STATE UNIVERSITY OF NEW YORK
COLLEGE OF OPTOMETRY ®

SELF-STUDY
PREPARED FOR THE ACCREDITATION COUNCIL
ON OPTOMETRIC EDUCATION
APRIL, 2019

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To provide the reader with a richer sense of our institution, this document also includes links to various pages on the College's website. These are denoted in underlined blue font. In those cases where a permanent record of a webpage is required, a PDF has been created and included in the appendices.

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Standard I – Mission, Goals and Objectives

1.1 The program has a statement of its mission, and the goals and objectives by which it intends to fulfill its mission.

The College's mission, goals and objectives are reviewed regularly and updated as described under Standard 1.5. The most recent review of the mission, goals and objectives occurred in 2017-18 as part of the College-wide strategic planning process undertaken every five years. The College's new and intentionally concise mission is as follows:

> *The State University of New York College of Optometry advances visual health and patient care through leadership in education, research and service.*

The new 2018-23 strategic plan, *Care, Lead, Advance,* which may be found in **Appendix I-1**, includes nine goals with objectives that support five key themes. The themes and goals are listed below:

Student-Centered Experience
1. Enhance the student experience through programs that promote student and alumni success

Academic Excellence
2. Deliver a dynamic curriculum that engages students and advances contemporary optometry
3. Grow the graduate and research programs to increase the institutional impact on the advancement of knowledge and to produce leaders in vision research (basic, translational and clinical)

Service to Our Patients and Community
4. Deliver unparalleled care to our University Eye Center Patients
5. Provide Service to the greater community

Community and People
6. Cultivate an institutional culture that encourages a sense of community, inclusion, institutional pride, collective purpose and shared responsibility
7. Promote the growth and development of all members of our community

Effective Foundational Support
8. Attract the brightest and most motivated students with demonstrated leadership potential
9. Provide the financial foundation, administrative support and environment to achieve the College's mission

1.1.1 The program publishes its mission and goals so that the information is readily and publicly available on the program's website.

The College's current and recent prior strategic plans, which include its mission, goals and objectives, are published on its website at https://www.sunyopt.edu/about/strategic-plan. A PDF of this page can be found in **Appendix I-2**. The current strategic plan, *Care, Lead, Advance,* which was formulated in 2017-18 as discussed under Standard 1.5, is posted on this page.

1.1.2 The goals and objectives include teaching and learning, research or scholarly activity, patient care, and service.

As can be seen in **Appendix I-1**, the College's goals and objectives include teaching and learning (Goals 1 and 2), research/scholarly activity (Goal 3), patient care and service (Goals 4 and 5).

1.2 The mission, goals, and objectives result in a professional optometric degree program whose graduates possess the attributes, knowledge, skills, and ethical values required for independently practicing contemporary optometry.

The College's mission is to advance visual health and patient care through leadership in education, research and service. As discussed previously, goals and objectives supportive of this mission are articulated in the 2018-23 strategic plan, *Care, Lead, Advance* (**Appendix I-1**).

The College's mission, goals and objectives give rise to the professional program's statement of attributes, knowledge, skills and ethical values, which can be found in **Appendix II-1** https://www.sunyopt.edu/education/academics/od-program/goals/what-students-learn. This document, which represents the program's curricular learning objectives, serves as the basis for curriculum development. It is periodically reviewed by the Dean's Council to ensure it adequately supports the independent practice of contemporary optometry. Course learning objectives are derivative of these program learning objectives, and assessment of student knowledge and competencies supports their attainment.

1.3 The program identifies and uses outcomes measures to evaluate its effectiveness by documenting the extent to which its goals and objectives have been met and must use such assessment to improve its performance. Such measures include but are not be limited to graduation rates, and results from National Board of Examiners in Optometry (NBEO), Canadian Assessment of Competency in Optometry (CACO) or equivalent testing agencies.

Overview

Assessment of student learning at the program level occurs through multiple mechanisms, including tracking of the following key performance indicators:

- Performance on national licensing examination (NBEO)
  - Part 1: Applied Basic Science
  - Part 2: Patient Assessment and Management
  - Part 3: Clinical Skills
- Percentage of graduates who intend to enter a residency program
- Quantity and nature of each student's patient-care experiences
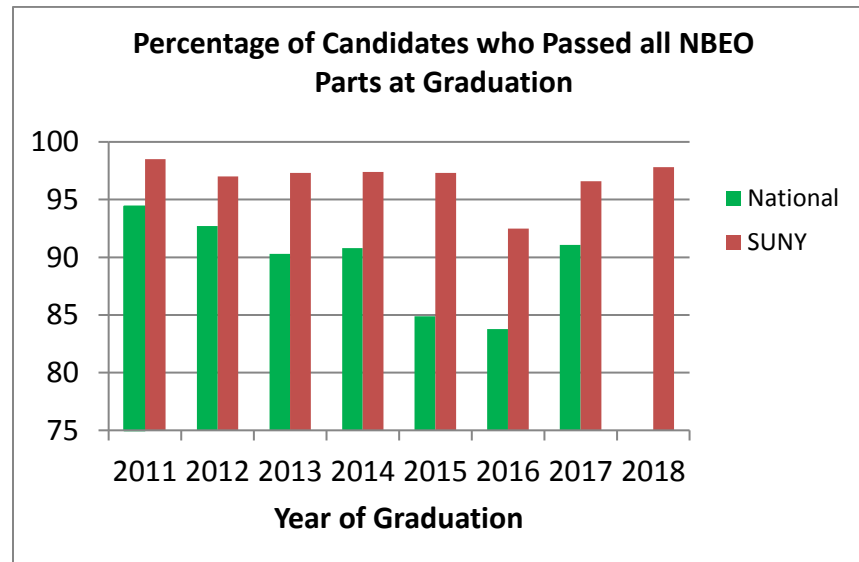
Other sources of information include:

- Annual exit surveys (An example of the survey and a summary of results are provided in **Appendices II-9a** and **II-9b**.)
- Annual alumni surveys administered to the class that graduated about 6 years previously. (An example of the survey and a summary of results are provided in **Appendices II-10a** and **II-10b**.)

Assessment of student learning is an integral component of the College's assessment plan (**Appendix I-3** or https://www.sunyopt.edu/pdfs/institutionalresearch/Assessment_Plan.pdf). Data collected for the OD program are analyzed to determine if students are meeting the program's educational leaning objectives. When data suggest substantive shortcomings, potential solutions are formulated and implemented. While the analysis and formulation of potential solutions may be initiated at various administrative levels related to the OD program, the forums/offices best suited for analysis, planning and implementation are:

- Curriculum Committee
- Dean's Council
- Clinical Education Council
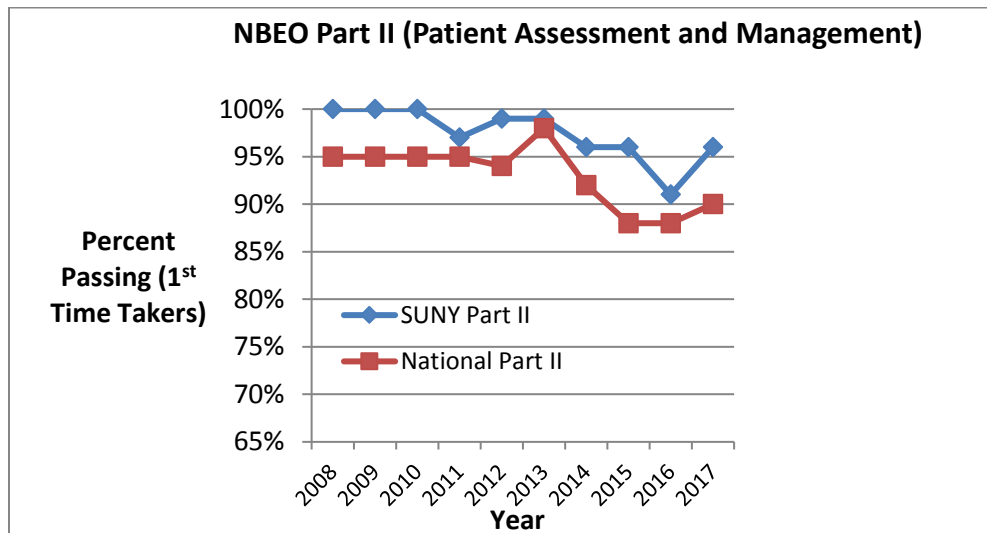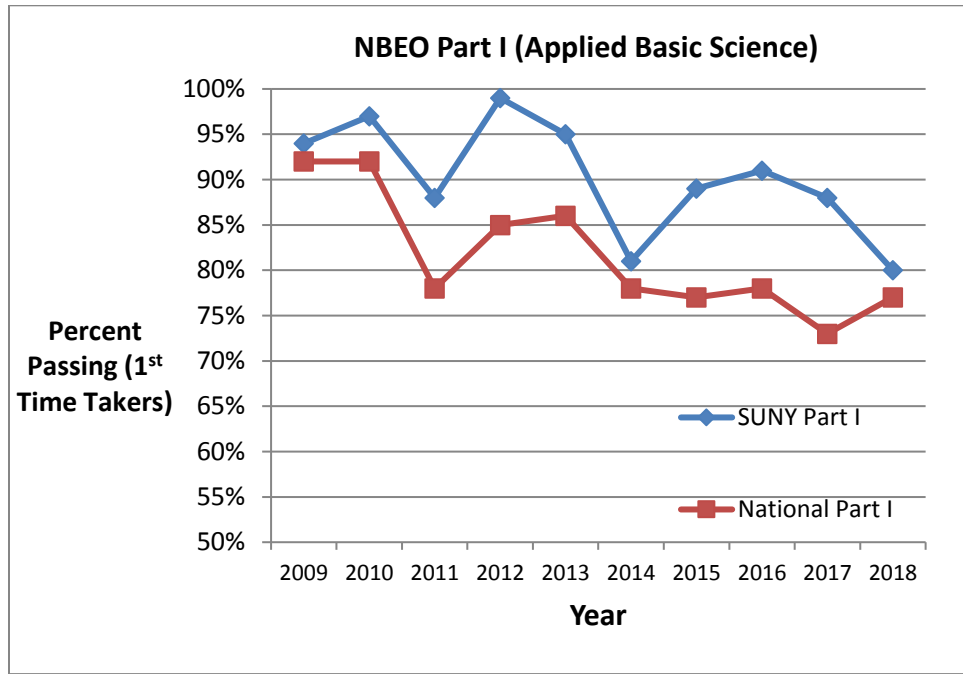- Department Chairs

NBEO Performance

From 2011-2017 about 97% of graduating students passed all 3 parts of the NBEO examination by the time of graduation.[1] As indicated in the following graph, the percentage of our students who have passed all three NBEO parts at graduation is consistently above national comparison values:[2]

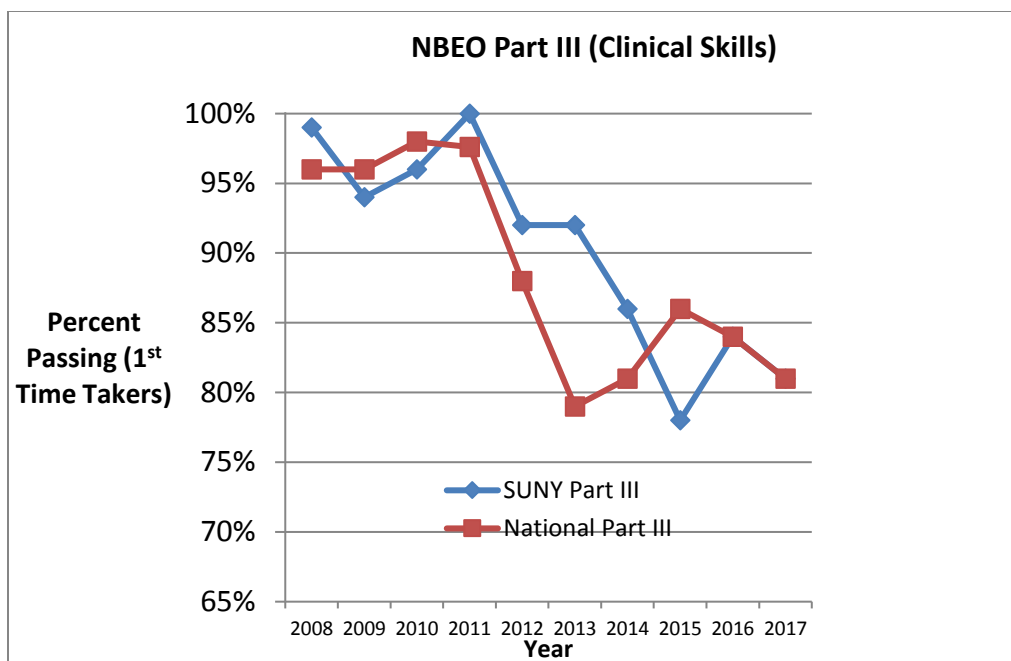**Percentage of Candidates who Passed all NBEO Parts at Graduation**

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[1] Most, if not all, of the students *not* passing all three parts by graduation are foreign national students who are returning to their countries and not planning to practice in the United States.

[2] The data in this and the following three graphs were provided by NBEO. National 2018 comparison data for passage of all NBEO parts were not available at the time this document was finalized

This overall performance reflects performance on each of the three individual NBEO parts. The following graphs show that in 27 of 30 recent administrative years our students (first-time takers) performed at or above the national comparison values on Parts I, II and III:

NBEO Part I (Applied Basic Science)

Percent Passing (1st Time Takers)

NBEO Part II (Patient Assessment and Management)

Percent Passing (1st Time Takers)
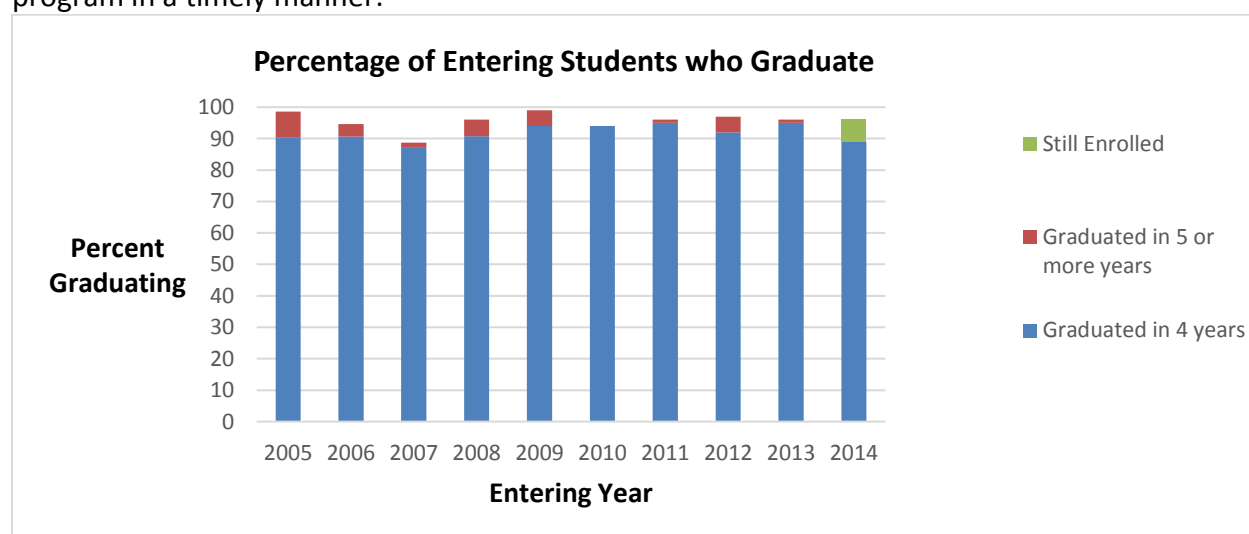
NBEO Part III (Clinical Skills)

The NBEO provides the College with detailed reports that show how its students perform on the various topics tested on each of the three parts of the exam. These reports are routinely reviewed by the dean and discussed with department chairs as warranted. When indicated, data are analyzed for trends in performance over multiple administrations. **Appendices II-7a** and **II-7b** show an analysis of performance on Part I.
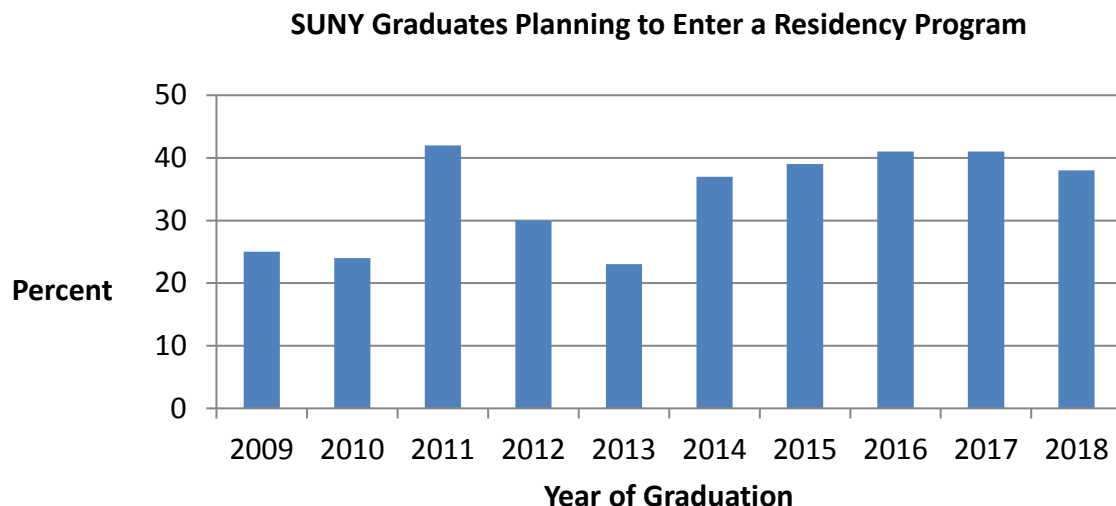
Graduation Rates
As indicated in the table below, a high percentage of entering students complete the OD program in a timely manner:

Percentage of Entering Students who Graduate

<u>Intent to Enter a Residency Program</u>

In the spring semester, the office of residency programs administers a survey to graduating fourth-year students to assess intent to enter a residency program. Results for recent surveys are as follows:

SUNY Graduates Planning to Enter a Residency Program

In recent years, about 40% of graduates have indicated they intend to complete a residency program.

<u>Examples of Use of Assessment to Improve Student Learning in the OD Program</u>

As detailed in the College's assessment plan (pages 7-9 of **Appendix I-3**) data on student learning outcomes are routinely collected, disseminated, analyzed and used for OD program improvement. Recent examples (in no particular order) are discussed below.

Virtual Reality Simulators

In response to the need to train students on more complicated optometric skills and keeping with our aim to prepare them for clinic earlier, the College initiated the development of a virtual reality teaching laboratory. This laboratory, which has been in use since 2015, provides students with greater opportunities for learning and practicing skills with greater independence. The lab currently has two direct ophthalmoscopes and six binocular indirect ophthalmoscopes. We are working with the manufacturer on the development of slit lamp biomicroscopes and plan to add them when available in late 2019. Progress can be monitored accurately by faculty, and research into the effectiveness of the simulators versus traditional teaching methods is being planned.

Low Vision

As part of the major curricular revision that was rolled out starting in 2008, the topic of low vision, which previously comprised a stand-alone course, was to be taught in several ocular disease courses in conjunction with the treatment of relevant clinical conditions. Low vision rehabilitation

of the patient with age-related macular degeneration, for example, would be covered at the time the clinical management of this condition was taught.

Data from both exit surveys and NBEO examinations suggested that with this approach, student learning was falling short of expectations. For the Class of 2011, the last class to complete the old curriculum, 27% of the respondents believed that not enough lecture/lab time was devoted to the subject[3]. This value increased with the implementation of the new curriculum with values ranging from 67% to 83% from 2012 – 2017 (exit survey data).

