



Periodic Review Report

Presented by:

New York University

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John Sexton, President

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TABLE OF CONTENTS

LIST OF APPENDICES	ii
WEBSITES AND BULLETIN URL LINKS	iv
PERIODIC REVIEW COMMITTEE	v
ACKNOWLEDGEMENTS	vi
CERTIFICATION STATEMENT	vii
CHAPTER ONE: EXECUTIVE SUMMARY	1
CHAPTER TWO: RESPONSES TO SELF-STUDY RECOMMENDATIONS AND EVALUATION TEAM REPORT SUGGESTIONS	5
CHAPTER THREE: MAJOR CHALLENGES AND OPPORTUNITIES	16
CHAPTER FOUR: ENROLLMENT AND FINANCE TRENDS AND PROJECTIONS	28
CHAPTER FIVE: ASSESSMENT PROCESSES	32
CHAPTER SIX: LINKED INSTITUTIONAL PLANNING AND BUDGETING PROCESSES	45

LIST OF APPENDICES

- A: Follow-up to 2004 MSA Self-Study and Evaluation Team Report
- B: Undergraduate School Mission Statements
- C: Report of Faculty Committee on General Education Reform
- D: Examples of Curriculum Revision
- E: Undergraduate Research Support
- F: Report on Experiential Learning
- G: Executive Summary of Report of Committee on Classroom Capital Planning
- H: Course/Instruction Evaluation Form
- I: Excerpt from Partners Report
- J: NYU Framework 2031
- K: The Global Programs at New York University: An Overview
- L: Substantial Change Request for NYU Abu Dhabi
- M: Substantive Change Request for NYU/Polytechnic Affiliation
- N: Annual Audited Financial Statements
- O: Management Letters for FY 2006, 2007, and 2008.
- P: FY 2009 Proposed Budget and Financial Plan
- Q: Moody's and Standard & Poor's Press Releases
- R: Enrollment Data
- S: Sample Assessment Activities Conducted by Division of Student Affairs
- T: School Assessment Reports
- U: Process and Outcomes Assessment Results
- V: University Benchmarks

W: Departmental and Program Changes Made Based on Assessment Results

X: Departmental Assessment Reports

Y: Morse Academic Plan Conversations of the West Assessment Rubric

Z: TEAC Assessment Report

WEBSITES

New York University
NYU Fact Book

www.nyu.edu/
www.nyu.edu/ir/factbook/

BULLETIN URL LINKS

Current bulletins for the following schools may be viewed at
<http://www.nyu.edu/provost/students/student.resources.html>

College of Arts and Science
College of Dentistry
Gallatin School of Individualized Study
Leonard N. Stern School of Business – Undergraduate
Liberal Studies Program
School of Medicine
Silver School of Social Work

Other current bulletins may be viewed at the URL indicated:

College of Nursing
<http://www.nyu.edu/nursing/bulletin/index.html>

Graduate School of Arts and Science
<http://gras.nyu.edu/does/CP/1062/GSASBulletin=0709.pdf>

Leonard N. Stern School of Business – Graduate
http://w4.stern.nyu.edu/aboutstern/publications/stern_bulletin_2008-2010.pdf

Robert F. Wagner Graduate School of Public Service
<http://wagner.nyu.edu/files/bulletin07to09.pdf>

School of Continuing and Professional Studies
<http://www.scps.nyu.edu/academic-programs/undergraduate-programs/>
<http://www.scps.nyu.edu/academic-programs/graduate-programs/>

Steinhardt School of Culture, Education and Human Development
<http://steinhardt.nyu.edu/bulletin/>

Tisch School of the Arts
<http://about.tisch.nyu.edu/page/search.html>

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CHAPTER ONE: EXECUTIVE SUMMARY

Overview of New York University

One hundred and seventy eight years ago, Albert Gallatin, the distinguished New Yorker and statesman who served as Secretary of the Treasury under President Thomas Jefferson, declared his intention to establish “in this immense and fast-growing city...a system of rational and practical education fitting for all and graciously open to all.” At that time, 1831, most students in American colleges and universities were members of the privileged classes. Albert Gallatin and the University’s founders planned NYU as a center of higher learning that would be open to all, regardless of national origin, religious beliefs, or social background.

While the University’s commitment to these ideals remains unchanged, Albert Gallatin would scarcely recognize NYU today. From a student body of 158, enrollment has grown to the point that NYU is the largest private university in the United States, and an international center of scholarship, teaching and research. There are approximately 21,000 undergraduate students, the same number of graduate and professional students and 20,000 non-credit students. Students attend fourteen schools and colleges at six different locations in Manhattan and study in over twenty study-abroad sites in countries around the world. The schools and colleges are the College of Arts and Science, School of Law, Graduate School of Arts and Science, (which includes the Courant Institute of Mathematical Sciences, Institute of Fine Arts and the Institute for the Study of the Ancient World), Steinhardt School of Culture, Education, and Human Development, Leonard N. Stern School of Business, School of Continuing and Professional Studies, Robert F. Wagner Graduate School of Public Service, Silver School of Social Work, Tisch School of the Arts, Gallatin School of Individualized Study, School of Medicine and Post-Graduate Medical School and the College of Dentistry (which includes the College of Nursing).

The University provides housing for over 11,000 undergraduate, graduate, and professional students. Its eight libraries hold over 4.5 million volumes. The Elmer Holmes Bobst Library and Study Center at the main campus on Washington Square alone holds over 3.3 million volumes.

The faculty totals over 7,200 full-time and part-time members. Among them are 12 MacArthur fellows, 4 Nobel and Crafoord Prize winners, 21 members of the National Academy of Sciences, 68 members of the American Society of Arts and Sciences, and 7 Howard Hughes Investigators. Administrative and staff employees total over 9,000.¹

Major Institutional Developments since 2004 and Highlights of the 2009 Periodic Review Report

There have been a number of significant initiatives and changes at New York University since the 2004 Middle States self-study, some of which are discussed in more detail in this Periodic Review Report:

¹ Further information on the University and each of the schools may be found on the University’s website: www.nyu.edu/.

- Increase in the size of the faculty, both in general and specifically in the core of Arts and Science through a special fund-raising effort called the Partners Initiative. As a result, a planned increase of 125 in the size of the Faculty of Arts and Science is now 75% achieved.
- Initiatives in student life. These include providing undergraduate applicants with more flexibility to demonstrate their talents and mastery of subject matter by offering options in the submission of standardized test scores as of the September 2010 entering class; moving away from undergraduate merit aid to need-based financial aid; expanding financial support for graduate students; building community through the establishment of residential colleges and theme-based floors in residence halls, creating freshman clusters and sophomore housing, and expanding the number of faculty fellows in the residence halls; and expanded programming and services to address the health and mental health needs of students.
- Development of the “Global Network University.” NYU’s role as a global institution grows steadily, from the addition of new study abroad sites to the planned opening of a branch campus in Abu Dhabi offering a full liberal arts education. Our vision is to transform ourselves, as Provost David McLaughlin has written, “into a global network university, anchored in New York City, but with nodes of the network throughout the world”. The University’s goal is to have at least 50% of NYU students spend one semester abroad before they graduate.
- Establishment of new major academic units. In a significant and far reaching move, NYU and the Polytechnic University of New York entered into an agreement for a two-step process which will move from an affiliation arrangement now in place to Polytechnic becoming the engineering and technology school of NYU. In 2006, the Stern School of Business opened a center in Westchester County on the campus of SUNY- Purchase, where it is offering the MBA. Closer to home, our nursing division was moved from the School of Education and became a college within the College of Dentistry, creating new opportunities and synergies in health care provision and training and research. And in 2007 the Institute for the Study of the Ancient World was established as a discrete entity for the purposes of advanced scholarly research and graduate education.
- Enhanced strategic planning and financial stability. The University has developed an extensive multi-year planning and budgeting process which integrates academic, administrative, and financial concerns. Two recent major planning efforts with both short-and long-range impact are *NYU Framework 2031*, which focuses on academics, and *NYU Plans 2031*, which deals with space needs and capital plans. In the past five years, 250,000 square feet per year of building projects have been completed or begun. These involve the renovation or replacement of existing physical facilities and the creation of new space for academic departments, laboratories and performance areas. As *NYU Framework 2031* explains, NYU faces economic and physical constraints, but has distinctive and important assets in location and attitude. Steps have been taken to deal effectively with the challenges of the current fiscal crisis, addressing the financial needs of students, making prudent investment decisions, and engaging in extensive contingency

planning. Even before the current economic crisis, the University implemented a plan for administrative re-engineering to achieve annual administrative savings of at least \$25 million to be reallocated to the academic enterprise. The University has recently instituted a second re-engineering effort to reduce expenses further.

- Establishment of new university-wide programs. An MPH program in global public health, which involves five of the University's professional schools, has been established. Winter Session was created to give NYU students the chance to enroll in one or two courses for intensive study in early January before the University reopens for the second semester. The Spring in NY program offers students in other U.S. institutions the opportunity to study at NYU and live in NYC during the spring semester. Two new cross-disciplinary efforts involving faculty and students were started: The Humanities Initiative, which promotes interdisciplinary dialogue, teaching, and research in the humanities and the arts, and the Institute for Public Knowledge, a social science counterpart to the Humanities Initiative, which nurtures collaboration among researchers in New York and around the world.
- Organization of university-wide committees with increased faculty involvement. Steps were taken to improve the coordination of planning across schools with the establishment of the Undergraduate Curriculum Advisory Committee to review all new undergraduate programs and academic initiatives which involve more than one school (there already existed a similar group on the graduate level); the Undergraduate Academic Affairs Committee, which is concerned with undergraduate academic life; the Committee on Academic Priorities, composed of senior faculty who advise on strategies for measuring, achieving, and sustaining academic excellence; and a Cross-School Global Coordinating Committee to review proposals for global programs. The executive vice president organized five task forces to offer recommendations to improve administrative efficiency in a range of management functions; and a University Benefits Assessment Task Force reviewed the cost of annual benefits to maximize their positive impact in creative and cost-neutral ways. This fall a new University Assessment Committee will be formed to share best practices and strategies across schools.
- Initiatives in sustainability and greening. For the past several years, NYU has been engaged in a major sustainability effort, including academic and research projects and a University-wide energy strategy which will reduce greenhouse gas emissions by 30% by 2017 as well as attain substantial cost savings. This effort includes the largest purchase of wind energy by any U.S. university, a \$120 million renovation of NYU's cogeneration power plant, and a special fund for campus greening, research, and demonstration projects.
- Completion of a major development campaign. On August 31, 2008, NYU completed a \$2.5 billion fund-raising campaign eight months ahead of schedule. It surpassed its goal, raising nearly \$3.1 billion. This was the most successful campaign in the history of the University, and also the largest completed campaign to that date in the history of higher education.

Many of the points cited above are discussed either in chapter two, which describes the results of a multi-year follow-up process to the 2004 self-study, or in chapter three on challenges and opportunities. The financial and planning processes and projections are explained in chapters four and six. Chapter five describes the University's broad-based assessment activities and new efforts mandated by the provost, including reconfiguration of the assessment infrastructure as well as the revision and updating of school and departmental assessment plans.

In spring 2008, President John Sexton appointed a committee to oversee preparation of the Periodic Review Report. The committee chair, Norman Dorsen, Stokes Professor of Law and Counselor to the President, and the PRR coordinator, Barnett W. Hamberger, Assistant Provost, served in similar roles for the 2004 Middle States self-study. The committee organized itself into working groups corresponding to the required sections of the PRR and, as necessary, called upon other members of the University community for assistance. A draft of the report was reviewed by the University Leadership Team, which is comprised of senior University administrators and the deans of the schools and colleges, and by the University Senate, which consists of administrators, faculty, and students.

CHAPTER TWO: RESPONSES TO SELF-STUDY RECOMMENDATIONS AND EVALUATION TEAM REPORT SUGGESTIONS

NYU's 2004 Middle States self-study focused on undergraduate education. After receipt of the report of the Middle States Evaluation Team, President John Sexton and Provost David Mc Laughlin implemented a follow-up process for the self-study recommendations and the Evaluation Team suggestions (it made no recommendations). Over the next two years, these recommendations and suggestions, and the issues they raised, were discussed at meetings of NYU's undergraduate deans. In 2006, and again in 2008, the schools and university offices were asked to indicate what progress in the implementation of the recommendations and suggestions had been made. In some instances, a decision was taken not to pursue a particular recommendation or suggestion.

The following summary, which mirrors the sections of the 2004 self-study, reports on some significant responses to the recommendations and suggestions. A more detailed report is in Appendix A.

Enrollment and Financial Aid

The Undergraduate Admissions Office has followed up a self-study recommendation to clarify distinctions among the undergraduate schools. In particular, Admissions publications were rewritten to help students distinguish three liberal arts units: the College of Arts and Science (CAS), the Liberal Studies Program (formerly General Studies Program), and the Gallatin School of Individualized Study (see Appendix B for recently developed school-specific mission statements). New interactive features of the Admissions website enable prospective undergraduate students to receive information and to use forums to get questions answered quickly (<http://admissions.nyu.edu/academic.programs>). Technology has also brought efficiencies in the handling of applications: the electronic NYU application and electronic Common Application are now uploaded into the Student Information System.

Over the past several years financial aid strategy has evolved significantly, in line with another self-study recommendation. Although NYU is still unable to meet the full need of its neediest students through scholarships and loans, need-based aid has become a priority. Merit aid has been decreased incrementally over a three-year period so that less than \$1 million now is used for merit aid to entering freshmen. New formulas help lessen the gap for the neediest incoming students. In addition, more aid has been made available to continuing students. Recently acquired software allows simulations that help determine the best use of institutional aid funds; each NYU school can get access to the financial aid information of its students. In fall 2008 NYU launched Call to Action, an initiative to increase support of scholarships; a leadership gift (\$10 million) in that campaign established the Steffi Berne Scholarship Fund in CAS.

