



**STONY BROOK UNIVERSITY**

**PRELIMINARY PROPOSAL FOR INSTITUTIONAL SELF-  
STUDY**

**SUBMITTED TO  
MIDDLE STATES COMMISSION ON HIGHER EDUCATION**

**SUBMITTED BY  
STONY BROOK UNIVERSITY  
STONY BROOK ♦ NEW YORK ♦ 11794**

**OCTOBER 2002**

## **SUMMARY OF DESIGN FOR INSTITUTIONAL SELF-STUDY**

In preparation for its ten-year reaccreditation, Stony Brook University (SBU) has chosen for its institutional self-study the selected topics model. The topic of the self-study is “The Student Experience at Stony Brook,” where the study will not only include undergraduate students, but also graduate students and professionals from the health sciences center. The objective is to examine the experience of all students in the entire institution, measure student-learning outcomes, and determine the value and effectiveness of the education provided at SBU. An objective, too, is to use the findings from the study to reinforce the positives of SBU and instill changes throughout the entire university community that will make the university an even better place for education and living. Through the self-study, a set of deliverable actions will be established that will have a positive impact on the experience of SBU students. The progress in these areas will form the core around which the 2009 periodic review report will be organized.

The self-study is organized around five themes. They are as follows:

### **Theme 1: Transition to Stony Brook**

This theme covers the students’ first experience with Stony Brook, including their first few weeks at SBU.

### **Theme 2: First and second year at Stony Brook**

The addressed issues comprise academic foundations, doing well in large, introductory classes, interactions with faculty and teaching assistants, mentoring, and social adjustment.

### **Theme 3: Education and scholarly activities**

The emphasis is on teaching, learning, research and creative activities, libraries, laboratories, and instructional facilities.

### **Theme 4: Stony Brook as a community**

Topics include interactions among on-campus and off-campus communities, social and cultural experiences, physical environment, and student services.

### **Theme 5: Life beyond Stony Brook**

The focus is on the adequacy of our programs for preparing our students for life beyond Stony Brook.

The plan for the self-study is to approach the standards for reaccreditation from a variety of perspectives, using numerous methods for answering the fundamental question of whether Stony Brook as an institution is doing the best that it can do to educate its students. By focusing the self-study on student experience, the emphasis is at least implicitly on those standards that address educational effectiveness: standard 7, institutional assessment; standard 8, student admissions; standard 9, student support services; standard 10, faculty; standard 11, educational offerings; standard 12, general education; standard 13, related educational activities; and standard 14, assessment of student learning. These standards will not be approached as a checklist, but rather as all contributing in an integrative fashion.

For the review of documents pertaining to the standards related to institutional context that are not fully addressed in the self-study (standards 1 through 6), sufficient documentation will be assembled. The documentation will allow the team chair and members and the designated generalist evaluator to verify institutional compliance with these standards. The appended is a road map of the documents that will be available and the standards they refer to.

**STANDARDS FOR ACCREDITATION (1-6), ELEMENTS, AND DOCUMENTATION**

**STANDARD 1: MISSION, GOALS, AND OBJECTIVES**

The institution's mission clearly defines its purpose within the context of higher education and explains whom the institution serves and what it intends to accomplish. The institution's stated goals and objectives, consistent with the aspirations and expectations of higher education, clearly specify how the institution will fulfill its mission. The mission, goals, and objectives are developed and recognized by the institution with its members and its governing body and are utilized to develop and shape its programs and practices and to evaluate its effectiveness.

<b>Number</b>	<b>Fundamental Element</b>	<b>Document/Process</b>	<b>Description</b>
1.a	Mission, goals and objectives that guide faculty, administration, staff and governing bodies in making decisions related to planning, resource allocation, program and curriculum development, and definition of program outcomes	SBU Mission Statement	<p>Stony Brook University has a five-part mission:</p> <ul style="list-style-type: none"> <li>• To provide comprehensive undergraduate, graduate, and professional education of the highest quality;</li> <li>• To carry out research and intellectual endeavors of the highest international standards that advance theoretical knowledge and are of immediate and long range practical significance;</li> <li>• To provide leadership for economic growth, technology, and culture for neighboring communities and the wider geographic region;</li> <li>• 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;</li> <li>• To fulfill these objectives while celebrating diversity and positioning the University in the global community.</li> </ul>
		Memorandum of Understanding	<p>This joint agreement between SBU and SUNY Administration sets the goals, visions and overall mission and expectations for the university. Specific goals are stated for enrollments and admissions, student outcomes, faculty development and scholarship, academic programs direction, and infrastructure and technology.</p>

		<p>Five Year Plan</p> <p>Provost's Strategic Plan</p>	<p>A Five Year Plan, currently covering the period 2000-2005, guides campus improvement. The Plan articulates a vision of how the University's missions will be accomplished during this period, sets goals to guide progress toward that vision, and identifies specific action objectives. The Five Year Plan was developed through a broad-based participative process. It is based on the work of seven task forces that engaged 150 faculty, staff, students, alumni and friends of the University in developing recommendations in areas important to Stony Brook's future. The chairs of those groups synthesized the task force proposals into a draft Plan, which was widely circulated. The final Plan incorporates extensive comments on the draft obtained from students, faculty, and staff in two public hearings and in writing, and from the senior administrators responsible for implementing the Plan. The Five Year Plan "does not attempt to anticipate every initiative the campus will undertake in the next five years, but rather identifies specific projects that will move Stony Brook toward further excellence in education, research and service." Specifically the Plan articulates the vision that "Stony Brook will continue to improve undergraduate education and the recruitment and retention of students" and "provide excellent graduate and postdoctoral programs in a supportive environment." Five Year Plan goals, with associated action objectives, include attracting and retaining outstanding faculty and encouraging excellence in faculty research, expanding SBU's role in economic development, building connections with local school districts, expanding educational opportunities with business, and increasing the University's visibility with businesses and the local community.</p> <p>Robert McGrath, SBU's Provost and Executive Vice President for Academic Affairs, assembled a committee of faculty and administrators in February of</p>
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		Health Sciences Center Academic Plan	<p>2002 to form the Strategic Plan Advisory and Coordinating Committee (SPACC). A draft of the Provost's strategic plan will be available to the campus community for discussion in the fall of 2002. Other materials include <i>Developing a Strategic Plan</i>, <i>SPACC Members List</i>, and <i>Strategic Plan Task Forces</i>.</p> <p>The HSC Academic Plan is a cooperative plan comprised of the individual strategic plans of the five professional schools that make up the HSC: Dental Medicine, Medicine, Nursing, Social Welfare, and Health Technology Management.</p>
1.b	Mission, goals and objectives that include support of scholarly and creative activity, at levels and of the kinds appropriate to the institution's purposes and character	SBU Mission Statement Memorandum of Understanding Five Year Plan Provost's Strategic Plan Health Sciences Center's Academic Plan	See 1.a
1.c	Mission, goals and objectives that are developed through collaborative participation by those who facilitate or are otherwise responsible for institutional improvement and developments	SBU Mission Statement Memorandum of Understanding Five Year Plan Provost's Strategic Plan Health Sciences Center's Academic Plan	See 1.a
1.d	Mission, goals and objectives that are formally approved, publicized and widely known by the institution's members	SBU Mission Statement Memorandum of Understanding Five Year Plan Provost's Strategic Plan Health Sciences Center's Academic Plan	See 1.a
1.e	Mission, goals and objectives that relate to external as well as internal contexts and constituencies	SBU Mission Statement Memorandum of Understanding Five Year Plan Provost's Strategic Plan Health Sciences Center's Academic Plan	See 1.a
1.f	Institutional goals and objectives that are	SBU Mission Statement	See 1.a

