-premise servers for operations and research computing. DoIT maintains technology in over 200 classrooms, many of which have been updated with 4k projectors, new hyflex systems, and increased lecture capture capable classrooms across the institution to improve active learning. In recent years, DoIT has enhanced its cybersecurity operations protecting data with next-generation firewalls and multi-factor authentication and maintaining a rigorous managed desktop environment.²²⁷

Decision-Making Processes

Stony Brook is organized to promote local control and constituent input while providing clear lines for responsibility and decision making. All departments and offices

6.5 *Well-defined decision-making processes and clear alignment of responsibility and accountability.*

fall under a VP Area under the leadership of a Vice President or equivalent position. Intermediary leadership and management at the Dean and Associate Vice President levels assists with organizational coordination based on the size and scope of the VP area. All employees in all areas have a direct supervisor responsible for ensuring they can thrive and carry out their duties effectively to advance the mission of the University. Within these areas, leaders make operational and spending decisions within the confines of their allocated resources, and when operational situations arise, issues are elevated to higher levels.

In addition to the budgeting process described in Section 6.3 above, limits are placed on units from hiring outside of the positions approved in their annual budget. Exceptions follow the Position Compensation Request (PCR) process and require approval from the SET. Purchasing equipment and services is regulated by rules specific to sources of funds, and these processes are overseen by the Procurement Office. Purchases over \$75,000 are reviewed by the Office of the State Controller. Purchases and contracts with a technology component require a vendor cybersecurity review.²²⁸

Through Stony Brook’s disciplined processes for decision making, budgeting and spending, the institution was able to successfully navigate through the financial and operational challenges of the COVID-19 pandemic. With input from the SUNY and local governing bodies, the processes will improve as the University implements state-of-the-art Oracle Enterprise Resource Planning (ERP) systems over the next three years.

Infrastructure Planning

Capital and Facilities Planning

To support goals outlined in the Strategic Plan, Stony Brook periodically prepares a comprehensive plan for space usage, facilities development, renovation, and capital investment. The University’s Capital Planning program includes capital projects, space data

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

management, capital planning & development and master planning.

Stony Brook completed its last Facilities Master Plan with assistance from the SUNY Construction Fund and an architectural firm, covering a ten-year period from 2013 through 2023. The Facilities Master Plan provided a framework for supporting the academic mission, enrollment projections, and environmental stewardship principles. It also supported capital funding requests to the Governor and the New York State Legislature, aiming to maximize efficient use of current functional space, and repair or repurpose existing space as needed.

This plan guided development of numerous projects, including the Medical and Research Translation (MART) facility, new residence halls, and the Indoor Practice Facility. It also guided renovation of major facilities such as the Memorial Student Union completed in 2020 and the Javits Lecture Hall completed in 2023.

To support the release of Stony Brook’s new strategic plan, *Our Moment*, the University has secured funding for the development of a new comprehensive Facilities Master Plan which will begin later in 2023-24.²²⁹

Comprehensive Planning for Technology

The Division of Information Technology (DoIT) under the auspices of the Office of Finance & Administration oversees the University’s planning processes for facilities, infrastructure and technology. The Division of Information Technology’s strategic priorities include improving technology infrastructure, mitigating risk through a robust cybersecurity program and enhanced project management. A monthly snapshot outlines goals and strategic directions and tracks key projects to support institutional priorities.

The Information Security Program Council (ISPC) implements the University’s strategy to maintain information security and publish related policy, procedure, and standards. This broad-based group represents stakeholders for business, academic, and instructional. It also includes the chairs of established working groups for research compliance, security training and awareness, and business compliance. The ISPC also acts to set information security program priorities, responds to input from the working groups, helps to assure appropriate allocation of

resources, and acts to adopt policies and procedures formally.

Over the next three years, a major focus for DoIT will be implementation of the Oracle Cloud ERP system, including functions for management of human capital, budgeting, and data structures.²³⁰

External Audit

The SUNY Board of Trustees engages an annual independent accounting firm to conduct an external audit of the system-wide financial statements. The Audit

Committee of the Board of

Trustees reviews the report from this accounting firm and ensures the Board fulfills its fiduciary responsibilities. The audit is prepared from financial information from each campus compiled by the SUNY Administration and also provided to the Office of the New York State Comptroller for inclusion in the New York State financial statements. Stony Brook University’s financial activity is a component of this independent financial statement audit.

By policy, the Office of the SUNY Controller extracts Stony Brook’s financial data from the system-wide financial report to prepare and submit the IPEDS Finance Survey. The underlying financial information is also provided to the campus where the Stony Brook Office of Accounting compiles it into the University’s annual financial report, which represents the best way to understand the portions of the audited financial statements attributable to Stony Brook.²³¹

In addition to the annual financial reports, the University maintains detailed financial information for the funds over which it has allocation and expenditure control and uses that information to make management decisions and plan strategically, as described in Section 6.3. The University financial chart of accounts and funds arise from the funding categories and financial framework of the SUNY Administration and as mandated by OSC and the NYS Division of the Budget. In addition, Stony Brook University is subject to random topical audits that are conducted by

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

the Office of the State Comptroller, the SUNY Office of the University Auditor and other external entities.

While the practice of using information derived from the SUNY System's audited financial statements has been deemed to comply with MSCHE's external audit requirements, the University's complexity and recent designation as a flagship university suggests that Stony Brook would benefit operationally by having its own external audit. The University is adjusting systems and processes through the WolfieONE project to be able to regularly produce an auditable financial statement in order to bring the GASB format into its ongoing financial monitoring and planning process.²³²

Measurement and Monitoring Resource Efficiency

Stony Brook employs numerous strategies and tools to monitor effective and efficient use of resources to accomplish goals at the institution and unit levels. These strategies include use of dashboards that display institutional data and metrics and processes to review and adjust resource allocation.

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

The Office of the SUNY Controller prepares a financial ratio analysis for Stony Brook from information specific to the campus to monitor the financial health of the University and shares these analyses with the campus. Stony Brook's composite score of 2.0 on a scale of -1.0 to 3.0 indicates the University is both financially responsible and healthy. The SUNY System offers significant direction and oversight of the financial management of the institution, such as setting a reserve policy requiring reserves to be at least 10% but no more than 25% of operating disbursements. The University will in some years deliberately spend down fund balances to invest in priorities and manage reserves. In addition, campus fiscal health through generally-accepted financial ratios prepared by the SUNY System Office, all of which show Stony Brook's financial position is constrained but healthy.²³³

Resource allocation and sufficiency is reviewed and assessed during the annual budget development cycle and

through quarterly meetings between each VP Area and staff in BFP&A. Dashboards and reports are available to monitor budgeted to actual expenses, employee headcount and full-time equivalent positions, employee retention and attrition. BFP&A also briefs the SBET monthly about the status of the budget and offers a risk assessment of assumptions about revenue and expenses in plans for out-years.²³⁴

In addition, a variety of strategic and operational tools are available to monitor the effectiveness and efficiency of operations. These include a tuition and fee discount rate dashboard, a dashboard for education and support costs, staffing and cost benchmarks through HelioCampus, research and scholarship benchmarking through Academic Analytics, and various other benchmarking tools incorporating comparative information from the AAU Data Exchange. The ready availability of such data allows the Provost to inform hiring decisions with staffing levels, student credit hour activity, attrition levels, and strategic metrics in the authorization to recruit process in 2023-24.²³⁵

Internal Auditing Function

Stony Brook University has a robust internal auditing process that guarantees fiscal responsibility and financial viability. Stony Brook's Office of Audit and Management Advisory Services independently examines and evaluates the ongoing control processes of the University and provides counsel and recommendations for improvement. The Office appraises the effectiveness and application of administrative and financial controls and reliability of data, evaluates compliance with SUNY policies and procedures and pertinent laws, rules and regulations, ascertains the adequacy of controls for safeguarding University assets and, when appropriate, verifies the existence of such assets, investigating fiscal improprieties and coordinating audit planning and execution with the Office of the University Auditor as well as with New York State, federal and other external auditors. The Office also organizes University responses to external audits. The Office reports directly to the President and has direct access to the SUNY University Auditor.²³⁶

Assessment of Planning and Resource Allocation

Processes

Stony Brook is instinctively reflective about its processes for resource allocation because of its drive for efficiency within the constrained revenue environment in recent years.