Academic Affairs

General Education

The possibility of designing a common platform for general education for all of the undergraduate schools has not been systematically explored, and a decision on whether to introduce a language requirement in schools that do not already have one has been left to the individual schools. But steps toward uniformity have occurred: the Steinhardt School of Culture, Education, and Human Development decided to have its students take the basic mathematics requirement in the Morse Academic Plan (MAP, the general education program of the College of Arts and Science) rather than its own Fundamentals of Mathematics, and the Tisch Center of the School of Continuing and Professional Studies (SCPS) now requires its students to take most of the MAP, as do the programs in Cinema Studies and Dramatic Writing at the Tisch School of the Arts.

In 2007 the Undergraduate Academic Affairs Committee advised the Provost to ask the Faculty of Arts and Science deans to call for a review of general education in CAS and to lead discussions with the deans of the other undergraduate schools about their general education requirements. To that end, the CAS dean appointed a faculty committee, chaired by Professor Tony Judt who also met with a student group. The committee's draft report (see Appendix C), which appeared in fall 2008, proposed changes in the two first-year Foundations of Contemporary Culture courses. The report left open the possibility of reducing the current Foundations of Scientific Inquiry requirement from two natural science courses to one. The draft report is now being discussed by faculty groups as part of an extensive consultation process implemented by the CAS dean.

The Major

Many departments and programs, large and small, have put in place substantial revisions of the curricula of their majors in order to keep them intellectually current and to provide sufficient verticality and a meaningful capstone experience. Examples are in Appendix D.

In 2004, in keeping with a self-study recommendation, an inter-school committee was asked to investigate the possibility of pulling together the various scholarly talents and courses at NYU and creating a premier urban-based environmental studies program. In 2007 the New York State Education Department approved a proposed major in environmental studies, which is housed in CAS but includes courses from four other schools and is open to students from all undergraduate schools as a second major.

Recognizing the difficulty of incorporating large amounts of transfer work into the curricula of majors without compromising their integrity, several schools have acted on a self-study recommendation and reduced the maximum number of credits from other institutions that

transfer students can count toward their degree. Now the only schools accepting more than 64 credits are Steinhardt (which accepts 72) and the College of Dentistry (96).²

² The College of Dentistry offers a bachelor's degree in dental hygiene.

Undergraduate Research

In 2005 the undergraduate deans, following up on the self-study recommendation to increase undergraduates' participation, agreed that undergraduate research should be promoted more aggressively — that undergraduate education should reflect the fact that NYU is a research university and this characteristic should be highlighted for prospective students. To make information about research possibilities more accessible, CAS has launched an online database (www.nyu.edu/cas/ugresearch/index.php), where students can search for information by department and faculty member. Faculty willing to mentor students and looking for research assistance describe their projects, and students can contact them directly. In the other schools, wider student participation has been linked especially to the expansion of honors and capstone experiences — e.g., the majority of Steinhardt's undergraduate departments now offer honors programs, and the Stern School of Business introduced senior research seminars in its World Studies Track and Business and Political Economy program.

A school-by-school summary of support available to undergraduate students wishing to do research was compiled in late 2006 and early 2007 (see Appendix E). Since then the CAS Dean's Undergraduate Research Fund, whose endowment has grown to \$6 million, added two new categories of grants: (a) training grants to provide funds that freshmen and sophomores need to learn basic research skills and (b) conference grants for students to attend meetings to present their work. In addition, the Gallatin School recently launched a Research Scholars Fund, which provides stipends to undergraduates to work on faculty research projects.

Experiential Learning

The self-study's recommendation that an all-University committee examine issues associated with experiential learning was discussed by the undergraduate deans in 2005. Given the differences among the schools, they decided that each school should indicate how it views experiential learning and internships and what its practices are. The schools also developed basic guidelines: experiential-learning experiences must serve academic goals; students should have or acquire the expertise necessary to do the project; and there should be provision for supervision and assessment of the experience (see Appendix F for the report).

Gallatin's robust internship program is overseen by the Director of External Programs, who runs workshops to inform students about the requirements. Its Community Learning courses partner with community-based organizations, groups, and individuals. In CAS a key responsibility of the Director of Experiential Education, a faculty position created in 2007, is to work with departments to ensure that they have appropriate standards for awarding credit for internships. At Steinhardt some of the applied study that many of its programs incorporate has taken the form of service learning. Stern is developing a service-learning course that includes a weeklong community service experience in a foreign country. In 2008-2009, the Silver School of Social Work experimented with an alternative approach to preparing its juniors for the 600-hour field education required in their senior year. It features an innovative 5-credit seminar with didactic and experiential learning components. Programs in SCPS' Tisch Center have internship requirements during junior and senior years.

Interrelations of Schools and Individualized Study

Responding both to the self-study and the Evaluation Team's report, the schools have reviewed their policies and procedures regarding registration across schools. The remaining barriers to cross-registration have to do with major requirements and prerequisites (which also affect students in the sponsoring school).

The self-study encouraged the schools to develop minors open to students from other schools, and the number of such minors has grown by more than a dozen since 2004. Many of them draw on courses from more than one school. In spring 2008 the new provostial Undergraduate Curriculum Advisory Committee, reviewed five new cross-school minors, involving different combinations of courses given by CAS, Steinhardt, Stern, and the Wagner Graduate School of Public Service. At the same time, CAS approved for its students five existing minors in Steinhardt that had not been open to them previously. The new website lists 83 different minors, accessible to students in all the undergraduate schools. (see the online list at www.nyu.edu/advisement/majors.minors/crossminors.html).

CAS has initiated a self-designed major for CAS students that differs from Gallatin's individualized major, which is a cross-school program. The CAS program serves students who can realize their interdisciplinary goals largely within CAS and requires honors-level work.

Study Abroad

In keeping with self-study recommendations, faculty from several schools have collaborated with the University's Office of Global Programs in launching three new NYU centers outside Western Europe — in Accra (2004), Shanghai (2006), and Buenos Aires (2008) — and in developing music programs in Prague and Florence, an Italian immersion program in Florence, a Global Connections course offered at several sites and integrated with home campus core courses, and studio opportunities for art students in Accra, Shanghai, and Berlin. Other sites are planned to open in fall 2009 in Tel Aviv and in spring 2010 in Abu Dhabi and Egypt.

The study-abroad sites have continued to develop and refine individual "themes" and "sub-themes." NYU in London offers a specialization in pre-professional studies; NYU in Prague has a robust core of courses in politics, law, and international relations; NYU in Florence features a strong set of courses in art history and Renaissance studies; NYU in Ghana focuses on African studies; and NYU in Shanghai has emerged as a center for business studies.

The goal of increasing the number of students going abroad has been strengthened by Provost McLaughlin's 2007 directive to reach 50% study-abroad participation for undergraduates by 2011–2012. Total study abroad enrollment has more than doubled since 2003–2004. The imbalance between fall and spring enrollments has been much reduced. Study-abroad admissions has been incorporated into NYU's overall enrollment planning, and strategic goals have been formally set across the schools and informally for key departments (see discussion of global programs in chapter three).

Academic Advising, Mentoring, and Support Services

Implementing the self-study recommendation and Evaluation Team suggestion that the University clarify its mission in regard to advising and mentoring, the Provost's Office formed an advisement group that includes representatives from the undergraduate schools who meet regularly to consider issues of common concern and to collaborate on the handling of special challenges. The group organizes each term a conference on advising open to all advisers and faculty. The Provost's Office maintains the advisement website (www.nyu.edu/advisement), designed to inform students about resources that help them make the most of the advisement process.

The recommended greater use of technology in the advising of students in the various schools includes expanded email options, advising websites, and online appointment scheduling. Steinhardt has acquired software that enables advisers to identify course equivalencies for transfer students. Stern has set up an advising blog accessible to all students and long-distance video conferencing appointments for students who are studying abroad.

In fall 2007, with the support of a \$10 million grant from the CJM Foundation, CAS launched its Collegiate Seminar program. Collegiate Professors (term chairs established by the grant) commit themselves not only to teaching a seminar for incoming freshmen three fall semesters in a row but also to serving as the students' mentors throughout their undergraduate careers at NYU. The number of Collegiate Professors, now 16, will eventually grow to 25. Since the program's inception, over 350 students have enrolled in the seminars.

Other recommended efforts to increase student-faculty interactions include the Faculty Fellow-in-Residence and Faculty Affiliate programs summarized in the Student Affairs section below, which also reports notable developments in support services.

Libraries

The Libraries continue, as the self-study recommended, to monitor the satisfaction and needs of undergraduates by various means, especially by participation in LibQual+, the national service-quality study. The 2006 study indicates that overall satisfaction with the Bobst Library facilities increased since the 2002 study, in part because of the renovations on the lower levels and the addition of group study rooms.

The Libraries continue to reach out to faculty who require research papers. All Stern freshmen, for example, now attend a research session led by the two business librarians; all journalism majors in the required class Journalistic Inquiry and communications majors in Steinhardt's required New Student Seminar attend an introduction to NYU Libraries tailored to their respective disciplines. The Libraries and the CAS Presidential Honors Scholar Program have developed a phased approach to building research skills: they hold instructional sessions for all freshmen in the program, and as sophomores the students return for more advanced instruction.

The Libraries have promoted broader visibility of its collections and services at NYU global sites. Their website now includes a Study Abroad Services page

(www.library.nyu.edu/services/abroad.html) that describes the range of services that students and faculty at those sites can expect. To reach undergraduates through current technology, the Libraries have expanded their email Ask-a-Librarian service to include first instant messaging and then SMS text messaging.

In regard to the web environment, the Libraries seek to incorporate more of the social-networking features that today's students expect, but within the framework of leading them to high-quality, vetted research resources. A new version of the online catalog, BobCat, introduced in 2008, enables students to use one search box (à la Google) to find books, articles, and other resources. Since 2006 the Libraries have offered a class that familiarizes faculty with how to add licensed library content to their course pages, and since 2008 a linking service for faculty that creates e-reserves links for placement on the course page on Blackboard. The NYUHome Research channel provides easy access to library resources; an estimated half of the usage of popular databases comes through this channel.

Technology

As described below, the executive vice president created five University-wide re-engineering task forces which were charged with examining areas critical to our efforts to improve administrative efficiency. One of these, the Information Technology Task Force, implemented an earlier proposal by an external review that the University find ways to employ information technology in academic and administrative planning to strike an appropriate balance between allocation of resources centrally and to the schools. The task of finding overall administrative efficiencies was then added to the charge of this Task Force, which also guided development of an IT strategy to support NYU's evolution as a global network university, consistent with *NYU Framework 2031* (see chapter three) and other recent documents.

The recommended pursuit of new ways to meet the rapid growth of faculty use of technology has focused on NYU's Blackboard course management system, which is integrated with the Student Information System (SIS) and the web portal NYUHome; course websites are thus easy for faculty to activate and class rosters are automatically available. Information Technology Services (ITS) provides self-help documentation about the system for faculty and students at <http://www.nyu.edu/its/blackboard/>. It works with faculty to pilot new tools for teaching and learning, such as a new system that may eventually replace Blackboard University-wide. A new release of Blackboard was made available in spring 2009.

The Libraries, ITS, and Student Affairs collaborate in refreshing the design and delivery of technology education and awareness programs for students. Venues range from online materials to in-person seminars and modules delivered as part of courses. Student computing labs remain heavily used, and two of the four main ITS labs have been redesigned to accommodate group work. ResNet network facilities are updated as part of the renewal schedule for the University network, and new venues continue to be added to the NYU-Roam wireless network.

While continuing to enhance the Student Information System, the University in spring 2008 completed a year-long effort, involving all the schools, to select a new SIS. The first of the new

features will likely be available in summer 2010; retirement of the current system is expected to occur in 2012.

Academic Space

Since 2004 the University has evaluated the condition and use of its existing general-purpose classrooms (GPCs) and created the Committee on Classroom Capital Planning (CCCP) to consider capital improvements. The CCCP's 2008 report (see Appendix G for the executive summary) made recommendations that reinforce those of the self-study, in regard to the location, configuration, maintenance, and scheduling of classrooms. The University has already made considerable progress in moving administrative offices to the periphery of the campus, freeing up space for academic departments and instructional facilities, and in reducing the number of GPCs on high floors. Three large lecture halls have been added at ground floor locations. In 2008 the Skirball Theater was made available for very large lectures (enrollments of more than 600), making it possible to combine introductory classes that had to be divided in earlier years. The need for more venues suitable for recitations and seminars is being addressed by the creation of such rooms in the basement of Bobst Library (opening in fall 2009). (see discussion on space in chapter three.)

Teaching and Assessment

The Undergraduate Academic Affairs Committee (UAAC) took up the self-study's recommendation to explore the advantages of an all-University student course/instructor evaluation process. It endorsed again the principle that all schools evaluate all their courses toward the end of every semester, in order to ascertain their success in promoting student learning and effective teaching at NYU. Given the diversity across schools, departments, and programs, however, it did not recommend that an all-University rating form be developed. Instead, it recommended that the separate forms used in the schools all be adjusted to include several common elements (see Appendix H). The Provost accepted these recommendations and asked the undergraduate deans to have the questions incorporated into their schools' forms, starting in 2007–2008.

The UAAC did not support the recommended University-wide electronic administration of the ratings process. Its chief concerns regarding an online process, confirmed by consultation with other universities, were a low response rate and a tendency for responses to fall into the extreme ranges. The UAAC said that individual schools were free to decide that the advantages of an online system outweigh these and other drawbacks.

Diversity and Engagement

Acting on the self-study's recommendation to consider strategies for increasing diversity, the University created the post of Vice Provost for Faculty Development, whose portfolio includes both students and faculty diversity, and a Deans' Working Group on Diversity with two subcommittees, one focused on students and the other on faculty.