	consistent with mission;	Memorandum of Understanding Five Year Plan Provost's Strategic Plan Health Sciences Center's Academic Plan	
1.g	Goals and objectives that focus on student learning, other outcomes, and institutional improvement.	SUNY General Education Assessment Guidelines  SBU General Education Assessment Plan	This SUNY Administration mandated plan provides a template for how each unit assesses its general education offerings.  This document provides a detailed plan for assessment of general education at SBU within the SUNY-wide framework.
<b>Number</b>	<b>Optional Analysis &amp; Evidence</b>	<b>Document/Process</b>	<b>Description</b>
1.h	Analysis of how institutional goals are applied at different levels within the institution and how the implementation of goals is coordinated	Mission Review  Five Year Plan	The report provides answers to questions on Mission Review posed by the Office of the SUNY Provost in his April 2 letter to campus Presidents, submitted to SUNY Administration on September 29, 1998. Provost Salins' letter and attached materials are included in the Appendix to the report.  See 1.a
1.i	Analysis of the processes used to develop goals and objectives and for the periodic review of mission, goals and objectives	Mission Review Five Year Plan	See 1.h
1.j	Review of policies and processes used to disseminate mission and goals to new faculty, staff, students and members of the governing body and efforts intended to maintain awareness and commitment among continuing members of these groups	New Student Orientation  New Employee Orientation	Orientation materials are produced by the offices of Admissions and New Student Programs, to guide new students through the enrollment process (placement testing, registration, and opening week orientation). They include the <i>Guide for Enrollment</i> , and <i>Experience Stony Brook</i> . Our <i>Student Handbook</i> is designed to orient students to life in and around the university and provide them with an easy guide to transitioning into college.  Human Resource Services provides New Employees Orientation to all West Campus and HSC employees. This mandatory full-day session provides details of

		Faculty Handbook	<p>University's Mission Statement and goals and University policies and procedures. Each employee receives a checklist identifying these and must sign to acknowledge receipt. The university also maintains an on line Faculty and Staff Digest to bring up to date campus information to all employees.</p> <p>SBU's <i>Faculty Handbook</i> is designed to orient faculty to their position at SBU and provide them with guidelines for teaching, research, and acclimate new faculty to life in and around SBU.</p>
		Five Year Plan	See 1.a
1.k	Evidence of curriculum review used to change and improve educational programs, consistent with institutional values, purpose, and goals	<p>Guidelines for Departmental External Reviews</p> <p>Administrative External Reviews</p> <p>Student Services Accreditation</p> <p>ABET Reports</p> <p>Health Sciences Center Accreditation</p>	<p>Each department within the university is subject to an extensive external review by a team of faculty members from peer universities every seven years. Documentation from these reviews include a departmental presentation, the reviewers report and departmental response to the report.</p> <p>As with departmental reviews, each administrative department is periodically evaluated using self study and benchmarking practices to increase efficiency, service quality and management effectiveness.</p> <p>On the west campus the Student Health Service is accredited by the Association of Ambulatory Health Care. The University Counseling Center is accredited by the American Psychological Association and the International Association of Counseling Services.</p> <p>Each engineering program in the College of Engineering and Applied Sciences is accredited by the Accreditation Board for Engineering and Technology. Accreditation reports are available.</p> <p>Each program offered in our Health Sciences Center is accredited by an outside agency or organization (list at</p>



		<p>Reviews:</p> <ul style="list-style-type: none"> <li>▪ Commission on Dental Accreditation</li> <li>▪ Committee on Accreditation for Respiratory Care</li> <li>▪ Cytotechnology Programs Review Committee (CRPC) of the American Society of Cytopathology</li> <li>▪ National Accrediting Agency for Clinical Laboratory Sciences (NAACLS)</li> <li>▪ The Accreditation Council for Occupational Therapy Education (ACOTE)</li> <li>▪ Commission on Accreditation in Physical Therapy Education of the American Physical Therapy Association (CAPTE)</li> <li>▪ Accreditation Review Committee on Education for the Physician Assistant, Inc. (ARC-PA)</li> <li>▪ Middle States Commission on Higher Education</li> <li>▪ Commission on Accreditation for Dietetics Education and the American</li> </ul>	<p>left). The accreditation reports and studies are available.</p>
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		<ul style="list-style-type: none"> <li>▪ Dietetic Association Liaison Committee on Medical Education (LCME)</li> </ul> <p>NCATE Report</p>	<p>SBU's Teacher Education Programs are accredited by NCATE, reports from our program and NCATE are available.</p>
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**STANDARD 2: PLANNING, RESOURCE ALLOCATION, AND INSTITUTIONAL RENEWAL:**

An institution conducts ongoing planning and resource allocation based on its mission and utilizes the results of its assessment activities for institutional renewal. Implementation and subsequent evaluation of the success of the strategic plan and resource allocation support the development and change necessary to improve and to maintain institutional quality.

<b>Number</b>	<b>Fundamental Element</b>	<b>Document/Process</b>	<b>Description</b>
2.a	Clearly stated goals and objectives, both institution-wide and for individual operational units, used for planning and resource allocation at the institutional and unit levels	Memorandum of Understanding	See 1.a
2.b	Planning and improvement processes that are clearly communicated, provide for constituent participation, and incorporate the use of assessment results	<p>Five Year Plan</p> <p>Provost's Strategic Plan</p> <p>Health Sciences Center Academic Plan</p>	<p>Implementation of the Five Year Plan is a broad-based improvement process. The Plan was developed by the campus community (see 1.a). Five Year Plan accomplishments are reported annually to the entire campus community through print distribution and web publication.</p> <p>See 1.a</p> <p>The Health Sciences Center Academic Plan is a cooperative plan comprised of the individual strategic plans of the five professional schools that make up the HSC: Dental Medicine, Medicine, Nursing, Social Welfare, and Health Technology Management.</p>

		<p>Enrollment and Retention Management Report</p> <p>Library Strategic Plan</p>	<p>Each year, the Enrollment and Retention Management (ERM) Division prepares a document that reviews the prior year's accomplishments and outlines goals for the coming year. Undergraduate enrollment targets for the desired number and quality of freshmen and transfers are set by the President and Provost after consultation with an enrollment management advisory group and in relation to the University's Memorandum of Understanding with SUNY Systems Administration. The <i>ERM Strategic Plan</i> explains how the Admissions and Transfer Offices plan to achieve these targets through marketing and recruitment initiatives to enhance inquiries, applications, deposits, and enrollments. The ERM Plan also outlines accomplishments, goals, and planned activities for Financial Aid, Academic Merit Scholarships, the Parents Office, the Registrar's Office, Summer Sessions, Health Sciences Center Student Services (which supports admissions, financial aid, and registration/records functions in the Health Sciences Center), New Student Programs, Academic Advising, and Student Data Systems.</p> <p>The Library began strategic planning in August 2001. A Steering Committee comprised of representatives from faculty, professional, and civil service staff is responsible for designing the planning process and for setting a schedule. . It operates outside the management structure but meets regularly with Director's Council. As the Library moves from planning to implementing, the Dean intends to keep the Steering Committee in place as a catalyst for organizational change.</p>
2.c	Objectives for improvement that are clearly stated, reflect conclusions drawn from assessment results, and are linked to mission and goal achievement, both	Five Year Plan	The Five Year Plan includes very specific action objectives to improve the campus, and identifies the administrators responsible for their accomplishment and the year in which they are targeted for completion.