6.9 periodic assessment of the effectiveness of planning, resource allocation, institutional renewal processes, and availability of resources.

As discussed in Chapter 1, the Strategic Budget Initiative exemplifies an intensively reflective process from which emerged numerous recommendations to promote institutional renewal and resource allocation. The University continues to implement key recommendations from SBI, which ranged from revenue-generating activities, like expanding conference services, to improved procurement and contract management systems. The University also replaced Stony Brook's legacy budgeting process with an all-funds model, which has improved transparency and operations.

Operationally, BFP&A distributes an annual survey about the budget planning process, as does the Office of the Provost, to collect feedback that helps to improve the process.

In addition to the review processes discussed above in 6.4 to restructure tuition revenue sharing in 2021-22 and the economic framework review in 2023-24, Stony Brook reviewed how it distributes revenues from indirect cost recovery (IDC) in 2023.²³⁷

Evaluation & Areas for Improvement

After more than a decade of state-level austerity and tuition freezes, combined with annual contractual salary increases that have come without the corresponding funding, Stony Brook has faced increasing budgetary pressures impacting all aspects of its mission. In part due to strong state-wide advocacy from President McInnis, the current year has marked an increase in state support for operating costs and has received some flexibility to set

tuition rates for graduate students and out-of-state students more in line with the higher education market. Combined with great potential for additional support from our planned increases in research expenditures and a significant uptick in philanthropic giving, Stony Brook will be a much stronger financial position – particularly compared to many peer research universities in the northeast whose financial projections have taken a significant downturn.

Stony Brook has a history of effective facilities planning and is in the process of continuing that strategy through the execution of an updated facilities master plan to support the recently adopted strategic plan. As many buildings reach end of life in the next decade, more political support may be required for a replace versus renovate strategy that will result in greater energy efficiency, higher quality facilities, and lower costs even though such a strategy is less familiar to public construction in New York State.

The University's transition to an all-funds approach is a positive development and has improved transparency and forecasting. There is still room for improvement, however, and the University's growth and complexity have outstripped the capabilities of CBM to provide the best available support. The financial and human resource environment requires significant effort to simply generate reliable data. Further, resource allocation across the institution does not optimally structure incentives for units to fully align their activities with institutional priorities.

To address these issues, the University is replacing PeopleSoft with Oracle as the ERP system and examining the economic framework for internal resource distribution to promote transparency, incentives, and effective use of resources.

The University has the capability and the desire to address these issues as it asserts its identity as a flagship of the SUNY system.

- To ensure the University can carry out its educational and research mission, the University should pursue a strategy to hire more staff and more tenured and tenure track faculty to achieve ratios with students that reflect the public AAU median. Particular attention should be paid to staffing levels in information

technology, academic integrity, admissions and recruiting, visa and immigration services, and undergraduate advising.

- To promote the well-being, morale and retention of faculty and staff, the University should ensure compensation is commensurate with value added and cost of living on Long Island.
- To promote development of new revenue sources, the University should develop a budget model that is more predictable and aligned with the goals of the new strategic plan.

- To optimize capacity and resource use, the University should complete a new facilities master plan in conjunction with the State University Construction Fund that pursues flexibility in the use of capital funds using a repair by replace strategy.
- To promote transparency and deeper insight into the complexity of its operations, Stony Brook would benefit from conducting its own external audit rather than relying on the external audit of the SUNY system.

²⁰¹ 6_1 Our Moment

²⁰² 6_1 Unit Plans and Strategic Hiring

²⁰³ 6_1 Admin Unit Annual Reports

²⁰⁴ 6_1 Data and Monitoring

²⁰⁵ 6_1 Revenues and Expenses

²⁰⁶ 6_2 Enrollment and Revenue Meeting

²⁰⁷ 6_2 Presidential Communications

²⁰⁸ 6_2 Executive Communications

²⁰⁹ 6_2 CFO Communication to Senate

²¹⁰ 6_3 University Budget Information

²¹¹ 6_3 SUNY Budget Handbook

²¹² 6_3 All-Funds Budgeting

²¹³ 6_3 Budget Oversight Groups

²¹⁴ 6_3 Budget Process

²¹⁵ 6_4 Revenues

²¹⁶ 6_4 Tuition Share

²¹⁷ 6_4 Economic Framework

²¹⁸ 6_4 Employee Trends

²¹⁹ 6_4 Staffing Ratios

²²⁰ 6_4 HelioCampus Comparisons

²²¹ 6_4 New Systems and Processes

²²² 6_4 HR Now

²²³ 6_4 Physical Plant

²²⁴ 6_4 New Facilities

²²⁵ 6_4 Sustainability

²²⁶ 6_4 Deferred Maintenance

²²⁷ 6_4 Technology Resources

²²⁸ 6_5 Controls

²²⁹ 6_6 Facilities Master Plan

²³⁰ 6_6 Information Technology Planning

²³¹ 6_7 SUNY Audit and SBU Financial Report

²³² 6_7 Other Audits and Chart of Accounts

²³³ 6_8 Financial Reserves and Ratios

²³⁴ 6_8 Budget Monitoring

²³⁵ 6_8 Strategic Monitoring Tools

²³⁶ 6_8 Audit and Management Advisory Services

²³⁷ 6_9 Process Assessment



**STANDARD VII:
GOVERNANCE, LEADERSHIP AND
ADMINISTRATION**

Standard 7: Governance, Leadership & Administration

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

Overview

This chapter describes how Stony Brook’s governance, leadership, and administration have provided a foundation for the University’s remarkable accomplishments. As part of the sixty-four campus SUNY system, Stony Brook is governed by the SUNY Board of Trustees (BOT), and the BOT delegates executive authority to the Chancellor who oversees campus presidents and a system office that assists in implementing policies set by the BOT.

The chapter also discusses campus-level governance, where locally Stony Brook is led by a talented and energetic President appointed by and accountable to the Board. The President has assembled a highly-qualified and collaborative senior leadership team that ensures effective day-to-day operations and functions, develops and implements plans for improvements, and executes the university’s mission to deliver education, research, health care, and economic development while ensuring its financial sustainability. By statute, the Stony Brook University Council provides additional oversight and advice to the campus President and senior officers on a prescribed number of issues. Campus-level governance bodies include the University Senate, representing faculty

and staff, Undergraduate Student Government, and the Graduate Student Organization. The University administration enjoys a collegial relationship with these advisory bodies, and all work together to support the University’s mission.

The chapter also covers how, under President McInnis’s leadership, the University has developed a culture of reflective review for personnel and for units. The chapter discusses how senior leaders now have a formal process for setting goals and being held accountable for progress, and formal evaluation processes have been established for Deans. For administrative units, the University has established a system of assessment to evaluate each unit’s contribution toward the mission and to implement change for increased effectiveness and improved outcomes for students, faculty, staff, and the community.