Although a few individual programs show appropriate levels of diversity, increasing the diversity of the overall student body remains a challenge. To be able to provide more financial aid to low-income applicants, the University has reduced merit awards and increased need-based awards. Concurrent efforts have sought to improve the retention rate among the growing group of scholarship students from underrepresented ethnic communities. In 2007, for instance, the Provost's Office convened an all-NYU committee and charged it to discuss new strategies for supporting such students. As part of this Special Scholars Community Bridges initiative, in fall 2007 the University held its first Convocation of Color: Cultural Community Connections, which aimed to welcome first-year students and express support for their intellectual, social, and personal goals.

The Deans' Working Group on Diversity has focused on the Faculty of Arts and Science (FAS) because of the dramatic potential of the Partners Initiative, an effort to increase the number of tenured/tenure track faculty in FAS by 125, to affect the diversity of the entire University. The two main requirements of searches for new faculty in FAS are that departmental search committees themselves be diverse and that the short lists of candidates developed by them likewise be diverse. Diversity is here understood to take the form not only of race and gender but also, given the University's interest in positioning itself as distinctively global, of international background. Since the start of the Partners initiative, 68% of the 93 hires have met one or more of these three diversity criteria. (Appendix I is the relevant excerpt of the latest Partners report. See also discussion in chapter three.)

The University has also created the NYU Postdoctoral and Transition Program for Academic Diversity (<http://www.nyu/diversity/academics.research/fellowship.html>) to support promising scholars and educators from different backgrounds, races, ethnic and other diverse groups who will contribute significantly to academic excellence at NYU. Currently, there are six fellows and in 2009-2010 there will be eleven.

General Academic Issues

The MSA Evaluation Team suggested that NYU reconsider and rationalize the academic offerings and entrance standards of the two-year General Studies Program (GSP). In 2007, after an extensive assessment of its purpose and function, GSP was moved from the School of Continuing and Professional Studies to Arts and Science, where it is a better fit (given the interests of its students and the fact that 80% of those who continue at NYU do so in CAS). In the following year it was renamed the Liberal Studies Program and also added a four-year program.

Student Affairs

Diversity and Community

Student Affairs has acted on the self-study's recommendation to build community in ways that draw strength from NYU's complex makeup and environment. A review of its diversity services in the Office of African American, Latino, and Asian American Student Services led to an expanded role for the office, now renamed the Center for Multicultural Education and Programs.

Its mission is to help make diversity everyone's business at NYU. It established the Martin Luther King Jr. Celebration Week, which in 2008 drew 2,700 to the more than 60 events, and in fall 2008 launched the campus-wide diversity program NYU Portraits, featuring spoken-word, dance, and musical performance by students, alumni, and faculty.

The effort to build community has also led to the establishment or enhancement of several University-wide and niche-based traditions. The Presidential Welcome during orientation week now brings together all new freshmen and transfers. The Reality Show, performed at Welcome Week, has become a marquee tradition touted by the *New York Times* (see www.nyu.edu/undergraduate.education/events.traditions/). The Department of Residential Education programming now sponsors multiple events that create or enhance traditions, ranging from orientation activities in Union Square and at the South Street Seaport to midnight breakfasts, student leadership conferences, and a talent showcase.

The Student Resource Center was created in 2004 with a mission to build community at NYU by providing information and resources for the entire University, while at the same time targeting particular services, programs, and support toward unintentionally marginalized students, such as commuters and transfers. It provides information on everything from getting involved, university events, academic resources, spiritual and religious life, and New York City, and it offers such amenities as a lounge, computer workstations with printing, notary service, legal resources, a public kitchen, and late-night hours.

The recommendation to increase, improve, and consolidate space for the Office of Career Services has been implemented. Renamed the Wasserman Center for Career Development, the office was moved to a state-of-the-art, 20,000-square-foot facility in the Palladium Residence Hall in early 2006.

Residential Life

The University has responded to self-study recommendations and Evaluation Team suggestions concerning residential life. The Faculty-Fellow-in-Residence program, which aims to create intimate "learning communities" in the residence halls as a way to integrate students' academic experiences with their residential lives, has grown to 16 Faculty Fellows, living in ten resident halls. They work closely with one another and with staff to foster an intellectual tone in each residence hall and to design and implement a wide range of opportunities for students to interact with faculty members and with one another.

A network of academic theme-based floors that utilize New York City as a living-learning laboratory has been created. The theme in each Explorations community is developed through programs and activities planned by the Resident Assistant (RA), a Faculty Affiliate designated for the floor, and the residents on the floor. This year there are 50 themed-based communities, housing nearly 2,100 students and offering more than 400 programs.

An increased number of RAs in the residence halls has lowered the student:RA ratio from approximately 40:1 to 30:1. At the same time, the selection/training process was expanded to stress specific skills, supplemented by follow-up and continuing education. Training modules on

community development, mental health/wellness, diversity, academic development, crisis intervention, and judicial action are now presented in small groups to enhance effectiveness.

In 2007–2008 the first Residential Colleges were established, offering distinctive educational programming, service-learning opportunities, interdisciplinary dialogues, and enhanced community leadership. In 2008–2009 a living/learning floor opened in the Palladium Residence Hall for students with a special interest in multicultural programs and social interactions with students from all over the world. That year also brought a new community committed to promoting a more sustainable urban campus through programs offered in the Seventh Street Residence Hall, as well as facilities renovations to reduce energy and water use.

The College Learning Center, which offers a variety of services to help students realize their full academic potential, has added to its original location in Weinstein Residence Hall new sites at both the Third Avenue North and University Residence Halls.

Mental Health and Behavioral Issues

The position of Assistant Vice President for Student Health was created in 2004 to coordinate all wellness-related activities, including assessment (two years later the position was elevated to that of Associate Vice President). Under the incumbent's leadership, the Student Health Center was reorganized, combining medical and counseling services, along with the new Office of Health Promotion and Wellness Services, in a single location. All services of the Wellness Exchange, NYU's extensive network of health and mental health-related services, have been linked by a private 24/7 hotline. A new operational model implemented in August 2006 increased access to health services for all matriculated students, who now have a safety net of services for primary care, women's health, counseling and wellness, and basic diagnostic testing, with either no out-of-pocket expense or a minimal basic service fee. This initiative led to more than a 25% increase in the volume of patients. In 2007-2008, 3,894 individuals made 19,087 visits to Counseling; 1,652 individuals made 2,216 visits to the Wellness Exchange.

Alumni Relations

To the recommended end of ensuring that a clear and consistent message about the University as an extended community reaches alumni, all communications created by the Office of Alumni Relations are now coordinated through the Director of Development and Alumni Communications. The media used for this purpose include the *NYU Alumni Magazine*, sent to 275,000 alumni and friends, invitations to regional events held around the country in up to sixteen cities each year, numerous e-communications, the Alumni Website, and direct mail. The opening of the Jeffrey S. Gould Welcome Center in 2006 responded to the need (identified in the self-study) for a friendly space where alumni can obtain information and meet other alumni.

Alumni Relations continues to build on the President's Challenge (a \$25,000 matching pledge to encourage graduating seniors to make multiyear pledges to the annual fund drive) through collaboration with many student affairs departments and such student groups as the Senior Class Council. Since 2003, nearly 6,000 graduates have chosen to contribute to the senior class gift.

Recommended initiatives to involve parents more widely as members of the NYU community have included home community sendoffs, of which there were 16 in summer 2008, attended by over 900 parents and students; the Parents Committee, which currently comprises 60 families, each of which makes an annual gift of \$5,000 or above; and the Parents Campaign, to which some 2,400 parents made gifts in fiscal year 2008, a seven-fold increase over 2002.

CHAPTER THREE: MAJOR CHALLENGES AND OPPORTUNITIES

In the June 2008 planning document *NYU Framework 2031* (see Appendix J or www.nyu.edu/about/framework.2031/) NYU addresses the “key concerns, issues and opportunities that it will face over the next two decades.” It affirms that the highest priority for the University is sustaining and building upon the core of academic excellence and research it has worked so hard to achieve, and doing so while adhering to “overarching principles or fundamental tenets of quality.” It also recognizes that there are serious challenges facing NYU, some particular to our institution and others common to all universities.

Some of the challenges are rooted in national factors: while there is growing public pressure for access to higher education, public resources are decreasing, especially in the present economic climate. Wealthier universities with large endowments can continue to meet most of their needs and offer students generous financial aid. NYU is in better financial condition now than it was in the past. But although it is the largest private university in the country, of the private universities with endowments over \$2 billion, NYU has the lowest endowment per student, at \$62,000.

Without a large per capita endowment, NYU depends largely on tuition revenue to pursue faculty growth, support for research and educational facilities and financial aid. Meeting student financial aid needs is an especially compelling challenge to NYU, given the level of aid offered by wealthier universities to middle income students and the fact that NYU has a considerable number of extremely needy students. In addition, while NYU’s location in the heart of New York City is one of its strongest assets, the availability and cost of space in New York is a significant challenge. The University is addressing this particular challenge in its space planning for the future outlined in *NYU Plans Space 2031* (see www.nyu.edu/nyu.plans.2031/).

While these problems are part of the University’s reality, NYU also has distinctive assets. One of these is its “locational endowment” in New York City, in an area rich in social and cultural history that has made it uniquely attractive to both students and scholars, especially as the University integrates the city’s cultural and historical riches into the development of its educational and research programs. It offers a “literal miniaturization of the world,” combining local and global culture in the city, resources and opportunities in performing arts, fine art, law, business, finance, media, communications and public service, among others, which are powerful attractions for recruiting and retaining some of the world’s top faculty and students. At the same time, while it is a university “in and of the city,” it has also attempted to incorporate aspects of this “locational endowment” into the programs offered at its sites abroad so that it is also a global educational and research university.

NYU’s impressive advance in recent decades also reflects its “attitudinal endowment:” a distinctive institutional “personality” which can be characterized as a combination of aggressive entrepreneurship, creativity, the willingness to seek new opportunities, a willingness to take risks, agility in decision making, and a readiness to work with colleagues across boundaries in a common enterprise. In the last five years, NYU has built on the strengths of already successful programs, created the global network university, re-connected NYU to the important curricular and research areas of engineering and technology through institutional collaboration (the NYU/Polytechnic affiliation), continued to build the excellence of the arts and science core, (the

Partners' Initiative), and established new programs that draw on academic expertise across the University and will enhance NYU's scholarly reputation (notably, the Institute for the Study of the Ancient World, which offers a new cross-disciplinary approach to the field). The following discussion examines some of the opportunities and challenges outlined in *NYU Framework 2031*.

The Partners Initiative: Expanding the FAS Faculty

The report of the Middle States Evaluation Team that visited NYU in 2004 noted the emphasis that NYU's self-study had given to the importance for a national, multi-school university like NYU to have an intellectual core that defines its ultimate mission, and around which the other schools can be structured and rationalized. The intellectual core at NYU is the Faculty of Arts and Science (FAS). While NYU has established an excellent faculty, devoted to scholarship and teaching, the report observed that NYU should build the faculty resources necessary for FAS to respond appropriately to its multiple responsibilities to undergraduate education, graduate education and faculty research, as well as the unique demands placed on FAS to provide services — mostly courses — to the other undergraduate schools. “Without considering that latter role,” the report observed, “FAS’ size (529 tenured and tenure-track faculty, excluding the Institute of Fine Arts and the Courant Institute of Mathematical Sciences), is at best marginally adequate given its own student population (undergraduate and graduate)...[W]ithout an expansion in FAS’ faculty size, it will not be able to achieve the full promise of its intellectual role, nor meet the needs of the recent excellence of the undergraduates.”

To improve that ratio NYU's Board of Trustees approved the creation of the “Partners Initiative,” announced in fall 2004, which was funded, in part, by generous contributions from our “Partners Trustees.” This fund has been used to expand and strengthen the Arts and Science faculty. The primary goals are to ensure that departments that are already outstanding remain so and to identify another set of departments that are poised to become among the best in their disciplines. In selecting units for investment, emphasis was placed on those where advancing the particular unit would also advance other units or schools, where there was significant student interest, and where there was a deep connection between the department's research mission and undergraduate education.

This major expansion, led by Dean Richard Foley of the Faculty of Arts and Science, has already achieved impressive success. NYU's stated goal was to hire 250 faculty over a multi-year period: 125 to replace the faculty who leave due to natural turnover or retirement, and 125 to increase to size of the faculty by about 20%. The result will be a new generation of Arts and Science faculty, totaling about one-third of the tenured and tenure-track faculty. (This includes the Courant Institute of Mathematical Science and the Institute of Fine Arts.) As of fall 2008, 201 faculty members have been hired and faculty growth (net of faculty members who have left or retired), totals 93. This represents 75% of the planned growth.

A key priority of Partners has been the enhancement of core science programs. NYU's strategy has been to continue to support already strong units like mathematics and neural science and to make additional investments in rapidly growing subfields where NYU has the potential to attain and sustain excellence.

A strategic tool for the development of science has been cluster hiring. Examples which have led to the creation of a new Center for Soft Matter Research and to a new Molecular Design Institute are described in *NYU Framework 2031*.

Multiple faculty hiring made possible by the Partners Initiative has also been realized in the FAS departments of anthropology, economics, English, history, philosophy and politics. The recruitment campaign has brought to NYU excellent faculty at all levels and in all discipline areas. Eighty-seven new faculty members were added to the Humanities, 41 to the Social Sciences, and 41 to the Sciences. The fruitful results on the undergraduate level can be seen in the greater number of interdisciplinary and cross-school courses, new minors and degree programs, which take advantage of the new strengths in various departments and schools. (Examples are a new major and minor in Environmental Studies, new minor in Genomics and Bio-informatics, the English Department's Post-Colonial Studies and new courses in the Department of History on Liberal Visions of Empire, Empire and Globalization, Power and Poverty.)