	institution-wide and for individual units	Capital Plan	<p>Stony Brook, working with the architectural firm Beyer Blinder Bell and the State University Construction Fund, has recently completed a comprehensive Campus Capital Plan. Included is a condition report on every building on campus, a priority list of projects and issues, as well as information on space and space utilization, and a plan for capital construction. Construction projects will include both critical maintenance and program adaptation. The next Capital Plan anticipates that 85 percent of the funds will be spent on renewal and refurbishment of campus facilities. In addition, the campus has just completed a Framework Plan Study for the campus. This is a complement to the Capital Plan. The study identifies sites for immediate and future development, contains land use recommendations, and campus circulation alterations.</p>
2.d	Well defined decision-making processes and authority that facilitates planning and renewal	<p>President's Decision Making Process</p> <p>Provost's Decision Making Process</p> <p>Deans/Directors Decision Making Processes</p>	<p>The President holds weekly Cabinet and Kitchen Cabinet meetings with her Vice Presidents and other key administrators to discuss and determine university wide issues and solutions. In addition, the University's Five Year Plan (2000-2005) contains a description of the decision-making process and authority under which the plan was devised. The plan covers most administrative areas.</p> <p>The Provost holds biweekly staff meetings with senior staff members in the Provostial area as well as biweekly advisory meetings with the Deans of the colleges to discuss and determine issues within the academic sector.</p> <p>Each Dean of the colleges and libraries holds regular meetings with associate and assistant deans, department chairs, and faculty to discuss and determine issues and solutions within the college.</p>
2.e	The assignment of responsibility for	Five Year Plan	The Five Year Plan identifies the specific

	improvements and assurance of accountability	University-wide Strategic Plans	administrators responsible for the accomplishment of each action objective. Accountability is assured via annual Accomplishments Reports documenting how each objective is achieved.  See 2.d
2.f	A record of institutional and unit improvement efforts	President's State of the University Publications  Accomplishments  Department External Reviews  Administrative Department Reviews	The President gives a State of the University address every fall that is subsequently published on the web and in print. The address highlights institutional improvement efforts and accomplishments.  Five Year Plan Accomplishments Reports are published annually on the web and in print. They document how each objective scheduled for completion in the year has been accomplished.  See 1.k  As with departmental reviews, each administrative department is periodically evaluated using self study and benchmarking practices to increase efficiency, service quality and management effectiveness.
2.g	Periodic assessment of the effectiveness of planning, resource allocation, and institutional renewal processes	Accomplishments	Five Year Plan Accomplishments Reports are published annually on the web and in print. They document how each objective scheduled for completion in the year has been accomplished.
<b>Number</b>	<b>Optional Analysis &amp; Evidence</b>	<b>Document/Process</b>	<b>Description</b>
2.h	Evidence that the process for change and its anticipated impact are made explicit		
2.i	Evidence of environmental scans and other processes in place for evaluating economic, political, and social climate in which the institution operates and expects to operate	Boyer Commission Report of Efforts	President's leadership in improving the quality of undergraduate education in a research university.
2.j	Review of external affiliations and	Brookhaven National Laboratory	Stony Brook University and Battelle Memorial Institute

	<p>partnerships and of their impact on the climate in which the institution operates</p>	<p>Reviews</p> <p>Cold Spring Harbor Annual Report</p> <p>Economic Engine Periodic Reviews</p>	<p>partnered in 1998 to form the Brookhaven Science Associates (BSA), the management team for the Brookhaven National Laboratory. Periodic assessment of the BSA is conducted by the Department of Energy and resultant in the renewal of the BSA’s contract to manage the BNL.</p> <p>Links between SBU and Cold Spring Harbor Laboratory are periodically reviewed and published in the laboratory’s annual report.</p> <p>There are several centers that comprise the economic engine and each is subject to a periodic review similar to those conducted in the external departmental reviews. Centers within the economic engine include:</p> <ul style="list-style-type: none"> <li>▪ Small Business Development Center. One of twenty campus-based regional Small Business Development Centers within New York State, the Center brings together the resources of the University, the private sector and government at all levels to assist entrepreneurs, business and industry in the solution of their problems, leading to increased productivity and profitability by providing one-on-one counseling at no cost on all aspects of business start-up and management. The only SBDC in the federal Small Business Administration network to have an office at a national laboratory – Brookhaven – Stony Brook is amplifying its service model by opening additional satellite offices at the University’s Center for Emerging Technology in Long Island’s first “smart building” industrial complex as well as at the planned Calverton incubator.</li> <li>▪ Long Island High Technology Incubator provides access to the University’s specialized research facilities for emerging technology ventures. The campus initiated a new incubator model in 1998, opening the Stony Brook Software Incubator in</li> </ul>
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partnership with Computer Associates. It is breaking new ground again by collaborating with a municipality to create an environmental technology incubator at the site of a former U.S. Navy test flight facility on Long Island's East End; Brookhaven National Laboratory will be a key partner in providing science and technology support to tenants.

- The Center of Excellence in the Wireless Internet and Information Technology at Stony Brook represents a combined investment of more than \$250M from New York State, private industry and federal sources. The Center will be housed in a 100,000-square foot facility that industry collaborators will keep equipped at the state of the art today, while it serves as a testbed for the technologies of tomorrow. Through innovative partnerships with Computer Associates, Symbol Technologies, and many other industry partners, the Center will solve basic science questions, with applied research focusing on the three major markets of health care systems (\$1.3 trillion annually), transportation systems (\$1 trillion annually), and E-business/M-commerce systems. Together these critical markets will total almost half of the entire U.S. economy, resulting in new jobs, new companies, and new economic growth for the state.
- The Center for Advanced Technology in Emerging Electronics, Materials and Photonic Technologies for Diagnostic Tools and Sensor Systems (Sensor CAT) promotes and facilitates growth of New York State sensor-related industry. More than 200 New York State companies are directly involved in sensor manufacturing; many are involved in the research, development and manufacturing of components, which are used in sensor systems, including electronics, photonics,

			<p>and materials. The Sensor CAT works toward establishing itself as a world-class institution in sensor technology and also serves as a vital source of technical and business assistance to a wide range of sensor related industries. We hope to lead the state in sensor development, to facilitate the creation of high tech jobs and contribute to substantial revenue growth of the sensor industry throughout the state.</p> <ul style="list-style-type: none"> <li>▪ The University's recently-funded STAR Center in Biomolecular Diagnostics and Therapeutics will create a regional center of discovery-based research and technology development in leading-edge scientific growth areas, including functional genomics instrumentation, gene discovery, drug design and delivery, and smart micro- and nano-based biomaterials and biosensors. It will co-locate new initiatives of the Medical Biotechnology and Sensor Systems Centers for Advanced Technology with the new Department of Biomedical Engineering collaborating with multidisciplinary research leaders on and off-campus. Uniquely, the Center will combine the efforts of engineers and physical scientists developing state-of-the-art instrumentation with life scientists relying upon it to push forward the frontiers of discovery.</li> <li>▪ The Center for Biotechnology, which reported over \$100 million in gross corporate revenues among New York biotech companies in 2001 directly related to Center activities, continues to promote the growth of the industry in new ways. It is broadening efforts to foster enterprise development through new company formation and technology transfer, is currently seeking support for new infrastructure to support industry growth and now provides half-time staff support for the Long Island Life Sciences Initiative, created to</li> </ul>
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		Health Sciences Center Program Reviews	<p>address issues of strategic importance to the growth and success of the pharmaceutical, biotechnology, medical device, and life systems technology sectors on Long Island.</p> <p>Each of the partnered programs offered through our Health Sciences Center is subject to the accreditation and review of their respective peer agencies. See 1.k.</p>
2.k	Evidence of changes resulting from continuous improvement efforts	<p>President's Annual Address</p> <p>Residence Hall Improvements</p>	<p>At SBU's annual convocation a series of slides are given with the President's address illustrating the continuous improvement efforts undertaken by the campus.</p> <p>In December 2000, Stony Brook University completed the most comprehensive renovation of a residence hall system ever attempted in American higher education. This multiyear renovation was completed seven years ahead of the original schedule. Under the \$81 million project, all of the 26 residence halls, which encompass more than 1.5 million square feet and accommodate more than 6,000 undergraduates, were renovated. This revitalization has transformed Stony Brook's residential environment into one of the premiere housing programs in the country. Accompanying charts and graphs reflect the pace of completion, cost impact and expenditures for each phase.</p>
2.l	Evidence of renewal strategies, rationales for changes made, and anticipated impact	Capital Plan	See 2.c
2.m	Assessment of resources utilized for institutional improvement	Capital Plan	See 2.c
2.n	Analysis of best practice models and benchmarks applied to improvement efforts	Capital Plan	See 2.c
2.o	Analysis of training and professional development activities	Human Resources Training Series	The Office of Human Resources offers several series of ongoing training courses for employees, including but not limited to computer training, sexual harassment training, and discrimination identification training.