Like other modern, dynamic AAU research institutions, Stony Brook University has experienced regular leadership changes over the years, but its structures and policies have provided stability, consistency, and continuity for the institution. Furthermore, Stony Brook’s long-term success in attracting highly qualified leadership has yielded a sustained period of growth and development that has led to its current, state-designated flagship status. Such success even in the face of an international COVID-19 pandemic and ever-tightening state budgets demonstrates that Stony Brook’s administration, leadership, and governance structure, working in collaboration with faculty, staff and students, enables it to advance its mission and to achieve ambitious goals while benefiting all constituents.

A Stable and Transparent Governing Structure

As a public flagship university in the SUNY system, the University’s governance structure is multi-layered to ensure it serves the public interest. SUNY system governance affords campuses the autonomy to implement their

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

mission-appropriate goals, while setting limits through broader policies, procedures and responsibilities that ensure the transparency, accountability and integrity expected of a state institution.²³⁸

SUNY Board of Trustees (BOT)

The SUNY Board of Trustees (BOT) is the legally constituted governing body that oversees the SUNY system. Eighteen trustees comprise the Board, with 15 voting members appointed by the NYS Governor, the president of the SUNY Student Assembly (ex-officio and voting), and the presidents of the SUNY University Faculty Senate and Faculty Council of Community Colleges (ex-officio and non-voting). New York State Education

Law outlines the Board's powers and duties which include making the rules and regulations that govern SUNY and its campuses. The Policies of the Board of Trustees is the official document that constitutes these governing rules. Key duties include the overall supervision and management of state-operated institutions, authority for granting degrees and regulating curricula, and the review and coordination of budget and appropriation requests. The Board is empowered to formulate a Master Plan for new curricula, facilities, student admissions policies, and enrollment projections. It also has jurisdiction over personnel policies, including classifying and reclassifying positions and determining the procedures for promotion.²³⁹

The BOT has established committees to fulfill its statutory mandates. For example, the Academic Affairs Committee is charged with ensuring the "highest standards of academic achievement on all campuses" in the SUNY system. The Finance and Administration Committee supervises all financial activities and ensures that SUNY

RA12 *the institution fully discloses its legally constituted governance structure(s) including any related entities ... The institution's governing body is responsible for the quality and integrity of the institution and for ensuring that the institution's mission is being accomplished.*

RA13 *... The governing body adheres to a conflict of interest policy ... The institution's district/system or other chief executive officer shall not serve as the chair of the governing body.*

operates within the confines of available resources. Further fiduciary responsibilities are held with the Audit Committee, which is discussed in Chapter 6, Other than the Executive Committee and the Audit Committee, these committees operate as advisory and often conduct preliminary work for the Board.²⁴⁰

SUNY Chancellor

The SUNY Chancellor is the Chief Executive Officer of the SUNY system, appointed by and reporting to the BOT. In December 2022, the SUNY Board of Trustees appointed John B. King, Jr., a distinguished educator and former U.S. Secretary of Education, as the System's 15th Chancellor. The Chancellor's role is to implement the policies of the BOT and perform other duties assigned by the Board, including but not limited to recommending appointments, evaluating campus presidents, and providing leadership for the entire SUNY System.²⁴¹

SUNY University Faculty Senate

The SUNY University Faculty Senate is a representative advisory body that ensures shared governance for the SUNY system. The SUNY Faculty Senate is composed of elected representatives from each of the university centers and four-year campuses. The SUNY Faculty Senate has 9 standing committees and 2 ad hoc committees.²⁴²

SUNY Research Foundation

The SUNY Research Foundation (RF) is a private non-profit 501(c)(3) education corporation that supports the research enterprise of all SUNY campuses. The RF works with the academic and business leadership of SUNY campuses, including SBU, to facilitate research and discovery by administering sponsored projects, as well as delivering intellectual property and technology transfer services that fuel innovation and move inventions to the marketplace. It is the largest comprehensive university-connected research foundation in the country.²⁴³

Stony Brook Council

The Stony Brook Council is constituted in New York Education Law to serve as a local governing body that ensures responsiveness to local needs while further guaranteeing transparency and accountability. The Council regulates the care, custody, and management of lands, grounds, buildings, and equipment, as well as matters related to student conduct and behavior. It has the power

to name buildings and grounds. It also has agency to review and make recommendations to the Board on presidential candidate appointments, major plans, and budget proposals. The Council's bylaws define the body's purpose as promoting quality undergraduate education, developing local and state economies, and working with SUNY, state, and local leaders to advance the mission and goals of Stony Brook.²⁴⁴

Stony Brook President and Cabinet

The chief executive officer of Stony Brook University is the President. The President appoints vice presidents or equivalent positions who are responsible for major areas of the University's operations and mission; these vice presidents comprise her cabinet and meet regularly.²⁴⁵

University Council

The Stony Brook University Council is composed of the senior leaders of the University, including the cabinet, senior leaders of Stony Brook Medicine, Vice Provosts, Deans, and the University Senate President. Its composition and meetings ensure that senior academic leaders and administrators communicate and have up-to-date information on key issues facing the University.²⁴⁶

University Senate

The University Senate is the primary campus-wide academic governance organization. It represents the entire faculty, staff and student body in matters that affect the whole campus. It is composed of Senators who are elected or appointed, and it meets once a month during the academic year. The Senate serves in an advisory capacity to the Stony Brook University President and Provost, as specified by BOT policies and it retains primary responsibilities in matters of curriculum, instructional methods, academic standards, program development, degree requirements, and academic student affairs. Its several standing committees provide advice and recommendations in response to requests from senior administration and from its own Executive Committee, including committees on Research and on Academic Planning and Resource Allocation. Through these committees and its monthly meetings, the University Senate is a significant force in institutional policy making.²⁴⁷

Colleges & Schools

Stony Brook is organized into 12 schools and colleges. Seven of these report to the Provost: the College of Arts and Sciences, the College of Business, the College of Engineering and Applied Sciences, the Graduate School, the School of Communication and Journalism, the School of Marine and Atmospheric Sciences, and the School of Professional Development. The 5 health sciences schools report to the Executive Vice President of Health Sciences and CEO of Stony Brook Medicine: the School of Dental Medicine, the Renaissance School of Medicine, the School of Health Professions, the School of Nursing, and the School of Social Welfare. Each of these schools and colleges is led by a dean. The Provost and the EVP for Health Sciences collaborate closely, and the Provost is the direct liaison to SUNY for academic matters.²⁴⁸

Department Governance

Schools and colleges are subdivided into departments and/or programs, administered by a department/program chair, appointed by the dean of the school or college upon consultation with the relevant faculty. The chairs, in consultation with their respective faculty members, are responsible for supervision of the personnel and educational program of the departments that they represent. Research centers and institutes also typically have directors who report to the Provost, the EVP for Health Sciences or a dean.

Undergraduate Student Government

The Undergraduate Student Government (USG) is a governing body that represents the interests and concerns of undergraduate students. It is led by an Executive Council whose members are elected by the student body for a one-year term to manage USG operations, carry out initiatives consistent with student concerns, ensure proper distribution of the undergraduate student activity fee, and communicate with University administration. A 25-member USG Senate represents the undergraduate student body by proposing, reviewing, and approving operational or budgetary actions, writing and enacting legislation, and maintaining bylaws. The USG Senate approves an annual student activities budget and advocates for students by members serving on University and USG committees.²⁴⁹

The Graduate Student Organization

The Graduate Student Organization (GSO) is the graduate student government at SBU. The GSO is incorporated in the State of New York as a nonprofit organization, and is legally and structurally independent of the university administration, although it is advised by the Dean of the Graduate School. It represents graduate students at SBU, with a mission to protect the rights of graduate students, advance their interests, provide a forum for public debate and promote graduate student participation in University affairs. It is led by a five-member executive committee and 60 senators elected from every graduate program.²⁵⁰

Labor Unions

As discussed in Chapter 2, faculty and staff are subject to New York State and SUNY rules with respect to employment, and state university employees are represented by seven different labor unions. Their respective contracts govern many of the terms and conditions of employment. The University administration consults and collaborates with them to ensure the working environment for faculty and staff is fair, equitable, and allows individuals to thrive. Leadership from the United University Professions (UUP) and the Graduate Student Employees Union (GSEU) report to the campus at University Senate meetings.