The enhancement of the FAS faculty has also created curricular and research linkages across departments and schools that further enrich the training and research activity at NYU, as attested to by recent funding received by the University. Such grants, from a variety of sources, confirm the growing benefits to research and training of students that derive from the collaboration of distinguished FAS faculty with their peers in other schools.

Challenges

There are, of course, challenges and responsibilities as well. The Partners effort must be accompanied by the kind of infrastructure planning necessary for systematic program building. NYU is aware of the financial resources needed to implement new projects and the economic realities of the University as well as the city, the state and the nation. The new faculty needs office space, laboratory space, and building assignments and designs that promote intellectual exchange. Some of the renovations needed for departments and science centers are already in place or underway.

NYU has made significant progress in increasing its alumni support, in general fund-raising, and prior to the economic downturn in growing its endowment. The University is also effecting savings in various administrative areas to insure that academic programs and the faculty essential to their work are strengthened.

The Global Network University

NYU has been involved in global studies for 50 years, but its importance and role has changed over the last five years. Our longest-standing programs, NYU in Madrid and Paris, were developed by the corresponding Faculty of Arts and Science departments for students who were majoring in the particular languages and literatures of these cultures. The University has now broadened global studies in order to give a larger number of students the benefits of a study abroad experience as an integral part of their education. (see www.nyu.edu/studyabroad/). For

the sixth consecutive year, NYU was the top-ranked university in sending students to study abroad for academic credit.

Study Abroad

At the time of the 2004 report to Middle States there were five major university centers abroad — Florence, London, Prague, Paris and Madrid. In addition, a number of study abroad sites were developed by particular schools, such as the Stern School of Business's International Study Project, Tisch School of the Arts' academic year programs in Dublin, London and Capetown and programs of the Steinhardt School of Culture, Education and Human Development at several European sites. There were also summer study programs, run either by individual departments or schools of the University, short-term study trips and semester exchange programs with partner schools.

A deficiency of the University-level and exchange programs was that they were mainly in Europe. Over the last several years the University has enlarged the number of non-European study abroad exchange sites, which consisted of Korea, Japan, Mexico and Chile, established programs in Ghana and Shanghai, initiated special dual degree programs in Singapore, and will open programs in Egypt, Israel, and Abu Dhabi. And in spring 2008 NYU re-established an undergraduate study program in Buenos Aires. (A program there had been suspended in 2002.)

In short, over the last five years there has been, as Provost David McLaughlin has noted, a transformation, a “paradigm shift,” in NYU's concept of study abroad. The new concept is to develop and administer NYU as a “global network university,” with the central campus anchored in New York City as a “portal campus” with global study sites, “nodes of the NYU network” throughout the world (see Appendix K or www.nyu.edu/provost/pdf/globaloverview.pdf). According to the new paradigm, NYU undergraduates, graduate students and faculty will have access to the entire network of the University and be able to take full advantage of its components, gaining “additional exposure to other peoples, cultures, perspectives and modes of research and knowledge acquisition.” It will also give talented students and faculty from other countries access to NYU faculty and students, and access to research source material and interaction with international colleagues. This global study structure will provide students with the kind of education and on-site learning experiences that will further improve the ability of both students and faculty to address the issues of our times, so many of which are global in nature.

In line with this new concept of the global network university, NYU has taken several steps over the last five years. For example, all undergraduate students in the new four-year Liberal Studies program are required to spend one year at an NYU study-abroad site as part of their degree requirements. Graduate students also have opportunities for study and research exchanges abroad that are driven by strengths in the departments at Washington Square and are appropriate to develop at a particular study-abroad site. For example, students can earn a master's degree in French or Spanish language and culture at our sites in Paris and Madrid. In Paris there is a joint Masters Degree offered by the Faculty of Arts and Science and the Steinhardt School of Education which prepares students to become certified teachers of French. A graduate program

in Italian Studies for BA-MA and doctoral students was officially launched in Florence, Italy with courses approved by the Faculty of Arts and Science.

NYU has also developed a number of graduate programs that offer NYU degrees in conjunction with other institutions abroad. The NYU School of Law and the National University of Singapore's Faculty of Law launched a dual degree program in Singapore, a leading commercial and legal hub. Students from around the world earn a Masters of Law degree in Law and the Global Economy. They will be taught predominately by NYU faculty in residence at the National University of Singapore (NUS), primarily in four three-week intensive summer courses. The Stern School of Business has joined with the London School of Economics and Political Science and the HEC School of Management, Paris to establish the TRIUM Global Executive MBA program, a 16-month program in six intensive modules. Two of these modules are hosted at NYU Stern and one each is hosted at LSE, HEC Paris and two international business centers. Faculty members from each institution teach at their home campuses and graduates receive a single degree issued jointly by the three institutions. Stern has similar programs with the Hong Kong University of Science and Technology, and the Amsterdam Institute of Finance.

Research agreements also link NYU with universities abroad. In 2006, for example, NYU and Beijing University agreed to facilitate collaborative research and training.

Students have responded enthusiastically to these programs and there has been a dramatic increase in enrollment in the global sites over the past five years. In 2007-2008, 2,750 undergraduate students spent a semester abroad, more than double from 2001-2002. It is expected by the time students graduate that nearly half will have participated in a semester abroad study program, compared to one of four students five years ago. As mentioned previously, the University's academic goal, endorsed by the Provost and the Deans is for at least 50% of all NYU students to spend at least one academic semester abroad before they graduate. It is motivated by the principle that for graduates to be truly prepared for the challenges and opportunities of a globalized world, they must be educated by faculty who are expert in areas, cultures and issues that are best understood and studied locally.

Academic oversight of the semester abroad programs linked to departments or schools rests with the faculty, schools and departments at Washington Square. Courses must be approved by departments at the Square. For the centrally run sites abroad, there are currently faculty liaisons from departments with relevant programs abroad and administrative personnel who serve as the communication links between the sites and Washington Square.

Once the decision was made to expand study abroad sites as part of the "global network university," a number of affinity groups were established comprised of faculty who have educational and scholarly interests related to particular regions or locales being considered for a site. They provide advice to the Vice Provost for Globalization and Multicultural Affairs and to the Washington Square site directors about existing and new course offerings, assist with curriculum review and assessment, the selection of certain site directors, and participate in the planning process for new campuses abroad. Currently over 170 faculty, drawn from nearly every school at the University, and school and university administrators, participate in these affinity

groups. The three newest sites, Accra (Ghana), Shanghai and Buenos Aires were initiated by the faculty, reflecting their research interests and their assessment of student needs.

NYU Abu Dhabi

In the academic year 2005-2006 the leadership of the Emirate of Abu Dhabi of the United Arab Emirates approached NYU about collaborating to establish a branch campus in Abu Dhabi, which would offer an undergraduate program to serve students from across an extensive geographic region. This branch campus would offer a full undergraduate liberal arts education with its tradition of debate, critical analysis and scholarly research. Following these initial conversations, discussions were held with members of the faculty and administration about the possible advantages and risks, and the academic and financial feasibility of such an undertaking. In addition, several groups of faculty and administrators took fact-finding trips to the region in January 2007.

Important concerns were identified: the academic freedom of the educational programs, non-discrimination with respect to nationality, religion, race, gender or sexual preference, assuring an admissions process based solely on academic credentials, that academic programs be determined solely by NYU and its faculty, and that NYU allocates sufficient financial aid on both academic credentials and need. There were also concerns expressed about potential financial risks.

These discussions also considered the advantages to NYU students and faculty in establishing a regional campus in Abu Dhabi (NYUAD). It was observed that the campus would also provide graduate students and faculty with teaching and research opportunities in many disciplines. It could also serve the dual purpose of a semester abroad for NYU undergraduate students, offering them studies about the Middle East and, for both undergraduates and graduate students doing research in the field, immersion studies in the Arabic language. At the same time, students at NYUAD would have the option of spending a year at Washington Square and/or a semester at one of NYU's global sites. After full consideration, of the benefits and risks and the assurances offered to address them, the recommendation was that NYU proceed with the planning toward creation of the regional campus NYUAD.

According to the agreement with the Executive Authority of Abu Dhabi, NYU will have authority for academic programs, educational requirements and curriculum, faculty appointments, staff and students, and all infrastructures related to the university's work at the NYUAD campus. The Executive Authority of Abu Dhabi is providing the land and funding for everything necessary for the campus and facilities' operation. It will also provide financial resources to NYU for the benefit of the Square and compensation to departments for faculty who spend time teaching in Abu Dhabi.

The planning for this campus is now well underway with groups of faculty and administrators involved in structuring both the infrastructures and the academic programs (see the Substantive Change Request submitted to Middle States in Appendix L and <http://nyuad.nyu.edu>). The architectural designs are in place for the necessary facilities and temporary quarters have been secured for those who are overseeing the construction and other aspects of the planning. Administrative and academic leadership in this endeavor is provided by Professor Mariet

Westermann, former director of NYU's Institute of Fine Arts, now Special Assistant to the President for NYU-Abu Dhabi and Vice Chancellor for Regional Campuses, and Hilary Ballon, Associate Vice Chancellor for Regional Campus Development. Recently, Alfred H. Bloom, President of Swarthmore College, was named Vice Chancellor of NYUAD.

The goal is for the NYUAD campus to have its first class of students in fall 2010. (The campus will serve as a study abroad site for students from the Washington Square Campus in spring 2010.) The estimate is that it will begin with no more than 100 students and a faculty of 40. There will also be a select number of faculty appointed jointly in NYUAD and NYU New York who will split their time evenly between the two campuses. There are start-up facilities at the location consisting of leased space in a business center and a few apartments as needed by faculty, staff and visitors. The permanent campus, which will open in 2013, by 2017-2018 will have approximately 2,600 students, 430 faculty, and 210 staff.

The mission statement that has been developed for the Abu Dhabi campus presents the program as "a selective liberal arts, science and engineering college integrated into a major research university, which will equip students to make significant contributions across all areas of human endeavor." This will include graduate studies and major research projects of the kind undertaken at Washington Square. The undergraduate curriculum is being set into place with the necessary structures: core curriculum, majors and multidisciplinary concentrations in a variety of fields, pre-professional tracks, senior thesis or capstone project, languages, electives. The guiding principles are small classes (15-20 students), sustained contact with faculty, seminars based on discussion, focus on primary texts, cross-cultural perspectives, thematic topics, and significant writing projects.

Challenges

The challenge, not just for the Abu Dhabi campus but for all of the NYU global studies programs, is to assemble the best faculty and student body possible for the sites, maintain the excellence of academic programs by systematic oversight of quality through liaisons with the Washington Square corresponding faculties and programs. In that way the University will assure that in questions of appointing faculty to branch and regional campuses and evaluating them for reappointment or tenure, instituting courses and degree programs and evaluating their quality, the procedures that exist at Washington Square are adhered to. The participation of Washington Square faculty in some of these branch and regional campuses must be coordinated with departments to assure that they have the academic personnel to meet their curricular needs at the Square. Finally, there is the financial issue: since NYU is heavily tuition dependent, one of the greatest challenges is for the global programs to be self-supporting, not to drain needed resources at the Square and, wherever possible, to provide resources for the University as a whole.

The NYU/Polytechnic Affiliation

In 1973, because of financial problems at NYU, the uptown University Heights campus in the Bronx was sold to the City University of New York and became the campus for Bronx Community College. The NYU School of Engineering and Science, which had been located on that campus, had its engineering faculty merged into the Polytechnic Institute of Brooklyn as a

result of New York State legislation which attempted to address the financial crises of both institutions. Since then, despite a dual five-year bachelor's degree program with Stevens Institute of Technology in New Jersey, NYU has lacked a school of engineering and applied science, in a world increasingly reliant on technology.

In June 2008, after extensive consultations with administration, trustees and faculty members of both NYU and Polytechnic University (as the institution which resulted from the merger was then called), an agreement was reached whereby Polytechnic would ultimately become part of New York University. This is a two-phase process: first "Affiliation" and then "Consolidation." The New York State Board of Regents has approved this plan.

During the affiliation phase, Polytechnic continues as a separate education corporation (and a separately accredited institution), but with NYU as its sole owner, and it has been re-named the Polytechnic Institute of New York University. The goal is that after a period of 3-10 years, depending on the fulfillment of certain conditions, the consolidation will occur and Polytechnic will become NYU's School of Engineering and Technology. The Substantive Change Request submitted to Middle States (see Appendix M) notes the benefits of the arrangement: "The education, research, and economic development role of both universities in New York City and the State of New York will be greatly augmented, but it will also result in broader, more valuable opportunities for students of New York and the nation, and allow each university to more successfully meet the challenges of the 21st century global economy."

This affiliation and potential consolidation of Polytechnic as a School of Engineering and Technology of NYU re-connects NYU to an engineering school, and re-establishes technology and engineering as important academic disciplines within a comprehensive research university. It offers new opportunities for NYU students to enroll in science, technology and engineering courses and programs that will better prepare them to compete in the current and future global economy. It facilitates collaborative teaching and research in such areas as urban systems, health and wellness, bio-science/technology, health care, and information technology for global systems. It infuses the inventive, innovative and entrepreneurial experience of Polytechnic's vision into the internationally recognized research in the sciences and mathematics at NYU, enabling training in these areas and others to be converted into concrete contributions to society's needs.

During the present affiliation phase, Polytechnic will align and integrate its programs and processes so that, while focusing on its mission and role as a school of technology and engineering, they are suitably equivalent to the programs and practices of other schools of NYU. The criteria for the decision to move to Consolidation and establish Poly as a school of NYU will include evaluation of faculty scholarship, research and inventiveness, undergraduate and graduate education, effective inter-school cooperation, shared facilities and financial robustness.