		<p>Center for Excellence in Learning and Teaching</p>	<p>CELT offers many options for improving teaching and learning, among their programs are:</p> <ul style="list-style-type: none"> <li>▪ On-going forums for sharing “lessons learned” on curricular reform and new course development</li> <li>▪ Workshops on discipline-based and multidisciplinary approaches to enhance learning and teaching, and support for assessing learning and teaching</li> <li>▪ Videotaping of class sessions, with feedback provided by experienced teachers (DTP)</li> <li>▪ Teaching Institutes for improving learning and teaching</li> <li>▪ Help in using multimedia, web-based tools, distance learning and other educational technologies to improve learning and teaching</li> <li>▪ Individual consultations on teaching for faculty</li> <li>▪ A mentoring program, in cooperation with the Council of Distinguished Teaching Professors, that links faculty who are in the early stage of their career to more experienced teachers</li> <li>▪ Help in writing grants to support projects to enhance learning and teaching</li> <li>▪ Help in assessing the effectiveness of educational programs and projects</li> <li>▪ Hands on training in Solar, Blackboard (online classroom) and Library Databases</li> <li>▪ Collaboration with departments or individuals in grants, workshops, speakers and projects.</li> </ul> <p>In addition, CELT offers to new and adjunct faculty a welcome and orientation to Stony Brook, including a brief introduction to all of the services on campus; Bookstore, Human Resources, Academic Dishonesty, Disabled Student Services, Library, CELT, Academic Advising, and hands on training in Solar, Blackboard (online classroom) and Library Databases, and discussion to give insight on what to expect.</p>
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		Faculty Addendums	All faculty members are required to submit an annual addendum describing their work both in and out of the classroom over the previous year. Merit increases for are based on these addendums.
		Performance Programs	Each non-faculty employee of SBU is given a performance program annually, describing the duties of his/her position and expected accomplishments. Biannual reviews and merit increases are based on the performance program.
2.p	Evidence of quality improvement activities		

**STANDARD 3: INSTITUTIONAL RESOURCES:**

The human, financial, technical, physical facilities, and other resources necessary to achieve an institution's mission and goals are available and accessible. In the context of the institution's mission, the effective and efficient uses of the institution's resources are analyzed as part of ongoing outcomes assessment.

<b>Number</b>	<b>Fundamental Element</b>	<b>Document/Process</b>	<b>Description</b>
3.a	Strategies to measure and assess the level of, and efficient utilization of, institutional resources required to support the institution's mission and goals	Assessing the Performance of Public Research Universities. <i>AIR Professional File 83</i> . Zheng, H.Y. (2002)	Stony Brook was recently rated highly in an analysis of efficiency in public research universities.
3.b	Rational and consistent policies and procedures in place to determine allocation of assets	Budget Process	The Budget Development Process begins in January with the issuance of a set of guidelines and assumptions for the current year as well as a call for budget presentations. Presentations by vice presidents and other major area managers are made to the President's Cabinet during the spring. They include statements of priorities, major challenges, links to Five-year Plan objectives and requests for new resources. In May, summaries of all requests are discussed at Cabinet where final advice is given to the President. In late spring the President makes budget

			<p>allocation decisions which are officially communicated to the vice presidents by the Budget Office along with policies and procedures for budget implementation and management.</p> <p>Shortly after the mid-year point, Mid-year Condition Reports summarize each vice president's fiscal condition and projections through year-end. This is a consultative process that includes meetings between each vice president and the President to discuss issues of concern.</p> <p>The fiscal year concludes with closing out of fiscal records managed by the Lapsing Funds Committee. This standing committee works to assure full utilization of all appropriated funds and deletion of unfulfilled obligations. The Committee has representation from all operating units and key administrative offices.</p>
3.c	An allocation approach that ensures adequate faculty, staff, and administration to support the institution's mission and outcomes expectations	Budget Process	See 3b
3.d	A budget process aligned with the institution's mission, goals, and strategic plan that provides for an annual budget and multi-year budget projections for at least three-years, both institution-wide and among departments; utilizes planning and assessment documents; and addresses resource acquisition and allocation for the institution and any subsidiary, affiliated, or contracted educational organizations as well as for institutional systems as appropriate	Budget Process	See 3b
3.e	A comprehensive facilities or infrastructure master plan and facilities/infrastructure life-cycle management plan, as appropriate to mission, and evidence of implementation	Capital Plan	See 2.c

3.f	Recognition in the comprehensive plan that facilities, such as learning resources fundamental to all educational and research programs and libraries, are adequately supported and staffed to accomplish the institution's objectives for student learning, both on campuses and at a distance	Provost's Strategic Plan	See 1.a
3.g	An educational and other equipment acquisition and replacement process and plan, including provision for current and future technology, as appropriate to the educational programs and support services, and evidence of implementation.	PeopleSoft Implementation	The University's Department of Information Technology periodically assesses the need for new and/or updated technology and proposes to the President means for implementing, most recently illustrated in the implementation process of PeopleSoft.
3.h	Adequate institutional controls to deal with financial, administrative and auxiliary operations, and rational and consistent policies and procedures in place to determine allocation of assets	<p>NYS Education Law, Article 8:</p> <p>NYS Finance Law:</p> <p>New York State Governmental Accountability, Audit and Internal Control Act (1987)</p> <p>Standards for Internal Controls in New York State</p> <p>Government New York State Financial Management Requirements</p> <p>New York State Accounting System User Procedure Manual</p> <p>Internal Control Implementation, Certification &amp; Reporting</p>	<p>The New York State Governmental Accountability, Audit and Internal Control Act of 1987 (Internal Control Act") formally established the internal control responsibilities for New York State agencies, including the State University of New York. It requires agencies to establish and maintain systems of internal control, communicate them to employees, to assign responsibility for internal control and to review and evaluate internal control systems periodically. Stony Brook has established adequate systems of internal control to manage financial, administrative and auxiliary operations within frameworks and guidelines provided by the SUNY Board of Trustees and System Administration, State agencies such as the New York State Comptroller's Office, the Division of the Budget, the Department of Civil Service, the State Education Department, Governor's Office of Employee Relations and federal agencies such as the Office of Management and Budget, Internal Revenue Service, Department of Education, National Science Foundation, National Institutes of Health. Stony Brook communicates these systems to employees through formal policies, procedures and memoranda and various training programs and reviews. They are monitored, evaluated and improved through a variety of review and pre- and post-audit mechanisms by</p>