Local campus governance bodies play an important advisory role to the President. They are consulted on large scale campus initiatives and are represented on university-wide committees that review budget priorities, academic improvements, and campus life enhancements. While governance continues to be an area of review in the University Senate and by committees examining results from the COACHE Faculty Job Satisfaction Survey, Stony Brook's internal system of governance has improved under President McInnis. Continued open dialogue between senior leadership and all governance bodies happens monthly. These conversations allow for ideas to be shared and honest feedback to be given to leadership in a timely manner. Nevertheless, surveys indicate satisfaction with governance remains one of the lower rated items by faculty, and governance remains an area of review in the University Senate and by committees examining results from the COACHE Survey.²⁵¹

Board Responsibilities

Mission, Financial Well-Being, and Quality

New York Education Law defines the mission of the SUNY system and designates the BOT to oversee this mission to provide the people of New York with broad access to the highest quality educational services in a wide range of academic, professional, and vocational postsecondary programs that meet the needs of a diverse population.

7.2 a legally constituted governing body that ...

7.2a serves the public interest, ensures that the institution clearly states and fulfills its mission and goals, has fiduciary responsibility for the institution, and is ultimately accountable for the academic quality, planning, and fiscal well-being of the institution.

To support distinct regional and demographic demands, each campus of the SUNY system is expected to have a differentiated mission. Section 353 charges the BOT with the responsibility of planning, supervising, and administering the system's facilities and programs. Sections 354 and 355 explicitly describe the powers and duties of the Board, which is responsible for long-term planning through its formulation and revision of the system's Master Plan. The BOT manages academic quality through its regulation of programs, courses, and curricula. The BOT is also empowered by statute with financial oversight of the system, which includes budgets, appropriations, and allocations.²⁵²

7.2b has sufficient independence and expertise to ensure the integrity of the institution. Members must have primary responsibility to the accredited institution and not allow political, financial, or other influences to interfere with their governing responsibilities.

Independence and Expertise

As officers of the State of New York, both BOT members and Stony Brook Council members are subject to legislation and policies that protect the integrity of the institutions they serve. The New York State Public Officers Law states that officers cannot

accept employment, engage in business or professional opportunities, or pursue financial interests that impair their

ability to serve in their roles impartially. The political activities of officers are restricted while serving in their state agency roles, and limitations are also placed on officers receiving gifts.²⁵³

Distance from Day-to-Day Operations

SUNY BOT documents explicitly establish that day-to-day operations of the university are the purview of the President, staff and faculty.²⁵⁴

7.2c ensures that neither the governing body nor its individual members interferes in the day-to-day operations of the institution.

Policies for Education, Finance, Personnel, and Management

At the policy level, the BOT oversees multiple key functions of the state university system in coordination with stakeholders, committees, and designees.

Academic Affairs

As the academic overseer, the BOT is responsible for granting all degrees, diplomas, and certificates at all state-operated institutions. Its work in academics is supported by the BOT Academic Affairs Committee, which makes recommendations on items such as academic program review, degree approvals, the Master Plan, and faculty recognition. The SUNY Provost also works on behalf of the Board of Trustees to supervise the academic program development and approval, prior to approval by the State Department of Education. The personnel functions of the BOT promote the equitable recruitment, retention, and promotion of talented faculty and staff through the classification, allocation,

7.2d oversees at the policy level the quality of teaching and learning, the approval of degree programs and the awarding of degrees, the establishment of personnel policies and procedures, the approval of policies and by-laws, and the assurance of strong fiscal management.

7.2e plays a basic policy-making role in financial affairs to ensure integrity and strong financial management. This may include a timely review of audited financial statements and/or other documents related to the fiscal viability of the institution.

appointment, and promotion of positions. The Policies of the Board of Trustees further detail the procedures for personnel, including, but not limited to, the roles and responsibilities of senior officers, the composition of faculty, and appointments. The Policies also designate authority to chief administrative officers on some personnel procedures.²⁵⁵

Financial Policies and Review

The Finance and Administration Committee advises the Board on the state of the system's financial and business operations. It is also expected to ensure that the system is operating within its budgetary means and is fiscally compliant with all relevant federal, state, and local policies. The BOT Audit Committee is charged with encouraging continuous process improvement and maintaining compliance with legislation, regulation, and policies. The Audit Committee assists the Board in fulfilling fiduciary duties related to financial reporting, auditing, and accounting. The BOT has empowered the Chancellor to establish through the SUNY Office of Finance and Budget policies and procedures for financial management, procurement, and audit to govern campuses, as discussed in Chapter 6.²⁵⁶

7.2g is informed in all its operations by principles of good practice in board governance.

Good Practice in Board Governance

Trustees abide by the New York State Not-for-Profit Corporations Law, which establishes the presumption that officers fulfill their responsibilities in good faith and with care commensurate to an "ordinarily prudent person" in a similar position. When acting in good faith, Trustees may rely on officers, staff, and counsel whom they deem reliable and competent in a particular matter for information, opinions, reports, or statements. Trustees are expected to demonstrate principles of good practice through regular attendance and participation in meetings and committee sessions, as well as through review and inquiry of relevant materials.²⁵⁷

Conflicts of Interest

Trustees and Council members are subject to a strict code of ethics, as detailed in the Code of Ethical Conduct and relevant state legislation. The Code of Ethical Conduct outlines several expectations for these officers, including the prohibition of contingency fee arrangements, competitive bidding requirements, and limitations on gifts. Trustees must also adhere to the NY Public Officers Law, which prohibits any compensation that is against the interest of their state agency and prohibits financial or political conflicts of interest. This law also requires state officers to submit annual financial disclosure statements. Officers found in violation of any of these policies are subject to a variety of legal penalties, as well as removal from office.²⁵⁸

7.2h *establishes and complies with a written conflict of interest policy designed to ensure the impartiality of the governing body by addressing matters such as payment for services, contractual relationships, employment, and family, financial or other interests that could pose or be perceived as conflicts of interest.*

The University President

Presidential Selection and Appointment

Stony Brook experienced significant growth under the leadership of Dr. Samuel Stanley, who served as the fifth president of Stony Brook from 2009 to 2019. During that time, President Stanley adjusted administrative structures, focusing on human capital while strengthening academic programs and services.