In the 2008-2009 academic year, NYU submitted a proposal for dual degree programs in science (NYU) and engineering (Poly) to the New York State Education Department which would replace similar programs currently existing with the Stevens Institute of Technology. A representative from Poly attends meetings of NYU academic and administrative committees. Poly and NYU students are already taking courses at each others' schools, depending on the

policies of the individual schools of NYU, the satisfaction of prerequisites and the availability of space in classrooms. During the initial years of the affiliation courses taken at Poly by NYU students will be considered transfer credit. NYU graduate students may collaborate with Poly faculty and take Poly courses. Arrangements are currently made on a case-by-case basis through student consultation with the advisors of their graduate programs. Students with valid NYU and Poly ID cards have access to activities, library resources and other facilities at each other's campus. NYU students can apply for research opportunities at Poly, especially those available in the summer. Poly students can study at NYU global sites. If a student wishes to be considered for admission by both schools, the student must apply to both. Admission standards are currently set by each institution and each has a separate application process during the period of affiliation.

Websites have been prepared for both NYU and Poly students with questions and answers on a number of issues: academic, tuition, residential, global study, access to student activities and campus resources (see www.nyu.edu/about/poly.faq.html). Groups of faculty and support groups from both institutions are engaged in discussions of the infrastructures and academic structures necessary to support affiliation.

Collaborative research between members of both faculties is proceeding. In addition, the Provost of NYU is also making available \$5 million dollars as seed funds for grant money to fund collaborative research. The first 38 proposals, submitted in the fall 2008, were from most every NYU school and every Poly department, in most cases pairing investigators who had never before collaborated. Fifteen were funded for a total of \$990,000. A second round of 25 proposals is now being reviewed. Some collaborative grants have been made jointly to NYU and Poly investigators by the Gates Foundation and the NSF. In addition, some intellectual property is being shared between the NYU Medical School and Poly.

Challenges

The challenges of the undertaking are to assure that the joint enterprise rests on a solid foundation of academic excellence; distinction in achievements and the necessary resources to achieve the goals; to create the curricular changes that realize the goal of a first-rate education in engineering and technology in the wider context of a major liberal arts and research university; to build upon the unique combination of Poly's invention, innovation and entrepreneurial expertise with NYU's research in the sciences, mathematics and medicine to distinguish our program from other competing schools. The planned focus on the areas of urban systems, bioscience, healthcare and information technology should be attractive to potential students. As with all of its other undertakings, there is a possible adverse effect on the University's plans should New York City suffer a serious economic downturn.

Space

One of NYU's great advantages — its location in New York City — is also one of its great challenges. While New York's vibrancy is a key draw for top scholars and students, space is difficult to come by, particularly in Manhattan, and it is very expensive. Yet an emphasis on the research enterprise, changes in teaching techniques, expansion of faculty and expanding course offerings in new academic fields all require additional space and new spatial typologies. This

pressure is compounded by the challenge that during its transformation over the last two decades, which included an expansion in the number of students from 17,500 undergraduates in 1997 to 21,000 today, the development of new space did not keep pace.

Significant changes to undergraduate teaching and research at NYU and at colleges nation-wide have lead to additional demand for space. Large lecture courses are a declining feature of a college education, and NYU has reduced its student-faculty ratio, enabling it to offer more small classes. Thus the demand for more and flexible academic space is growing (see www.nyu.edu/provost/academic.facilities/ and www.nyu.edu/construction for information on recent investments in facilities).

As noted above, NYU has nearly completed a 20% expansion of its arts and science faculty to enhance its research capacity. Research, and in particular scientific research, has always been space intensive. As NYU seeks to expand its research enterprise in “bench” sciences – mostly neural science, genomics, soft condensed matter, among other fields – requiring expanded laboratory, office and interactive space for investigators, there is a significant need for additional flexible space which can be adapted to evolving needs.

The growth of student enrollment and the increase in faculty have created the need for additional housing.

During NYU’s evolution from a regional institution that mainly serviced commuting students to a nationally and internationally-recognized research university with resident graduate and undergraduate students it never developed a comprehensive master space plan, but rather grew incrementally by maximizing development on sites available to NYU. Financial concerns made the University reluctant to take on a long range plan to accommodate growth. In recent years, however, due to the expansion of its educational and research commitments, the growth of its faculty and student body, as well as growing community concern over NYU’s development, the University has adopted a forward thinking strategy.

The space planning effort – *NYU Plans 2031* – provides a framework for NYU’s growth over the next twenty plus years. In spring 2007 the University brought on a design team. Working with the community and NYU, the team went through a 10 month process to develop a plan for NYU’s development and then engaged with the University community and the larger surrounding community in reviewing the plans and getting feedback.

The University established a 6 million square foot need over 25 years: 2.5 million square feet for academic purposes (laboratories, classrooms, departmental and faculty space; 500,000 square feet for student services; 2.3 million square feet for student housing to allow increased undergraduate and graduate residences and 700,000 square feet for faculty housing.

NYU cannot accommodate all of its 2031 space needs in the NYU Core, the area around Washington Square. Certain academic activities, student services and select undergraduate housing that cannot be located in the NYU Core but require close proximity to it will need to be located in the surrounding neighborhood. Those needs that do not fit into these two areas will be considered for more remote centers. There are three locations in New York City within

commutable distance for the NYU Core which are candidates for future remote centers. One is downtown Brooklyn, where Polytechnic as well as an NYU graduate dormitory are located; the Health Center corridor along First Avenue between East 24th Street and East 34th Street, where our Medical and Dental schools are located, and possibly Governor's Island, which has the potential to become a remote center with academic space and housing for students and faculty. NYU will pursue property opportunities as they become available in these locations. Additionally, faculty housing or graduate housing which does not need to be located near the NYU Core/Neighborhood can be located in sites that are within a 20 minute commute from Washington Square.

The University's priorities for the Core Area (roughly bounded by a circle with a radius of a quarter-mile centered on the south-east corner of Washington Square Park) and Neighborhood (roughly bounded by a circle with a radius of a half-mile) include: classrooms, freshmen and sophomore housing with proximity to classrooms and other anchors of student life. The daily academic schedule allows 10-15 minutes to travel from one class to the next; thus, classroom density and proximity are priorities. Laboratory and other research space where both students and faculty participate in the research and the teaching and learning, should be located close to classroom space and faculty offices.

A significant portion of the new space will have to be sited remotely, outside the Core and Neighborhood areas of Washington Square. Those more remote locations will house administrative offices, faculty and graduate housing, and possibly self contained academic programs for which proximity to the core campus is less critical.

Challenges

Several programs could benefit from more space for their academic endeavors, most notably research and rehearsal space. The challenge will be to meet those needs, given economic and space constraints, without sacrificing academic quality.

The way NYU expands will have a profound effect on the experience of students. As the University continues to grow and expand, it is important to maintain the sense of community and academic integration that is so essential to undergraduate development. While graduate and non-traditional students are accustomed to being at disparate locations, the typical undergraduate student should have the vast majority of classes near Washington Square, near dining halls and student programming space. Accordingly, NYU offers free transportation from its residence halls and the Medical Center to the Washington Square campus, and transportation for expansion will be an integral part of the transition as NYU grows.

Graduate Education

NYU also plans to address graduate education, which accounts for 40-50% of our student body, over the next five years. There are the following challenges:

- Establishing a university-wide curriculum and facilitating student access to courses in schools other than their own. NYU will explore setting up a team comprised of advisors

from each school that will specialize in working with students across the University; establishing University-wide seminars taught by University Professors and other star faculty, offered to all graduate students in their first and second years; and identifying a series of "mini-minors" similar to the undergraduate program of minors (i.e., a four-course concentration available to students entering from another school at NYU).

- Working with the Dean of the Libraries and her staff to identify ongoing graduate student needs and resources. This work has already begun in the Library thanks to an ad hoc task force created in 2007-2008. It involves creating dedicated graduate space in the library, creating workshops designed to meet graduate research needs, and expanding current databases.
- Expanding NYU's global education in ways that will meet graduate student needs. The research center proposed for NYU's campus in Abu Dhabi will involve teams of faculty and graduate students, and a similar if less elaborate model is being proposed for NYU in China.
- Continuing to explore higher levels of funding and the structure of fellowships for graduate students. The creation of a University-wide database for fellowships is the first step.
- Creating a website more responsive to graduate student issues and needs that would serve prospective and current graduate students as well as recent graduates.

CHAPTER FOUR: ENROLLMENT AND FINANCE TRENDS AND PROJECTIONS

At August 31, 2008, the consolidated balance sheet for New York University reported total assets of \$8.662 billion. The consolidated statement of activities reported total operating revenues of \$4.200 billion and total operating expenses were \$4.097 billion. After taking account of various non-operating activities, the increase in net assets for fiscal 2008 was \$107 million.

Summary of Audited Financial Statements

There are two major divisions to New York University reported in the fiscal 2008 audited financial statements: the “University”, which generally refers to the Washington Square Campus (WSQ Campus) and the Polytechnic Institute, and the Langone Medical Center.

Although this section will focus on the Washington Square Campus, a brief overview of the Medical Center’s financials is in order:

- The Medical Center consists of the School of Medicine, three hospitals, and an off-shore captive insurance corporation.³ The insurance company is a single-parent (NYU) company that provides medical malpractice insurance to the Tisch Hospital and to those attending physicians who elect to participate.
- Assets at August 31, 2008 were \$2.995 billion, and were included in New York University’s consolidated balance sheet. Total operating revenues were \$2.190 billion, while total operating expenses were \$2.178 billion. After taking account of various non-operating activities, the increase in net assets for fiscal 2008 was \$74 million.
- While the Board and executive leadership of New York University recognize that an important source of academic reputation and overall strength of NYU is its medical center, the assets and revenues of the Washington Square Campus are not used to subsidize the Langone Medical Center.
- Overhead costs and shared services are fully allocated between the Medical Center and the WSQ Campus. The net annual payment from the Medical Center to the WSQ Campus for overhead and shared services is approximately \$6.2 million.

Henceforth in this report, “the University” will refer to all parts of NYU other than the Langone Medical Center. The University’s financial statements for fiscal 2008 show:

- The assets of the University at August 31, 2008 were \$5.667 billion, and were included in New York University’s consolidated balance sheet. Total operating revenues were \$2.010 billion, while total operating expenses were \$1.919 billion. After taking account

³ In 1998, the University transferred assets that comprised its hospital operations to a newly formed non-profit corporation, “NYU Hospitals Center” (“NYUHC”), together with all related liabilities. NYUHC was a membership corporation, the sole member of which was Mount Sinai/NYU Medical Center Health System. In 2002, Mount Sinai and the NYU Hospitals Center agreed to de-merge. Effective October 23, 2007, all necessary regulatory approvals were granted and New York University was substituted for the joint Mt. Sinai/NYU Hospitals corporation as the sole member of NYU Hospital Center. By resolution of the NYU Board of Trustees, NYU appointed members of the NYU Hospitals Center Board and also named the same individuals as members of a newly created NYU School of Medicine Advisory Board.

of various non-operating activities, the increase in net assets for fiscal 2008 was \$33 million.

- Effective July 1, 2008, Polytechnic University became affiliated with NYU under the name Polytechnic Institute of New York University. Polytechnic's balance sheet and operating statements for the fiscal year ended June 30, 2008 were consolidated with the University's statements at August 31, 2008⁴. Poly's assets totaled \$277 million; its operating revenues for fiscal 2008 were \$94.6 million and its operating expenses were \$95.8 million. After taking account of various non-operating activities, the decrease in net assets for fiscal 2008 was \$26 million.

Copies of the audited financial statements for fiscal years 2006, 2007 and 2008 accompany this report in Appendix N. Management letters for fiscal years 2006, 2007 and 2008 are in Appendix O.

Financial Planning

The University utilizes financial plans for its operating budget and capital budget that extend nine years beyond the current year. The University's administration presents to the Finance Committee of the Board of Trustees and to the full Board in June of each year the operating and capital budgets that are fully integrated with the financial plans. The presentation of the fiscal 2009 University budget and financial plan are in Appendix P.

Pages 28 and 29 are the main element of the annual budget presentation. Some explanatory notes:

- Tuition revenues increase beyond the base year due to planned rate changes (inflationary increases) and enrollment changes that are reviewed with the Finance Committee early in the year.
- Other key inflators, especially for room and board charges and salaries, are also reviewed with the Board at meetings prior to June.
- Operating performance is reported on line 34 - Excess of operating revenue over expenses. This amount is available for transfer to the capital fund.
- The capital fund is summarized on lines 35 – 39. Excesses or deficiencies after capital spending in any particular year are largely due to timing differences between capital revenue and capital expense. In any particular year where a deficiency occurs, the University's working capital funds the deficiency.⁵
- Detail for the capital fund is presented on pages 30 – 34.

Financial Outlook

On May 21, 2008, Moody's Investors Service rated NYU's new \$632 debt obligations Aa3, with an outlook of "stable." On June 5, 2008, Standard & Poor's assigned its "AA-" credit rating to NYU, with an outlook of "stable." (The Moody's and S&P press announcements are shown in

⁴ The Polytechnic Institute is now in the process of converting to a September 1 – August 31 fiscal year.

⁵ A delay in commencement of a major project will result in a substantially smaller deficiency than the \$311 million shown on line 39 in the "FY2009 Proposed Budget" column of Appendix P.

Appendix Q.) Moody's affirmed their "stable" outlook in an April 23, 2009 research rating update.

NYU has taken steps to deal effectively with the challenges posed by the country's fiscal crisis, and to maintain fiscal stability while also maintaining high academic standards in student admissions and continuing to hire highly qualified faculty.

Achieving and Maintaining Enrollment Targets

- NYU's actual enrollment data for the fall semester in each of the past four years and projections for the next three years are shown in Appendix R. Actual enrollment has consistently exceeded plan.
- The preliminary financial plan for fiscal 2010 projects the total cost of attendance for entering freshmen will rise by only 3.4% above fiscal 2009 costs. At the same time, the budget for undergraduate financial aid from the general operating budget will increase by at least 7.8%. The University believes that both of these rates of increase, combined with vigorous outreach to help ensure that admitted students will enroll in the fall of 2010, will enable NYU to meet its enrollment targets.
- The University has aggressively worked to maintain the liquidity of loan pools for its U.S. and international undergraduate and graduate students, and has also made parents and students aware of the availability of those loans.
- To retain enrolled students the University has substantially enlarged the pool of financial aid available for responding to student appeals.