NBEO data were consistent with student perceptions. Performance on questions related to low vision was weak with respect to national data and SUNY student performance in other areas of the examination.

These data were presented and analyzed at meetings of the IRPC, President's and Dean's Council and Curriculum Committee. In 2014-15, the Curriculum Committee developed and passed a detailed proposal to address the shortcomings of low vision education. This proposal consolidates low vision didactic instruction into a single instructional unit that consists of lectures and laboratories. The proposal was approved by the Office of Academic Affairs and instituted in the 2015-16 academic year as a course entitled *Low Vision.* It is now taught in the spring semester of the third year and consists of 12 hours of lecture and 5 hours of lab.

Notably, only 15% of the Class of 2018 – the first class to take the new low vision course -- did not believe enough time was devoted to the subject, a substantial improvement over the 83% who expressed the same view in the 2017 exit survey. Although the number of items related to low vision on Part I of NBEO is quite small (only 8 in spring, 2018), students who sat for the exam in spring 2018 performed above the national average for the first time in five years. Exit surveys and NBEO performance will continue to be monitored to assess the effectiveness of this intervention.

Clinical Medicine

Prior to the recent major curricular revision, clinical medicine was taught in a two-semester course devoted exclusively to this topic. In the revised curriculum, material covered in this course was distributed throughout courses in the biological ocular disease sequences with the goal of better integrating it with related material. As was the case with low vision, student perceptions of instruction in this area, as revealed by exit surveys, fell short of expectations. For the class graduating in 2011, the final year of the old curriculum, 27% of respondents indicated that not enough lecture/lab time was devoted to the topic of general medicine. In the years subsequent to implementation of the new curriculum, higher percentages of students indicated that not enough lecture/lab time was devoted to this topic; from 2012 to 2017 the percentage ranged from 47% to 60% (exit survey data).

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[3] Exit surveys were initiated with the Class of 2011.

These data were presented and analyzed at meetings of the Institutional Research and Planning Committee (IRPC), President's and Dean's Council and Curriculum Committee. In 2014-15, the Curriculum Committee developed and passed a detailed proposal to address the shortcomings of clinical medicine education. This proposal consolidates certain aspects of clinical medicine didactic instruction into a single instructional unit that consists of lectures and laboratories. The proposal was approved by the Office of Academic Affairs and instituted in the 2015-16 academic year as a course entitled *Clinical Medicine.* It is taught in the second year of the curriculum and consists of 18 hours of lecture and 10 hours of lab. (Other material related to clinical medicine continues to be covered in related courses.) The topics covered are taught by several instructors including ODs, MDs, DOs, and NPs and involve discussion of interprofessional interactions and collaborative practice.

Only 29% of the Class of 2018 – the first class to take the new general medicine course -- did not believe enough time was devoted to the subject, an improvement over the percentage that expressed the same view in previous years. Although SUNY performance on systemic health items of NBEO Part I have historically been strong, these scores and exit surveys will continue to be monitored to assess the effectiveness of this intervention.

Progress examinations
To monitor and improve curriculum delivery of core material, Academic Affairs is in the process of implementing a series of comprehensive progress examinations to determine student acquisition, retention, and integration of didactic material. The exams will be given in the early fall of second year, and in the early winter of third year (before boards). The general results of these exams will be used by department chairs and faculty IORs to identify and improve areas of difficulty. Specific results will be provided to each student to identify gaps in knowledge and guide additional learning. Specific results of poorly performing students will be given to the directors of the student advising program to identify and guide students needing academic assistance.

Academic Advising and Remediation Programs
Academic Affairs, working with the Department of Biological and Vision Sciences, the Department of Clinical Education, and in collaboration with the office of Student Affairs, developed two programs to identify and assist the struggling student learner.

1. The Academic Advising Program:
In response to the difficulties and rigor of the academic program, an academic advising program was developed in 2016 to identify and assist students in academic difficulty. These students are identified throughout the first three years of the program by monitoring the results of early assessment each semester, academic performance at the end of each semester, reports from IORs and when self-identified by students seeking assistance through Student Affairs or Academic Affairs. Program directors are provided information on student performance and the students are contacted confidentially. Students who respond are provided advisors from the faculty who meet the student. After an initial meeting where the student's difficulties are assessed using several tools to determine the areas of difficulty, strategies are developed to assist the student. These strategies are tailored to the student's specific needs and may include tutoring in an area

of deficiency, study skills, test taking strategies, and directions to find assistance for psychosocial issues.

2. The Clinical Remediation Program:

Students performing at or below minimal competency in clinical programs are identified using the clinical grading rubric. Since 2015, these students' performance has been carefully reviewed by the Clinical Remediation Program Director working with a clinical education team made up of 3rd and 4th year Clinical IORs, the director of externships, and the chair of the department of clinical education. Competency in various areas are reviewed and difficulties diagnosed in such areas as basic and optometric knowledge, skills, patient care and case decision making, communication, and professionalism are identified. A clinical enhancement plan is developed, and the clinical faculty "coach" is identified and paired with the student to remediate the deficiencies.

Electives in the Professional Degree Program

In response to student requests and the desire to provide more opportunity for students to customize their professional degree education by adding material that they find particularly interesting and valuable to them, after several years of planning we implemented an elective program in AY 2013-14. The electives provide an opportunity for deeper treatments of special topics in small group environments and may contain both didactic and clinical training opportunities. The College continues to assess student interest periodically and expands its elective course offerings accordingly. A catalog of elective courses can be found at https://www.sunyopt.edu/pdfs/academics/electives_catalog_sp17.pdf or in **Appendix II-5**.

Expansion of the Fourth-Year Externship Program

Since at least 1995, fourth-year optometry students had typically participated in up to two off-campus clinical rotations as part of the externship program. As part of the planning process for the increased student enrollment that commenced in 2012, the College analyzed patient flow at its on-campus clinic, the University Eye Center (UEC), and determined that the increased enrollment could potentially reduce the number of patients seen by students rotating through the UEC. Student exit surveys indicated strong student satisfaction with the externship program, and the number of patients seen by students at these sites was high as tracked by the Meditrek system used for this purpose. These results helped inform the College's decision to increase the number of external rotations from two to three during the 2014 – 2015 academic year. Exit surveys continue to show strong student satisfaction with the externship program, and the number of student-patient encounters at these sites remained high.
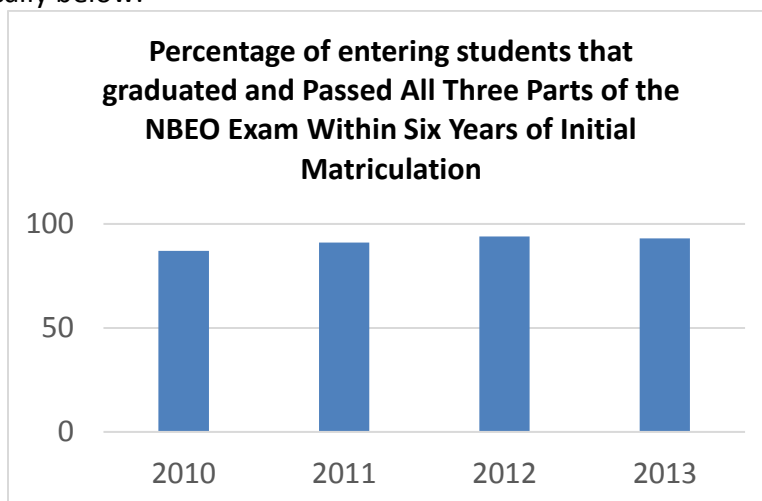
Revision of Clinical Optometry Sequence

The revision of the Clinical Optometry sequence was put into place at the start of the Fall semester for the Class of 2020 (**Appendix II-11b**). The changes in the sequence were in response to and in anticipation of changes in clinical optometric practice and in the health care delivery system. The revision process included assessment of the sequence using the ASCO *Attributes of Students Graduating from Schools and Colleges of Optometry Report* to articulate the skill set needed by graduating optometry students, results from discussions at Dean's Council, faculty

meetings and conferences on optometric education, and assessment of changes in optometric care and in the health care system. The revision will be assessed via comparison of student performance on NBEO prior to and after the revision, by faculty feedback regarding student preparation for entrance to clinic, and by feedback from faculty at internal rotations and externship sites regarding student performance.

1.3.1 Within six years of initial matriculation, at least 80% of entering students are (1) licensed to practice optometry, or (2) pass all three parts of the NBEO or (3) pass the equivalent Canadian registration examination.

For the classes entering in 2010, 2011 and 2012, the percentage of entering students that graduated and passed all three parts of the NBEO exam within six years of initial matriculation was, respectively, at least 87%, 91% and 94%. For the class entering in 2013, 93% graduated and passed all three parts of the NBEO exam within four years of initial matriculation. These data are presented graphically below:

Percentage of entering students that graduated and Passed All Three Parts of the NBEO Exam Within Six Years of Initial Matriculation

1.4 The program publishes on its website current and reliable information on its performance with respect to student achievement. Data must include, but not be limited to: graduation rates; attrition rates; and first time pass rates for all students taking the exam in each administration for parts I, II, and III of the NBEO exam and the ultimate passage rate for each cohort graduating within each of the three previous academic years, or pass rates on CACO or equivalent examinations.

Student learning outcomes are published on *Factbook* (http://www.sunyopt.edu/offices/institutional-research/factbook), a web-based compendium of key indicators employed by the College to monitor the effectiveness of its programs. Included in *Factbook* are the completion and attrition rates for recent graduating classes (**Appendix I -4**) and first-time and ultimate NBEO pass rates (**Appendices I-5a**, **I-5b**, **I-5c** and **I-5d**). These data are also available through the *Student Consumer Information* page (http://www.sunyopt.edu/about/student-consumer-information) , which is accessible from the College's homepage (under *About*).

1.5 The program engages in an ongoing, systematic process of planning and self-study and must review on a regular basis its program mission, goals, and objectives and revise them as necessary.

Strategic Planning

The State University of New York College of Optometry is strongly committed to the principle of strategic planning and assessment in the development of its organizational priorities and the allocation of resources. The institution's strategic plan is informed by internal and external trends and guided by a core set of values.

On a five-year cycle, the entire College community participates in a year-long strategic planning process that uses faculty meetings and a faculty retreat and culminates with a published five-year strategic plan that is informed by internal and external trends and guided by a core set of values. Organizational priorities and allocation of resources are driven by the mission, goals and objectives included in this plan.

In fall 2016, as *Creating a Legacy of Leadership*, the College's 2013 – 2018 strategic plan, was coming to a close, President Heath charged the Institutional Research and Planning Committee (IRPC) with coordinating the development of a new strategic plan. This process commenced in spring 2017 with the Committee's review of the strategic plans of comparable institutions, including schools and colleges of dentistry, medicine, optometry and pharmacy.

Over the summer of 2017, a subcommittee comprised of members of IRPC and other faculty and staff members appointed by the president and director of institutional research and planning conducted an environmental scan and SWOT (strength, weaknesses, opportunities and threats) analysis. An additional subcommittee reviewed and suggested modifications to the College's mission and institutional values statements. After review and revision by the IRPC, vice presidents and president in fall 2017, these documents were adopted as foundational material for the development of the new strategic plan.

As a first step in the development of institutional goals and objectives, IRPC asked the vice presidents of academic, clinical and student affairs and administration and finance to work with members of their governing councils and others to draft goals and objectives that reflected the mission, institutional values statements, environmental scan and SWOT analysis. In addition, the vice presidents were asked to revise and update the outcome measures in the College's assessment plan that could be used to track implementation. The director of institutional research and planning assisted as needed to ensure an appropriate uniformity of style and rigor.

The draft goals and objectives were reviewed by IRPC over a series of meetings, with comments and suggestions for improvement and clarification made to the vice presidents. Each of the vice presidents was also provided with opportunities to comment on the goals and objectives of fellow vice presidents. A draft strategic plan constituted of the revised goals and objectives was subsequently distributed to the faculty in preparation for the College's annual faculty retreat.

The draft strategic plan was the primary discussion topic at the 2018 March 11-12 annual faculty retreat at the IBM Learning Center in Armonk, NY. The retreat started with a presentation by members of IRPC that highlighted accomplishments under *Creating a Legacy of Leadership*. This was followed by an overview of the strategic planning process given by the director of institutional research and planning. Next, there was a panel discussion lead by members of IRPC and the vice presidents of academic, clinical and student affairs that addressed questions related to the draft strategic plan. Subsequent to these sessions, the draft plan was discussed in break out groups and a plenary discussion. Members of IRPC helped to facilitate these discussions.

Based on feedback received at the faculty retreat, the draft strategic plan was revised by the vice presidents and IRPC. Further feedback was solicited by distributing the revised draft to the faculty staff for review and comment. The plan, which was subsequently revised and endorsed by IRPC, President's Council and College Council, is entitled *Care, Lead, Advance*. It can be found in **Appendix I-1**.

Institutional Assessment Plan
The College has developed a formal written assessment plan https://www.sunyopt.edu/pdfs/institutionalresearch/Assessment_Plan.pdf or **Appendix I-3**) that is published on its Institutional Research webpage (https://www.sunyopt.edu/offices/institutional-research or **Appendix I-6**). Various assessment strategies are used to track implementation of the College's strategic plan and monitor College operations. The primary motivation is to identify, obtain, analyze and utilize outcomes data for meaningful programmatic improvement.

When available and appropriate, national data serve as benchmarks for assessing performance. Analysis of data may lead to corrective actions when they are not consistent with expected outcomes.

Institutional planning and assessment are ongoing and may be conceptualized as a cyclical process (see diagram below) that starts with the establishment of strategic goals and objectives. Institutional key performance indicators, which are quantitative indicators of progress relative to the strategic plan, are tracked longitudinally; assembled by the Office of Institutional Research and Planning; published on the College's website in *Factbook* (https://www.sunyopt.edu/offices/institutional-research/factbook or **Appendix I-7**); and updated annually.

Key performance indicators and other data are utilized by the College vice presidents to analyze progress in their respective areas. These analyses are presented by the vice presidents annually to the Institutional Research and Planning Committee (IRPC) and senior management team at Annual Implementation Meetings (AIMs) and published on the Institutional Research webpage (https://www.sunyopt.edu/offices/institutional-research/annual-implementation-meetings). Examples for the 2016-17 academic year are provided in **Appendices I-8a** and **I-8b**. Members of IRPC and the senior management team are encouraged to provide constructive feedback to the presenting vice president. When analyses reveal shortcomings in attaining institutional goals, corrective actions are initiated by the appropriate administrative unit. Note that in lieu of the 2017-18 AIMs, a review of progress of implementation of the 2013-18 plan was undertaken at the March 2018 faculty retreat as part of the planning process for the 2018-23 strategic plan.

We have found it useful to distinguish between the functions of data collection and dissemination; structured analysis; and closing the loop. It is through the consideration and analysis of collected data that challenges can be identified and strategies and plans formulated to ensure the strategic plan is implemented effectively. Closing the loop between aspirational outcomes of the strategic plan and outcomes data requires not only the collection of data, but its analysis and the development and implementation of corrective actions.

In addition to annual AIMs where the vice presidents present an analysis of progress relative to the strategic plan, the vice presidents also meet annually with the president to assess progress. These meetings result in the development of annual institutional goals (published at https://www.sunyopt.edu/offices/institutional-research/annual-institutional-goals) that are derivative of the strategic plan, widely disseminated to the College community and posted on

the Institutional Research webpage. Institutional goals for AY2018 are provided in **Appendix IV-18b**. Starting in 2018-19, annual goals were matched to the goals/objectives of the strategic plan. The annual institutional goals are implemented through the College's various administrative councils and area heads.

<u>Utilization of Outcomes Data for Institutional Improvement</u>

As described in the College's assessment plan, data is routinely tracked longitudinally for a large number of College operations. The goals of institutional level assessment are to (1) analyze outcomes data to determine if progress on institutional strategic goals is satisfactory and (2) formulate and implement policy when analysis reveals a substantive lack of progress in meeting institutional strategic goals. The mechanisms employed in this process of closing of the loop include:

- Dissemination of analyses and opportunity for feedback
- Discussions at meetings of President's Council and Round Table
- President's Annual State of the College Addresses (published at https://www.sunyopt.edu/offices/institutional-research/state-of-the-college-addresses or see **Appendix I-8c** for an example)
- Annual Implementation Meetings (AIM) (published at https://www.sunyopt.edu/offices/institutional-research/annual-implementation-meetings or see **Appendix I-8a** and **I-8b** for examples of presentations) in which each vice president presents annually to IRPC and the senior management team a data-driven analysis that addresses progress on the strategic plan in the vice president's area of responsibility. These reports are published on the College's website.
- Annual presidential evaluations of progress in each vice president's area of responsibility
- Establishment by the president and each unit vice-president of annual institutional goals (published at https://www.sunyopt.edu/offices/institutional-research/annual-institutional-goals or see **Appendix IV-18b** for an example) for the unit that are derivative of institutional strategic goals. These annual institutional goals
  - align each unit with the College's strategic goals
  - provide an opportunity to utilize assessment results and analyses to develop and implement policies to ensure that strategic goals are met
  - are published on the College's website

<u>Examples of Assessment Leading to Institutional Improvement</u>

While not exhaustive, the following examples show how the College uses its planning and assessment processes for institutional improvement:[4]

Library

- In response to a student survey conducted by the library and exit surveys conducted by the Office of Institutional Research and Planning, which all indicated a student desire for additional study space, the library, working with the College's Learning Resources Committee, embarked on a self-study involving student focus groups to plan a multi-year improvement project. Phase I of this project was completed in spring and summer of

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[4] Use of assessment to improve educational outcomes is discussed under Standard 1.3

2017. Phase II is on track to be completed in fall of 2018, and Phase III will be started in summer of 2019 and completed in 2019-20. Please refer to Standard 7.2 for further details.

Research
- In support of the College's strategic goal of expanding clinical and translational research, the Center for Clinical Vision Research was established in 2013 helping to attract more than $2M in new research revenue.
- In response to assessments of faculty and student needs, shared imaging (including confocal and multiphoton microscopes), histology and cell culture core research facilities have been established.
- To offset decreasing federal research funding and support the continued growth of research at the College, the amount of research support obtained from industry has increased significantly.
- To complement existing student and faculty research interests, the College recently completed a national search and recruited a retinal cell and molecular biologist (Stephanie Wohl, PhD).
- In response to public need for better clinical care, the college prioritizes the application of basic research to clinical application and clinical research. To do that the College seeks to develop more translational research (basic to clinical) and was recently awarded an Empire Innovation Grant from New York State to develop a translational research center. Construction was begun in 2018.

Academic Affairs
- To meet needs for improved assessment of student content mastery and integration for clinical thinking, ExamSoft, an electronic student assessment system was obtained.
- To meet needs for a modern electronic system that keeps track of faculty accomplishments, maintains up-to-date faculty information on the college website, and provides the college's promotion and tenure program (via the Committee on Professional Qualifications - CPQ) with ready access to this information, a new electronic (Digital Measures) was obtained and implemented in 2018. Academic Affairs uses two modules of this system: Activity Insight for faculty information and WorkFlow for secure promotion and tenure review.

Facilities
- To meet student needs for on-campus relaxation space and increased study space, as revealed in student exit surveys, the Center for Student Life & Learning was constructed. This $10M project was completed in 2013.
- In support of the College's strategic goal of expanding its research program, improvements and needed repairs to the research space on Floors 16 and 17 were completed in 2013 at a cost of approximately $2.6M.
- To fulfill the College's 2011 enrollment management plan, the first-floor lecture halls were gutted and reconstructed to accommodate the increased enrollment and enhance

the teaching/learning environment. The cost for this project, which was completed in 2014, was $2.6M.