Following the announcement of Dr. Stanley's departure in Spring 2019, the University launched an extensive, open, and collaborative presidential search process as outlined by the SUNY Board of Trustees Policies and SUNY guidelines. The

7.3 *a chief executive officer who ...*

7.3a *is appointed by, evaluated by, and reports to the governing body and shall not chair the governing body.*

7.2f *a legally constituted governing body that ... appoints and regularly evaluates the performance of the Chief Executive Officer.*

campus formed a diverse presidential search committee, led by Kevin Law, Chair of the Stony Brook Council, and included three additional members of the Stony Brook Council, six full-time teaching faculty, a student, an alumni representative, a Stony Brook Foundation representative, an academic dean, a professional or support staff member, and the President of Binghamton University as the Chancellor's designee. This committee conducted an exhaustive national search to identify finalists for the position, and then advised the Stony Brook Council, who in turn made a recommendation to the Chancellor for submission to the Board of Trustees for the decision. In March 2020, the BOT named Dr. Maurie McInnis to serve as the sixth president of Stony Brook University and officially began her appointment on July 1, 2020. SUNY campus presidents neither serve on nor chair the SUNY BOT.²⁵⁹

The BOT empowers the Chancellor to evaluate the President's performance on a periodic basis. Under the evaluation process established by SUNY, the President and the Chancellor jointly and collaboratively assess the health of the institution and the leadership demonstrated by the President. The evaluation focuses attention on the President's ability to execute the mission of the institution using the framework outlined by SUNY. The formal process is managed through the office of the Chancellor and communicated to the local campus well in advance. The evaluation process is conducted as a personnel matter and is confidential. Former Chancellor Zimpher evaluated former President Stanley in 2015. A subsequent evaluation of President Stanley by former Chancellor Johnson was underway in 2019 when Stanley departed to assume a presidency at another university. Chancellor King is conducting an evaluation of President McInnis in 2023-24.²⁶⁰

Presidential Qualifications

Dr. McInnis is a renowned cultural historian of the nineteenth century American South. Prior to joining Stony Brook, she served four years as Executive Vice President and Provost at the University of Texas at Austin (UT), a top public research university of more than 50,000 students. Before her tenure at UT,

7.3b *has appropriate credentials and professional experience consistent with the mission of the organization.*

McInnis served nearly twenty years at the University of Virginia in various academic and administrative appointments, including Vice Provost for Academic Affairs and Associate Dean for Undergraduate Academic Programs in the College of Arts and Science. As the author of multiple articles and books, she is a fit leader for the University’s research and innovation enterprise. Dr. McInnis has a B.A. from the University of Virginia and an M.A., M.Phil., and Ph.D. from Yale University.²⁶¹

7.3c *has the authority and autonomy required to fulfill the responsibilities of the position, including developing and implementing institutional plans, staffing the organization, identifying and allocating resources, and directing the institution toward attaining the goals and objectives set forth in its mission.*

7.2i *a legally constituted governing body that ... supports the Chief Executive Officer in maintaining the autonomy of the institution.*

Presidential Authority and Responsibilities

Policies of the BOT empower President McInnis as the chief administrative officer of Stony Brook University to carry out the bylaws, resolutions, policies and processes of the BOT and the Chancellor. Under the BOT Policies, the “chief administrative officer of each college shall be responsible to the Chancellor and the Board of Trustees for, and shall administer, the college for which he or she serves, and shall promote its development and effectiveness.” The

President is responsible for preparing Stony Brook’s annual budget, recommendations with respect to the operations and development of Stony Brook, and the appointment, promotion, and tenure of employees. In the role of Chief Executive of Stony Brook, Dr. McInnis also oversees the Stony Brook Medicine enterprise which encompasses five health sciences schools, four hospitals and 200 community-based healthcare settings. The President chairs the Senior Budget Executive Team responsible for making institutional budget decisions, and the Strategic Budget Initiative 2020-22 and the most recent strategic planning process were undertaken at her direction. SUNY requires the President to provide an annual report summarizing campus accomplishments.²⁶²

A Qualified and Effective Administration

A team of executives assists the President in the daily operation of the university and serves on her cabinet, which is described in greater detail below.

Also supporting the President is the Department of Audit and Management Services, which has an internal audit function to ensure ongoing control processes for the efficient and fiscally responsible fulfillment of the University’s operations. The Office of Institutional Research, Planning & Effectiveness is housed within the President’s area and collects and analyzes university data for evidence-based decision-making and reporting. In addition, Stony Brook’s Office of General Counsel provides comprehensive legal advice to the President and Stony Brook’s administration and, with the State’s Attorney General’s Office, represents Stony Brook in legal claims.²⁶³

Stony Brook’s governance structure and President McInnis’s qualifications have underpinned President McInnis’s successful and smooth transition and resulted in Stony Brook’s recent achievements of identification as a SUNY flagship institution, successful navigation of COVID, institutional financial stability and new State resources for sustainability, and Stony Brook’s selection as an anchor institution for the new, highly visible New York Climate Exchange on New York’s Governor’s Island. The President has supported significant investments in Stony Brook’s research enterprise that has resulted in a 22% increase in the past 2 years.

7.3d *has the assistance of qualified administrators, sufficient in number, to enable the Chief Executive Officer to discharge her duties effectively; and is responsible for establishing procedures for assessing the organization’s efficiency and effectiveness.*

University Administration

Organizational Structure

Divisions, departments, and offices have established organizational structures with direct reporting relationships. All units have designated leaders with budgetary authority, and all employees have a direct supervisor who monitors and approves time and attendance and evaluates their performance. Reporting relationships are documented in the Enterprise Resources Planning, and units maintain organization charts to visualize reporting structures, including dual reports and “dotted line” relationships. Organization charts must be provided when requesting new positions or reclassifying positions. Organization charts are also required for inclusion in annual reports of administrative units. During 2023-24, Stony Brook is establishing processes to promote consistency in appearance of organization charts and requirements for visualizations to be accompanied by text-based accessible versions that describe the organizational structure.²⁶⁴

Senior Leadership

Now in the fourth year of her tenure, President McInnis has a full complement of her executive team in place. supported in her work by an experienced and talented senior administration that assists her in fulfilling her roles and responsibilities. Two executive vice presidents, two senior vice presidents, six vice presidents, the Athletics Director, Chief Legal Counsel, and the Chief Innovation Officer (new position – vacant) report directly to the President. In addition, six vice presidents who report to executive and senior vice presidents are included in the President’s Cabinet to facilitate collaboration and communication.

Cabinet members have responsibilities for major operational areas that include academic affairs, advancement, athletics, communications and marketing, educational and institutional effectiveness, enterprise risk management and safety, equity and inclusion, facilities, finance and administration, government and community relations, health sciences and Stony Brook Medicine,

human resources, information technology, legal counsel, research, strategic initiatives, and student affairs.²⁶⁵

This executive teams leads operations carried out by 4,000 talented staff and 2,900 highly accomplished faculty to accomplish its mission. The ratio of students to staff is 7 to 1, and the ratio of students to faculty is 19 to 1 (IPEDS methodology). While these levels are below the optimal level of the median student-faculty ratio and student-staff ratio for the AAU, as discussed in Chapter 6, they are well within the expected range of a public AAU institution.²⁶⁶

With a strong and experienced senior leadership team in place, Stony Brook is well-positioned to accomplish ambitious goals in the new strategic plan and advance the University’s five-part mission in areas of education, research, economic development, healthcare, and diversity.