Endowment

- The total return for the period from June 30 through December 31, 2008, was -19.6% and for the first four months of 2009 was -0.24%. Over the past fifteen months, actions taken within the portfolio have increased the Fund's liquidity ("cash") pool by about 25 percentage points in terms of portfolio weight. The Fund has ample reserves to support spending needs as well as its internal investment requirements.
- Although the expected loss of endowment revenue compared with plan in fiscal 2010 is \$33.2 million, the relative impact of the market decline on NYU is less than that experienced by many other universities, both because of a lower relative loss of value and because income from endowment constitutes a much lower portion of total University revenues.

Contingency Planning

- The University's general operating budget begins each year with an \$8 million management-designated contingency for general purposes.
- Two years ago, well before the nation's fiscal crisis emerged, the Finance Committee of the Board created a Strategic Contingency Reserve Fund for use in fiscal emergencies. The quasi-endowment fund, whose investment earnings are fully reinvested each year, receives annual contributions from the operating budget equal to 1% of tuition for all degree-granting programs, or approximately \$14 million. At the

end of fiscal 2009, the fund is projected to have a balance of \$29 million, and within four years is projected to grow to \$150 million. None of the current budget planning for fiscal 2010 or future years relies on the use of the Strategic Contingency Reserve Fund.

- The University is well-prepared for the loss in fiscal 2010 and future years of investment income, reduction in tuition and other student charges due to rates of increase that will be lower than plan and expected shortfalls in annual fund and other expendable gifts.
- In the spring of 2008 the executive vice president initiated a re-engineering program (see www.nyu.edu/task_forces/) designed to reduce the cost of University administration and auxiliary services and to re-direct the savings to the provost for investment in high priority academic initiatives. The program has surpassed its \$25 million goal by achieving \$38 million in recurring, base-line, savings. The provost will delay fully committing the funds until after fall 2009 enrollments have been realized, when the University knows what its actual revenues for the year will be. Administrative units will be required to further reduce their fiscal 2010 controllable expense base budgets by 4%, which, combined with savings from interdepartmental restructuring activities and outsourcing efforts, will achieve a total additional savings of 6.5%. The objective is to secure a total savings of \$53million, more than double the original \$25 million goal.
- In the fall of 2008, every school prepared a contingency plan that showed how it would cope with revenue reductions of 4%, 8% or 12% in fiscal 2010. The University has now asked schools to produce actual savings and/or new net revenues equal to 3.4% of their net revenue budgets for fiscal 2010. The requirement grows to 6.4% in fiscal 2013. Faculty hiring will continue, albeit at a slower pace.
- The ability of schools at NYU to continue to recruit top-flight faculty while other universities have imposed hiring freezes may provide a competitive advantage to NYU. The University demonstrated in a financial “stress test” that it presented to the Finance Committee of the Board of Trustees that it has the ability to absorb substantial additional losses of revenue without curtailing faculty hiring.

CHAPTER FIVE: ASSESSMENT PROCESSES

Since the installation of its new president in 2002, NYU has made significant investments in faculty, financial aid and programs with the aim of improving its academic programs and student life. A necessary counterpart to such investments has been the University's heightened scrutiny of its assessment activities in order to gauge the success of these initiatives. To this end, NYU has enhanced its assessment activities and infrastructure, and the schools have developed revised assessment plans to be implemented over the next five years. This overview of assessment at NYU is representative rather than exhaustive, and includes discussions of NYU's assessment infrastructure, institutional assessment and assessment of student learning. Appendices include highlights of assessment findings as well as assessment reports for NYU schools and a sample of academic departments.

Assessment Infrastructure

Office of Institutional Research and Program Evaluation and Assistant Vice Provost for Assessment

The creation of the Office of Institutional Research and Program Evaluation (OIRPE) in 2002 resulted in the centralization of existing University institutional research functions (surveying, external reporting, data management and enrollment management). In addition, the University's institutional research capacity was expanded to include needs assessment, program evaluation and other activities, described below. Finally, the University has recognized the importance of having a dedicated full-time professional in an academic assessment capacity, and the former OIRPE Manager of Program Evaluation has been named Assistant Vice Provost for Assessment. An external review is being conducted in order to determine the most efficient and productive structure for the institutional research and academic assessment functions.

The mission of the Office of Institutional Research and Program Evaluation is to manage data and provide analyses to support University planning, policy development and decision making. The Office also conducts ongoing qualitative and quantitative studies to gain a greater understanding of the progress of University programs. The IR team works with academic and administrative units throughout the University to develop research agendas, to obtain information and interpret results.

OIPRE is staffed with a Director of Institutional Research, two Senior Analysts and three Junior Analysts. The OIRPE conducts yearly self-evaluations via a survey of NYU constituencies who have used its services. NYU clients are queried with regard to their satisfaction with the support they received, presentation and accuracy of data, and timeliness and usefulness of information. Satisfaction with the various aspects of OIRPE has remained high since the initial survey in 2004.

Office of Research and Assessment - Division of Student Affairs (ORASA)

From 2004-2006, the OIRPE Manager of Program Evaluation conducted large-scale, comprehensive evaluations of the Division of Student Affairs (DSA) Residential Education and Wellness Programs. This work highlighted the importance for DSA to enhance its assessment

activities through the establishment of an Office of Research and Assessment. The creation of a full-time position of Director of Research and Assessment in the fall of 2006 introduced dedicated assessment expertise into the Division. It does this in several ways.

Consultation, education and training. The office provides a range of consultation services to DSA's 14 units. Most commonly, the office provides input on issues related to assessing the work of the unit, clarification of unit goals, and interpretation of assessment results. Additionally, the office provides development opportunities for unit staff in research and assessment methods (e.g., conducting focus groups, survey design).

Project development and management. ORASA utilizes a three-tiered model for organizing the DSA assessment activities and the development of program implementation. These tiers include large-scale assessment projects, four-year external reviews of units, and annual unit reviews (see Appendix S for sample assessment activities).

- Large scale projects are defined by their scope and utility for the entire University community. Examples include a survey investigating students' perspectives on environmental sustainability issues and commuter student surveys.
- Four-year external reviews involve the creation of a detailed program or unit organizational profile in preparation for an on-site evaluative visit of a panel of experts external to the University. The external reviews are conducted yearly with one to three units participating. Reviews of the Student Resource Center, the Student Health Center and the Department of Residential Education were completed in 2008 and the Judicial Affairs and Compliance review will be completed in July 2009. External reviews of the Office of Student Activities, Athletics, Recreation, and Intramurals, and the Wasserman Career Development Center will be completed in 2010.
- DSA units are encouraged to develop structured methods to measure the extent to which their goals are being fulfilled. Additionally, ORASA provides support for program improvement and development by interpreting and applying findings. These quality improvement (QI) activities produce data to inform the coming year's strategies for program improvement and development. Annual reports are shared with various constituencies, including the University Leadership Team, in order to promote additional QI initiatives to encourage communication regarding student experiences and development.

Data analysis. ORASA provides data preparation and analysis services to the other DSA units. In addition to professional expertise in student affairs work, the ORASA director possesses training in quantitative and qualitative research methods and in the use of several analytic tools (e.g., SPSS, SUDAAN, atlas.ti). The ORASA director submits written reports and meets with unit directors and staff to provide further clarification of the data she provides.

Collaboration and outreach. ORASA facilitates collaboration and project development among University constituencies that are interested in conducting research and assessment activities related to student affairs issues. Current projects include a federal grant application which will bring together faculty and staff in the assessment of student interventions around alcohol and other drug use.

School-Based Assessment

Although NYU schools rely on OIRPE and ORASA as centralized resources for assessment, they conduct assessment independently to inform their planning, policy-making and decision-making. Each school determines which assessment strategies are appropriate for it. Strategies include periodic and continuous program reviews; curriculum and course review committees; student learning assessment; school- and department-specific accreditation (which increasingly require student learning outcomes assessment plans; see www.nyu.edu/accreditation/ for list of professionally accredited programs); student-completed course evaluations; surveys of students, faculty and advisors; exit interviews; and focus groups. Over the past year, schools have re-examined and refined their assessment plans in collaboration with the Assistant Vice Provost for Assessment. In particular, the professional schools have responded to the increased assessment requirements of their respective specialized accrediting agencies, while Arts and Science has made substantial progress in expanding and refining its assessment activities. Specific assessment activities conducted by each school are presented in Appendix T.

For schools which want assistance in improving instruction, a valuable resource is the Center for Teaching Excellence (CTE), which is coordinated through the Office of Faculty Resources within the Office of the Provost and offers its services to all academic units. CTE provides faculty with the assistance of experienced educational consultants who attend classes, videotape lectures, and/or convene student focus groups to help improve instruction.

In an effort to improve assessment methods, each school designates a liaison to coordinate with the Assistant Vice Provost for Assessment in the review and development of school and departmental assessment plans. In addition, a University-wide Assessment Committee will begin meeting monthly starting in fall 2009. This committee will provide a forum for cross-school sharing of best practices in integrating assessment and academic planning as well as strategies for overcoming assessment challenges. Finally, schools will be asked to submit annual assessment reports to the Provost which describe changes that they have made to academic programs (curriculum, instruction, educational supports, etc.) as well as any changes that they have made to their assessment methods.⁶

Institutional Assessment

NYU uses several methods to gather data to inform institutional planning, policy development and decision-making, including surveys, benchmarking, needs assessment, program evaluation, data management and dissemination, and quantitative and qualitative analyses.

Survey Cycle

⁶ In consultation with the International Network of Quality Assurance Agencies in Higher Education, NYU is developing a 12 credit certificate program for quality assurance professionals through a collaboration between the Steinhardt School of Culture, Education and Human Development and the School of Continuing and Professional Studies, which will benefit the University's assessment efforts by creating synergies among those at NYU involved in this field.

OIRPE has revised its survey cycle in order to meet the needs of the schools and the University as a whole. One major modification, based on the survey results, was to eliminate the administration of stand-alone freshman and senior surveys, as the information gathered was not useful, the peer institutions available for comparison were not appropriate, and receipt of data from external agencies was not timely. The major survey instrument that NYU now uses for University-wide self-report undergraduate assessment is a homegrown Student Satisfaction Survey (described below). OIRPE also administers the Admitted Student Questionnaire to inform planning for undergraduate admissions. Furthermore, OIRPE is considering surveys of alumni or graduate students to expand its data collection. The Assistant Vice Provost for Assessment and school representatives work with OIRPE to ensure that survey data collection, analysis and reporting meet the needs and priorities of the University in a timely fashion.

Student Satisfaction Survey. The Student Satisfaction Survey, administered to undergraduates, is designed to obtain information regarding their NYU academic and social experiences, instruction, advisement, finances, and campus climate. From 1994 to 2004, only freshmen and juniors were surveyed; beginning in 2006, sophomores and seniors were invited to participate. As part of the Student Satisfaction Survey administration, seniors are queried regarding their post-graduation plans as well as their perception of enhancement of their abilities in a variety of areas. These survey items for seniors are based on the Higher Education Data Sharing Consortium (HEDS) Senior Survey and can thus be compared to other Universities which administer the Senior Survey.

In 2007, OIPRE conducted a review and revision of its Student Satisfaction Survey with a committee that included representatives from NYU schools, Student Affairs, Undergraduate Admissions and the Office of the Provost. In addition, a review of Student Satisfaction Surveys from other institutions was conducted, and results were shared with committee members to inform the revision process.

Before each survey is administered, NYU school and Student Affairs representatives are invited to contribute five survey items which are targeted to the measurement of their goals. OIRPE prepares individual reports for each school and then meets with school faculty and administrators to discuss and interpret results. As a result of these meetings, schools may request additional analyses which are prepared and submitted by OIRPE.

Items from the NYU Student Satisfaction Survey are used to assess process outcomes for programs, resources and activities. Highlights of results are presented in Appendix U and summarized below:

- In 2004, 2006 and 2008, roughly 90 percent of undergraduates were satisfied with the quality of instruction in their courses as well as with the quality of their college educational experience.
- In 2004, 2006 and 2008, over 80 percent of undergraduates felt that the development of academic, scholarly and intellectual qualities was encouraged by the NYU community.
- In 2004, 2006 and 2008, over three-quarters of undergraduates were satisfied overall with their NYU experience.

- In 2004, 2006 and 2008, over 80 percent of undergraduates were satisfied with on-campus educational events.
- From 2004 to 2008, undergraduates' satisfaction with on-campus social events increased from 65 to 78 percent.
- The percentage of undergraduates who felt that there was a good mix of clubs, programs and events offered at NYU increased from 59 percent in 2004 to 69 percent in 2008.
- From 2004 to 2008, undergraduate satisfaction with advising decreased from 83 to 73 percent.

Benchmarking. OIRPE has a comprehensive database which contains comparative information regarding students, faculty, finances, academic outputs and productivity at NYU and other American research universities. This set of indicators is used to demonstrate how NYU is progressing over time as well as how NYU compares to other Association of American Universities private universities as well as all research universities. Indicators include data regarding student characteristics; research and intellectual activity; finances; instruction; and university rankings (see Appendix V for benchmarking results).

Planning and Assessment: Educational Offerings and Support Services

NYU conducts program-and project-specific needs assessments and evaluations which are used for planning and improvement of services. Below are several examples of the projects completed since the 2004 Middle States self-study.