		<p>NYS Budget Policy and Reporting Manual B-350</p> <p>Internal Control Program for the State University of New York</p> <p>SUNY Administrative Procedures Manual Policies of the SUNY Board of Trustees</p> <p>SUNY Guidelines for Campus Auxiliary Service Corporations</p> <p>SUNY Guidelines for Campus-Related Foundations</p> <p>SUNY Patent Policy</p> <p>SUNY Income Fund</p> <p>Reimbursable Guidelines</p> <p>SUNY Accountability</p> <p>Guidelines for Clinical Practice Management Plans</p> <p>SUNY Copyright Policy</p> <p>Research Foundation Electronic Performance Support System (EPSS)</p> <p>Research Foundation Project</p>	<p>other state and federal agencies and SUNY System Administration, external consultants, campus management and internal audit staff as well as by independent accounting firms as part of financial statement and compliance audits.</p>
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		<p>Director Handbook</p> <p>Stony Brook University Policy Manual</p> <p>Stony Brook University Procedures Manual</p> <p>Stony Brook Cost Accounting Standards Disclosure Statement (DS-2)</p> <p>Stony Brook Policy on the Financial Management of Service Centers</p> <p>Stony Brook Policy for Charging Costs: Direct and Facilities and Administrative</p> <p>Stony Brook Environmental Health &amp; Safety Policies &amp; Procedures</p> <p>Stony Brook Provost's Office Policies &amp; Procedures Stony Brook Cash Handling Procedures</p> <p>Stony Brook Purchasing Procedures</p> <p>Stony Brook Graduate Bulletin</p> <p>Stony Brook Undergraduate Bulletin</p>	
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		<p>Stony Brook Health Sciences Center Bulletin</p> <p>NYS Comptroller's Office</p> <p>NYS Division of the Budget</p> <p>NYS Department of Civil Service</p> <p>NYS Governor's Office of Employee Relations</p> <p>NYS Education Department</p> <p>NYS Archives and Records Administration</p> <p>NYS Higher Education Services Corporation</p> <p>US Office of Management and Budget</p> <p>National Science Foundation</p> <p>US Department of Education</p> <p>Immigration and Naturalization Service</p> <p>Internal Revenue Service</p>	
3.i	An annual independent audit (institutional or system-wide), confirming financial responsibility, with evidence of follow-up on any concerns cited in the audit's accompanying management letter	<p>Internal Control Program for the SUNY</p> <p>Internal Control Implementation, Certification &amp; Reporting</p>	Stony Brook is included in the system-wide annual financial statement audit of the State University of New York (SUNY) and the annual financial statement and federal compliance audits (for Title IV Student Financial Assistance Programs) for the State of New York. The independent auditors address management letter



		<p>NYS Budget Policy and Reporting Manual B-350</p> <p>Single Audit Requirements NYS Budget Policy and Reporting Manual I-300</p> <p>Audited Financial Statements</p> <p>Single Audit Report – State of New York</p> <p>Audited Financial Statements: The Stony Brook Foundation, Inc.</p> <p>Audited Financial Statements: The Faculty Student Association of Stony Brook University</p>	<p>comments to the SUNY Board of Trustees. To the extent comments relate to campus operations, SUNY System Administration communicates them to the campus and requests a response, corrective action plan and anticipated completion date from the campus. Under SUNY’s Internal Control Program, Stony Brook’s internal control officer reports to SUNY System Administration on the status of management letter items on a semi-annual “audit resolution report” until they are fully addressed. Stony Brook has not received any recent management letter comments as a result of the most recent SUNY financial statement and Title IV audits.</p>
3.j	Periodic assessment of the effective and efficient use of institutional resources	Budget Process	See 3b
<b>Number</b>	<b>Optional Analysis &amp; Evidence</b>	<b>Document/Process</b>	<b>Description</b>
3.k	Evidence of cooperative agreements for inter-institutional collaboration and resource sharing; analyses of any resulting efficiencies and impact on student achievement of academic goals	Brookhaven National Laboratory Review Cold Spring Harbor Annual Report Health Sciences Center Program Reviews	See 2.j
3.l	Analysis of environmental scan data and other information the institution has gathered regarding its external environment, and the implications for developing linkages with other institutions, businesses, and other organizations rather than duplicating programs or services		

3.m	Evidence demonstrating the systemic approach that the institution utilizes to improve efficiency, contain costs, re-direct resources, and develop new revenue streams to support the institution's mission and goals		
3.n	Review of institutional fund raising and grant activities	Office of Advancement Internal Reports	The Office of University Advancement provides internal reports on fundraising and private sector grants activities, which provide comprehensive and detailed figures on sources and designations of all gifts and grants from private sources. {Note - Public-sector grants are received and administered by the SUNY Research Foundation}.
3.o	Review of plan and policies for endowment management to ensure consistency with the institution's financial resources, goals, and objectives and summaries of endowment performance	Stony Brook Foundation Internal Reports	The Stony Brook Foundation provides audited financial statement, which addresses endowment fund management and performance, and documentation addressing endowment investment and disbursement policies, and our annual budget addressing all Foundation-related revenue and expense information.
3.p	Review of financial statements for affiliated organizations		
3.q	Review of comprehensive institution resource acquisition, planning, assessment, and budget reports		
3.r	Assessment of the work of institutional committees, including the governing body's, responsible for planning, assessment, and budget activities	Emergency Management Plan	The President created the President's Emergency Task Force to revise campus emergency response documents after the events of September 11, 2001.
3.s	Review of resource allocation procedures and their relationship to planning, mission, goals, and objectives		
3.t	Evidence of new or adapted strategies to enhance institutional support	Center of Excellence for Wireless and Information Technology  CAT Centers  SPIR	See 2.j  See 2.j  Center for Advanced Technical Assistance Sponsored by New York State Strategic Partnership for

		Cancer Center Report	<p>Industrial Resurgence (SPIR). SPIR was established on July 1994 by the State of New York to use the extensive engineering resources of the SUNY system, including Stony Brook, to help industry in the State to compete more effectively. The intent is to improve market posture, retain existing employees and create new high paying jobs. SPIR fills a critical gap in existing State industrial assistance programs by providing technically advanced multidisciplinary assistance, with the help of students and faculty, on a fast turnaround basis. The program has served over 200 companies and finished more than 1200 projects since its inception.</p> <p>Stony Brook University Hospital and Medical Center's Cancer Care and Research Program report offers a review of our progress made during the past academic year in gaining National Cancer Institute (NCI) recognition as a comprehensive cancer center. Combining the resources of a major research university with those of a major medical center makes Stony Brook the choice institution to establish a major NCI-supported cancer center for Long Island. Indeed, our developing Cancer Institute of Long Island will soon serve as the region's premier cancer center, supporting a strong network of hospitals and regional research centers.</p>
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**STANDARD 4: LEADERSHIP AND GOVERNANCE:**

The institution's system of governance clearly defines the roles of institutional constituencies in policy development and decision-making. The governance structure includes an active governing body with sufficient autonomy to assure institutional integrity and to fulfill its responsibilities of policy and resource development, consistent with the mission of the institution.

Number	Fundamental Element	Document/Process	Description
4.a	A well-defined system of collegial governance including written policies outlining governance responsibilities of administration and faculty and readily available to the campus community	Policy of the Board of Trustees	As part of the SUNY system, Stony Brook is governed by the State University of New York Board of Trustees. The Policies of the Board of Trustees establish the responsibilities of the faculty, campus administrators, and the university council.