- To improve the attractiveness and functionality of the College's entrances and ground level, the 1st floor was completely redesigned and renovated. This project was completed in July 2016 at a cost of $6M.
- To improve and modernize the electrical and mechanical infrastructure of the building, a major electrical upgrade was completed in July 2016 at a cost of $9.2M, and Phase 1 of a mechanical upgrade of the building's air handling units was completed in February 2018 at a cost of $5.5M.
- Phase II of the mechanical project is now underway and is expected to be completed in early 2021 at a cost of $9.7M.
- The lower lobby (basement mezzanine) is being renovated to become the primary location of student teaching labs. This project will be completed in the summer of 2019 at a cost of $3.7M.
- To enhance both the patient and clinical teaching experience, a new pediatric care unit is being created on the 10th floor. This project will be completed by the end of 2019 at a cost of $3.4M.
- To enhance both the patient and clinical teaching experience, the University Eye Center's primary care floor (7th) is being redesigned. When funded, the project will move into construction and could be completed in early 2022 at a cost of $11M.

Student Affairs
- As a result of survey results revealing that some students chose not to attend SUNY College of Optometry based on their campus experience on interview day, the nature of the interview day experience was substantially revised to make it more welcoming and informative.
- In an effort to increase the admissions yield (matriculation to acceptance), a concerted effort was made to educate all individuals who have contact with applicants (Admissions Committee members, Student Affairs staff and student guides) regarding the importance of their interactions with applicants in affecting applicants' choice of program. The yield has improved from 54% and 58% in 2014 and 2015, respectively, to 66%, 63% and 63% in 2016, 2017 and 2018, respectively.
- Increasing the matriculation of underrepresented minority students (URMs) has become a priority at the College as reflected in the 2018 – 2023 Strategic Plan and the Diversity and Inclusion Master Plan. In the past five years, the percentage or URMs has increased from 5% to 10% in the Fall 2018 entering class.
- In response to feedback from past incoming classes on how to improve communication post-acceptance, the admissions staff created "SUNY Opt-In"--an online portal where incoming students can find all the necessary information they need to know leading up to orientation.
- As a result of the increased need for mental health services, the Office of Student Affairs created a webpage listing the services available to students.

- In response to student surveys and informal feedback, in which students expressed the desire for more exposure to prospective employers, the Career Development Center (CDC) implemented a 'soft' career fair during the Annual Career Symposium.
- Based on the results of satisfaction surveys, the CDC established partnerships with local ODs and alumni to set up "field trips" for Collegiate Science and Technology Entry Program (CSTEP) students.

University Eye Center (UEC)
- As a result of a 2013-14 review of clinical systems, a new integrated electronic medical records system that enables attestation to meaningful use, facilitates the documentation process for providers, enables e-prescribing, and enhances communication with other health care providers was purchased and implemented.
- Following a 2012-13 review by the Quality Assessment and Improvement Committee that found low referral rates for low vision services, an internal education program was implemented that resulted in substantially higher referral rates.
- Referrals to the Clinical Vision Research Center (CVRC) were initially poor, but through concerted efforts between CVRC and UEC administration and careful monitoring of referral rates, there has been much improvement and with continued outreach, a new electronic health record, clinical faculty education and better communication, the college expects to see continued steady improvement with continued monitoring.
- After a review of patient scheduling for vision therapy appointments found long wait times and a lengthy list of patients waiting for appointments, new scheduling protocols were introduced that allowed the wait list to be cleared.
- During the Spring of 2017, an operational assessment of the Primary Care Service, Eyewear Center and Call Center was conducted. As a result, changes in each area were made to minimize back-logs, maintain staffing levels, increase efficiency, improve the student experience and increase patient satisfaction.
- A compliance consultative review was conducted. The results provided guidance to enhance our training program, provide additional detail to our policies and procedures, and minimize potential risk.

Clinical Faculty Salaries
- Based on the College's periodic assessments of faculty salaries, which use optometry faculty salaries as reported by the Association of Schools and Colleges of Optometry, local faculty salaries as reported by the Chronicle of Higher Education and local optometrist salaries as reported by the US Bureau of Labor Statistics as comparison data, it was determined that full-time clinical faculty salaries should be made more competitive. A goal of a minimum starting salary of $90,000 for full-time clinical faculty was implemented in July 2016 and required an adjustment for current faculty. The adjustments were implemented over a two-year contract period with half of the increase given for the 2015-16 academic year and the second half for the 2016-17 academic year. The average total increase is 7%. All faculty salaries will be increased additionally by at least 6% upon implementation of the new United University Professions (UUP) contract, which was

approved by union membership in fall, 2018.   Following the implementation of retroactive base raises from the new contract, the College plans to conduct further analysis of faculty salaries for compression and plan equity adjustments.

Standard II – Curriculum

2.1 The optometric curriculum fulfills the intent of the mission statement of the program to prepare graduates to independently practice contemporary optometry.

<u>Overview</u>

The goals of the optometry program are to graduate optometrists who are knowledgeable, clinically competent, professional and ethical. We seek to prepare our students for the future of optometric practice by teaching them to think critically as life-long learners who understand the scientific basis of the profession and apply the fundamentals of evidence-based practice to patient care. Our program is designed to provide opportunities to customize learning to student interests on advanced topics through elective courses and the selection of advanced clinic assignments.

The curriculum uses various teaching, delivery, and assessment methods to help students meet its program learning objectives and apply them for effective patient care. Characteristics of the curriculum include the following:

- Each course in the OD curriculum identifies course and unit learning objectives that support attainment of the program learning objectives.
    - o Program learning objectives are in **Appendix II-1** or http://www.sunyopt.edu/education/academics/od-program/goals/what-students-learn.
    - o The curriculum is on pages 9 – 13 of the Course Catalog (**Appendix II-2** or https://www.sunyopt.edu/pdfs/academics/course_catalog.pdf).
    - o A curriculum map can be found in **Appendix II-3** or https://www.sunyopt.edu/pdfs/academics/curriculum_map.pdf.
    - o Course descriptions can be found on pages 14 – 26 of the Course Catalog (**Appendix II-2**).
    - o Examples of course syllabi with learning objectives will be available on site.
    - o Examples of lecture and unit learning objectives will be available on sight.
- A variety of course and clinic assessments are conducted throughout the curriculum to evaluate student knowledge and competencies in support of attaining program learning objectives.
- A progress exam was given for the first time in early fall, 2018 to second-year students (and planned for early 2019 for third year students in time to be used a preparation for NBEO part 1) to assess students' ability to integrate basic and clinical science material while at the same time identifying knowledge gaps for both the student and the faculty. Please see Standard I.3 for additional details.
- Students having academic and/or clinical difficulties at any point in curriculum are identified and are given assistance and provided opportunities for remediation to help them fulfill course and clinical requirements. The Academic Advising Program assists students with didactic and other difficulties throughout the first three years of the OD program. The Clinical Enhancement Program assists students with remediation for clinical deficiencies in years three and four. Please see Standard I.3 for additional details.

- Preclinical courses, in which students learn clinical skills and procedures, have laboratories that support and assess the development of these skills and procedures using high fidelity simulators or actual clinical instrumentation where students perform procedures on each other or actual patients.
- Students participate in clinical patient care starting in the first year with clinical responsibilities increasing as the student develops competency.
- During the entire third professional year, and at least one quarter of the fourth year, students render direct patient care in the UEC under the supervision of members of clinical faculty.
  - Students spend most of the third-year clinical time in the Primary Care Clinic.
  - Third-year students review charts and discuss clinical management and charting of current clinical cases.
  - Students rotate through the UEC's various specialty clinics.
  - The student to doctor ratio is generally 3:1 in third year and 4:1 in fourth year.
- The fourth year is divided into 4 quarters with students typically assigned to external sites for three of these quarters. The externship program is described in detail under Standard 2.10.
- Externship rotations are designed to provide each student with comprehensive clinical experience in the following core clinical competencies (**Appendix II-4a**):
  - The evaluation and management of refractive error
  - The evaluation and management of motor, sensory, and perceptual dysfunction
  - The evaluation and management of ocular disease and trauma
  - Interprofessional collaborative care
- Student clinical performance is assessed relative to the curricular learning objectives. Students are assessed on (**Appendix II-4b**):
  - Patient care abilities including technical skills, data interpretation and case management
  - Interpersonal and communication skills
  - Professional and ethical behavior

Curricular Structure
The curriculum is delivered in two 16-week semesters per year for the first three years including midterms. Individual courses may be conducted for a full semester or within an eight-week module. An additional 10-week summer session takes place in year three. Year four consists of four 12-week quarters beginning in the summer after year three.

The curriculum features seven tracks (**Appendix II-3**) that extend throughout the four years:
Tracks Centered in the Department of Biological and Vision Sciences
- Systemic and Ocular Health
- Refractive Conditions
- Visual Perception and Sensorimotor Control
Tracks Centered in the Department of Clinical Education
- Clinical Examination
- Public/Community Health

- Optometric Clinic
- Integrative Seminar

The Integrative Seminar Track is designed to help students integrate clinical knowledge and skills with the basic sciences that form the foundation of the profession and clinical care. The seminars included in this track provide small-group learning environments that use clinical case studies to improve critical thinking and problem-solving skills. In the third year, the emphasis of Integrative Seminar is on developing the ability to think critically and obtaining the skills necessary for independent, life-long learning. Daily chart review and end of day case discussion foster clinical reasoning ability. Interns submit clinical case analyses to the IOR to assess competence of clinical thinking.

Electives on a variety of areas and advanced topics are offered in the beginning (summer) and end (spring) of third year. Please see **Appendix II-5** or https://www.sunyopt.edu/pdfs/academics/electives_catalog_sp17.pdf for the current catalog of elective courses. Students must complete two electives.

Students may participate at no charge in the Summer Flex Program between first and second years. This program includes a clinical skills course (not for credit), where students can practice and improve skills taught in year one and be introduced to skills taught in year two. In addition, a pilot program was initiated in summer 2018 that allows students to reduce their first- and second-year course loads by taking select courses (*Integrated Optics II, Visual Function: Sensory module B, Visual Function: Sensorimotor I*) for credit during the summer.

Educational Outcomes
As detailed under Standard 1.3, our students consistently perform above the national average on all three parts of the NBEO licensing examination and a high percentage of fourth-year students indicate intent to enter a residency program.

2.2 The program offers an optometric curriculum of at least four academic years.
The curriculum [pages 9 – 12 of the Course Catalog (**Appendix II-2**)] consists of 10 terms over a period of four years. There are mandatory summer sessions following the second- and third-professional years.

The Advanced Standing Program at SUNY College of Optometry was established in 2015. Its purpose is to allow graduates with degrees and advanced training in healthcare to obtain a Doctor of Optometry (OD) degree from SUNY College of Optometry. Admission to this program, which entails 2.5 to 3.25 years in residence at SUNY Optometry, requires the completion of substantial training abroad with credit given after careful review by the dean and department chairs of the candidate's transcripts, and review by specific course IORs.

The Advanced Standing program combines independent study and courses within the departments of Biological and Vision Sciences and Clinical Education at SUNY Optometry. There are two basic tracks that may be used depending on the applicant's background, and these tracks

may be further customized as appropriate. As part of the admissions process, a track is proposed for an applicant by the director of the program based on his/her prior experience. This proposal is reviewed, approved or modified by Dean's Council for each applicant accepted. Students enrolled in the program are monitored by the program director. Throughout the course of the program, several checkpoints have been placed to monitor success and progression. **Appendix II-6** provides additional detail regarding the advanced standing program.

2.3 Each student's achievement of curricular outcomes is assessed.

Assessment of student learning with respect to program objectives occurs continuously and at all levels of the curriculum. The program learning objectives (**Appendix II-1**) serve as a basis for course learning objectives, and students are assessed with respect to these learning objectives. At the course level, assessment of student learning occurs through multiple mechanisms, including:

- Written examinations
- Practical pre-clinical examinations
- Evaluations of clinical performance by clinical instructors (evaluation form in **Appendix II-4b**)
- Class participation (particularly in small group learning environments such as laboratories and integrative seminar)

A central component of the optometry program is the development of clinical skills that enable the student to participate in patient care. Student attainment of these skills is continuously and rigorously evaluated in the four-semester *Clinical Optometry* course, which has lecture and laboratory components. To achieve a passing grade in each semester of this sequence, a student must pass practical examinations.

Students participate in supervised patient care commencing in the first professional year and perform comprehensive exams starting in the spring semester of the second year. All student-patient encounters are supervised by licensed clinical faculty members who evaluate student performance. The forms used to assess student patient care at the UEC and externship sites can be found in **Appendix II-4b**. The same form is used for third- and fourth-year internal (UEC) rotations as well as externship sites (whether internal or external).

Student patient encounters are self-reported and tracked at both the UEC and externship sites using the Meditrek system. Tracking of student-patient encounters is discussed further under Standard 2.8.1.

Achievement of curricular outcomes is also assessed through analysis of NBEO results. Aggregate Statistical Performance Reports for all three parts of the exam provided by NBEO are distributed to the dean, vice president for student affairs, and department chairs. Summary data are shared broadly with the college community and are available on the college website. When indicated, a more detailed analysis is performed by the Office of Institutional Research and Planning. An example of such an analysis can be found in **Appendices II-7a** and **II-7b**.

2.4 The program employs a curriculum management plan that includes:
   a. ongoing curriculum review and evaluation processes that include input from faculty, students, administration and other appropriate stakeholders; and
   b. evaluation of all courses with respect to the defined objectives of the program.

Overview

The professional program is reviewed regularly and systematically with various assessment tools. The results of these assessments are employed to improve the curriculum and student learning experience.

Courses and tracks are evaluated regularly by the department chairs using student evaluations, meetings with the course IORs and the Curriculum Committee and sitting in on lectures. NBEO scores are also analyzed (**Appendices II-7a** and **II-7b**).

Student surveys are administered electronically (using ClassClimate) for didactic (classroom and laboratory) and clinical courses each semester by the Office of Academic Affairs. Results are tabulated and distributed to the course coordinators and appropriate department. **Appendices II-8a** and **II—8b** provide examples of the surveys employed for lecture/lab courses and clinic rotations. Examples of completed forms can be made available upon request.

The dean, department chairs, vice president for student affairs, and registrar meet with each professional class at least once a semester and as needed to hear student concerns and answer questions regarding the curriculum and other matters that may arise. Student officers also meet with the dean and department as needed to help identify challenges and provide input concerning courses, instructors, and curriculum.

Graduating student input regarding the curriculum is additionally obtained through the annual exit survey that is administered to graduating students in their final semester. An example of the survey and a summary of results are provided in **Appendices II-9a** and **II-9b**. Alumni input on curricular matters is solicited with the annual alumni survey that is administered to the class that graduated about 6 years previously. An example of the survey and a summary of results are provided in **Appendices II-10a** and **II-10b**. The results of the annual exit and alumni surveys are shared with administrative units responsible for curricular issues and oversight of academic programs. These include the Curriculum Committee, Dean's Council and Institutional Research and Planning Committee.

The professional curriculum is continuously reviewed by the Curriculum Committee and Dean's Council based on review of student assessments, exit surveys, alumni surveys, NBEO board scores and other feedback from students. The Committee meets regularly throughout the academic year. Please see **Appendix II-11a** for recent sample meeting minutes.

As described in the Faculty Bylaws, the Curriculum Committee is comprised of 14 members (nine voting):
   • Eight faculty members from the professional degree program,

- o Two elected as at large by the faculty who teach in the professional program.
  - o Four representatives with two from each of the two departments who are elected by the faculty members of their respective departments
  - o Two representatives from the University Eye Center (UEC) who are elected by clinical faculty members with assignments in the UEC.
- Four students with one student member from each of the four professional program classes, elected by Student Council. The students collectively shall have one vote. Student members must be in good academic standing.
- One representative from the Office of Student Affairs who shall serve *ex officio* (non-voting)
- One representative from Library/Information Resources who shall serve *ex officio* (non-voting)
- Terms shall be 4 years in length (including students when possible).
- All members will be limited to two consecutive terms.
- The chair of the Committee must be a voting member and shall be determined by the elected committee members.

The students have the opportunity to participate in discussions of all proposed curricular changes. They play an important liaison function by bringing curricular proposals back to their classmates for discussion and sharing the results of these discussions with the Curriculum Committee.

Evaluation of Courses with Respect to Defined Objectives of the Program
The syllabus for each course includes learning objectives (examples available on campus) that are informed by the curricular (program) learning objectives (**Appendix II-1**). These course learning objectives are reviewed annually by relevant department chair to ensure that address curricular (program) learning objectives.

Examples of Actions taken as Result of Curricular Evaluations
The curricular review process is undertaken with the goals of identifying areas that could be improved, formulating strategies for improvement and implementing appropriate changes. Several examples of curricular revisions based on these principles are given below. These were also discussed under Standard 1.3.

Low Vision
As part of the major curricular revision that was rolled out starting in 2008, the topic of low vision, which previously comprised a stand-alone course, was to be taught in several ocular disease courses in conjunction with the treatment of relevant clinical conditions. Low vision rehabilitation of the patient with age-related macular degeneration, for example, would be covered at the time the clinical management of this condition was taught.

Data from both exit surveys and NBEO examinations suggested that with this approach, student learning was falling short of expectations. For the Class of 2011, the last class to complete the

old curriculum, 27% of the exit survey respondents believed that not enough lecture/lab time was devoted to the subject[5]. This value increased with the implementation of the new curriculum with values ranging from 67% to 83% from 2012 – 2017 (exit survey data).

NBEO data were consistent with student perceptions. Performance on questions related to low vision was weak with respect to national data and SUNY student performance in other areas of the examination.

These data were presented and analyzed at meetings of the IRPC, President's and Dean's Council and Curriculum Committee. In 2014-15, the Curriculum Committee developed and endorsed a detailed proposal to address the shortcomings of low vision education. This proposal consolidates low vision didactic instruction into a single instructional unit that consists of lectures and laboratories. The proposal was approved by the Office of Academic Affairs and instituted in the 2015-16 academic year as a course entitled *Low Vision.* It is now taught in the spring semester of the third year and consists of 12 hours of lecture and 5 hours of lab.

Notably, only 15% of the Class of 2018 – the first class to take the new low vision course -- did not believe enough time was devoted to the subject, a substantial improvement over the 83% who expressed the same view in the 2017 exit survey. Although the number of items related to low vision on Part I of NBEO is quite small (only 8 in spring, 2018), students who sat for the exam in spring 2018 performed above the national average for the first time in five years. Exit surveys and NBEO performance will continue to be monitored to assess the effectiveness of this intervention.

Clinical Medicine

Prior to the recent major curricular revision, clinical medicine was taught in a two-semester course devoted exclusively to this topic. In the revised curriculum, material covered in this course was distributed throughout courses in the biological ocular disease sequences with the goal of better integrating it with related material. As was the case with low vision, student perceptions of instruction in this area, as revealed by exit surveys, fell short of expectations. For the class graduating in 2011, the final year of the old curriculum, 27% of exit survey respondents indicated that not enough lecture/lab time was devoted to the topic of general medicine. In the years subsequent to implementation of the new curriculum, higher percentages of students indicated that not enough lecture/lab time was devoted to this topic; from 2012 to 2017 the percentage ranged from 47% to 60% (exit survey data).

These data were presented and analyzed at meetings of the IRPC, President's and Dean's Council and Curriculum Committee. In 2014-15, the Curriculum Committee developed and passed a detailed proposal to address the shortcomings of clinical medicine education. This proposal consolidates much of the clinical medicine didactic instruction into a single instructional unit that consists of lectures and laboratories. The proposal was approved by the Office of Academic Affairs and instituted in the 2015-16 academic year as a course entitled *Clinical Medicine.* It is

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[5] Exit surveys were initiated with the Class of 2011.

taught in the second year of the curriculum and consists of 18 hours of lecture and 10 hours of lab. (Other material related to clinical medicine continues to be covered in related courses.) The topics covered are taught by several instructors including ODs, MDs, DOs, and NPs and involve discussion of interprofessional interactions and collaborative practice.