Planning and Assessment for General Education Course Offerings - Morse Academic Plan. NYU's general education program — the Morse Academic Plan (MAP) – was piloted in 1993-1995 and has since been the subject of both internal and external reviews. In addition, feedback on the program has been provided via town halls, student focus groups, faculty committees as well as student-completed course evaluations. In 2007, OIRPE's Manager of Program Evaluation began working with the College of Arts and Sciences (CAS) and its MAP Office to conduct interviews of MAP administrators/faculty (providers of MAP courses) and school administrators (consumers of MAP courses) in order to examine the alignment of goals and priorities for the two groups over a ten year period as well as to elicit suggestions for improvement. In addition, OIRPE conducted a review of general education requirements at peer and aspirational peer institutions which were compared to NYU's general education requirements. Results revealed that MAP course-completion rates have changed over time and have varied depending on course-type. Analyses were presented to senior leadership to inform their decision-making regarding changes to the MAP. For example, data indicated that the general education MAP course, Conversations of the West, was completed by nearly 95 percent of CAS graduates who entered as freshman. As such, this course was chosen as the initial target for assessment review and revision (see page 42 below).

Assessment of Opportunity Programs. The NYU Opportunity Programs (OP), funded by the New York State Education Department, offer financial and academic support to low income and first generation students from New York State in an effort to ease their transition from high school to college and ensure a successful college academic experience. OP administration requested that OIRPE conduct an evaluation of its program in 2003, and again by external

consultants in 2005 and 2007. These studies examined the structure and services of the Opportunity Programs as well as students' academic performance. These evaluations have strengthened program administration and enhanced coordination with other NYU units, including Admissions, Financial Aid, Alumni Relations, Human Resources, Budget and Finance, and Government Relations. Highlights of program improvements initiated as a result of evaluation findings are presented below.

- Partnerships with other NYU units were formed and/or reinforced, taking advantage of resources that are already available at NYU (see examples below).
- The OP oversaw the creation of the Prose Writing course to target the needs of this group. Because an administrative unit cannot award course credit, the OP transferred responsibility for the 2-semester writing sequence to the NYU Liberal Studies Program (LSP) to ensure, under the guidance of the Dean of LSP, that this sequence meets the standards of instruction and academic rigor that one would expect in a credit-bearing course.
- The procedures for hiring, developing and assigning responsibilities to OP staff were carefully examined via a staffing audit performed by the NYU Division of Human Resources. As a result, staff roles were clarified and, as needed, responsibilities were refined and redistributed with the goal of improving efficiency and quality of services.
- An Associate Director was hired to oversee the day-to-day operations of the program and provide guidance to the various units in the program, e.g. counseling, academic workshops, special projects, and budget.
- During admissions periods, OP staff meets regularly with representatives from NYU Admissions and Financial Aid to facilitate the recruiting and admissions process for OP students.
- OP partnered with the NYU Office of Government Relations to build upon and strengthen OP's existing educational opportunity for Program students to lobby State and City government in support of Opportunity Programs. The Office of Government Relations was able to offer its expertise to provide lobbying training to OP students in an effort to encourage them to become politically active and to do so effectively.
- Prior to the evaluation studies, the OP was only included in the budget process of a single school – The Steinhardt School of Culture, Communication and Human Development. Based on study recommendations, the OP became part of the all-University budget process, thus representing a more accurate reflection of the cross-University affiliations of OP students, courses and services.
- The OP is using technology to increase the efficiency of systems and the delivery of support services (e.g. the recruiting process). In addition, the OP database is being refined to more effectively track and store eligibility documents (required by New York State for reporting purposes) and, in coordination with the Office of Alumni Relations, to track alumni post-graduation activities (e.g., admission to graduate school, employment, etc.).
- A Coordinating Council was formed to serve in an advisory capacity for the OP and includes members from across the University.

Planning and Assessment for Intersession Course Offerings. In an attempt to better serve students and take advantage of underutilized University resources, the Provost's and Executive

Vice-President's Offices requested the assistance of OIRPE to conduct a needs assessment for Intersession courses in the winter and summer. The OIRPE Manager of Program Evaluation created an online survey which assessed the needs of undergraduate, graduate and doctoral students regarding the types of courses that would be of interest to them. This information was used in the design and implementation of the initial 2008 Winter Intensive Course Session.

Subsequently, OIRPE conducted an evaluation of the initial Winter Intensive Course session which indicated that students were concerned that the session might leave them lacking in energy to begin the spring semester. But 80 percent of students who completed Winter Intensives indicated that this was not the case. Furthermore, over 90 percent of students indicated that their social, personal and intellectual experiences during Winter Session were positive.

Results of the evaluation study contributed to further planning as well as increased support for the initiative. Highlights of findings and the use of results are presented below:

- Survey results indicated that students were enrolling in courses that advanced them toward graduation (i.e., required courses) and/or added value to their educational experience. Courses that could be classified as “interest” courses were not as popular. Future intensive course offerings will try to meet student needs, for example by offering courses that can advance a minor.
- Survey results revealed that experiential learning courses are a popular and effective model for Winter Intensive courses; thus the University plans to expand these offerings.
- Survey results were used by deans, faculty and program directors in the schools in a variety of ways:
 - To identify appropriate faculty for this intensive experience and to select courses that are pedagogically suited to an intensive format;
 - To design course offerings within the school's area of expertise that were not already covered by other schools at NYU;
 - To continue courses that were well-received and cancel or restructure classes that did not perform as well;
 - To encourage faculty to teach Winter Session courses;
 - To build on the success of courses offered during the Winter Session by offering core and introductory level required courses in an intensive format. One school has started experimenting with more alternative delivery formats to speed the progress of students towards graduation.
 - To plan an expansion of Winter Session offerings in academic year 2009-2010.

Data Management and Dissemination

OIRPE collects and analyzes statistical data to comply with state and federal government reporting requirements and for publicly released University profiles (e.g., U.S. News and World Report), and oversees the consistency, accuracy and dissemination of information for external and internal reporting requests. As part of this effort, in 2004, OIRPE founded and chaired the Common Data Committee. This committee brings together key data managers, users and analysts from various university units (i.e. Offices of the Registrar, Admissions, Student Information Systems, Academic Appointments and ITS) to (1) create a forum for discussing and resolving

data issues; (2) ensure that there is a common understanding regarding expectations for external reporting duties; and (3) ensure that the queries and definitions that are used for external reporting are accurate and up to date. Furthermore, OIRPE has created templates, timelines and review processes for the data collected from NYU schools and units.

OIRPE has improved its dissemination of data to the University community via the launching of an IRPE website (www.nyu.edu/ir). The website includes the University Fact Book – a series of tables presenting publicly available data on demographics regarding enrollment, faculty, employees, and degrees conferred as well as the Common Data Set. Moreover, OIRPE developed an intranet component of its website to provide easy access to information (e.g., retention reports, survey reports, evaluation reports) to administrators in schools and offices throughout the University.

National Research Council Study of Doctoral Programs

OIRPE and school representatives worked together to coordinate NYU's participation in the National Research Council's (NRC) study of doctoral programs. This study is considered to be the "gold standard" by which doctoral programs are evaluated and ranked. It is particularly important because it is the main source by which prospective doctoral students and professors assess the quality of doctoral programs with which they would like to be affiliated.

Data from the NRC study will be an important basis for comparative study of doctoral programs across the nation and will be used by NYU to clarify the strengths and weaknesses of its programs. Even if less current than desirable, it will be a useful supplement to the metrics that the Graduate School of Arts and Science already tracks annually to evaluate its graduate programs.

Assessment of Student Learning

Each school designates a liaison to coordinate with the Assistant Vice Provost for Assessment in the development of departmental assessment plans, thus integrating assessment expertise with the academic priorities and discipline-specific expertise of administrators and faculty. This section presents a review of assessment activities and examples of student learning assessments that have occurred since 2004.

Review and Revision of Departmental Assessment Plans

In 2004, departments were required to submit their Academic Outcomes Assessment Plans for the MSA self-study. In 2007-2008, the OIRPE Manager of Program Evaluation conducted a Departmental Student Learning Assessment Survey in order to gather updated information on student learning assessment in the schools. Departments were queried on (1) their learning goals; (2) interim performance measures; (3) final outcome measures; (4) their use of results from the assessment to improve programs; and (5) their assessment results and procedures. Results from the survey (see Appendix W) were departure points for conversations between the Assistant Vice Provost for Assessment and departmental liaisons. Thus far, revised assessment plans have been completed for nine departments (see Appendix X). Completion of refined assessment plans for

all departments is projected for 2012. However, given the early successes of this undertaking, it is anticipated that assessment plan development will be accelerated. Using this approach, NYU expects to embed a culture of assessment more deeply within the schools and academic departments.

NYU will continue to evaluate its departmental assessment plans to ensure that they are consistent with changes in curriculum and instruction. The general strategy is to:

- Refine goals to be achieved by students
- Outline a sequence of core courses for the major
- List the goals for each core course
- Link assignments to goals
- Refine explicit grading criteria for the final project/paper/experience and/or each of the smaller assignments
- Refine analysis and review procedures for assessment results and assessment activities

University-Wide Student Learning

Student learning goals are developed, and direct measures of student learning are implemented, at the departmental and program levels. However, to address general goals that may cut across programs, departments, and schools, the OIPRE uses data from selected items from the Higher Education Data Sharing Consortium (HEDS) Senior Survey as well as items from an NYU-developed Student Satisfaction Survey. In addition, data reflecting student performance on national tests (GMAT, MCAT, and LSAT) are also collected and compared to all individuals who have taken these exams. The data from these sources reflect student development in the following general areas:

- Oral and written communication
- Science, technology and quantitative methods
- Critical, analytical, logical and creative thinking
- In-depth knowledge of a subject
- Reading and speaking a foreign language
- History, social problems, moral/ethical issues and diversity
- Application of knowledge in a research/experiential learning setting
- Leadership
- Preparation for further education and employment

Appendix U presents detailed findings for these data sources. Highlights of findings are presented below.⁷

- For each year from 2003-2007, the average performance of NYU students on the Law School Admissions Test (LSAT) has been superior to the average performance of all individuals taking this exam.
- For each year from 2002-2007, the average performance of NYU students on the total

⁷ For HEDS Senior Survey data, differences of roughly 10 percentage points between NYU and peer institutions are considered worthy of note.

score of the Medical College Admissions Test (MCAT) has been superior to the average performance of all individuals taking this exam.

- For each year from 2003-2007, the average performance of NYU students on the Graduate Management Admissions Test (GMAT) has been superior to the average performance of all individuals taking this exam.
- In 2008, 90 percent of seniors indicated that their studies and experiences at NYU had prepared them for graduate school, while 85 percent felt that their studies and experiences at NYU had prepared them for future employment.
- In 2008, over three-quarters of undergraduates indicated that their intellectual and cultural development had been enhanced by access to New York City resources.
- In 2008, over two-thirds of undergraduates reported that being at NYU had helped them to develop a greater appreciation of the perspectives of students whose racial, ethnic, and/or cultural backgrounds differed from their own.
- In 2008, seniors' self-reported enhancement of abilities was roughly comparable for NYU and peer institutions⁸ (i.e., less than 10 percentage point difference), though there were a few exceptions (presented below).
- In 2008, NYU seniors reported a greater enhancement of abilities in the following areas compared to peers:
 - Reading or speaking a foreign language (14 percentage point difference)
 - Appreciation of art (13 percentage point difference)
 - Placing problems in historical perspective (11 percentage point difference)
 - Relating to people of different races, nations or religions (10 percentage point difference.)
- In 2008, 70 percent of seniors at peer institutions reported that their ability to use technology had been moderately or greatly enhanced compared to 61 percent of NYU seniors.

Use of Assessment Results for Improvement

Current assessments have yielded results that have informed planning, policy and decision-making with regard to educational offerings, general education and student learning. A few examples that are focused on student learning are briefly presented below. Use of assessment results for improvement in individual departments are presented in Appendix W.

General Education - Morse Academic Plan. In fall 2008, a refined assessment plan was developed for the MAP course, Conversations of the West. In spring 2009, the assessment plan was piloted in four (of nine) sections of Conversations of the West (440 students total). Professors who taught these sections worked together to develop common learning objectives and a common assessment tool with four criteria (critical reasoning, argumentative structure, use of evidence, and grammar/clarity of expression) to assess students' performance on their final papers (see Appendix Y). Rubric development was informed by a review of relevant literature and examples drawn from other institutions. In addition to being used as an assessment tool, rubric criteria were presented to students as a means to guide them toward successful achievement of learning outcomes.

⁸ Peers included in these analyses are universities who administered the HEDS Senior Survey, but they are not necessarily considered peers as defined by NYU. Lists of these institutions are in Appendix U.

All final papers will be assessed by means of the rubric. The goal is for 95 percent of the students to attain levels which indicate proficiency (level 3) or superior performance (level 4) in each area of the rubric. Assessment outcomes will be presented to the faculty steering committee in order to determine if this target is realistic and whether changes to instructional methods, course assignments, or instructional supports are warranted in order to improve student learning outcomes.

The implementation of this assessment is being closely monitored. A focus group with the graduate student preceptors who taught the pilot sections of this course was conducted and the course evaluation form was used to obtain student feedback on their experiences of the assessment activities (for example, use of the rubric). Results are currently being compiled and will assist faculty and administrators in improving the assessment process and instructional methods. It will serve to solidify the Conversations of the West assessment plan, which will be implemented in fall 2009 in all sections of the course.

In summer 2009, MAP faculty will prepare for the implementation of a similar revised assessment plan in another key general education course, World Cultures. This assessment plan will be piloted in several sections of this course in fall 2009, and full implementation in all sections will occur in spring 2010. CAS will assess the success of this strategy and, if appropriate, will continue this process until all components of the MAP have been addressed. Or, if needed, this strategy will be revised in order to achieve more effective results.

Teacher Education Accreditation Council Self-Inquiry: Undergraduate Teacher Education Program. In 2005-2006, the Steinhardt School of Culture, Education and Human Development underwent a self-inquiry process in order to obtain accreditation from the Teacher Education Accreditation Council (TEAC) (see Appendix Z). Findings from analyses of these data have already informed decisions to modify and upgrade the undergraduate teacher education programs.