		<p>University Senate Constitution</p> <p>Stony Brook Council Bylaws</p> <p>Union Contracts</p>	<p>The Constitution of the University Senate guides local governance. Schools and colleges also have governance bodies. For example, the College of Arts and Sciences Senate governs academic functions in that college.</p> <p>Governance of the President's Office is documented by the Stony Brook Council by-laws, article VIII of the SUNY Board of Trustees Policies, and section 356 of the Education Law of New York State, all of which outline the governance duties and responsibilities, and composition of the Stony Brook Council.</p> <p>Contracts with the governing unions for SBU's employees list the responsibilities of the employer and employees in their specific positions and classifications.</p>
4.b	Written governing documents, such as a constitution, by-laws, enabling legislation, charter or other similar documents, that delineate the governance structure and provide for collegial governance, the structure's composition, duties and responsibilities. In proprietary, corporate and similar types of institutions, a separate document may establish the duties and responsibilities of the governing body as well as the selection process	<p>Policy of the Board of Trustees</p> <p>University Senate Constitution</p> <p>Stony Brook Council Bylaws</p> <p>Union Contracts</p>	See 4.a
4.c	Written governing documents that assign authority and accountability for policy development and decision making, including a process for the involvement of appropriate institutional constituencies in policy development and decision making	<p>Policy of the Board of Trustees</p> <p>University Senate Constitution</p> <p>Stony Brook Council Bylaws</p> <p>Union Contracts</p> <p>President's Emergency Plan</p>	<p>See 4.a and 3.r</p> <p>Note: Documented by a segment of section 356 of the Education Law of New York State that specifically addresses the role of constituents, i.e., alumni representation, university senate representation, and student representation on the Stony Brook Council.</p>
4.d	Written governing documents that provide for the selection process for governing body members	<p>Policy of the Board of Trustees</p> <p>University Senate Constitution</p>	<p>See 4.a</p> <p>Note: Documented by sample appointment letters of the Stony Brook Council members from Governor Pataki, and letters received from the Chancellor's Office of</p>

		Stony Brook Council Bylaws Union Contracts	SUNY asking the campus presidents for the names of people whom the Governor might consider for membership.
4.e	Appropriate opportunity for student input regarding decisions that affect them	President's Student Leaders Roundtable  Student Affairs Office  University Senate  Graduate Council  Student Polity Association and Graduate Student Organization	The President meets with student leaders to discuss issues of importance to students on campus.  The Office of Student Affairs offers opportunities for students to offer input in university affairs.  The University Senate also offers a forum for students to express concern over issues or new ideas for the university.  The Graduate Council is a committee of faculty and students open to discussing individual graduate student's concerns.  Student Government organizations poll student opinion through referenda and meet regularly with administration.
4.f	A governing body capable of reflecting constituent and public interest and of an appropriate size to fulfill all its responsibilities, and which includes members with sufficient expertise to assure that the body's fiduciary responsibilities can be fulfilled	Stony Brook Council Board of Trustees	See 4.a The Stony Brook Council does not have fiduciary responsibility for Stony Brook University. That resides with the SUNY Board of Trustees.
4.g	A governing body not chaired by the chief executive officer	SUNY Board of Trustees	See 4.a
4.h	A governing body that certifies to the Commission that the institution is in compliance with the eligibility requirements, accreditation standards and policies of the Commission; describes itself in identical terms to all its accrediting agencies; communicates any changes in its accredited status; and agrees to disclose information required by the Commission to	SUNY Board of Trustees	See 4.a

	carry out its accrediting responsibilities, including levels of governing body compensation, if any		
4.i	A conflict of interest policy for the governing body (and fiduciary body members, if such a body exists), which addresses matters such as remuneration, contractual relationships, employment, family, financial or other interests that could pose conflicts of interest, and that assures that those interests are disclosed and that they do not interfere with the impartiality of governing body members or outweigh the greater duty to secure and ensure the academic and fiscal integrity of the institution	Conflict of Interest Committee Reports	As required by both State and Federal statute and regulation, Stony Brook has a policy in place to identify and address apparent and potential conflicts of interest. Stony Brook's policy incorporates the policies of both the State University of New York (SUNY) and the Research Foundation of SUNY (RF); a separate corporation that administers sponsored project funding on behalf of SUNY. The SUNY and RF statements incorporate the statutory requirement of both the New York State Public Officers Law on conflict of interest and financial disclosure and federal financial disclosure requirements. Formal guidance from the New York State Ethics Commission and SUNY System Administration and specify the process for handling and reporting potential conflicts of interest. The campus examines its policy periodically to ensure that it continues to effectively address conflict of interest issues in an economic and scientific environment that is increasingly complex. A committee led by the Vice President for Research reviews issues of possible conflict of interest on a case-by-case basis.
4.j	A governing body that assists in generating resources needed to sustain and improve the institution	Stony Brook Foundation	The Stony Brook Foundation works with the President, Provost and Vice President for Advancement to address areas of fundraising necessary to the university.
4.k	A process for orienting new members and providing continuing updates for current members of the governing body on the institution's mission, organization, and academic programs and objectives	Policies of the Board of Trustees	Policy provides for an orientation period for new members of the Board of Trustees.
4.l	A procedure in place for the periodic objective assessment of the governing body in meeting stated governing body objectives	Stony Brook Council Orientation	SBU's President provides the Stony Brook Council with reports on various aspects of Stony Brook University's management, including budget updates, student conduct code briefings, academic program and standards reports, admissions and recruitment briefings, affirmative action briefings, etc. on an ongoing basis, both via the regularly

			scheduled Council meetings, and mailings in between meetings. Reports are given to the Council at their meetings. New members of the Council are sent a complete set of the past year's minutes, which includes the various reports and updates given at each Council meeting. SUNY Administration also holds an annual meeting in Albany for the Council members from all its campuses.
4.m	A chief executive officer, appointed by the governing board, with primary responsibility to the institution	Policies of the Board of Trustees	The campus President is appointed by the Board of Trustees following procedures and with responsibilities defined in Article IX of the Trustees Policies.
4.n	Periodic assessment of the effectiveness of institutional leadership and governance	Five Year Plan Accomplishments  Mission Review  President's Evaluation  Office of Management Analysis and Audit Reports	See 2.f  See 1.h  An external evaluation of the President's effectiveness and leadership with relation to the university's mission is periodically conducted and reported.  Documented by the master schedule and introductory material from the Office of Management Analysis and Audit, showing the cycle and approach utilized to assess the effectiveness of the administrative departments.
<b>Number</b>	<b>Optional Analysis &amp; Evidence</b>	<b>Document/Process</b>	<b>Description</b>
4.o	Review of written policies, and evidence of implementation, that describe the processes for involvement of the governing body, administration, and faculty in policy development and decision making, specifically with respect to selection and evaluation of the chief executive officer or those in charge of operational/executive responsibilities; budgeting and resource development; oversight of the academic program; consultation regarding faculty hiring, dismissal, promotion and tenure; and	Procedures of the Promotions and Tenure Committee	The Promotions and Tenure Committee provide faculty consultation to the Dean of each college for promotion and tenure decisions.

	monitoring operations of the institution		
4.p	Review of written policies regarding situations defined by the institution as conflicts of interest, such as the presence of paid staff on the governing body	Conflict of Interest Policy	See 4.i
4.q	Review of handbooks for members of the governing body, administrators, faculty members and other employees to ensure that they provide adequate information regarding job descriptions and role and responsibilities in governance		
4.r	Evidence and plans for governing body orientation and self-assessment		
4.s	Assessment of written records of external specialists invited to the institution for consultation on planning and self-assessment issues		
4.t	Review of written records to assess the carrying out of responsibilities by the governing body and its committees consistent with the institutional mission and its definition of appropriate participation by internal institutional bodies, evidence of faculty council/senate or similar body deliberation and recommendations on matters such as the development of curriculum, standards for admission and graduation, and personnel actions such as hiring, promotion, dismissal and tenure of faculty		
4.u	Evidence that there is student representation appropriate to the governance structure selected by the institution for student participation		
4.v	Evidence that meetings of internal bodies, such as the faculty senate, are conducted to update them on mission, resources		



	management, and academic issues		
4.w	If applicable, review of union contracts indicating negotiated role of faculty in curriculum, hiring of faculty, promotion, and tenure		

**STANDARD 5: ADMINISTRATION:**

The institution's administrative structure and services facilitate learning and research/scholarship, foster quality improvement, and support the institution's organization and governance.