Only 29% of the Class of 2018 – the first class to take the new general medicine course -- did not believe enough time was devoted to the subject, an improvement over the percentage that expressed the same view in the 2017 exit survey. Although SUNY performance on systemic health items of NBEO Part I have historically been strong, these scores and exit surveys will continue to be monitored to assess the effectiveness of this intervention.

Revision of Clinical Optometry Sequence
The revision of the Clinical Optometry sequence was put into place at the start of the Fall semester for the Class of 2020 (**Appendix II-11b**). The changes in the sequence were in response to and in anticipation of changes in clinical optometric practice and in the health care delivery system. The revision process included assessment of the sequence using the ASCO *Attributes of Students Graduating from Schools and Colleges of Optometry Report* to articulate the skill set needed by graduating optometry students, results from discussions at Dean's Council, faculty meetings and conferences on optometric education, and assessment of changes in optometric care and in the health care system. The revision will be assessed via comparison of student performance on NBEO prior to and after the revision, by faculty feedback regarding student preparation for entrance to clinic, and by feedback from faculty at internal rotations and externship sites regarding student performance.

Electives in the Professional Degree Program
Consistent with the 2013-18 Strategic Plan and in response to student requests and the desire to provide more opportunity for students to customize their professional degree education by adding material they find particularly interesting and valuable to them, after several years of planning we implemented an elective program in AY 2013-14. The electives provide opportunity for deeper treatments of special topics in small group environments and may contain both didactic and clinical training opportunities. The College continues to assess student interest periodically and expands its elective course offerings accordingly. A catalog of elective courses is in **Appendix II-5**.

Expansion of the Fourth-Year Externship Program
Since at least 1995, fourth-year optometry students had typically participated in up to two off-campus clinical rotations as part of the externship program. As part of the planning process for increased student enrollment that commenced in 2012, the College analyzed patient flow at its on-campus clinic, the University Eye Center (UEC), and determined that the increased enrollment could potentially reduce the number of patients seen by students rotating through the UEC. Student exit surveys indicated strong student satisfaction with the externship program, and the number of patients seen by students at these sites was high as tracked by the Meditrek system used for this purpose. These results helped inform the College's decision to increase the number of external rotations from two to three during the 2014 – 2015 academic year. Exit surveys

demonstrate continued strong student satisfaction with the externship program, and the number of student-patient encounters at these sites remained high.

2.5 If instruction in the optometric program is shared with another program or institution, the optometric program must demonstrate primary administrative responsibility for the creation, supervision and implementation of its curriculum.

As a free-standing campus of State University of New York, the College has full authority and responsibility for all educational programs and does not share instruction with any other program.

2.6 Basic science instruction provides a foundation of knowledge in physical, biomedical and behavioral sciences essential for clinical optometric care.

Basic science instruction in the physical, biomedical and behavioral sciences is provided by the Department of Biological and Vision Sciences [pages 10 – 25 of the Course Catalog (**Appendix II-2** or https://www.sunyopt.edu/pdfs/academics/course_catalog.pdf]. Courses covering this material are taught by content experts who hold at least an OD, PhD or both. Course syllabi are posted on Moodle and will be made available on campus.

As discussed under Standard 1-3, our students consistently perform above the national average on Part I (Applied Basic Science) of the NBEO examinations. Use of these and other data for curriculum improvement are detailed under Standard 2.4, with specific examples provided.

2.7 Clinical instruction and practice consist of didactic, laboratory, and supervised clinical experience in the examination, diagnosis, treatment, and management of patients.

From the onset of the curriculum, students are directed to integrate what is being learned in the basic sciences classroom with what is seen in the clinic and to develop critical thinking and life-long learning skills. Clinical experiences begin in the fall semester of the first year when, as part of *Integrative Seminar* and *Clinical Optometry*, students observe patient care in the UEC, provide hands-on data gathering on UEC patients ("pre-testing") and participate in vision screenings.

Clinical examination, diagnosis, treatment, and management of patients are taught in pre-clinical courses in both the Departments of Biological and Vision Sciences (BVS) and Clinical Education (CE). Course descriptions may be found in the Course Catalog (**Appendix II-2**). Basic patient care and clinical procedures are covered in the four-semester course *Clinical Optometry*, which spans the first two years of the curriculum. This sequence includes both lectures and weekly laboratories (student to doctor ratio of 4:1 to 6:1) and culminates in the second half of the second-year spring semester with students performing comprehensive examinations on patients in the UEC under faculty supervision with a student to doctor ratio of about 2:1. During the second and third years, students take additional courses that develop diagnostic, treatment, and management skills in the areas of ocular and systemic disease, contact lenses, visual rehabilitation, vision therapy, pediatrics and pharmacology. Course syllabi are posted on Moodle and will be made available on campus.

First Year Clinical Experience
First year students are present in clinic in multiple capacities. They observe patient care exams as part of the *Integrative Seminar* course, are taught to work up patients in the Primary Care Clinic where they take part in pretesting sessions and may participate in internal screenings.

Second Year Clinical Experience
Second year students take part in active scribing sessions in all clinics at the UEC throughout the year as part of the *Integrative Seminar* course, may work as "super techs" performing patient work ups (for faculty, residents and upperclassmen), take part in external screenings and see patients either individually or in pairs during the latter half of the year in the Primary Care Clinic.

Third-Year Clinical Experience
Following their initial experiences examining patients in the spring semester of the second year, interns begin their experience in clinic with a single day 10-week summer rotation in Primary Care Adult or Primary Care Pediatrics in the UEC. Interns are assigned to a "pod," which consists of a full day of patient-care including charting and discussion of patient care.

Pods (Adult or Pediatric PC) composed of two faculty and six students are continued for 16 weeks each in the fall and spring semesters. Assigned times and supervising doctors are rotated every eight weeks in the fall and spring. The student to doctor ratio for third-year students in Pods is about 3 to 1. In addition to one day a week in Pods, the intern is assigned to approximately 20 sessions in an evening Primary Care Adult clinic with a student to doctor ratio of about 4:1.

In addition, third-year interns are required to choose four 4-week single session specialty rotations (including a mandatory 4-week rotation in the Eyewear Center). These specialty rotations include opportunities in nearly all the specialty and sub-specialty clinics located within the UEC. Overall, third-year students spend about 363 hours in patient care, with the vast majority in Primary Care clinic.

Fourth-Year Clinical Experience
Fourth year consists of four 12-week clinical rotations and begins with a 12-week summer rotation following completion of the spring semester of third year. At least one of the rotations is in the UEC. For the UEC rotation, students rotate through each of the three clinical services: Primary Care, Advanced Care, and Vision Rehabilitation. Primary Care includes adult primary Care and pediatric optometry; Advanced Care includes glaucoma, retina, anterior segment, contact lenses; and Vision Rehabilitation includes vision therapy and low vision. The student to doctor ratio for the fourth-year students for on-campus rotations is typically 4:1.

The three fourth-year external rotations are selected to assure that core competencies are met in the following areas: Refractive Error Evaluation and Management; Sensorimotor and Perceptual Dysfunction; Ocular Disease and Trauma; and Interprofessional Collaborative Practice. Certain of these rotations (which we call "internal externship rotations") may occur on campus at SUNY specialty clinics (advanced care, contact lenses, pediatrics and visual rehabilitation and clinical research).

Students at SUNY College of Optometry have consistently performed well on Parts II (Patient Assessment and Management or PAM) and III (Clinical Skills) of the National Board of Examiners in Optometry (NBEO). Results on the NBEO are discussed in more detail under Standard I-3.

2.7.1 Externship rotations complement, but do not substitute for, the foundational clinical experiences that must occur at sites described by Standard 8.1.1.
The foundational clinical experience is provided during third-year and fourth-year rotations through the on-campus UEC. The UEC, which is staffed by faculty members employed by the SUNY College of Optometry, is a comprehensive eye-care facility (New York Article 28 facility) located in the heart of midtown Manhattan between Rockefeller Center and Times Square. In 2017-18 it employed about 64 optometrists and 13 ophthalmologists along with one nurse, social worker and learning specialist each. In recent years, the annual number of patient visits has averaged about 70,000. More details regarding the UEC can be found under Standard 8.

The three external fourth-year external rotations are selected to assure that core competencies are met in the following areas: Refractive Error Evaluation and Management; Sensorimotor and Perceptual Dysfunction; Ocular Disease and Trauma; Interprofessional Collaborative Practice. Externship rotations are discussed under Standard 2.10.

2.8 The quantity, quality and variety of experiences in the supervised care of patients is sufficient to develop clinical competency to independently practice contemporary optometry.
At the time of graduation, the average student in the Class of 2018 had seen about 1,691 patients (on average, 24 in the second year, 172 in third year, 230 during fourth-year internal rotation and 1,265 during fourth-year external rotations).[6] For the Class of 2017, the average student saw about 1,643 patients (23 in the second year, 159 in third year, 216 during fourth-year internal rotation and 1,245 during fourth-year external rotations), and for the Class of 2016 the average student saw 1,616 patients (18 in the second year, 187 in third year, 220 during fourth-year internal rotation and 1,191 during fourth-year external rotations). For third-year students, about 63% of the patient encounters involve one student provider, and for fourth-year students about 88% of the encounters involve one student. These data are summarized in the following chart:

		Average Number of Patients Seen			
	2nd Yr Internal/Screenings	3rd Yr Internal	4th Yr Internal	4th Yr Externships[7]	Total
Class of 2018	24	172	230	1,265	1,691
Class of 2017	23	159	216	1,245	1,643
Class of 2016	18	187	220	1,191	1,616

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[6] We have recently started collecting data on first-year student-patient encounters.
[7] Four of the fourth-year externship rotation sites (advanced care, contact lenses, pediatrics and visual rehabilitation and clinical research) are on-campus clinics.

Due to the UEC's location in the nation's most populous city, as well as the diverse externship site offerings, students experience a challenging quality and variety of patient care experiences. Using Meditrek, the quantity, quality and variety of each student's patient encounters are monitored and evaluated by the 3rd year optometric clinic IOR, the 4th year optometric clinic IOR, the Director of Externships, and overseen by the chair of the Department of Clinical Education and the Clinical Education Council to ensure that each student is meeting clinical learning objectives. Additional details regarding the tracking of student-patient encounters is discussed below under Standard 2.8.1.

2.8.1 The number of patients seen, as well as diagnoses for each of these patients, are tracked and documented for each student. These data distinguish between patient encounters experienced during vision screenings, encounters in which supervised patient care was provided by one student, encounters in which supervised patient care was shared by more than one student, and encounters in which the experience was by observation only.

All students are required to use Meditrek to record all patient encounters. The entries include the diagnoses and distinguish between patient encounters experienced during vision screenings, encounters in which supervised patient care was provided by one student, encounters in which supervised patient care was shared by more than one student, and encounters in which the experience was by observation only. An example of a report for a third-year student is given in **Appendix II-12a,** and an example report for a fourth-year student is in **Appendix II-12b**.

2.9 The program has established a set of clinical competencies necessary for the contemporary practice of optometry (as set forth in ACOE standards 2.9.1 – 2.9.10) and evaluates the student's attainment of these competencies.

Expectations for student achievement of clinical proficiency for entry level practice are informed by program learning objectives and clinical core experiences (**Appendices II-1** and **II-4a**). The clinical competencies listed in this document have been operationalized through the development of a clinic grading form (**Appendix II-4b**) that is employed to evaluate student clinical performance during the third and fourth years. Expectations for performance increase as a student obtains clinical experience and advances through the curriculum. ACOE standards 2.9.1-2.9.6 & 2.9.8 are subsumed into the grading form. Moreover, the curriculum (pages 9-24 of **Appendix II-2**) addresses all these competencies.

Critical evaluation of research literature through understanding of research principles and conduct is a component of most courses in curriculum. It is included in integrative seminar, sometimes through the use of problem-based learning assignments. Students are expected to utilize empirically-based clinical care standards when managing patients and are graded on their performance (Standard 2.9.7).

Students are required to demonstrate basic life support skills for emergencies encountered in optometric practice (Standard 2.9.9), including CPR certification. In the summer of third year, interns take *Basic life support for Health Care Providers* (which covers CPR, AED, and rescue breathing for infants, children and adults) with faculty members who are certified to provide this training. Those who are unable to receive training in-house are required to obtain

training independently and provide proof of CPR certification upon completion prior to the end of the summer term. Students must demonstrate an understanding of the basic principles and philosophy of optometric practice management Standard 2.9.10) by completing a 2.5 credit course entitled *Optometric Practice in a Changing Health Care Environment*.

2.10 There are written and signed affiliation agreements between the program and its externship sites that define, at a minimum, the responsibilities of each party related to the educational program for optometry students.

A memorandum of understanding (MOU) that addresses respective responsibilities of all parties is signed by the College and each externship site. These are housed in the Department of Clinical Education office and are available for review.

2.10.1 The program has established and adheres to criteria for the selection of externship sites. These criteria address at a minimum:
- **Space and equipment**
- **Qualifications of supervising faculty**
- **Clinical privileges of supervising faculty where applicable**
- **Clinical practice guidelines employed at the site**

Selection criteria for externship sites, which include space and equipment, qualifications of supervising faculty, clinical privileges of supervising faculty where applicable and clinical practice guidelines employed at the site, can be found in **Appendix II-13a**. When sites are visited, the reviewer completes the *External Site Visit Checklist* form (**Appendix 11-13b**). Individuals who supervise students at the site are granted adjunct faculty status by the vice president for academic affairs per established policy and may be reviewed for advancement and promotion.

2.10.2 The program must monitor externship sites to ensure they are providing clinical experiences that meet the program's mission, goals, and objectives.

Externship sites are monitored using a number of mechanisms. Students are required to log each patient encounter, including demographic, diagnostic and treatment information, using the Meditrek web-based system (**Appendix II-13c**). These provide the basis for summary data for each site that are regularly reviewed by the director of externship programs. At the conclusion of a rotation, students complete (using Meditrek) a detailed evaluation of the site and the adjunct faculty at the site (**Appendix II-13d**) that is reviewed by the director of externship programs. As an additional level of oversight, site visits are conducted by the director of externships (see Standard 2.10.2.1 below).

Decisions to modify, retain or discontinue externship sites are made on an ongoing basis by the director of externship programs in consultation with the chair of clinical education taking into account student clinical experiences and feedback and any changes in site conditions or personnel. The director compares student experiences and site-specific data both within and across sites for consistency and quality. Sites rarely need to be discontinued, pointing to the overall effectiveness of the site selection and review process.

2.10.2.1 Each site must be visited by personnel designated by the program within one year of placement of the first extern(s) and thereafter on a periodic basis.
The externship program has adopted the following policy regarding visitation of externship sites:

- All SUNY Optometry Externship Sites will have an on-site evaluation by the SUNY Optometry Clinical Externship Director or a designee approved by the SUNY Optometry Clinical Externship Director and the SUNY Optometry Chair of Clinical Education within one year of placement of the first extern(s) and thereafter on a periodic basis.

- All SUNY Optometry externship site visit evaluations will be stored in the Office of Clinical Education at the SUNY College of Optometry. (The *External Site Visit Checklist* form in **Appendix II-13b**.)

- For approved SUNY Optometry Externship Sites that do not have an on-site evaluation on record in the SUNY Optometry Office of Clinical Education, a plan has been established to have the sites evaluated according to the schedule in **Appendix II-13e** by the SUNY Optometry Clinical Externship Director, or a have an evaluation obtained from a designee approved by the SUNY Optometry Clinical Externship Director and the SUNY Optometry Chair of Clinical Education.

A list of current sites with the dates of the most recent visits and planned visits can be found in Appendix II-13e.

2.10.2.2 Program approved learning objectives must be established for all externship sites, and student performance must be evaluated using these objectives.
Program-approved knowledge and skill-related learning objectives and competencies have been established for all sites (**Appendix II-13f**). In addition, site specific learning objectives/competencies are listed in this document that can be applied to a site depending on its emphasis (e.g., cornea/contact lenses, pediatric eye care, etc.). Students are evaluated using a grading form derivative of these learning objectives and competencies (**Appendix II-13g**).

2.10.3 The program must provide educational direction, including orientation, training and development, to the externship sites.
Externship sites are provided with a detailed Externship Manual (**Appendix II-14a**) that includes a history of the program, learning objectives and competencies, grading guidelines, instructions for the use of Meditrek, extern and clinical instructor responsibilities and assorted program policies and forms. (The Externship Manual provided to students is in **Appendix II-14b**.) As described in Section 2.10.2, data are collected on student-patient encounters, and students complete evaluations of the site and supervising faculty. This information is regularly reviewed by the director of externship programs with feedback provided to sites as indicated. Affiliation agreements, which are available to be reviewed on campus, detail the responsibilities of the site.

A newsletter with information and updates relevant to the externship program is sent to sites twice a year. There are plans to expand this to four times a year.

An annual Externship Expo is held at SUNY Optometry to update directors, site supervisors or their representatives on program requirements, clinical teaching expectations and guidance including instruction on assessment and calibration of grading. Feedback from site directors is used for needs assessment and to identify topics for future meetings and workshops.

The Externship Expo consists of two sessions: a) a presentation to the externship directors and site supervisors including administrative updates (presentation in September 2017 was on the "Clinical remediation of the struggling optometric student," b) a meet and greet reception where third year students meet site directors/supervisors to discuss their externship sites aiding their decisions concerning future application to externship sites.

An Externship Site Supervisor Educational Initiative (SESSEI) program, which incorporated feedback from externship site directors/supervisors, was included as part of the September 2018 Externship Expo. Please see **Appendix II-15** for the agenda. Four interactive clinical workshops were developed for site directors/supervisors. These hands-on workshops included OCT & glaucoma evaluation; integrated wavefront aberrometry and automated refracting lanes; corneal topography and specialty contact lens design; and wide-angle fundus photography and fundus auto-fluorescence.

Standard III - Research and Scholarly Activity

3.1 The program supports, encourages and maintains research and scholarly activity.

Overview

Research and scholarly activity are institutional priorities, embedded in the College's mission statement, which is to advance visual health and patient care through leadership in education, research and service. The College maintains active vision research laboratories performing basic, translational and clinical research. The new strategic plan calls for growth in the graduate and research programs to produce leaders in all areas of vision research. We are especially motivated to grow translational research that complements the College's Clinical Vision Research Center (CVRC) to promote the application of fundamental knowledge to improve patient care that will lead the profession.

The College has been successful at supporting, encouraging, and maintaining research and scholarly activity in vision and related sciences. Current research efforts generally fall into the following areas:

- Cell and molecular biology of eye and retina
- Ocular pharmacology
- Visual optics
- Visual neuroscience
- Vision and visual perception
- Clinical research

Many of the College's faculty publish regularly in premier general interest journals and high impact journals on neuroscience, eye, vision, and optometry. Research faculty at the College maintain collaborations with scientists at many other institutions and are successful at procuring grants and contracts. From 2014-2018, for example, College faculty authored over 186 peer-reviewed publications, including papers in major journals such as *Nature, Nature Communications, Nature Neuroscience, Investigative Ophthalmology and Vision Science*, and *Optometry and Vision Science*. During this period, faculty made over 200 presentations at national and international conferences and gave 62 invited lectures around the world. Data for prior years are given in **Appendix III-1**.

Institutional Support for Research

The research program is overseen by a full-time associate dean for research and graduate studies, who reports directly to the vice president and dean for academic affairs. The associate dean is supported by the office of research and graduate studies with a staff of four including 1.5 administrative assistances, a research compliance officer, and a sponsored programs officer for grants administration. All extramural grants are maintained through the Research Foundation of the State University of New York (SUNY RF). The associate dean is the Institutional Officer for SUNY RF.

Substantial College resources (exclusive of external grant funding) are devoted to the research program. Laboratory and common research space assigned for research activities is currently 14,457 SF.

The college covers a minimum of 0.2 FTE for faculty with active research involvement. Additional time is provided for graduate faculty with research grants. Faculty are not required to fund more than 30% of their base salary from their grants, but may do so to protect time. The College provides bridge funding for faculty members with histories of grant funding when there is a lapse in funding while new grant proposals are being generated.