First, a common system for assessing the developing practice of undergraduate student teachers has been instituted for the early childhood and childhood education programs and is being expanded to include most of the secondary education programs. The results of these assessments are used to develop student-teacher profiles that inform their ongoing training.

Second, the analysis and synthesis of data from the assessment of student teaching has informed ways to address the areas of relative need in the pedagogical development of undergraduate teacher educators. Specifically, data revealed a need for more training in classroom management, awareness of the behavior of all classroom pupils, and the quality of teacher-pupil and pupil-to-pupil classroom discussion patterns.

Third, TEAC findings indicated a need to strengthen the content knowledge of teacher-education students. To address this need, the Steinhardt School has formed a Teacher Education Working Group and Committee comprised of faculty from Steinhardt and the College of Arts and Sciences, where teacher education students take most of their liberal arts courses.

Fourth, TEAC data pointed to a need to better connect theory and practice in the undergraduate teacher education programs. The curricula of these courses and the mandated Social Responsibilities course have been modified to focus on the practical realities of managing inner-city classrooms, where TEAC research has found most Steinhardt graduates teach.

Finally, TEAC self-inquiry has highlighted the importance of continuing support for graduates during their first years of teaching. In response, Steinhardt has established an Early Career Support Program that provides a support network for graduates during their induction into teaching.

Improving Field Learning and Licensure Exam Rates in Social Work. Student learning outcome activities at NYU's Silver School of Social Work (SSSW) are closely tied to the accreditation process conducted every ten years by the Council for Social Work Education. Educational goals represent the key aspects of the School's understanding of the purposes of social work education.

SSSW relies on a number of assessment tools to gauge student attainment of goals, two of which are field learning evaluations and licensure exams. Findings from these assessments and resultant areas which are the focus of educational enhancements are presented below (see Appendix T for fuller report).

Comprehensive field learning evaluations are carried out in a mid-year and final evaluation. Students are assessed by a field instructor at their placement agencies in four areas.

- Working within agency and community
- Knowledge and skill in direct service to individuals, families and groups
- Professional role and ethics
- Use of field instruction

In addition, Advanced Standing (second year) students are assessed more thoroughly in areas such as engagement, contracting, and assessment. These data are used to suggest areas where curriculum change might be necessary.

Final field evaluations of the Advanced Standing students from the 2007 - 2008 academic directed attention to three areas:

- Assessment skills, specifically the development of a diagnostic impression utilizing the DSM IV
- Intervention skills, specifically distinguishing between manifest and latent content and awareness of underlying meanings, recognizing and exploring resistance, and understanding, recognizing, and appropriately addressing clients' defenses
- Skills specific to family work, specifically identifying family members' differences in problem statements and perceptions, identifying patterns of family interaction and alliances, and working toward consensus

The passing rate on licensure examinations for the most recent MSW class was 78%. In order to boost this rate the following steps have been taken:

- In 2008-2009, a course module on licensing was added to the Integrative Classes.
- A 3-hour workshop on the licensing exam has been offered since the spring 2008 semester. It focuses on specific content areas covered by the exam questions, as well as test-taking techniques.
- The MSW program now directs students to informational websites concerning licensing and highlighting exam dates.

Individualized Study: Advisor Contribution to Student Learning. The ability of students to develop their own lines of inquiry is a learning goal at the Gallatin School of Individualized Study. The key to this individualized education is effective advising. Curricula are not pre-set, primary advisors are housed in multiple schools and departments, and each student follows a unique educational path. While this flexibility is the strength of Gallatin's individualized approach, it also presents challenges, particularly in advising. In 2005, based on prior experiences at similar schools, Gallatin administrators initiated a program to improve their advising system. It expanded its advising system by adding an Office of Advising staffed with class advisors.

Primary advisors work with students on developing their interests, helping them to grow in personal, intellectual, and professional ways, and guiding them in the construction of an educational program that has depth, breadth, and coherence and is consistent with the student's career and educational goals. The primary advisor also supervises and evaluates independent study and internship projects. Class advisors provide information about policies and procedures, track students' degree progress, and offer other supplementary advising supports. Class advisors serve as "anchors" for each cohort of entering students in order to facilitate the development of a sense of community among Gallatin students, an important function given the lack of unifying, educational experiences inherent in individualized study.

Since implementation of the class advisor system, there has been an increase in student demand for its services. As a result, Gallatin hired two additional class advisors who focus on co-curricular opportunities and post-graduation preparation (e.g., study abroad, fellowships and scholarships, professional school applications). Results from the 2008 Student Satisfaction Survey indicate the Gallatin students consult more frequently with their advisors (in-person and via email/telephone) than do students at other NYU schools and nearly two-thirds report positive experiences with their advisor (see Appendix T for complete Gallatin Assessment Report).

CHAPTER SIX: LINKED INSTITUTIONAL PLANNING AND BUDGETING PROCESS

Guiding Principles

At their foundation, NYU's processes are, like the organization, complex, dynamic, and participatory. NYU has consistently sought to engage a broad range of constituencies and stakeholders, both internal and external to the university, in these processes. Two new broad-reaching planning exercises were launched in 2007 with broad participation: *NYU Framework 2031* and *NYU Plans 2031*, discussed more fully in chapter three. The final result was sets of principles and criteria to guide NYU's continued growth and development, both academically and physically, for the decades to come. The guiding principles and criteria for creating and investing in strategic initiatives, which inform all of NYU's planning processes, include:

- Focusing on continuing to enhance NYU's existing strengths;
- Advancing the University's academic mission and furthering its scholarly reputation; and
- Leveraging NYU's global network and unique "locational" and "attitudinal" endowments and its entrepreneurial spirit.

Integrated Annual Planning Processes

At the center of NYU's annual institutional planning processes is its consolidated long-term financial plan. The plan, together with the schools' individual financial, academic, and enrollment plans, is produced annually, beginning in the summer of the prior academic year and culminating with Board approval of the subsequent fiscal year's budget and the updated ten-year operating and capital financial plans. These processes are consultative—within schools, among schools, and among departments and divisions of the University administration—and are opportunities for entrepreneurialism and innovation.

Academic Planning

Each summer, the deans of each of the University's schools, together with their faculties and administrative teams, produce updated five-year academic plans. Each plan presents an overview of the school and its mission, together with an analysis of the school's strengths, opportunities, threats, and weaknesses. The plan outlines one- to five-year plans for academic, curricular, and research initiatives that are either proposed or underway; faculty staffing requirements, including a specific recruitment and hiring plan for the searches to be conducted in the coming academic year; administrative staffing plans; enrollment planning challenges and goals; financial aid strategies; and facilities and space planning challenges and proposals. At the beginning of September, the plans are submitted, together with proposals for incremental operating and capital funding, to the provost for review and approval.

The provost and the Provost's Advisory Group, consisting of his senior staff and including the "Provost Liaisons" who serve as interlocutors with the deans of the schools, conduct detailed reviews of the plans. The provost then conducts meetings with each of the deans to discuss the plan, and to provide direction to each dean for the coming financial planning and budget cycle. The vice president for budget is a participant in these meetings, and incorporates the resultant plans into the budget and financial plan as appropriate.

Enrollment Planning

Strategic enrollment planning at NYU, as well as undergraduate recruitment and admissions, is directed by the associate provost for enrollment management, and requires the active participation of the leadership of the University and its schools. The enrollment planning cycle begins each summer with an analysis of entering students for the coming academic year, be they undergraduate, graduate or professional students. On the basis of that analysis, of the academic and curricular goals established as part of the academic planning cycle, and of the financial goals and parameters established in the financial planning process, tactical and long-term enrollment planning is undertaken.

NYU utilizes a tool called the “Net Tuition Revenue Model” (NTRM) for enrollment monitoring and planning, and to generate the revenue projections for tuition and fees that are utilized in the budget and financial plan. The model was developed and is maintained by the Office of Institutional Research, with input from enrollment and financial managers at the University level and from each school. Each term, utilizing actual enrollment data, the NTRM is used to produce revised projections of returning students on the basis of retention trends. Projections for incoming cohorts are developed each fall during a series of two to three meetings convened with each school by the associate provost. Participants in the process from the schools include deans and admissions and financial managers, and from the University administration include representatives from finance, enrollment and admissions, global study abroad, and institutional research. The planning process considers curricular goals and capacities within programs, within schools, and across the University, as well as overarching financial goals and capacities.

The planning process concludes late in the fall semester with the creation of programmatic enrollment and admissions goals. The goals created in the process are incorporated into the financial plan and disseminated throughout the organization, particularly to the schools and administrative units that require enrollment data to support their planning for student housing, student affairs, and athletics.

Financial Planning and Budgeting

The NYU financial model provides that each school is responsible for bottom-line fiscal planning and management. All net tuition generated by a school accrues directly to its benefit and all direct costs of its operation are its responsibility. Costs of the University administration are allocated to the schools, primarily on the basis of usage of the related services, and all schools are responsible for contributions to support the academic and capital investment priorities of the president and the provost. The financial obligations of each school are updated annually according to a set of promulgated rules to ensure that incremental revenues and surpluses accrue to both the school for investments approved as part of the academic planning process and to the University to ensure continued investment in University priorities.

The budget and financial planning process, while a continuous process, begins anew upon the close of each fiscal year in September, with analysis of the financial results at the conclusion of the year. Throughout the fall, the budget office is involved in the academic and enrollment planning exercises, and this involvement informs early updates to the financial plan. In addition,

senior leadership meets with the Finance Committee of the Board of Trustees, and with advisory bodies such as the University Senate and its constituent committees, including its Financial Affairs Committee, and the Faculty Advisory Committee on Academic Priorities. These interactions assist in the identification of issues, opportunities and investment priorities, and in the formulation of budgetary guidelines, including tuition and housing rates, and salary increase recommendations.

Toward the end of the fall semester, the budget office convenes meetings with the fiscal officer of each school or unit. At these meetings the budgetary parameters for the coming fiscal year are reviewed, and issues regarding the current and coming fiscal years are raised and discussed. Each school and administrative unit proceeds with budget planning at the direction of its dean or director, who brings their departmental and administrative unit managers into the process. It is expected that the units' fiscal teams will then work with the budget office to develop a budget for the coming year and to update the long-term financial plan. Beginning with the fiscal year 2010 planning cycle, all units are utilizing a new Hyperion Planning-based financial plan system. This system allows multiple users to access historical and planning data for their units, and to run multiple planning scenarios during the process, while the budget office retains control as the final reviewer and approver.

Upon completion of budget proposals by each school or administrative unit, a final budget proposal is developed at meetings between the principals from the school, including the dean and fiscal officer, and the provost and executive vice president for budget. The consolidated proposed budget and financial plan are reviewed by the University Leadership Team prior to its submission to the Finance Committee of the Board of Trustees in the late spring. Upon approval of the budget and plan by the Finance Committee, the full Board of Trustees meets to approve the plan, typically at its June meeting. Following approval of the budget by the board, the fiscal officers are responsible for uploading their approved budgets into the University's PeopleSoft-based financial system ("FAME"). The uploaded budgets serve as the basis for automated budgetary control in FAME.

Facilities and Capital Planning

As already noted, NYU is at once blessed and challenged by its location in the heart of New York City. NYU has on a per capita basis significantly less space than other top research universities, and thus optimization of existing space and planning for future needs is of critical importance. In order to better coordinate space planning and allocation efforts, which tended to be conducted at the school and administrative unit level, in 2008 the provost and executive vice presidents oversaw the creation of a formal, integrated space planning process for the short to intermediate terms. Central to the process was the formation of the "Space Planning Working Group" (SPWG). The purpose of the SPWG is to standardize the processes utilized for requesting and allocating new space, for developing and renovating space, and authorizing planning studies and capital projects. The membership of the group includes representatives of the provost, executive vice president, and chief financial officer, as well as senior staff from the University's real estate and facilities groups. The provost and the executive vice president ultimately prioritize capital projects and spending. SPWG members were key members of the NYU Plans 2031 long-term planning effort.

Addressing the Current Economic Crisis And Beyond

Having recovered from the economic shocks that followed September 11th, NYU now finds itself on a firm financial footing, albeit one that relies heavily on tuition revenue. While NYU has the 27th largest endowment among all American universities, it is ranked 184th when the endowment is measured on a per student basis. Recognizing its financial strengths — and weaknesses — the administration has taken steps, beginning in 2007, to ensure that investment in our core mission, as delineated in *NYU Framework 2031*, continues to grow.

A re-engineering program, run under the auspices of the executive vice president, was to reduce annual operating expenses of the University administration by at least \$25 million by fiscal year 2010, and to re-direct those resources to the academic priorities of the University. Thanks to the hard work of administrators University-wide, \$38 million have now been identified, fully a year in advance of the target date.

As part of the 2008 re-engineering plan, the executive vice president created five University-wide re-engineering task forces ([see www.nyu.edu/task.forces/](http://www.nyu.edu/task.forces/)), which were charged with examining areas critical to our efforts to improve administrative efficiency. The task forces were formed to examine the following areas: information technology; construction and facilities management; human resources policy; revenue-generating programs; and finance systems. Each task force is led by a dean and a cross-section of faculty and administrators from the schools and administrative units of the University. The task forces are due to issue their final reports very soon, and their findings will strongly influence NYU's operational and financial planning.

As the national and global economic crisis unfolds, NYU like all institutions has taken steps to address the uncertainty that accompanies the general economic turmoil, including engaging in flexible enrollment and expense-side contingency planning. Further, NYU has chosen to extend the re-engineering efforts of the past several years in a second phase which will engage both the University administration and the schools in order to achieve at least an additional \$15 million in annual savings (above the \$38 million already secured). The University leadership is creating new financial models that increase the transparency, predictability, and comprehensiveness of information in support of planning and decision-making.