<b>Number</b>	<b>Fundamental Element</b>	<b>Document/Process</b>	<b>Description</b>
5.a	A chief executive whose primary responsibility is to lead the institution toward the achievement of its goals and with responsibility for administration of the institution	SUNY Board of Trustees Policies	Documented by the appropriate segment of the SUNY Board of Trustees Policies that gives guidelines for the role of the campus president.
5.b	A chief executive with the combination of academic background, professional training, and/or other qualities appropriate to the institution's mission	President's Resume/CV	Documented by a copy of President Shirley Strum Kenny's resume.
5.c	Administrative leaders with appropriate skills, degrees and training to carry out their responsibilities and functions	Position Descriptions and Performance Programs	All positions are described in Position Descriptions, which drives the search & selection process during recruitment, and forms basis for NTP performance programs. Position Descriptions, which are held on file in HRS outline the required/preferred education qualifications, skills & experience for each position. These requirements must be met by applicants. Search and selection procedures are monitored by the AA/EEO review process.
5.d	Qualified staffing appropriate to the goals, type, size, and complexity of the institution	Cabinet Reports	The President's Cabinet reviews staffing patterns annually.
5.e	Adequate information and decision-making systems to support the work of administrative leaders	PeopleSoft Implementation	Stony Brook is in the final stages of implementing a PeopleSoft information system to support financial, personnel, and student administration. Decision support is provided by the Budget Office, Accounting, Institutional Research and other units.

5.f	Clear documentation of the lines of organization and authority	Position Descriptions	See 5.c.
5.g	Periodic assessment of the effectiveness of administrative structures and services	Administrative Reviews	In addition to institution-wide improvement efforts and improvement efforts undertaken within individual administrative units, Stony Brook has begun an external review process to periodically evaluate administrative and service units. This process uses self-study, benchmarking, “best practices” research and input from highly qualified external reviewers to generate new ideas for increased efficiency, service quality and management effectiveness. It is intended to encourage rather than replace continuous self-evaluation and improvement of effectiveness, efficiency and quality within administrative and service units.
<b>Number</b>	<b>Optional Analysis &amp; Evidence</b>	<b>Document/Process</b>	<b>Description</b>
5.h	Evidence of written public statements to faculty, students and other constituencies on the chief executive’s vision for the institution	State of the University Publications	The President’s vision is articulated in her inaugural address, and in her annual State of the University address.
5.i	Review of the sufficiency and effectiveness of directors, supervisors and administrators to carry out the functions of the institution	Annual Review	The policy of the Board of Trustees and UUP contract address the evaluation process and require evaluations to be completed on an annual basis. Human Resource Services generates quarterly reports to advise divisions on compliance.
5.j	Review of the adequacy of clerical, technological, and other support for administrative personnel	Administrative Reviews	See 5.g
5.k	A review of the organizational structure and charts clearly indicating reporting/responsibility relationships to ensure that it is appropriately structured, and analysis of the structure’s efficiency and effectiveness	University Organization Chart	The President’s vision is articulated in her inaugural address and in her annual State of the University addresses.  Included are organizational charts for the Vice President for Administration, Associate Vice President for Administration/Finance, Assistant Vice President for Facilities, Physical Plant, Facilities Design and Construction, Environmental Health and Safety, Parking and Transportation, and University Police. Documented

			by the President's Divisional Organization chart, the organization charts of each Vice Presidential area, and the Hospital are also available.
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**STANDARD 6: INTEGRITY:**

In the conduct of its programs and activities involving the public and the constituencies it serves, the institution demonstrates adherence to ethical standards and its own stated policies, providing support to academic and intellectual freedom.

<b>Number</b>	<b>Fundamental Element</b>	<b>Document/Process</b>	<b>Description</b>
6.a	Fair and impartial processes, published and widely available, to address student grievances, such as alleged violations of institutional policies. The institution assures that student grievances are addressed promptly, appropriately, and equitably	Omsbud Office	The University Ombuds Office provides alternative conflict resolution services to the entire University community: students, faculty, staff and administrators. The Ombuds Office provides this option outside the formal complaint handling system for any individual seeking assistance or information. As a designated neutral third party, the Ombudsperson will listen to all sides of an issue and may advise, refer, mediate, counsel or negotiate. All contacts are considered confidential in accordance with professional standards of practice.
		Student Judiciary and Student Conduct Code	The student conduct code is outlined in the student handbook distributed to all incoming students to orient them with the rules and regulations of SBU's campus. The Director of Judicial Affairs is in the Office of Student Affairs.
		Academic Judiciary Committee	The Academic Judiciary Committee is an impartial group of faculty and students governed by a faculty judge who hold hearings for students charged with academic dishonesty. An appeals process is also available through the office of undergraduate academic affairs.
		Graduate Council	SBU's grievance procedures requests that students first approach the faculty member with whom they have a grievance, an appeal can then be made to the Dean of the Graduate School and the Graduate Council. This procedure is outlined in the Graduate School Policy

		University's Scholarly Misconduct Policy	Manual. The Vice President for Research's office provides the university's policies concerning scholarly misconduct.
6.b	Fair and impartial practices in the hiring, evaluation and dismissal of employees	<p>Lawful and Unlawful Employment Inquires</p> <p>Stony Brook University Policy of Non-discrimination</p> <p>Equal Employment Opportunity is the Law poster</p> <p>How to Conduct a Search from an EEO Perspective</p> <p>Policies prohibiting discrimination, Policy on equal opportunity/affirmative action (P105)</p> <p>Office of Diversity and Affirmative Action Brochure</p>	<p>The employment inquiries guidelines are provided to hiring managers/search committees.</p> <p>This annual memo is disseminated by the President's office to every employee each November.</p> <p>The poster is published by the EEOC and distributed by the Office of Diversity &amp; Affirmative Action to be posted by all departments and units, it explains laws covering non-discrimination.</p> <p>This is a guide for following fair and compliant practices in employee selection. The document is in the process of being revised.</p> <p>These policies are available in the Faculty/Staff Digest, Policy Manual, hard copy in Office of Diversity and Affirmative Action.</p> <p>This brochure details the roles and responsibilities of the office in these areas of compliance. Disseminated during all training programs offered by the Office. It is in the process of revision.</p>
6.c	Sound ethical practices and respect for individuals through its teaching, scholarship/research, service, and administrative practice, including the avoidance of conflict of interest or the appearance of such conflict in all its activities and among all its constituents	<p>Human Resources Training Series</p> <p>NYS Ethics Commission Publications</p>	<p>In addition to disseminating general policies and procedures at Orientation, HRS also registers new employees for Sexual Harassment Recognition &amp; Prevention classes. Topics identified in 6c are addressed in the Public Officers Handbook.</p> <p>Campus policies deal with a broad range of activities relating to ethical practices. These include policies addressing the protection of humans and animals in</p>