In 2016-17, the College expended approximately $587,000 for graduate student stipends and tuition waivers, and approximately $48,000 to support students in the OD/MS program. In addition, the college holds an NIH T35 training grant that provides approximately $50,000 annually to support a research training program for optometry students. The college maintains the Biological Research Facility (BRF) for animal care, which expends approximately $300,000 annually, mostly from indirect charges and per diem costs to research grants.

In addition to these expenditures, research activities at the College are supported internally by the Schnurmacher Institute for Vision Research (SIVR), which was founded in 1983 from a generous endowment from Adolf and Ruth Schnurmacher in response to the growing need for scientific knowledge about the visual system and methods of improving visual function. The endowment and funding for the SIVR are managed by the Optometric Center of New York (OCNY), the College's affiliated foundation. The associate dean for graduate studies and research is the current director of the SIVR. With an annual budget of at least $90,000, the SIVR supports approved pilot studies for innovative translational and clinical research as well as the SIVR Colloquium Series. The series brings to the college nationally and internationally recognized researchers to lecture, meet with research faculty and graduate students. A partial list of SIVR lectures from the last 3 years is provided in **Appendix V-10** or https://www.sunyopt.edu/research/schnurmacher-institute-for-vision-research/sivr-colloquia/past-sivr-colloquia.

The College promotes its researchers and their activities and increases their visibility through a number of mechanisms including the following:
- The College is an active participant in and hosts meetings of VisioNYC, a collaborative effort of the vision research programs at Columbia, Rockefeller, Cornell, and NYU and SUNY Optometry to promote the interaction of vision scientist in New York City. Examples of programs can be found in **Appendix III-2**.
- Publications, grant awards, conference presentations, and invited talks are publicized in the College's quarterly electronic newsletter, *FY Eye* (http://www.sunyopt.edu/fy-eye-archive).
- Notable accomplishments are posted on the news banner on the College's website.
- Research colloquia and graduate student presentations are advertised on the college electronic billboards.

- An annual Scholar's Dinner is held each summer to which all faculty members, post-docs and students who have published in the previous year are invited and at which awards are given.
- Administration reliably solicits faculty nominations in response to calls for recognition by the State University of New York (e.g., Chancellors Award for Research)
- Department budgets include funding for travel and support for scholarly meetings.

Since its last accreditation site-visit, the College has continued to invest in strengthening its research program by recruiting outstanding scientists who have been able to attract federal research funding. The College was recently awarded $750,000 from the State of New York, Empire Innovation Program, which allowed it to recruit Stefanie Wohl, PhD, who conducts cell and molecular biology in retinal research. The complete start-up package for this new faculty member, including laboratory renovations and support for a technician and grant students is estimated to be about $1.6 million.

Clinical Vision Research Center
In February 2013, the College established the Clinical Vision Research Center (CVRC) in response to the decision to increase clinical research called for in the 2008-12 strategic plan. The CVRC continued as a priority in the 2013 – 2018 Strategic Plan as well.

The CVRC is led by a director and assistant director, overseeing two clinical trial coordinators, and approximately 2.4 FTE of clinical faculty time as sub-investigators. The CVRC successfully advanced clinical research at the institution and attracted over 20 funded clinical studies since its creation. In 2016-17, the CVRC generated $665,629 in clinical research expenditures and in 2017-18 it generated $1,033,897. Notably, through the creation of the clinical research program and the work of the faculty and staff who oversee and assist it, the College has new opportunities for achieving its mission through the education and scholarly development of clinical faculty, strengthening the research partnership between the College research programs and the University Eye Center, and improving patient care though evidence-based practice.

In 2018, the CVRC received a Performance and Quality Award from the Pediatric Eye Disease Investigator Group (PEDIG) for having the highest patient volume and an outstanding quality index. PEDIG is a collaborative network dedicated to facilitating multicenter clinical research in strabismus, amblyopia and other eye disorders that affect children. The network formed in 1997 and is funded by the National Eye Institute. There are more than 100 participating sites with 300+ pediatric ophthalmologists and pediatric optometrists in the United States, Canada and the United Kingdom participating in the network.
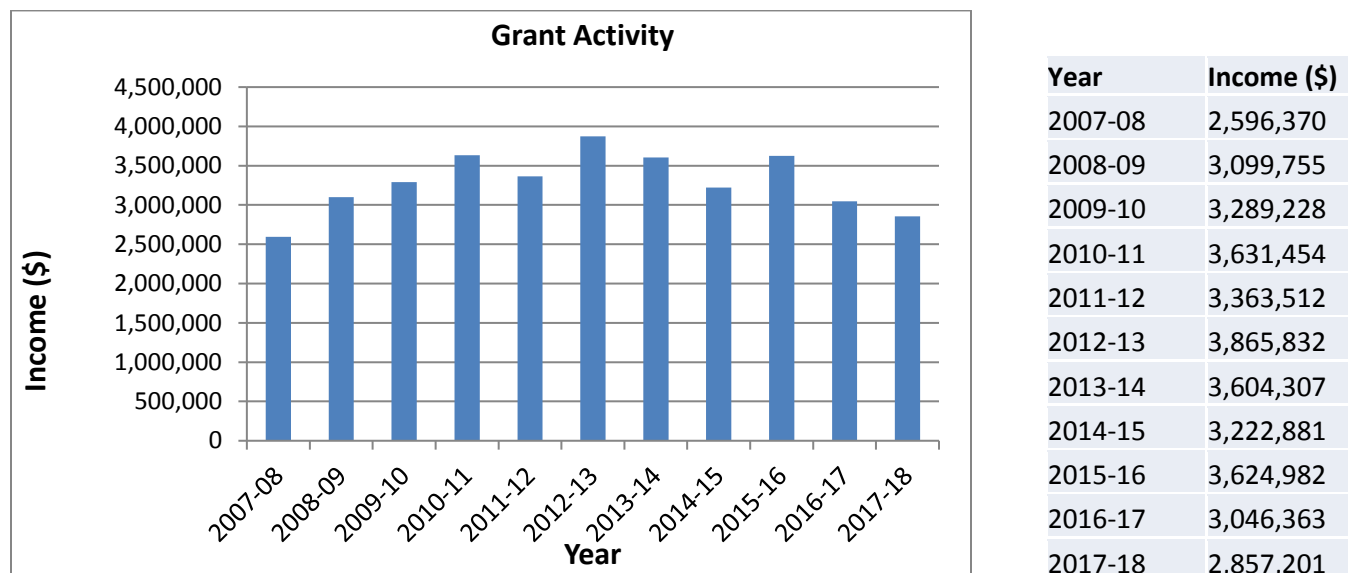
Translational Research Center
In response to public demand for clinical applications of clinical research, the College applied for and received an Empire Innovation Grant to develop a translational research center. Identified as a new priority in the 2018 – 2023 Strategic Plan, the center will be developed by integrating the College's current research programs with new construction and strategic hiring of established
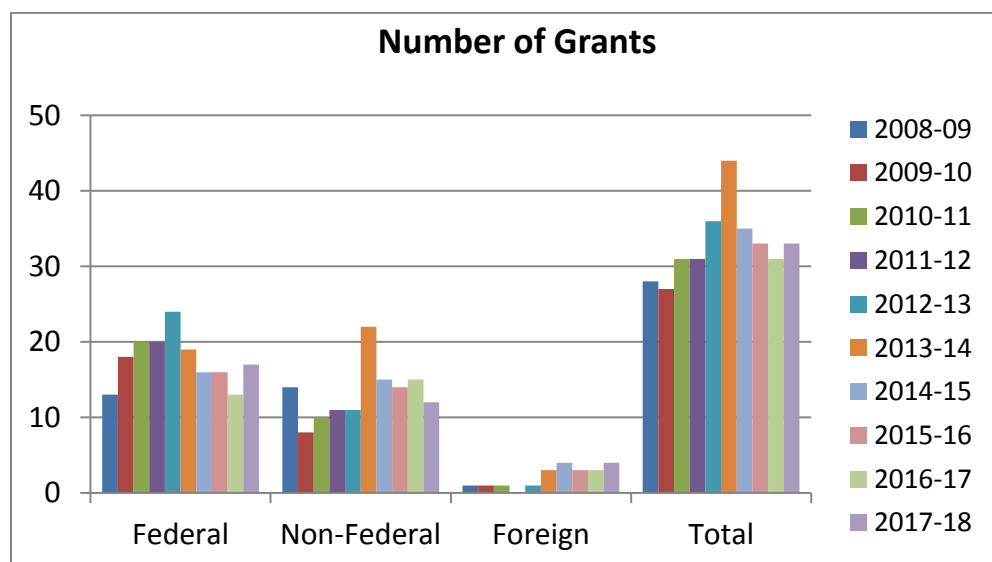
leaders in translational molecular genetic vision research. The Center will be housed in existing and newly available research space that includes shared core facilities for collaborative projects.

Extramural Research Support (Grant Funding)
The college's income from grants over recent years is shown below and also posted on Factbook.

Grant Activity

Year	Income ($)
2007-08	2,596,370
2008-09	3,099,755
2009-10	3,289,228
2010-11	3,631,454
2011-12	3,363,512
2012-13	3,865,832
2013-14	3,604,307
2014-15	3,222,881
2015-16	3,624,982
2016-17	3,046,363
2017-18	2,857,201

The College has been able to maintain grant support despite an enormously competitive federal funding environment. Although the bulk of funding comes from federal support, research grants come from a number of sources – both governmental and nongovernmental – as can be seen in the data below:

Number of Grants

	Number of Grants			
	Federal	Non-Federal	Foreign	Total
2008-09	13	14	1	28
2009-10	18	8	1	27
2010-11	20	10	1	31
2011-12	20	11	0	31
2012-13	24	11	1	36
2013-14	19	22	3	44
2014-15	16	15	4	35
2015-16	16	14	3	33
2016-17	13	15	3	31
2017-18	17	12	4	33

A listing of active grants (as of June 30, 2018) can be found in **Appendix III-3b**. Faculty at the College hold a total of 33 grants. Seventeen of these grants are federally funded, 14 from the NIH including research, clinical trial grants, and a student training grant. Twelve grants are funded by industry, and four are funded by NY state.

3.2 The program must provide opportunities for students to participate in research and other scholarly activities mentored by faculty.
The college provides several degree and non-degree mentored research opportunities for interested optometry students and residents.

OD-MS Program
Qualified first year OD students at the SUNY College of Optometry may apply for admission into the Graduate Program in Vision Science leading to the joint OD/MS degree. OD students may apply to the OD/MS program before starting the optometry program and any time during their first year in the OD Program. Research rotations may begin anytime in the first year and summer between first and second year, and students accepted into the program are matriculated into the MS degree program in the fall semester of their second year. The program is usually completed by the end of the third or during the fourth year of the professional degree program.

Elective time during the regular academic year and summers is devoted to graduate courses and research. This enables students to fulfill both OD and MS degree requirements within four years. Recent program enrollment can be found in **Appendix III-4**.

Master of Science students receive a broad education in a variety of areas of vision science as well as training in the concepts and methods used in both basic and clinical research. A total of 40 semester credit hours in courses or research is required. In addition, students must complete a thesis and oral defense. Specific curricular requirements can be found starting on page 13 of the Graduate Policy Document (**Appendix III-5** or at https://www.sunyopt.edu/pdfs/academics/GraduatePolicyDoc.pdf). The combined OD/MS degree program is designed for students interested in conducting independent, original research as an adjunct to their optometric education, including those aspiring to a career in academia.

OD-PhD program

Exceptional students in the OD-MS program may complete the PhD in Vision Science offered by the college. Completion of the program will extend past the completion of the OD program, at which time students will be enrolled as PhD students. Optometry students extending their research into the PhD are designated as fellows following graduation and are eligible for NIH programs supporting clinician-scientists (Loan Repayment and K grants).

Since 2012, 6 students with Optometry degrees have enrolled in the PhD Program, 4 have completed the PhD, and two are currently enrolled. Graduates have all attained faculty or staff positions in academia, industry, or the military. The research projects have involved ophthalmic and vision research related to traumatic brain injury, visual attention, glaucoma, and mechanisms of accommodative errors.

Combined Graduate-Residency program

The graduate-residency program is a unique two-year program that allows new graduates interested in translational and clinical research to do an ACOE accredited residency in two-years while competing the MS in Vision Science. The program is designed so that the research and residency are in complementary areas creating clinician scientists with advanced clinical competency training. The research component of the program may be extended beyond completion of the MS to complete the PhD. Residency trained optometrists extending their research into the PhD are designated as fellows following graduation and are eligible for NIH programs supporting clinician-scientists (Loan Repayment and K grants).

This program is in its third year and was recently accredited by the ACOE. Three students have been enrolled, the first graduated in 2018, the second is in his second year, and the third began the program in the summer of 2018. Current students are working on projects related to mechanisms of glaucoma and myopia control.

Other Research Opportunities for OD Students

The College holds a T35 training grant from the NIH, which funds 8 students to carry out research over a 10-week summer program. The purpose of the program is to introduce optometry

students to basic, translational, and clinical optometric and vision science research by participating full-time for ten weeks in a research project mentored by one of the fifteen members of our distinguished research faculty. Research programs of the training faculty include cell biology, ocular pharmacology, visual psychophysics, computational modeling, visual neuroscience, optics, and clinical vision science. In addition to research, trainees will attend research colloquia, graduate seminars, journal clubs, and a course in Scientific Ethics and the Responsible Conduct of Research.

It is expected that this experience will provide trainees with both technical and problem-solving skills that will inspire them to include vision research as one important component of their future career as optometrists. In the most favorable scenario, highly motivated trainees will choose to continue their research by entering the combined OD-MS or OD-PhD graduate programs in Vision Science and thereby obtain both a clinical and a research degree. Historically, nearly 80% of the students in the T35 training program have decided to continue their research projects by entering the OD/MS combined degree program.

There have been 40 students in the T-35 program over the past 5 years. They have carried out research within a wide range of optometric and vision science areas including myopia, glaucoma, traumatic brain injury, accommodative problems, visual neuroscience, color vision, eye movements, and diabetic retinopathy. Examples of presentations based on T-35 projects can be found in **Appendix III-6**.

In addition to the programs listed above, the College offers laboratory assistantships to all optometry students for non-degree research projects in active research programs. Funding is provided from college work study funds and from research grants.

Standard IV – Governance, Regional Accreditation, Administration, and Finances

4.1 The doctor of optometry program is offered by an autonomous unit organized as a school or college of optometry (within a university or as an independent entity.) This includes autonomy to manage the professional program within published policies and procedures, as well as applicable state and federal regulations.

The SUNY College of Optometry is an autonomous campus of the State University of New York, which is comprised of 64 individual campuses that are decentralized in location and administration and diversified in curricula. The overall direction of the State University is the responsibility of a 16-member Board of Trustees appointed by the Governor (and confirmed by the State Senate) who also designates the Chairperson and Vice-Chairperson. The policies of the Board of Trustees are given in **Appendix IV-1** and are also posted at http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf. The Board of Trustees is expected to comply with all legal standards for such governing bodies including any conflict of interest requirements.

A System Administration staff, headed by the Chancellor of the University, functions under the Board of Trustees and is located in the University's system offices in Albany. Each unit of the State University is headed by its own chief executive officer who reports to the Chancellor (Kristina Johnson, PhD). The College's president, who assumed the position in 2007, is Dr. David A. Heath.

The College senior administration, as delineated in the organizational chart (see **Appendix IV-2a** or http://www.sunyopt.edu/about/governance), includes the five following functional areas: Academic Affairs, Student Affairs, Clinical Administration, Institutional Advancement and Administration and Finance. Organizational charts for each of these areas can be found in **Appendix IV-2b**. Each of these is headed by a vice president who is responsible for the formulation and implementation of policies appropriate to the area. Position descriptions for senior administrators are given **Appendix IV-3a**. The two department chairs (Biological and Vision Sciences and Clinical Education) and associate dean for research and graduate studies report directly to the vice president for academic affairs).

The senior administration constitutes President's Council, which is the president's senior advisory group, and engages in wide-ranging discussion of issues important to the short- and long-term future of the College. Areas of importance may include, but are not limited to, institutional planning, budgets and resources, state, federal and external relations, operational policies and procedures for the College, assessment and quality controls and other issues that may arise. President's Council generally meets twice a month and College Roundtable, which includes members of President's Council and other managers, meets once a month.

Within the functional structure of the College, there are several advisory councils that support and advise the senior administration. A description of these councils can be found in **Appendix IV-3b**.

The operation of SUNY College of Optometry, as is the case for all other campuses of the University, is informed by a College Council whose function is described in New York State education law section 356 (**Appendix IV-4**). In accordance with this statute and the policies of the SUNY Board of Trustees, the Council advises the President on the operations and affairs of the campus. It is constituted of 10 individuals, nine of whom shall be appointed by the governor and one of whom shall be elected by and from among the students of the institution. This body plays a critical role in the selection of the campus president. The Council meets about four times per year with the president and other administrators/faculty members at which times the president provides a report on the status of the College and brings issues of importance for discussion.

The faculty governance structure is described in the Faculty Bylaws (http://www.sunyopt.edu/pdfs/academics/FacultyHandbook_091715.pdf) or **Appendix IV-5**). These bylaws are reviewed regularly and updated as needed.

4.1.1 The program adheres to written policies, including, but not limited to, conflict of interest, due process, disclosure, non-discrimination, confidentiality of records and fiscal accountability.
Pursuant to State University of New York policy, the College of Optometry is committed to fostering a diverse community of outstanding faculty, staff, and students, as well as ensuring equal educational opportunity, employment, and access to services, programs, and activities, without regard to an individual's race, color, national origin, religion, creed, age, disability, sex, gender identity, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction. Employees, students, applicants or other members of the College community (including but not limited to vendors, visitors, and guests) may not be subjected to harassment that is prohibited by law, or treated adversely or retaliated against based upon a protected characteristic.

The College's policy is in accordance with federal and state laws and regulations prohibiting discrimination and harassment. These laws include the Americans with Disabilities Act (ADA), Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, Title VII of the Civil Rights Act of 1964 as Amended by the Equal Employment Opportunity Act of 1972, and the New York State Human Rights Law. These laws prohibit discrimination and harassment, including sexual harassment and sexual violence. A nondiscrimination notice is posted on the College's website (https://www.sunyopt.edu/pdfs/hr/Non_Discrimination_Notice_03-2014_HR.pdf or **Appendix IV-6a**).

The College must adhere to all applicable equal employment opportunity, affirmative action and ADA requirements with regard to applicants for admission or employment, students, faculty, staff or patients. Policies for the University are promulgated by its Board of Trustees (see **Appendix IV-1** for BOT policies). Additional iterations of policies relative to conflict of interest, due process, disclosure, non-discrimination, and confidentiality of records are contained in the various collective bargaining agreements. There is awareness within all components of the governance structure regarding the necessity of compliance with the Americans with Disabilities Act as well

as with Equal Employment Opportunity Commission (EEOC) regulations and any other nondiscrimination regulations that apply to College-related activities.

To support its efforts to support diversification, the College has developed a Diversity and Inclusion Master Plan. The plan, which was developed with broad College input, is in **Appendix IV-6b**. The diversity and inclusion mission of the College is "To instill and celebrate diversity, inclusion, and equity in every aspect of the College's operations." This mission will be accomplished through the creation of a supportive learning and working environment built on understanding, acceptance, respect, and valuing the beliefs of other cultures, religions and identities.

The agreement between the State of New York and United University Professions (UUP) covers non-discrimination, grievance procedures, discipline and due process (**Appendix IV-7**). Administrative personnel and faculty members who earn over a designated amount per year or have fiscal responsibilities must complete an online State ethics form that would identify conflicts of interest. The College is subject to state audits and is required to submit annual reports documenting the implementation of many policies and procedures, such as the provision of education/training on domestic violence and public safety.