Qualifications of Administrative Officers

Stony Brook employs highly qualified and well credentialed senior leaders to lead important aspects of the University’s operations and to steward Stony Brook’s mission. Brief descriptions of executive and senior vice presidents appear below, with longer descriptions and biographies of all members of the University Council in the accompanying evidence inventory. These senior leaders have established track records as national and international leaders in higher education and have come to Stony Brook following national searches to identify the most qualified candidates for their positions.²⁶⁷

7.4 *an administration possessing or demonstrating...*

7.4a *an organizational structure that is clearly documented and that clearly defines reporting relationships.*

7.4b *an appropriate size and with relevant experience to assist the Chief Executive Officer in fulfilling her roles and responsibilities.*

7.4c *members with credentials and professional experience consistent with the mission of the organization and their functional roles.*

Judith B. Greiman

Chief Deputy to the President/Senior Vice President for Government & Community Relations

Judith B. Greiman is Chief Deputy to the President of Stony Brook University and the Senior Vice President for Government and Community Relations. In these dual roles, Greiman provides strategic guidance to the leadership team, acts on behalf of the University President, manages high level internal and external relationships, serves as a chair of key committees including the Council of Vice Presidents, responds to faculty and student matters, and serves as the liaison to the Stony Brook Council. In addition, she oversees the government and community relations efforts of the institution and supervises several units and initiatives including the Office of Equity & Access, Title IX matters, and Conferences and Special Events. When the President is unavailable, the Chief Deputy serves as a conduit for channeling issues to be addressed by the appropriate area.

Carl Lejuez

Executive Vice President and Provost

As the chief academic officer at Stony Brook, Carl Lejuez oversees the academic mission of the university, providing direct supervision for all academic units, support services, and operations, including enrollment management and student success, and coordinating all academic programs. West Campus colleges, schools, libraries, centers, and institutes report to him, and he collaborates with the Executive Vice President of Health Sciences and East Campus deans to align the research enterprise, enhance interdisciplinary education, and offer enhanced services to all students and faculty.

William Wertheim

Interim Executive Vice President of Stony Brook Medicine

William Wertheim works collaboratively with academic and clinical leadership and community partners to lead the continued development of Stony Brook Medicine (SBM) as a premier academic medical center and health system. He balances the clinical and academic mission of SBM through strategic integration of the Health Sciences clinical programs into the research, education, and service missions across the SBM health system and University. East Campus schools, centers, and institutes report to him, and he collaborates with the Executive Vice President and

Provost and the West campus deans to align the research enterprise, enhance interdisciplinary education, and offer enhanced services to all students and faculty.

Jed Shivers

Senior Vice President for Finance and Administration

Jed Shivers is responsible for managing Stony Brook’s financial, administrative, and facilities operations, and helps guide the financial direction for the University as it advances its institutional mission of education, research, and service. His portfolio includes Finance and Accounting; Budget, Financial Planning and Analysis; Human Resources; Enterprise Risk Management; Information Technology; and Facilities and Services.

Members of the administration at senior and other levels are hired through recruitment processes that involve broad, open, and fair searches led by committees with support from the Division of Human Resources. Position postings include descriptions of minimum and preferred qualifications that meet or exceed minimum requirements for each classification.²⁶⁸

Staff and Technology Resources

Stony Book’s administration is supported by staffing and information systems to assist them in delivering high-quality educational programs and conducting world-class research.

7.4d *skills, time, assistance, technology, and information systems expertise required to perform their duties.*

The Division of Information Technology provides centralized technology support for enterprise applications and integrations, data and analytics, information security, infrastructure, human resources, and finance operations. Various other units provide technology-related support and services, such as the Center for Excellence in Teaching and Learning, the Office of Institutional Research, Planning and Effectiveness, and Residential Information Systems.²⁶⁹

Engagement with Faculty and Students

Stony Brook's administration engages regularly with faculty, staff, and students to advance campus goals and objectives and to communicate across the constituencies that serve students and the community. Email communications about new initiatives, policies, and events are regularly shared with all campus constituencies. For decades, the University President has delivered an annual State of the University Address, during which time the President reflects on the past year's achievements and lays out goals for the future. In recent years, the address has been delivered in person, live streamed, and archived on YouTube, making it convenient for all members of the University community to watch.²⁷⁰

7.4e *regular engagement with faculty and students in advancing the institution's goals and objectives.*

While the address is an annual occasion, the President also attends and provides monthly written reports to the University Senate, and she often takes questions from faculty and staff senators, demonstrating engagement with faculty. The Provost and Executive Vice President for Health Sciences also attend and provide monthly written reports for Senate meetings and regularly take questions. In addition, the President and Provost meet with the Senate Executive Committee regularly as well as when there is an immediate need for consultation.²⁷¹

Stony Brook's administration engages with students through a variety of campus events, but regular, formal communication occurs through the channel of student government. The President meets at least once a semester with the Executive Committees of the Graduate Student Organization and Undergraduate Student Government. The student leaders set the agenda for these meetings, which traverse substantive issues related to the university's mission and goals. In addition, the Vice President for Student Affairs meets with USG monthly, and he and the Dean of the Graduate School meet with GSO leadership biweekly.

Evaluation of Administrative Units

On an annual basis, administrative units prepare and submit an annual report to the vice president overseeing their area. This report follows a standard format that includes the unit mission, unit goals, key performance indicators (KPIs), progress on plans for improvement from prior years (new in 2023), additional accomplishments, plans for improvement for the following year, and an organization chart (new in 2023). Following review from the vice presidents, reports are forwarded to the Office of Institutional Research, Planning & Effectiveness and the Office of Educational Effectiveness for review, feedback, and archiving.²⁷²

7.4f *systematic procedures for evaluating administrative units and for using assessment data to enhance operations.*

Assessment of Governance, Leadership, and Administration

Assessment of the leadership and governance of Stony Brook University is performed at various levels. President McInnis has established a process for each member of the cabinet to set annual goals for their units and provide end of year reports describing how the goals have been met. These reports will be used to assess and evaluate the effectiveness of VP Areas. In addition, the Provost has established a process for review of academic deans, with annual formative feedback and a summative evaluation process at the five-year mark. The pilot summative review of a Dean took place in Spring 2023.²⁷³

7.5 *periodic assessment of the effectiveness of governance, leadership, and administration.*

Stony Brook also expects that department leadership will be regularly assessed. The Offices of the Provost and of the Executive Vice President for Health Sciences have requested that the deans periodically evaluate department chairs in their respective Schools and Colleges. Recent evaluations included those of all the chairs of CEAS, CAS, and several of the Chairs in the RSOM. These processes result in timely feedback to department chairs, but they differ in methodology as well as frequency. Adopting a parallel process across colleges would better ensure the

effectiveness of departmental governance across the University.²⁷⁴

Faculty assess the quality of leadership periodically through the COACHE survey, administered in 2017 and 2023. Ratings of senior leadership improved between 2017 and 2022, but ratings of governance-related items remain among those areas of lower satisfaction within the institution and compared to other public AAU institutions. A faculty committee reviewed 2017 results and made recommendations, although changes in senior leadership and the COVID-19 pandemic interrupted potential progress in these areas. During 2023-24 a faculty committee that includes leadership from the University Senate and other faculty as well as the Provost's Office is reviewing results from the 2023 survey and will develop recommendations.²⁷⁵

An additional assessment of all levels of Stony Brook's leadership is supplied by the University Senate's Administrative Review Committee (ARC), which reviews and evaluates administrative performance as well as proposed reorganizations. ARC gathers data through surveying faculty and staff on a biannual basis. An executive summary as well as survey results are shared with the campus community, and while the details of personnel matters remain confidential, data from the ARC survey has informed decisions with regard to senior leadership.²⁷⁶

Annual reports submitted by administrative units were evaluated by staff in IRPE and OEE, and feedback prepared by the Vice President of Educational and Institutional Effectiveness was returned to units. For the 2021-22 academic year, 87 reports were received, and the review by OEE and IRPE indicated reports were strongest in discussion of accomplishments, plans for improvement, and mission. Areas for improvement included goal statements and KPIs. As a result of the 2021-22 review, sections were added for the 2022-23 reports to include progress reports on plans for improvement and organization charts. Reports from 2022-23 are again under review in the Division of Educational and Institutional Effectiveness, and in 2024 a review committee will be convened to broaden the review process.²⁷⁷

Over the past four years, Stony Brook has become more reflective about its leadership and governance practices,

evaluating them at regular intervals and following up to address deficiencies. A larger goal is to more widely disseminate evaluation outcomes as well as action items from these assessment processes to make both increasingly transparent. This will ensure that SBU remains accountable for improving its operations.