		<p>Policy on the use of human subjects in research</p> <p>Policy on the use of animal subjects in research</p> <p>Policy on Scholarly misconduct</p> <p>Investigator Disclosure Policy</p> <p>Freedom of Information Law</p> <p>Environmental and Occupational Safety</p> <p>Americans with Disabilities Act</p> <p>Health Information Privacy and Accountability Act</p>	<p>research as well as polices dealing with conflict of interest and its disclosure, scholarly misconduct and the investigation of allegations of same, freedom of information and preserving environmental and occupational safety at the institution. General orientation programs for employees are complemented by training programs directed at individuals for more specialized areas of ethical concern.</p> <p>Compliance with the ADA for faculty, staff and students is monitored by the Office of Disability Support Services, Division of Student Affairs.</p> <p>SBU has hired health care management consultants Beacon Partners to assess the readiness of the campus to meet the compliance deadlines for HIPAA. Beacon Partners provided a gap analysis summary that is used to guide the preparation of policies, procedures and training.</p>
6.d	Equitable and appropriately consistent treatment of constituencies, as evident in such areas as student discipline, student evaluation, grievance procedures, faculty promotion, tenure, retention and compensation, administrative review, curricular improvement, and institutional governance and management	<p>Policies of the Board of Trustees</p> <p>Union Contracts</p>	<p>The Policies of the Board of Trustees and UUP Contract address the issues of equitable employment and review as well as governance and management.</p> <p>Note: Faculty promotions, tenure, retention and compensation review are handled directly by the Office of the Provost with consideration for recommendations from the senior faculty, chairs and deans of the colleges.</p>
6.e	A climate of academic inquiry and engagement supported by widely disseminated policies regarding academic	SUNY Policy Manual: Section 042 Public Assembly Policy	The policies of the SUNY Board of Directors include a number of provisions dealing with academic and intellectual freedom. Among these are section 042 of the

	and intellectual freedom		<p>SUNY Policy manual which deals with Unrestricted Disclosure of Research Activities.</p> <p>The Trustees' action explicitly forbids secret contracts or clauses that would restrict free dissemination of research findings. However, the resolution in no way seeks to dictate or control the method by which research findings are reported. The principal investigator for a given project is responsible for making the professional decision regarding the time and the means in which data are made public. Any attempt to force premature dissemination of information or the release of raw data which for professional reasons should not be disclosed would be unethical and in violation of the intent of the Trustees' resolution.</p> <p>The SUNY chancellor has recently assumed responsibility for the waiver of this policy if such waiver is in the interests of National Security.</p>
6.f	An institutional commitment to principles of protecting intellectual property rights	<p>SUNY Patent Policy</p> <p>Copyright Policy</p> <p>Computer Software Policy</p> <p>Campus policy on duplication of material protected by copyright</p> <p>Campus policy on responsible use of information technology</p>	The SUNY Patent Policy, Copyright Policy and Computer Software Policy, which also govern Research Foundation activities, deal with intellectual property rights and their protection.
6.g	A climate that fosters respect among students, faculty, staff, and administration for a range of backgrounds, ideas, and perspectives	Diversity Fellows Training	Faculty, staff and students are trained to facilities discussion following campus events and lecture on issues of cultural, religious and other diversity.
6.h	Honesty and truthfulness in public relations announcements, advertisements, and	University Communications Reports	University Communications insures that the facts and information in publications are up-to-date and accurate;

	recruiting and admissions materials		information is fact-checked via the appropriate administrator. Images used are photos of our actual campus community. Individuals featured in these photos sign a release/consent form prior to use in any campus publication. The University's online Policy Manual contains policies that pertain to all communications: P109R Web Policy; P512 Copyright Policy; P510 Use of Name or Logo; P104 Stationery; P 612 Sign Standards; P102R Affirmative Action/Equal Opportunity.
6.i	Reasonable, continuing student access to paper or electronic catalogs	SINC Sites	Student computer sites are available throughout campus with direct access to the Stony Brook University webpages containing information on catalogs, bulletins and other student services.
6.j	When catalogs are available only electronically, the institution's web page provides a guide or index to catalog information for each catalog available electronically		See 6.i
6.k	When catalogs are available only electronically, the institution archives copies of the catalogs as sections or policies are updated		See 6.i
6.l	Availability of factual information about the institution, such as the Middle States Commission on Higher Education annual data reporting, the self-study or periodic review report, the team report, and the Commission's action, accurately reported and made publicly available to the institution's community	Provost's Office Website	The Office of the Provost's Website offers periodically updated reports to the entire SBU population on accreditation activity as well as internal task forces and reports.
6.m	Institutional information provided in a manner that ensures student and public access, such as print, electronic, or video presentation	University Communications Reports	Institutional information is disseminated in electronic (web, email, video, and TV), radio, and print formats. In accordance with the NYS ADA Compliance Policy, all publications are available in an alternative format upon request. Campus SINC sites give students who may not own a personal computer the ability to log on to the web. The University conduct code appears online. Both the

			<p>Undergrad and Graduate bulletins (print and online) serve as official, legal policy for the University. Training for all campus media outlets (radio, TV, and print) is available for students.</p> <p>The campus cable television system (CATV), overseen by the Provost's Office, reaches the residences and select public places, academic facilities, and administrative offices through channels 6 and 10. A complete listing of program categories, channel assignments, procedures, and advertising guidelines are online. Student TV service (channel 3), also seen in residence halls, is managed through the Student Affairs Campus Charter which specifies the relationship between the station, the FCC, and the University. SAC-TV in the Student Activities Center airs event information.</p> <p>There are two radio stations: WUSB 90.1 FM is an FCC licensed noncommercial station. Access to programming and news sharing is provided through public service announcements (PSAs), news stories, interview shows, call-in shows, radio billboards, and listings. Also an FCC licensed station, 1630AM offers a recorded traffic announcement; it operates through a low-powered signal.</p>
6.n	Fulfillment of all applicable standards and reporting and other requirements of the Commission		
6.o	Periodic assessment of the integrity evidenced in institutional policies, processes, practices, and the manner in which these are implemented		
<b>Number</b>	<b>Optional Analysis &amp; Evidence</b>	<b>Document/Process</b>	<b>Description</b>
6.p	Review of policies governing news releases and public announcements describing the institution or explaining its position on various issues	University Communications Reports	It is the policy of Stony Brook University's media relations department to disseminate only information, such as press releases, statements and media alerts, that is accurate and truthful. This policy pertains to all



			statements, written or verbal in nature. The media relations department's policy is to obtain information from all relevant sources, develop the press releases or statements, and send them to the appropriate personnel to verify. All statements are researched carefully and checked by a media relation's director as well as personnel within the individual department to ensure accuracy and truthfulness.
6.q	Analysis of the application of institutional policies governing conflict of interest	Conflict of Interest Policy and Committee Reports	<p>As described in item 4.p. Stony Brook has a policy in place to identify and address apparent and potential conflicts of interest. The campus examines its policy periodically to ensure that it continues to effectively address conflict of interest issues in an economic and scientific environment that is increasingly complex.</p> <p>Because it has become apparent that it would be desirable to provide additional, expert advice and assistance for the deans, who are the locus of responsibility for assessing reported actual or potential conflicts and imposing management strategies for them, a campus-wide faculty committee is in formation to review the implementation of the campus policy and to recommend improvements.</p>
6.r	Review of promotion and tenure statistics		
6.s	Review of student grievance and disciplinary policies and procedures, as well as resulting actions or outcomes	Alcohol Policy Task Force Rules Revision Committee	The campus policies on the use of alcohol and the student conduct code are reviewed and revised every three years.
6.t	Evidence that faculty and staff handbooks describe promotion, compensation, tenure, and grievance procedures, and an analysis of outcomes of these activities	Policies of the Board of Trustees Union Contracts	See 6.d