As part of its compliance activity, as well as its commitment to diversity in all its programs, the College has a faculty-student Committee on Affirmative Action and Cultural Diversity that is composed of faculty, staff, students and the Director of Personnel (ex officio). The Committee addresses issues related to the promotion of cultural diversity and equal opportunity for all of the College's constituencies and makes recommendations in this regard. The Director of Personnel serves as the College's affirmative action officer, and Dr. Guiherme Albieri, SUNY Optometry's vice president for student affairs, serves as chief diversity officer.

Policies governing academic freedom and the protection of intellectual property can be found in the policies of the Board of Trustees of the State University of New York (**Appendix IV-1**). These issues are also addressed in the agreement between the faculty union (United University Professions) and State of New York (**Appendix IV-7**).

The college website includes a page devoted to copyright policy and guidelines (http://www.sunyopt.edu/library/resources/copyright_guidelines_and_resources or **Appendix IV-8**). The Library Director, who serves as the Copyright Officer, is also a resource and is available to discuss fair use of copyrighted materials. A program of electronic reserves for courses in the professional program using Moodle (the college's learning management system) was recently initiated by the Library Director. Copies of articles and other copyrighted materials that are required readings are made available within the course space in Moodle and carry appropriate copyright designations. Only students enrolled in the course have access to these materials and only for the duration of the course. As a way to remind and emphasize copyright policies, signs and notes are posted in various locations (especially in the Library), and there is a "copyright resources" section on the Library website. Violations of copyright and other policies concerning

intellectual property rights are considered as unethical behavior. If the violation involves a student, it would be investigated by the Judicial Committee.

Policies concerning patents, inventions and other intellectual property are developed by faculty members can be found in the policies of the Research Foundation. The Technology Transfer Office of the Research Foundation is charged with assisting in the preparation of patent applications and monitoring patent payments. The operations manager for the Research Foundation at the campus is the College vice president for administration and finance, who is responsible for assuring that the campus is in compliance with the policies of the Research Foundation.

All policies with regard to student records conform with the Family Educational Rights and Privacy Act (FERPA). Specific policies intended to supplement the rights and assure the safeguards provided by FERPA and to clarify student records policy at the SUNY College of Optometry are posted at https://www.sunyopt.edu/pdfs/academics/SUNYOpt_FERPA.pdf (or **Appendix IV-9**).

With respect to fiscal accountability, the College follows the State University of New York *Policies and Procedures*. A *Guide to Financial Operations* issued by the New York State Office of the Comptroller details the requirements of State agencies relating to procurement, accounting, revenue, appropriations, internal control and general financial management. Fiscal accountability is discussed in more detail under Standard 4.6.1.

4.1.2 The program is conducted and organized in such a way as to facilitate open communication among administrators, faculty, students, staff and other constituencies.
Open and candid communication between administration and the faculty, staff and students is a high priority. An important vehicle for communication is the monthly College electronic newsletter FY EYE. This newsletter reinforces the College's strategic priorities and progress with respect to these priorities while also informing the community of institutional and faculty/staff/student accomplishments and building a sense of community. Copies of FY EYE are archived on the College's Web site at http://www.sunyopt.edu/fy-eye-archive. An example can be found in **Appendix IV-10**.

To keep the College community abreast of University and College developments, the president holds College meetings open to all faculty and staff three or four times per year. At these meetings, vice presidents and other administrators may report on their areas. The winter meeting is reserved for the president to make his *State of the College Report* to the community. These reports and the video of the most recent Address can be found at http://www.sunyopt.edu/offices/institutional-research/state-of-the-college-addresses, and an example can be found in **Appendix IV-11**.

Faculty meetings are held quarterly. During these meetings, the president and vice president for academic affairs, associate dean for research and graduate studies and department chairs provide updates on developments in their areas. Other administrators also frequently provide updates as appropriate.

The College's committee structure as described in the Faculty Handbook (**Appendix IV-5** or http://www.sunyopt.edu/pdfs/academics/FacultyHandbook_091715.pdf) facilitates communication amongst administration, faculty, staff and students. All appointed committees include faculty and staff and several include students. Certain of the elected faculty committees (e.g., Curriculum Committee and Committee on Educational Policy) also have student members. Elections for faculty committees are generally competitive, which is suggestive of the value that faculty members place in the usefulness of these committees.

The faculty governance organization is actively engaged with the administration. The president and dean meet periodically with the Faculty Executive Committee (FEC) and make themselves available as needed. Agenda items may be put forth by FEC or the president/dean.

College administrators regularly and frequently meet with students and student officers. This is discussed in more detail in Standard VI.

4.1.3 The institutional structure clearly assigns authority and responsibility for the hiring, on-going evaluation, retention and discharge of the program's chief executive officer.
Per Article IX of the Policies of the Board of Trustees (**Appendix IV-1** or http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf), the hiring, on-going evaluation, retention and discharge of the College's president, who serves as its chief executive officer, are solely within the purview of the University's Board of Trustees upon the recommendation of the Chancellor of the University. The current policy for evaluation of the campus presidents is given in **Appendix IV-12**.

4.2 The program must be conducted at an institution that is accredited by a regional accrediting body recognized by the U.S. Department of Education or is recognized by a provincial ministry of education in Canada.
Middle States Commission on Higher Education (MSCHE), a regional accrediting body recognized by the U.S. Department of Education, reaffirmed the accreditation of SUNY State College of Optometry at its November 17, 2016 session based upon the College's Periodic Review Report that was submitted in spring, 2016 (**Appendix IV-13**). The MSCHE review of the PRR can be found in **Appendix IV-14**, and a copy of the institutional accreditation letter from MSCHE, dated November 18, 2016, is in **Appendix IV-15**. Accreditation status can also be found on the MSCHE Web site (https://www.msche.org/institution/).

4.3 The program's chief executive officer or chief academic officer must have a professional optometric degree, and both must be qualified by education, training and experience to provide leadership in optometric education, scholarly activity, and patient care.
Dr. David Heath is well qualified by education and experience to serve as the College's chief executive officer. He is a graduate of Ithaca College and received his doctor of optometry degree from and completed his residency with The New England College of Optometry. He subsequently earned a masters degree in Education (concentration in Administration, Planning & Social Policy) from Harvard University. Dr. Heath served as Dean and Vice President for Academic Affairs at

the New England College of Optometry for 13 years immediately prior to becoming SUNY College of Optometry's third president in June, 2007. The president's curriculum vitae can be found in **Appendix IV-16**.

The chief academic officer, Dr. David Troilo, joined the college as vice president and dean for academic affairs in July, 2008. Dr. Toilo received his PhD in biology from City University of New York and completed post-doctoral work at Oxford and Cornell Universities. He subsequently joined the faculty of The New England College of Optometry where he taught biological sciences, directed the graduate program in vision sciences, and conducted research on myopia funded by the National Eye Institute (NEI). Dr. Troilo continues to maintain an active research lab at SUNY and participates in teaching in the professional and graduate program. The dean's curriculum vitae can be found in **Appendix IV-17**.

4.4 There must be a clear definition of the chief executive officer's authority and responsibility for the program.
The president's authority and responsibility for the College is clearly delineated in Article IX of the SUNY Policies of the Board of Trustees (**Appendix IV-1** or http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf), which states as follows:

The chief administrative officer of each college shall be responsible to the Chancellor and the Board of Trustees for, and shall administer, the college for which he or she serves, and shall promote its development and effectiveness. The chief administrative officer shall supervise the members of the professional and non-academic staff of such college and shall appoint or recommend to the Chancellor and the Board of Trustees persons for appointment as members of the professional staff of the college. The chief administrative officer shall prepare and recommend the annual budget requests of the college and shall report and make recommendations to the Chancellor and the Board of Trustees and the college council concerning the operation, plans and development of the college. The chief administrative officer shall make all appointments of employees to positions at the college in the classified service of the civil service of the State.

4.4.1 The program's chief executive officer must have the authority and responsibility for fiscal management of the program.
As described above under Standard 4.4, the policies of the SUNY Board of Trustees (Article IX) charge the president with the fiscal management of the campus and its programs. The president works closely with the vice president for administration and finance, a member of President's Council, in the management of the College's financial resources.

4.5 The program must utilize clearly defined reporting relationships, performance expectations, and assessment procedures for all administrators.
Reporting relationships are delineated in the College's organizational chart (http://www.sunyopt.edu/about/governance or **Appendix IV-2**). The responsibilities of senior administrators can also be accessed from this this site and are given in **Appendix IV-3**. Prior to

appointment, credentials are reviewed to ensure they meet the standards established in the University's classification description for the administrative position.

Members of senior management are classified by the University as management/confidential. Appointees to these positions serve at the pleasure of the president. At the beginning of the academic year, performance expectations are negotiated between the administrator and his/her supervisor and formalized using the form in **Appendix IV-18a**. As indicated in the form, expectations are linked to goals in the College's Strategic Plan.

Based on the performance expectations described above, annual management goals, which are linked to the College's strategic plan, are summarized by the president in the form of Institutional Goals and shared with the College community at https://www.sunyopt.edu/offices/institutional-research/annual-institutional-goals. Examples are given in **Appendix IV-18b**. At the beginning of the subsequent academic year, the employee prepares a performance document detailing his/her activities and progress on the previously established expectations and meets with the supervisor to review the progress made (**Appendix IV-18a**). The outcomes of these meetings serve as a basis to establish the following year's performance expectations.

4.6 The program must demonstrate that it possesses the financial resources required to develop and sustain the program on a continuing basis and to accomplish its mission, goals and objectives.

Working under the supervision of the College's President, the fiscal and administrative management of the College is overseen by the Vice President for Administration and Finance (VPAF). The VPAF is responsible for the areas of general institutional services, human resources, business affairs, budgeting, management services (facilities and security), information technology, internal control/risk management and capital projects.

Support for the College comes directly from the State of New York through the budget of the State University of New York. As with much of public higher education, the degree to which State appropriations coming from general tax revenues covers the cost of campus operations has been impacted by mandated cost increases, such as collective bargained salary increases and inflation. As such, the College, as other colleges within the State University of New York, has looked towards other sources of funding to meet their needs. The College's income, other than from direct state appropriation, comes mostly from the following sources:
- Tuition and fees
- Research grants
- Clinical income
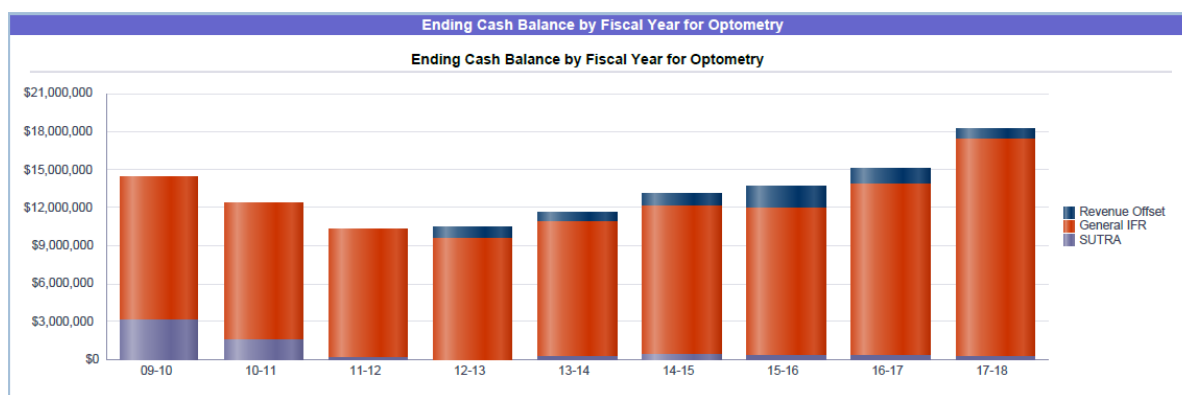- Philanthropy (via the College's affiliated foundation)

During the past three years, the College has received a level, year-to-year, amount of taxpayer support and has been able to fund its additional needs through self- generated sources of revenue. The College increased its resident tuition rate by 4% in 2017-18 and 3% in 2018-19, and its non-resident rate by 2% and 1% for those years. Its instructional costs increased 19% between

2014-15 and 2016-17, much of it due to salaries and associated New York State fringe benefits.   Fiscal challenges have been met by placing a greater emphasis on other sources of funds, such as clinical care, research and philanthropy as well as strategic expense budgeting.

Since no single source of funding fully supports the College, it is necessary to budget on an "all funds" basis. In order to do this in a meaningful way, the College must generate campus-based revenue to augment diminishing levels of State support to an extent that is sufficient to fund its on-going spending needs and build reserves for the future. Maintaining positive fund balances is essential to this process. Over the last several years, the College has been able not only to maintain but also to grow its fund balances to over $18M as of 6/30/18 (see chart below). This has enabled the campus to make continued progress in achieving the goals and objectives set forth in its strategic plan. Looking to the future, the College will continue its "all funds" budgeting, growing revenue where possible and adjusting spending accordingly, in order to maintain normal operations and to preserve the positive fund balances needed for both planned growth and dealing with uncertainty. IPEDS budgetary data are given in **Appendix IV-19**.

The College has maintained a strong program to rehabilitate and renovate its facilities. In the past few years, it has constructed improved student spaces, including a fitness facility, state-of-the-art instructional spaces, and meeting/seminar rooms (see Standard 7). A major renovation of the ground level floor has recently been completed. Currently, the College library is being upgraded, and a new and future-looking pediatric unit is in design with construction funding committed.

An indication of the College's fiscal strength is its fund balances, which are reserve funds that can be used to support its priorities. Fund balances for recent years are given below:

Ending Cash Balance by Fiscal Year for Optometry

Tuition and Fees
Total revenues from tuition and fees for 2015-16 and 2016-17 are $10.9 million and $11.9 million, respectively. Tuition is currently determined by the University's Board of Trustees upon the recommendation of the campus. In-state and out-of-state tuition are, respectively, $29,240 and $50,150 per year for the optometry program and $11,090 and $22,650 per year for the graduate program (2018-2019 academic year). Most full-time PhD students receive a tuition waiver and stipends for teaching or research assistantships. Most part-time MS students are also full-time

students in the optometry professional program and, as such, are not charged additional tuition for graduate courses. The College incurs the cost of tuition for graduate courses. Significant changes in enrollment are not anticipated for any of the College's programs.

Income from Research Grants
Total income (direct and indirect costs) from research grants for 2015-16, 2016-17 and 2017-18 are $3.6 million, $3.0 million and $2.9 million respectively. Grant activity is managed through the Research Foundation (RF) of the State University of New York, which computes and negotiates the indirect reimbursement rates paid by granting agencies. Current rates, through 6/30/22, are 62% of modified total direct costs for most federal awards and 71% for non-federal awards. Additional information on research grant activity can be found under Standard III.

The College maintains a relationship with the RF central office that facilitates financial and operational compliance with sponsored programs issued through federal and state funding agencies, foundations and industry. The RF provides critical financial and accounting services and reports as well as management and training for administrators and principal investigators and legal and intellectual property management services.

Clinical Income
Built into the College's budget is an expectation for clinical income from the operations of the University Eye Center (UEC). This income is derived from patient fees (self-paid) and reimbursement from Medicaid, Medicare and a variety of health care third party plans, as well as income from contractual relationships with various satellite locations. For 2015-16, 2016-17 and 2017-18 total revenues from these sources were $8.0, $8.6 and $10.4 million, respectively.

Philanthropy
A major source of philanthropic activity has been through the campus-related foundation, the Optometric Center of New York (OCNY), which has raised (including interest and dividends) an average of about $1,851,415 annually from FY 2014-15 to FY 2017-18. The Foundation's total assets as of June 30, 2017 equaled $11,011,641. The Foundation is currently conducting a mini-campaign in support of a new pediatric unit on the building's 10th floor and anticipates the launch of a major gifts campaign to celebrate the College's 50th anniversary in 2021.

4.6.1 The program must utilize sound and generally accepted financial management procedures to assure effective monitoring, control and accountability of its fiscal resources.
As stated in the College's Assessment Plan, resource allocation is driven by the College's mission, goals and objectives. When submitting annual budget requests, vice-presidents are required to justify each request by linking it to a specific component of the strategic plan. The budget request form completed annually by area heads can be found in **Appendix VII-5**.

As a state-operated entity, the College is subject to the rules, regulations, operating and audit procedures that govern other New York State agencies. Information systems with regard to financial operations (purchasing, payroll, personnel, etc.) are linked to the SUNY system-wide network, the Office of the State Comptroller and the Department of Civil Service.

The College follows the State University of New York *Policies and Procedures* (https://www.suny.edu/sunypp/ or **Appendix IV-20**. The A *Guide to Financial Operations* issued by the New York State Office of the Comptroller details the requirements of State agencies relating to procurement, accounting, revenue, appropriations, internal control and general financial management (http://www.osc.state.ny.us/agencies/guide/MyWebHelp/ or **Appendix 21**). The College provides departmental managers access to a SUNY system-developed monitoring tool Business Intelligence (BI) on the SUNY portal, wherein the managers can view the accounts under their responsibility.

The State Comptroller audits, on a cyclical basis, each State agency. Audits that focus on specific areas are also conducted regularly by SUNY System Administration. Since SUNY State College of Optometry is part of the State University of New York's system, it does not have campus-specific audited financial statements or management letters. Typically, campuses within SUNY do not have audited financial statements or management letters. The College is held accountable within the systems of the University and State of New York. All campus fiscal information is fed to the SUNY Controller's Office who compiles the campus information with others within the SUNY system to produce consolidated financial statements which are then audited by an independent auditor. The information is available in the integrated post-secondary education data system (IPEDS) database.

The State University of New York State College of Optometry is financially sound. Its all-funds financial condition, as evidenced by IPEDS data (**Appendix IV-19**) for the period FY 2012-13 through FY 2016-17, indicates steady growth in *Total All Revenues & Other Additions.* These data also indicate that *Total Expenses & Deductions* track revenues appropriately; spending is kept to within the institution's available resources.

The Internal Control Act, more specifically referred to as the *New York State Governmental Accountability, Audit and Internal Control Act* (originated in Chapter 814 of the Laws of 1987, then made permanent in Chapter 510 of the Laws of 1999), requires that all State agencies, including SUNY, institute a formal internal control program. Internal controls are designed to promote performance leading to the effective accomplishment of an organization's goals and objectives. Additional information can be found on the College's website (http://www.sunyopt.edu/offices/internal-control/internal-control-act-of-1987 or **Appendix IV-22**).

Standard V – Faculty

5.1 The number, qualifications, expertise and experience of faculty members must be sufficient to meet the stated mission and goals of the program.

In AY 2018-19 the College employed about 70 full-time and 39 part-time paid faculty members for a total of approximately 81.4 FTE (**Appendices V-1** and **V-2**). Faculty data are updated annually and posted on Factbook (https://www.sunyopt.edu/offices/institutional-research/factbook).

This census does not include non-compensated faculty at externship sites or librarians. It compares favorably with faculty numbers for other schools and colleges of optometry as reported in Association for Schools and Colleges of Optometry (ASCO) surveys. The high number of faculty at SUNY may be attributed to its large campus-based clinical care facility and research program and numerous contracts with health-care facilities in the New York Metropolitan Area.

Faculty members have primary appointments in either the Department of Biological and Vision Sciences, Department of Clinical Education or the University Eye Center (UEC) and may have secondary appointments in the departments or UEC services. Faculty appointments may either be qualified (e.g., clinical and some research appointments) or non-qualified rank (tenure-track/tenured). Per SUNY Board of Trustee policies (**Appendix IV-1**), qualified appointments are not eligible for tenure, but may be renewed indefinitely.

Faculty members have academic qualifications appropriate to their responsibilities. Basic science courses are generally taught by faculty members who hold doctorates in a related field, and many have participated in post-doctoral research training. Clinical courses are taught by ODs (with some lectures given by MDs) and clinical supervision in the UEC is provided by New York State licensed clinicians who are credentialed by the University Eye Center (UEC). **Appendix V-3** gives the distribution of faculty degrees. For AY 2017-18, 10 faculty members hold a PhD, 7 both an OD and PhD, 80 an OD, and 8 both an OD and MS. This census does not count 13 attending ophthalmologists in the UEC. A list of faculty members showing rank, degrees and institutions rewarding these degrees can be found in **Appendix V-4**. Faculty CVs will be available on site for review upon request.