Evaluation & Areas for Improvement

Stony Brook has multiple levels of governance that have allowed it to fulfill its mission, provided for the public good, and helped elevate Stony Brook to prominence. With a solid policy infrastructure, the SUNY Board of Trustees and the System Office have provided ongoing oversight that has continued to keep Stony Brook affordable, accessible, and high quality. SUNY Chancellor King has also celebrated Stony Brook's role and potential as a flagship. Nevertheless, because of the sheer size of the SUNY system, policies that must cover institutions with very different sizes, constituencies, and missions are not optimally tailored to promote the interests of a leading research university.

The SUNY Board of Trustees provides a framework for ethical, efficient, and fiscally responsible operations. Adhering to guidelines established by the Board, and in accordance with New York State laws, Stony Brook University strives to provide high quality, accessible, and inclusive education to residents of New York and beyond.

Chancellor King and President McInnis have reinvigorated a positive working relationship between the SUNY system and Stony Brook, and their successful partnership in advocacy has led to additional state resources and supported Stony Brook's successful bid to anchor the New York Climate Exchange on Governors Island. Nevertheless, Stony Brook is at times limited by SUNY's governance structure. With 64 institutions to govern, the bandwidth of the SUNY BOT and System Office is constrained, and as a result there is often a push toward conformity (uniform tuition, uniform general education, seamless transfer, etc.) that does not optimally promote Stony Brook's unique strengths as one of America's leading research universities.

The sheer size and scope of SUNY often necessitate that system-level policies cannot be tailored to optimally address needs of research universities, comprehensive colleges, technology colleges, and community colleges. For example, during the 2022-23 admission cycle the system office waived application fees, which resulted in more applications but a lower yield rate and more difficulty to hit enrollment targets for the 2023 freshman class. There have been recent instances, however, in which SUNY granted flexibility to the campuses in establishing localized processes. By having more autonomy in some components of academic program proposal development, for example, Stony Brook was empowered to create a streamlined and efficient workflow. Such changes cultivate a stronger partnership between Stony Brook and SUNY.

Stony Brook's new President and changes to University Administration have been positive and well-received. Perceptions of senior leadership have improved although they can still improve further, and while the administration has begun efforts to change perceptions about campus governance, survey results indicate there is still work to be

done. Finally, through the process of the self-study, the University determined the production of organization charts was too decentralized and established procedures and expectations for the maintenance of organization charts while still allowing for local control.

- To continue to advance the university's mission and fully realize its new identity as a flagship, the University should work with the SUNY system and the State of New York to identify and encourage flexibility in policies and regulations that are appropriate to allow Stony Brook to thrive.
- To enable Department Chairs to grow as leaders, the Provost and Executive Vice President for Health Sciences should work with their Deans to establish policies and processes for consistent and equitable Chair reviews across colleges.
- To improve perceptions of local governance as registered on the COACHE survey, the University should support the COACHE faculty work group and heed recommendations from that group about how to improve effective governance.

²³⁸ 7_1 Governance Chart

²³⁹ 7_1 7_2a SUNY Board of Trustees

²⁴⁰ 7_1 SUNY Board of Trustees Committees

²⁴¹ 7_1 SUNY Chancellor

²⁴² 7_1 SUNY University Faculty Senate

²⁴³ 7_1 SUNY Research Foundation

²⁴⁴ 7_1 Stony Brook Council

²⁴⁵ 7_1 7_4b President and Cabinet

²⁴⁶ 7_1 7_4c University Council

²⁴⁷ 7_1 University Senate

²⁴⁸ 7_1 Colleges and Schools

²⁴⁹ 7_1 Undergraduate Student Government

²⁵⁰ 7_1 Graduate Student Organization

²⁵¹ 7_1 7_5 Survey Results on Governance

²⁵² 7_1 7_2a SUNY Mission and Board

²⁵³ 7_2b SUNY Board Independence

²⁵⁴ 7_2c Role of the SUNY Board

²⁵⁵ 7_2d SUNY BOT Academics and Personnel

²⁵⁶ 7_2e SUNY BOT Finance Policies

²⁵⁷ 7_2g SUNY Good Governance

²⁵⁸ 7_2h SUNY Conflicts of Interest

²⁵⁹ 7_3a 7_2f Presidential Appointment

²⁶⁰ 7_2f Presidential Evaluation

²⁶¹ 7_3b Presidential Qualifications

²⁶² 7_3c 7_2i Presidential Responsibilities

²⁶³ 7_3d Support Units

²⁶⁴ 7_4a Organization Charts

²⁶⁵ 7_1 7_4b President and Cabinet

²⁶⁶ 7_4b Staffing Ratios

²⁶⁷ 7_1 7_4c University Council

²⁶⁸ 7_4c Staff and Executive Searches

²⁶⁹ 7_4d Technology Resources

²⁷⁰ 7_4e Presidential Communications

²⁷¹ 7_4e Reports to University Senate

²⁷² 7_4f Admin Unit Annual Reports

²⁷³ 7_5 Senior Administrator Evaluations

²⁷⁴ 7_5 Department Chair Evaluation

²⁷⁵ 7_1 7_5 Survey Results on Governance

²⁷⁶ 7_5 Administrative Review Committee

²⁷⁷ 7_5 Evaluation of Admin Unit Reports



CONCLUSION

Conclusion

Stony Brook’s self-study to reaffirm its institutional accreditation from the Middle States Commission on Higher Education (MSCHE) demonstrates that the University meets or exceeds all accreditation requirements. The University’s accomplishments over the past ten years since the last reaffirmation of accreditation are remarkable, with highlights including a 17-percentage point increase in the 4-year graduation rate, becoming a flagship of the State University of New York, anchoring the New York Climate Exchange, and receiving the \$500 million Simons Infinity Investment.

Selected Comparison Metrics

	2013-14	2023-24
Headcount enrollment	24,143	25,865
Underrepresented minority	17%	21%
Pell grant recipients	32%	39%
Degree completions	6,473	7,556
4-year graduation rate	47%	64%
Avg. years to bachelor’s degree	4.20	3.92
Avg. years to master’s degree	1.96	1.89
Avg. years to PhD	6.15	6.02
Research expenditures	\$217M	\$325M
Economic impact	\$6 B	\$9 B
<i>U.S. News</i> ranking	#82	#58

Areas for Improvement

With acknowledgment and celebration of Stony Brook’s numerous successes, there is still opportunity for improvement. In pursuing this two-and-half year process of intensive investigation, understanding, and reflection, the University has identified numerous areas for potential ways to further the mission more effectively.

At the outset of the self-study process, the University had identified four institutional priorities with which groups working on each standard framed lines of inquiry. These priorities were student success, research, financial sustainability, and diversity and equity. As the self-study process advanced and the University finalized its strategic plan *Our Moment*, these priorities were reframed into

transforming learning and teaching, growing our research enterprise for impact, serving communities as a flagship, and reimagining the way we work. The self-study institutional priority for diversity and equity was deliberately recast as an institutional value of equity that informs all of the University’s priorities. Areas for improvement identified in the self-study are framed below through the strategic priorities in *Our Moment* to guide future actions to address them.

Further, because of the length of the self-study process, the University did not wait to address issues identified in the self-study, but rather many initiatives are well underway to tackle these challenges.