The College recognizes the challenge it faces in recruiting and retaining highly qualified, full-time faculty members, particularly those with clinical qualifications, in one of the highest cost-of-living cities in the world. On a periodic basis, the College performs a detailed faculty salary analysis that examines salaries at the various ranks and compares them with national and local data. Please see **Appendix V-5** for the most recent analysis. As can be seen from these data, the College has made a concerted effort to increase salaries for entry level faculty members (assistant professors) that has resulted in an average salary increase of 23% from 2012-13 to 2016-17, considerably above the comparable ASCO increase of 12%. It should be noted that the fringe benefit ratio provided by the College (63.89% for full-time faculty members in 2017-18) compares favorably to that of peer ASCO institutions.

The quantity and quality of faculty members is sufficient to allow the College to meet its educational, research and service missions. The student to faculty teaching ratios in laboratories

ranges from 12 to 1 to 6 to 1 depending on the course requirements. For third-year clinics, the student to faculty ratio is 3-4 to 1 and for fourth year it is 4 to 1.

As evidenced by the growth in extramural research funding over the past decade or so (**Appendix III-3a**), there are sufficient faculty resources to provide those faculty members with research credentials adequate release from teaching and administrative responsibilities for research. Faculty research assignments in the Clinical Vision Research Center provide between 0.1 and 0.4 FTE. Faculty with other research responsibilities typically get a minimum of 0.2 FTE for research, which can be extended with salary offset from research grants. Accordingly, several faculty members have up 0.6 FTE for research currently.

5.1.1 Faculty members must hold an earned terminal degree or first professional degree from an institution accredited by a recognized agency or its foreign equivalent or have certification or licensure related to their primary instructional assignment.

Prospective faculty are reviewed by a search committee comprised of faculty with experience appropriate for the search, and who review the degrees and credentials of all candidates. No candidates without earned or professional degrees from recognized and accredited institutions are considered for qualified or tenure track positions.

Curriculum vitae and letters of reference for hired faculty are maintained in the Office of the Vice President for Academic Affairs and the highest degree is verified. All faculty are asked to update their credentials and activity annually. A list of College faculty, degrees and institutions attended can be found in **Appendix V-4**.

For clinical faculty, as published in the University Eye Center (UEC) Policy and Procedures Manual (Policy C-12 and Appendix 6 in Self-Study **Appendix VIII-6**), it is the policy of the UEC to ensure that each health care provider is initially credentialed and subsequently re-credentialed on a bi-annual basis. In addition to requiring a copy of state licenses and certificates, the applicant is required to produce a copy of his/her diploma from an accredited school or college of optometry. The application is then reviewed by a credentialing specialist, and the provider's information is entered into the credentialing database system for tracking and reporting purposes. Initial primary source verification is conducted utilizing the primary or an NCQA approved verification source. The following items are verified: a current valid license or certification to practice in New York; the status of clinical privileges at any hospitals listed by the provider; education and training; board certification; history of professional liability claims; and Medicare/Medicaid sanctions by querying the National Practitioner Data Bank.

5.2 The program must demonstrate an effective mechanism for faculty participation in decision-making related to the optometric education program.
The roles and responsibilities of the Faculty in College governance are given in the Faculty By-laws published in the Faculty Handbook, which is available on the college web site (https://www.sunyopt.edu/pdfs/academics/FacultyHandbook.pdf or **Appendix IV-5**). This document details the various faculty elected committee structures upon which faculty

governance is organized. The current composition of elected and appointed committees can be found in **Appendix V-6**.

The elected Faculty Executive Committee (FEC), which consists of the presiding officer, presiding officer elect, secretary, faculty senator, faculty senator alternative, professional program representative and graduate program representative, is responsible for representing the faculty and facilitating communication between faculty (either through standing faculty committees or the members of the faculty) and the college administration (president, dean, and vice presidents). The FEC reports to and consults with the dean and vice president for academic affairs, but may also seek consultation with the president at any time. The specific responsibilities of the FEC as published in the bylaws are to:

- Call and conduct quarterly meetings of the faculty. Additional meetings may be held at the call of the faculty presiding officer, or at the request of 10 or more members of the voting faculty. All requests must be made in writing and presented to the faculty presiding officer.
- Meet regularly to discuss and conduct faculty business
- Monitor the functioning of the faculty elected committees, and include reports of these committees on the agenda of faculty meetings
- Serve as representatives to the Faculty Student Association (The FSA is a related corporate entity established primarily to support student organizations and to facilitate student/faculty activities.
- Work with the vice-president for academic affairs to assure the Faculty Handbook is updated annually
- Facilitate the conduct of elections of faculty-elected committees in accordance with each committee's membership as described in the appendices

At the regularly scheduled quarterly faculty meetings, which are designated on the College's semester calendar (**Appendix VI-21**), each elected faculty committee is expected to summarize its activities. Attendance at faculty meetings is good (approximately half of full-time faculty). Examples of minutes are available on campus for review upon request.

The Faculty Development Committee has taken an active role in the development of agenda for annual faculty retreats, which have addressed core faculty issues such as faculty development, teaching methods, evidence-based practice, communication, and strategic planning. The agenda for the 2018 retreat held off campus at the IBM Learning Center in Armonk, NY can be found in **Appendix V-7a**. In addition, the Faculty Development Committee has played an important role in providing programs for faculty development. In recent years these have included special interest journal clubs, workshops on test creation, and dealing with test anxiety in students.

The Curriculum Committee and Educational Policy Committee plays active roles in program development by responding to program initiatives proposed by the administration (through Academic Affairs working with the department chairs) and putting forward faculty and committee proposals. Examples of curricular revisions are detailed under Standard 2.4.

Participation in faculty governance is encouraged and may be considered in decisions regarding promotion, tenure and the awarding of discretionary raises. The policy document on tenure and promotions emphasizes active service (see *CPQ Policy Document* on page 45 of **Appendix IV-5** or at https://www.sunyopt.edu/pdfs/academics/FacultyHandbook.pdf).

Academic Affairs conducted a major survey on faculty satisfaction in 2017. The survey was conducted by the Collaborative on Academic Careers in Higher Education (COACHE). This survey tool is independently administered, and the data are collected by the COACHE center at the Harvard School of Education. The data are anonymous, and the results reported are benchmarked against comparable educational institutions (**Appendix V-7b**).

The process began with the formation of a local COACHE team at the college to discuss question selection and comparison institutions for benchmarking. The local team was made up of a broad representation from the college community and included:

> Chief of Adult and Pediatric Primary Care
> Chief of Advanced Care
> Chief of Vision Rehabilitation
> Chair of the Department of Biological and Vision Science
> Chair of the Department of Clinical Education
> VP and Dean for Academic Affairs
> Members of the Dean's Council
> Associate Dean for Graduate Studies and Research
> Director of Institutional Research
> Associate Director of Human Resources
> Director of Communication
> Academic Programs Coordinator
> Faculty Presiding Officer
> Chair of the Faculty Development Committee
> Members of the Faculty Executive Committee

The COACHE survey is designed for and conducted on all full-time tenured, tenure track, and non-tenure track (clinical) faculty at the college. Participation rate was 92% of all eligible faculty. (A second survey with the same questions was developed and administered to part-time faculty. Participation rate was 50%.)

Survey items are categorized into 8 main categories including: Nature of Work, Resources and Support, Collaboration and Mentoring, Tenure and Promotion, Leadership, Governance, Department, and Appreciation. There are multiple sub-categories in each for deeper analysis. Results are analyzed by effect size on a Likert Scale of satisfaction.

Survey results were made available in spring 2018 and were shared first with the local COACH team and then with all faculty at two fall, 2018 *ad hoc* faculty meetings for the specific purposes of reviewing and discussing the results. A round-table discussion meeting was held with tenured

faculty members on October 15, 2018 to discuss key items affecting this group. Additional faculty meetings will be scheduled for particular constituencies (e.g., non-tenured faculty) identifying specific issues needing improvement (e.g. leadership, collaboration, promotion) and to discuss perceptions, opinions, set priorities and identify appropriate actions.

5.3 The program must allocate adequate time and resources for faculty to enhance their skills and leadership abilities in education, service, research and scholarly activity, and patient care.

Faculty assignments take into account each individual's teaching, administrative, clinical, and other contributions to the college and are reviewed annually with the faculty member's primary supervisor. The following guidelines are used for the calculation of effort for various faculty assignments (where 10% effort is equivalent to roughly one-half day per week):

Activity	FTE (Per Cent of Effort)
1 lecture hour per week (including prep time)*	10
3 hours lab per week (including prep time)	10
Lab organizer	10
Administrative session	10
Admissions committee	10
1 Clinic session	10
Research/scholarship/ /special project session	10
Faculty Development session	10

*For a course coordinator, credit is given for the total number of lecture hours.

All full-time faculty receive one development session per week (0.10 FTE each for a total of about 6.1 FTE overall) and may apply, through their primary supervisor, for additional time to work on research/scholarly activities or administratively approved special projects. A copy of the template used to calculate faculty effort may be found in **Appendix V-8a** and examples of effort assignment forms with pay distributions to specific college personnel accounts are available on campus upon request.

All graduate faculty members are expected to develop and maintain productive research programs that involve optometry and graduate students. The percentage effort assign to research, teaching, clinic and service is determined by annual negotiation between the faculty, the primary supervisor and the vice president for academic affairs and depends on success in obtaining research grants. Graduate faculty are not required to fund more than 30% of their base salary from their grants, thereby allowing grant funds to be used for postdocs, graduate students, and other direct costs. The College provides externally funded PIs supplemental funds for discretionary use equivalent to 5% of the indirect (facility and administration) costs generated by grants. The administration also provides bridge funds for funded researchers for consumables and staff for up to two years when necessary to continue productive research programs between

grants. Start-up funds for laboratory construction, equipment, and project support are made available to new tenure-track faculty with research programs negotiated at the time of hiring.

Information Technology support is provided at the college for teaching, research and patient care activities (e.g., Moodle LMS, TurningPoint assessment software, ExamSoft assessment software, Scantron assessment software MediaSite video capture, Meditrek, and NextGen EHR). Full-time faculty members are provided with office space, telephone, computers with supporting software, and desktop support. Computers are upgraded and replaced as needed.

Various faculty development programs and journal club meetings are offered throughout the year. The Faculty Development Committee takes an active role in developing these programs to enhance faculty skills and knowledge. **Appendix V-9a** lists recent faculty development programs and **Appendix V-9b** lists recent clinically oriented journal club meetings.

All faculty members are encouraged to attend and participate in scientific conferences and professional meetings to further develop knowledge and skills and to present research findings. Faculty development funds are available to support faculty travel to these meetings. Funding for travel can also be obtained through the Individual Development Awards Program sponsored by the New York State/United University Professions Joint Labor Management Committees.

Faculty are provided continuing professional education programs at discounted rates (50% reduction) for certain programs while for others there is no charge. Faculty members who wish to pursue formal education to improve their educational backgrounds are eligible for tuition assistance (website).

All faculty members are encouraged to attend the Schnurmacher Institute for Vision Research (SIVR) colloquia, which features presentations by graduate students and prominent nationally and internationally recognized investigators. Colloquia for recent years are listed on the College's web site (http://www.sunyopt.edu/research/schnurmacher-institute-for-vision-research/sivr-colloquia or **Appendix V-10**). Faculty members with clinical credentials who attend these colloquia are provided with credit toward meeting continuing education hours required to maintain UEC clinical privileges.

Tenured faculty members are eligible for sabbaticals after 6 consecutive years of service. The College's sabbatical policy can be found in page 93 of the Faculty Handbook, which can be found in **Appendix IV-5** or at https://www.sunyopt.edu/pdfs/academics/FacultyHandbook.pdf. Per policies of the SUNY Board of Trustees, full salary support is available for sabbaticals of one-half-year duration, while one-half salary support is available if the sabbatical's duration is one year. With prior approval, faculty members may supplement salaries up to their full salary.

5.4 The program must use a faculty evaluation process that establishes goals and assesses performance of each faculty member.
Each faculty is assigned a primary supervisor who is responsible for faculty supervision, evaluation, and facilitating faculty development to achieve professional goals. Faculty are

expected to meet with their supervisor at least annually to review activities from the preceding year, establish goals for the current academic year, and identify ways to facilitate those goals. During these meetings, faculty and supervisor are expected to discuss teaching and clinic assignments for the upcoming year and formulate formal requests for assignment changes. Examples of forms completed by faculty members in the Department of Biological and Vision Sciences, Department of Clinical Education and UEC may be found in **Appendices V-8b**, **V-8c** and **V-8d** respectively.

If an individual faculty performs functions in multiple areas within the College, the primary supervisor seeks input from other supervisors who interact with that faculty so that a comprehensive annual review occurs. These various sources of information, including the faculty's curriculum vitae and list of publications/accomplishments over the past year, are used by the primary supervisor in making recommendations for merit pay increases. Letters from supervisors are included in promotion and tenure decisions.

Recommendations for promotion and tenure are made to the administration by the Committee on Professional Qualifications (CPQ), which is constituted of five elected tenured faculty members excluding department chairs and other college officers. Two representatives from each of the two departments are elected by the faculty members of their respective departments, and one representative from the UEC is elected by UEC faculty members. The entire voting faculty elects two at large members. The *CPQ policy document*, which details the process and standards for promotion and tenure can be found on page 45 of the Faculty Handbook (**Appendix IV-5** or at https://www.sunyopt.edu/pdfs/academics/FacultyHandbook.pdf).

To meet needs for a modern electronic system that keeps track of faculty accomplishments, maintains up-to-date faculty information on the college website and provides the college's promotion and tenure program (via the Committee on Professional Qualifications - CPQ) with ready access to this information, a new electronic (Digital Measures) was obtained and implemented in 2018. Academic Affairs uses two modules of this system: Activity Insight for faculty information and WorkFlow for secure promotion and tenure review.

Outstanding faculty contributions may be recognized on an annual basis through the SUNY Chancellor's Awards for Excellence in Teaching, Scholarship and Service, and the prestigious SUNY Distinguished Professor recognitions. Confidential nominations are solicited from faculty, staff and students by an *ad hoc* committee appointed by the president, whose recommendations are made to the president. Final approval for these awards is made by the Office of the Chancellor. Faculty members who receive these awards are recognized at the College's annual Scholar's Dinner, and for the Distinguished Professor recognitions, at an event sponsored by the chancellor in Albany. Additional recognitions for faculty and staff are made through the Recognition Committee appointed by the president. These awards are presented at the annual College recognition ceremony.

5.5 The program must follow published policies and procedures for faculty recruitment and retention, promotion, tenure (where it exists), academic assignments and responsibilities, sabbaticals, reporting relationships, grievance, and benefits.

All policies governing faculty recruitment, appointment, grievance procedures and benefits are subject to the Policies of the Board of Trustees, State University of New York with provisions and agreements between the State of New York and the Union of University Professionals (UUP) pursuant to Article 14 of the Civil Servant Law. The Policies of the Board of Trustees can be found in **Appendix IV-1** or http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf and the current Agreement between the State and United University Professions (UUP) in **Appendix IV-7** or http://uupinfo.org/negotiations/pdf/2016-22TA-ratification.pdf. These policies are complemented by College policies on promotion and tenure (page 45 of Faculty Handbook (**Appendix IV-5** or at https://www.sunyopt.edu/pdfs/academics/FacultyHandbook.pdf) and additionally, for clinical faculty, the bylaws of the University Eye Center (**Appendix VIII-6**). All college faculty of qualified rank or on tenure track are voting members with faculty governance rights.

Faculty assignments are determined by the appropriate administration (Academic Affairs or UEC or both) and department chairs and chief medical officer (for clinical assignments) at the time of hiring based on institutional need and considering fully the career goals and objectives of the faculty. Assignments are reviewed annually by the primary supervisors working with secondary supervisors and Academic Affairs or the UEC administration as appropriate. Policies regarding academic assignments and responsibilities, promotion and tenure, sabbaticals and reporting relationships are described in under Standards 5.3 and 5.4.

SUNY's policy on academic freedom is found in page 20 of the Policies of the Board of Trustees (**Appendix IV-1** or http://www.suny.edu/Board_of_Trustees/PDF/Policies.pdf). The College's policy is fully consistent with this policy. The College maintains and encourages academic freedom and creativity, within the law, for inquiry, teaching and research. Faculty assigned to teach a specific course may, without limitation, determine the content and the means of deliver of that subject matter, but may not use the classroom for matters with no direct relationship to the subject matter of that course. The principle of academic freedom shall be accompanied by a corresponding principle of responsibility, and the effectiveness of faculty in providing quality education and student development will be evaluated through the office of Academic Affairs, the department chairs, national board performance, and student feedback.

Grievance policies for faculty are covered under Article 7 of the current UUP agreement (**Appendix IV-7** or http://uupinfo.org/negotiations/pdf/2016-22TA-ratification.pdf).

5.6 The program must demonstrate its efforts to recruit a diverse faculty.
The College seeks to recruit a faculty that reflects the enormous diversity of its students, staff and patients. Recruitment advertisements for faculty positions can be found in **Appendix V-11**. Like all optometry programs, we have been challenged in our efforts to recruit underrepresented minorities to the faculty, largely due to the low numbers in the profession of optometry.

Recruitment of underrepresented minority faculty members is high priority in our recruitment efforts.

To support its efforts to support diversification, the College has developed a Diversity and Inclusion Master Plan. The plan, which was developed with broad College input, can be found in **Appendix IV-6b**. A report submitted to SUNY System Administration in summer, 2018 that summarizes the College's efforts in this regard is in **Appendix V-12**. Strategies on how this goal can be achieved are outlined in the report.

Standard VI – Students

6.1 The program must have a fair and impartial process that results in the admission of students who possess the intelligence, integrity, and maturity necessary for them to become competent doctors of optometry.
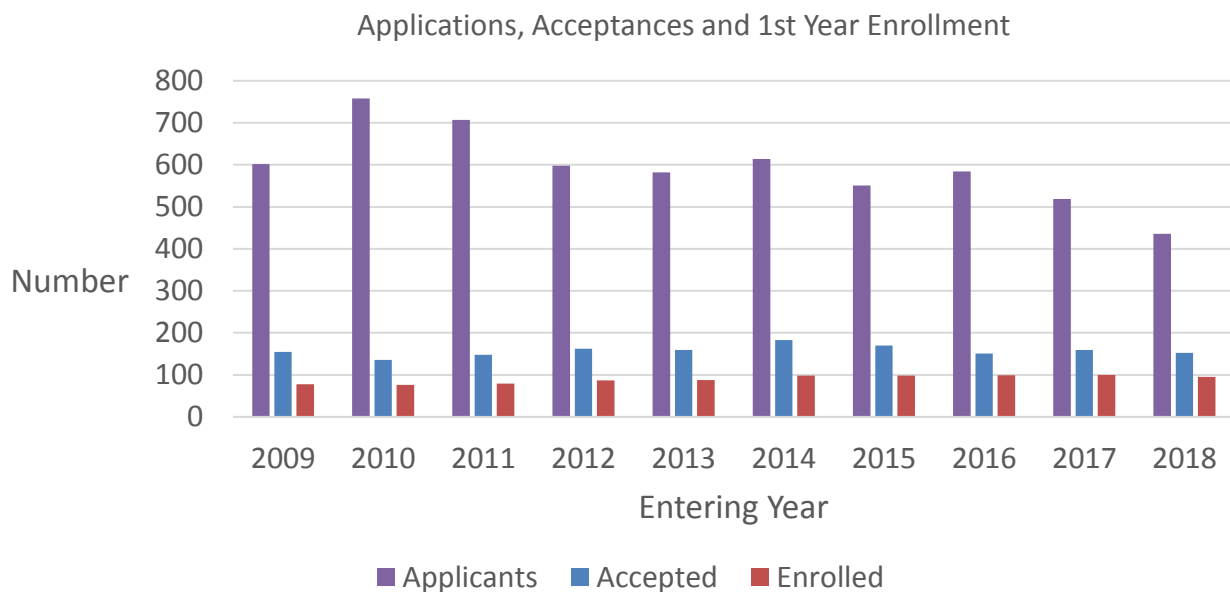
The process that is employed to admit a qualified student body is detailed in the *Admissions Policy and Procedure* document (**Appendix VI-1**). The function of the Admissions Committee, descriptions of the interview process and Affiliation Program (3/4 program) and admission of advanced standing applicants are addressed in this document.