Transforming Learning and Teaching

Chapters 3, 4 and 5 recognize great strides in student success and renewed emphasis on reflective assessment over the past decade. Continued improvements in graduation rates and other outcomes require even closer alignment of review and improvement efforts. Areas to improve include opportunities to:

- monitor alignment of general education with new requirements from SUNY (Ch. 3)
- enhance transparency and organization of academic policies and procedures (Ch. 3)
- extend improvements in graduation rates through the reinstated Student Success Team (Ch. 4)
- extend systematized transfer equivalency to international students (Ch. 4)
- examine and enhance academic advising (Ch. 4)
- extend efforts to provide helpful feedback to programs (Ch. 5)
- continue formalization of [assessment] roles and cyclical processes (Ch. 5)

During 2023-24 General Education Committee completed alignment with SUNY’s general education framework and has consulted with the Office of Educational Effectiveness about assessment of the realigned objectives. The new Vice Provost for Academic Affairs has already begun to restructure academic policies and the Provost’s leadership team has a process in place to prioritize policy needs. The Student Success Team has already identified populations for targeted support and focus in spring 2024 and later, has made a presentation to the President’s Cabinet, and

continues to identify areas for initiatives. The Enrollment and Revenue meeting has identified a plan for additional support for international students that goes beyond just the transfer equivalency identified in the self-study, and the advising task force has already improved advisor training in addition to completing a review of advising processes with peer comparisons. The Office of Educational Effectiveness has added a program evaluation specialist to its staff (search in progress), held a second annual Assessment Symposium, has established a regular communication cycle with assessment coordinators and is poised to support the Assessment Council to provide meaningful feedback on another almost 200 assessment reports and 90 administrative unit annual reports.

Reimagining the Way We Work

Chapters 2, 6, and 7 identify the ambitious agenda President McInnis has set forth for the University to assume a role of global leadership in education, science, and healthcare. To realize this potential, areas to improve roughly do fall into two of the self-study priority areas: financial sustainability and diversity, equity, and inclusion

Financial Sustainability

- examine how assessment results can more often inform resource allocation (Ch. 5)
- ensure financial resources allow the University to add and retain faculty and staff to achieve ratios closer to the median of the public AAU (Ch. 5)
- explore development of a resource allocation model that is more predictable and aligned with the goals of the new strategic plan (Ch. 6)
- pursue campus-level auditable financial statements rather than rely solely upon the SUNY system-level external audit (Ch. 6)

Diversity, Equity & Inclusion

- evaluate the placement and scope of the University Ethics Officers (Ch. 2)
- consolidate information about grievance procedures (Ch. 2)
- continue to promote equity and inclusion to foster a welcoming campus climate (Ch. 2)
- increase the number and diversity of talented faculty members (Ch. 3)
- establish a consistent chairperson review policy (Ch. 7)

- continue to improve governance and communication (Ch. 7)

Chapters 3 and 6 emphasize the importance of hiring and retaining more faculty and staff to achieve ratios closer to the median among public AAU institutions. As these faculty and staff are recruited, attention to diversifying the faculty to carry the University into the mid-21st Century is critical. The two recent cohorts of IDEA Fellows represent a promising first step toward this future. Chapters 5 and 6 identify opportunities for resource allocation to be more transparent and linked even more directly to improvements for student success. A group for enrollment and revenue planning now meets regularly to ensure revenues from growth and costs for support are aligned. A major project to evaluate and restructure the framework through which budgetary allocations are made is underway. A faculty committee has completed a draft report about communication and governance, following review of COACHE faculty job satisfaction survey results.

Serving Communities as a Flagship

Chapter 1 identifies a need for robust communications about progress on *Our Moment* as an opportunity to showcase the University's progress and success as well as a way to hold the University accountable to its ambitious goals. And Chapter 7 identifies opportunities to solidify the University's new designation as a flagship to promote leadership and flexibility. Both of these areas raise the bar for Stony Brook to tell its story in a compelling way to:

- better communicate progress and accomplishments related to the strategic plan (Ch. 1)
- fully realize its new identity as a flagship to be a leader in the SUNY system (Ch. 7)

The recent hire of a Vice President for Strategic Initiatives with strategic plan implementation in her portfolio is an important first step to provide leadership on communication efforts with the strategic plan. In a recent *New York Times* article "Can an Ambitious Public University Still Be a Place for All Students?" President McInnis observed that the flagship designation at present principally has rhetorical power. And to that point, Stony Brook's story as a flagship institution has just begun.

Continued leadership from all areas of the University are helping to advance that narrative.

Growing our Research Enterprise for Impact

The self-study process ultimately did not focus particularly on areas for improvement for the research enterprise, in part because only one part of one of the 46 criteria in the MSCHE standards address production of research (1.1e “a clearly defined mission and goals that ... include support of scholarly inquiry and creative activity, at levels and of the type appropriate to the institution”).

The self-study work groups determined that Stony Brook both has these goals for research and scholarship and executes on them well beyond the level required by the Standards for Accreditation. Nevertheless, the University still has identified areas for improvement in research. These include proposals made through the Strategic Budget Initiative, the creation of research Tiger Teams and Biomedical Tiger Teams, proposals to expand AI, and various reports that have identified potential changes in structure and staffing in the Office of the Vice President for Research. Stony Brook will continue to be introspective in about its research mission through its normal processes for planning and improvement.

The Next Self-Study

As a final concluding observation from the self-study process, Stony Brook, like many colleges and universities, found the process enlightening and rewarding. The process was not simply a box-checking exercise in compliance but identified real and substantive areas for improvement, as noted above.

Nevertheless, the effort and cycle-time to reach these conclusions was too extensive and too long, distracting at times from the substantive work of advancing the mission. Given MSCHE’s new guidelines for evidence expectations, new procedures for monitoring, communicating, and using this information can make the next self-study process more efficient and more effective.

Integration of generative AI tools into a curated repository of evidence aligned with the MSCHE standards have

potential to assist with both analysis and composition, leaving more faculty and staff time to create plans and strategy rather than searching for documentation and creating pdf documents from websites.

The next self-study will present the opportunity both to document the even great heights of success of Stony Brook’s students, faculty, and staff and to discuss how the University continues to lead in solving the world’s most challenging problems, such as mitigating climate change, curing cancer, reducing inequality, driving the economy, bringing beauty into the world, and celebrating our diverse and vibrant communities. The advances the University has made and the challenges it has navigated underscore a relentless pursuit of excellence and a commitment to not only sustain but elevate its role as a premier institution of higher learning and research. Looking to the future, Stony Brook’s collective efforts—rooted in a strategic, inclusive, and forward-thinking approach—have set the stage for even greater achievements. The journey of self-improvement and institutional advancement is perpetual, and the lessons learned through this self-study will inform the path forward, ensuring that Stony Brook University remains at the forefront of innovation, education, and service to its many communities, the state, and the world.

In closing, deepest gratitude is due to the entire Stony Brook community—students, faculty, and staff—for their contributions to this self-study. Their dedication, insight, and collaborative spirit have been instrumental in the University’s successes and in identifying avenues for continued improvement. Stony Brook stands ready to embrace the challenges and opportunities that lie ahead, confident in the vision to achieve transformative impact by driving innovation and inclusive excellence in education, research, healthcare, economic and cultural development, and social mobility.

The University moves forward with a renewed commitment to mission, to our values, and to its communities, inspired by past achievements and excited for what the future holds. Stony Brook University’s story is one of resilience, excellence, and unwavering dedication to making a difference in the world—a narrative that will be written as a University community in the chapters yet to come.