Recruitment activity currently consists primarily of visits to undergraduate colleges; targeted mailings to undergraduate health professions advisors throughout the nation and to optometrists and high school counselors in the Tri-state area; the College Web site, which has a link to an online common application utilized by all schools/college of optometry; participation in National Association of Advisors to the Health Professions; webinars with selected pre-optometry and pre-health clubs in undergraduate colleges; a digital campaign to promote college events open to the public; and bi-annual open houses for students and advisors from local colleges. Examples of recruitment material can be found in **Appendix VI-2a** and **VI-2b**.
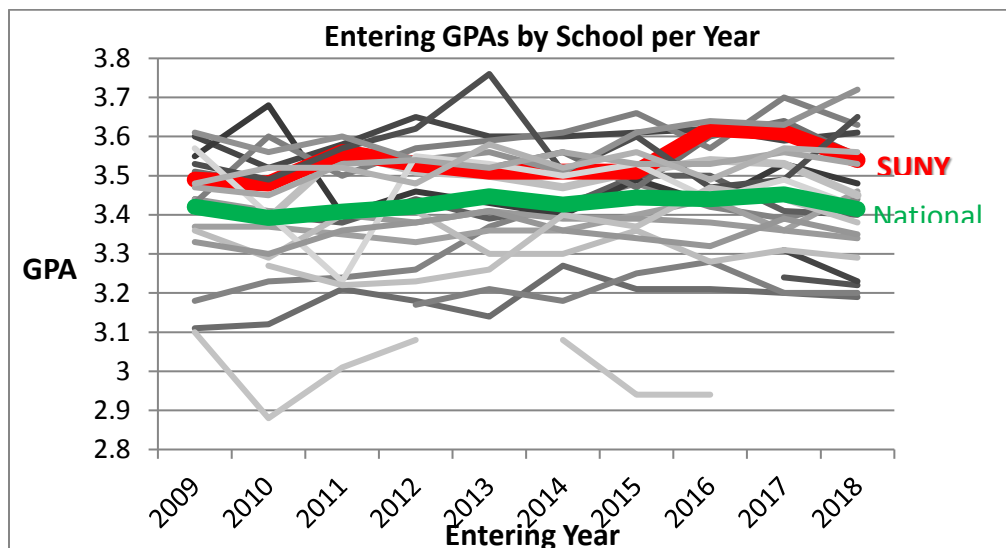
The vice president for student affairs (VPSA), the associate director of admissions and marketing, and the admissions counselor have primary responsibility for visiting undergraduate campuses. These recruiting visits usually consist of meetings with the pre-professional advisor, pre-optometry club (if there is one) and interested students on a group or individual basis. In addition to visiting colleges in the New York City metropolitan area and Upstate New York, there has been an additional recruitment concentration on colleges in high yield states, including California, New Jersey, Pennsylvania, Connecticut and Florida, and in selected provinces in Canada. A list of campuses visited in 2016-17 and 2017-18 can be found in **Appendix VI-3**.

The College has historically made an effort to attract students from under-represented minority groups. While the Asian-American student population is substantial -- about 38% of the student body – it has been challenging to increase the enrollment of underrepresented minority students. In an effort to address this issue, the College continues to receive funding from the New York State Education Department to support a College Science and Technology Entry Program (CSTEP) that has as its primary objective to increase the number of historically underrepresented minority students in the profession of optometry (**Appendix VI-4a** and http://www.sunyopt.edu/education/admissions/cstep or **Appendix VI-4b**). The CSTEP coordinator works with the VPSA to determine marketing, communication, and recruitment strategies, and to recruit minority candidates at colleges and universities that have highly diverse student bodies. Key components of the CSTEP program are the Summer and Winter Internship programs, a two-week immersive shadowing experience at the College's UEC, and *Summer Academic Program* that offers a credit-bearing course entitled *Introduction to Vision and Optometry* at no cost to participants. These initiatives have been effective. Enrollment of under-represented minority students in 2018 has doubled compared to 2012-2015. Further details are given under Standard 6.2.1.

The OD program has been effective at a recruiting highly qualified student body. As indicated in the following figure, competition for admission is keen:

Applications, Acceptances and 1st Year Enrollment

Admitted applicants' academic performance ranks above national averages, particularly with respect to OAT total science scores:[8]

Entering GPAs by School per Year

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[8] In the following three graphs, the thin grey lines represent other optometry programs.

Entering OAT Total Science Scores by School Per Year

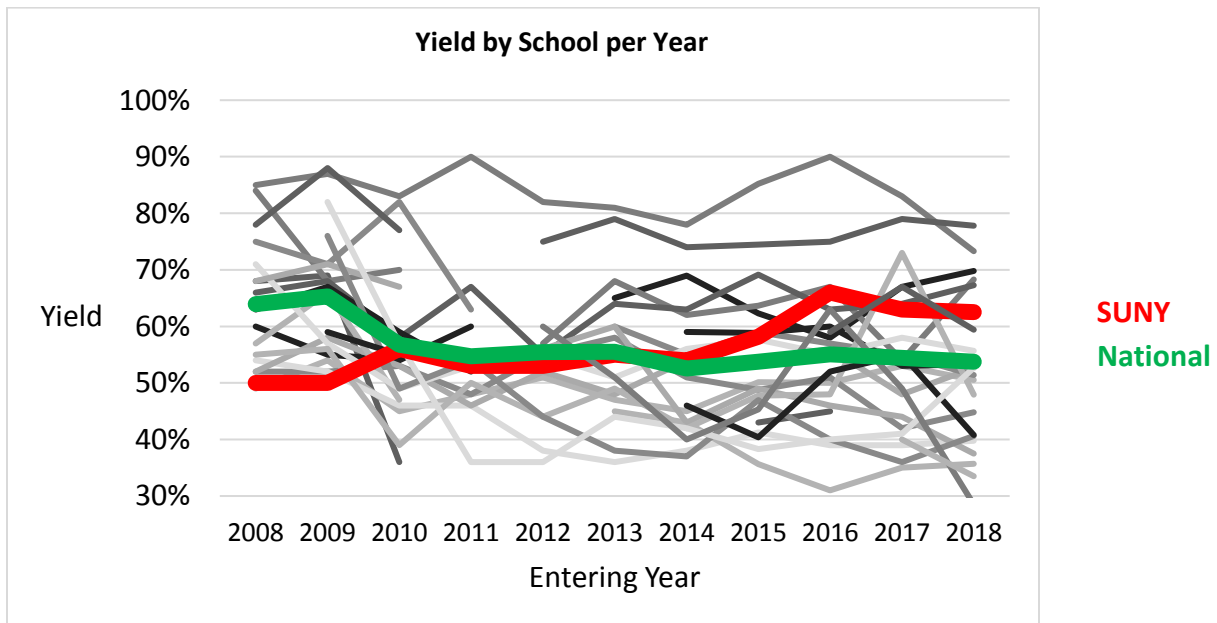The quality of the recruitment and interview process is also reflected in the yield, which showed an increase in 2016 that has been sustained (number admitted divided by number that actually enroll):

Yield by School per Year

Perhaps the most important gauge of the quality of admissions process is the percentage of entering students that graduate in a timely manner (data as of September, 2018):

Percentage of Entering Students who Graduate

Underrepresented minority students graduate at high rates:[9]

	Female	Black	Hispanic or Latino	American Indian or Native Alaskan	Asian	Native Hawaiian or Other Pacific Islander	White	Other**
Entering in 2008	58	0	2	0	23	0	42	9
Graduating in 2012	53	0	2	0	23	0	35	9
Entering in 2009	62	1	0	0	28	0	43	6
Graduating in 2013	59	1	0	0	28	0	43	4
Entering in 2010	53	2	2	0	29	0	37	5
Graduating in 2014	54	3	2	0	27	0	37	7
Entering in 2011	61	4	5	0	29	0	35	5
Graduating in 2015	56	4	5	0	27	0	32	5

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[9] Graduation data includes a small number of students who transferred into the program after the first year or graduated in 5 or more years.

Entering in 2012	64	3	1	0	33	0	45	5
Graduating in 2016	59	2	1	0	33	0	41	4
Entering in 2013	64	2	3	0	36	0	42	8
Graduating in 2017	67	2	5	0	35	0	38	8
Entering in 2014	71	2	3	0	31	0	47	14
Graduating in 2018	62	1	3	0	27	0	42	11

Another indicator of quality of the admissions process is the success of students on licensing examinations. As discussed under Standard 1, SUNY College of Optometry students consistently perform above the national average on the examinations administered by the NBEO.

All of the graphs under this standard are updated annually and published on the College's website at   http://www.sunyopt.edu/offices/institutional-research/factbook   under   Admissions   and Enrollment (OD Program) and Completions. The publication of these and other program outcomes is discussed under Standard 1.

6.2 The program must establish and publish the criteria considered in selecting students who have the potential for success in the program and the profession.
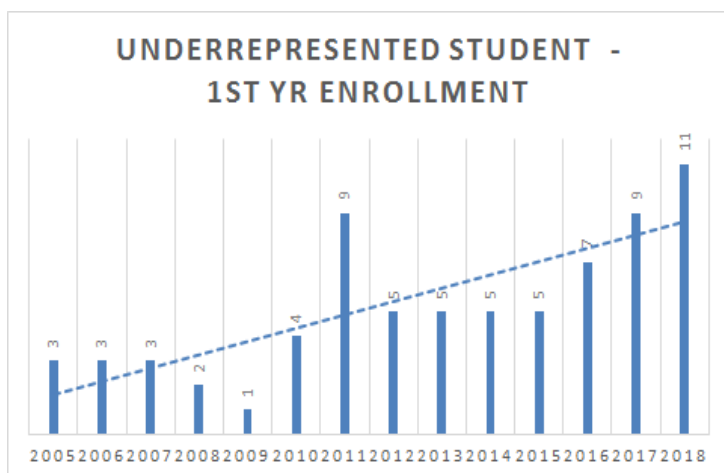The   criteria   considered   in   selecting   students   are   published   on   the   College's   website (https://www.sunyopt.edu/education/admissions/od_program/admissions-requirements   or **Appendix VI-5a** and **VI-5b**), which list required and recommended prerequisite courses. In addition to GPA and OAT scores, the Admissions Committee also considers the quality of the candidate's   undergraduate   institution,   type   of   program   pursued,   progression   of   grades, extracurricular   activities,   leadership   and   community   involvement,   communication   and interpersonal skills, letters of recommendation, personal interview and commitment to the profession. We do not discriminate against out-of-state residents for admission.

6.2.1 The program must adhere to fair and impartial policies and procedures during the admissions process.
Faculty appointments to the Committee on Admissions are made by the vice president for student affairs after consultation with and the concurrence of the vice president for academic affairs and vice president for clinical administration to ensure availability. Appointees to the Committee   on   Admissions   are   provided   with   time   (FTE)   in   their   work   plans   to   meet   their committee obligations. In addition to reviewing applications, interviewing candidates and making recommendations regarding admissions, the Committee meets at the beginning and end of each year's admissions cycle to evaluate the admissions process and to suggest changes in policy or procedure.

The policies and procedures employed during the admissions process for the professional program are given in the *Admissions Policy and Procedure* document (**Appendix VI-1**) last revised on February 6, 2018. To encourage consistency in the interview process, members of the Admissions Committee individually assess candidates following an *Interview Score Guide* (**Appendix VI-6**) and make a recommendation to accept or reject the candidate or place him/her on hold. *WebAdmit* is utilized to process candidate applications.

The College makes a concerted effort, as described in its Diversity and Inclusion Master Plan (**Appendix IV-6b**), to attract applications from under-represented minority (URM) students. As can be seen in the graph below, there is a general upward trend in enrollment of URM students in the first-year class.

6.2.2 The program must require that the accepted applicants have completed all prerequisites and at least an equivalent of three academic years of postsecondary education in an accredited institution prior to beginning the program.

As stated in on the College's website (http://www.sunyopt.edu/education/admissions/od_program/prerequisite-courses or **Appendix VI- 5a** and **5b)**, to be considered as a candidate for admission to the professional OD program:

- A four-year baccalaureate degree is highly recommended. The educational institution must be accredited.
- Students who have completed a minimum of three years (90 semester credits) of undergraduate study at an accredited institution will also be considered for admission.
- All of the course requirements should preferably be met by enrollment at a four-year college/university in those courses specifically offered for departmental majors or pre-professional students.
- Letter grades should be awarded for all required courses and should be completed successfully with a grade of C or better.
- Brief or survey courses are not acceptable.
- Upper-division course work in the sciences is highly recommended.

- Advanced-level courses that demonstrate the acquisition of knowledge expected from the prerequisites may be taken instead if approved by the Director of Admissions.

The required prerequisite courses are:
- One year of general biology with lab
- One year of general chemistry with lab
- One year of general physics with lab
- One year of organic chemistry with lab
- One semester or quarter of calculus
- One year of English composition and literature
- One semester or quarter of psychology
- One year of social sciences
- One semester or quarter of statistics

In addition, the College recommends that students complete the following courses:
- One semester or quarter of microbiology
- One semester or quarter of biochemistry
- One semester or quarter of physiology and anatomy

The SUNY College of Optometry offers a joint degree program as an alternative to the traditional route of entry into the professional OD program. Highly qualified undergraduate students from 25 affiliated colleges and universities work to complete both their undergraduate degrees as well as their doctor of optometry degrees within a seven-year period—instead of the usual eight— thus saving one year of expenses. Successful candidates must complete all the required prerequisites (listed above) as well as meet the additional requirements given in **Appendix VI-5c** and posted on the College's website (https://www.sunyopt.edu/education/admissions/od_program/joint_degree). In recent years, about 7% of entering students followed this route.

Although most students who enter through the joint degree program major in biology, chemistry, or psychology, additional majors are accepted as long as prerequisites for the optometry program are met. Students who are accepted into the program receive guidance from their undergraduate institutions as well as from SUNY College of Optometry Student Affairs staff.

The College also offers Advanced Standing status to students who have completed medical training overseas. This program in which credit is awarded for prior academic work is discussed in more detail under Standard 2.2.

6.3 The program must provide information to incoming students regarding pre-matriculation health standards, access to health care, personal counseling, and standards for immunization against infectious disease.
Information regarding these standards and services are published in the online Student Handbook (http://www.sunyopt.edu/handbook or **Appendix VI-7**) as follows:

- Pre-matriculation Health Standards: page 20-21
- Access to Health Care and Health Insurance: pages 34-35
- Personal Counseling: page 55
- Immunizations: pages 20-21

Students are advised during orientation and subsequently each semester by email that short-term counseling services are available at no charge through the University's Eye Center's Department of Social Services.

6.4 There must be an institutional commitment to serving students, including an organizational element devoted to student affairs.

A cornerstone of the College's 2018-2023 strategic plan is the student experience. The Office of Student Affairs is under the leadership of the Vice President for Student Affairs (VPSA). Responsibilities of the office's professional staff are published at http://www.sunyopt.edu/about/governance/student-affairs or can be found in **Appendix VI-8**. In addition to two full time staff assistants, the office consists of the director of admission and marketing, director of financial aid/assistant vp for student affairs, director of career development and minority enrichment, the registrar and an admissions assistant. A part-time international program coordinator (0.2 FTE) also works in the office. Curriculum vitae for the key incumbents can be found in **Appendices VI-9a**, **VI-9b**, **VI-9c**, **VI-9d** and **VI-9e**.

A member of the President's Council, the vice president for student affairs directs current and long-range planning and oversees all of the activities and services provided by Students Affairs at the SUNY College of Optometry. The vice president works with current students and staff in an ongoing process to evaluate the student experience at the College and maintains an open-door policy to assure that students receive the time and attention necessary to address their individual needs and concerns. The mission of the office of student affairs is to develop the next generation of eye care leaders in a changing healthcare environment by providing innovative and best-of-industry services and programs that support students' academic, clinical and career objectives. Both the Admissions Committee and the Committee on Scholarships report to the vice president. The vice president also acts as the advisor to the Student Council and to other student organizations.

The associate director of admissions and marketing is responsible for the overarching recruitment plan that is designed to bring the SUNY College of Optometry a highly qualified and diverse student body, including students with high leadership potential, students from diverse backgrounds and international students. The associate director of admissions and marketing is a member of the Admissions team responsible for pre-screening, interviewing and selecting qualified candidates.

The registrar is responsible for maintaining all student records and files, including grades and transcripts, as well as producing College and governmental reports related to the student census. All requests for grades and transcripts, once approved by the student, are under the registrar's confidential control for dissemination as approved. Working with the department

chairs and the vice president for academic affairs, the registrar develops the schedule of course offerings and creates the College calendar. All classroom reservations must be approved by the registrar. The registrar is an *ad hoc* member of the Curriculum Committee and the Committee on Course and Standing.

Responsible for advising and assisting students who seek financial aid, including loans, scholarship, grants and Federal Work Study, the director of financial aid provides students with all necessary information and forms to apply for and receive financial aid and, in turn, submits all appropriate information to lending institutions and governmental agencies. The director also maintains student financial data, reporting it as required by the College, as well as by state and federal agencies. The director of financial aid is an *ad hoc* member of the Committee on Scholarships and assists that committee in developing guidelines for the distribution of awards.

The director of the Career Development Center and Minority Enrichment is responsible for meeting the career needs of SUNY Optometry students, residents and alumni. Working in collaboration with academic affairs, clinical education, and Alumni affairs, the director of career development implements signature programs and events like the Family of Mentors Program and the Annual SUNY Optometry Career Symposium, and creates opportunities for busy students and professionals to connect and create meaningful relationships important to career development and career advancement. Many individualized services are also available for the College community including career counseling and help improving interviewing and resume writing. The director of the Career Development Center functions to help students, residents, and alumni envision, develop and achieve a fulfilling optometric career.

6.4.1 At a minimum, student services must include financial aid and debt counseling, academic counseling, learning support services, career placement assistance, and access to information technology support.
Financial Aid and Debt Counseling
On the days that prospective students are interviewed at SUNY Optometry, each applicant is provided with information on housing and financial aid programs, as well as the process for applying for federal financial aid (please see brochure in **Appendix VI-10**. As part of this initial session, students receive information about student loan debt and learn how the budgeting choices they make now will influence the amount of debt they carry upon graduation. Students are counseled on the importance of setting up and keeping a budget. Students are also provided with general information regarding their rights and responsibilities as well as an introduction to debt management. Canadian and foreign students are notified of specific programs that apply to them.

The financial aid office sends entering optometry students letters with relevant financial aid information and additional information (**Appendix VI-11a**). Once the student is evaluated for aid, he/she is sent an award letter stating his/her financial aid eligibility, budget and program eligibility.

Prior to graduation, each student receives another training session known as the exit interview. This session is conducted at the https://studentloans.gov/myDirectLoan/index.action website and is used to meet the federal government's requirement for exit interview counseling. This site is a free resource for career, college, financial aid, and money management information, is designed to help students and families understand their rights and responsibilities as borrowers and also achieve life-long financial stability. The service also provides budget and loan repayment calculators. Upon completion of this program, students are invited to meet with the director of financial aid for follow-up counseling sessions, as is deemed necessary.

For the SUNY Class of 2017 the average debt across all students was $105,250, while the average debt for those students who took out loans was $156,982. (Figures refer to debt for optometry school only.) This compares favorably with an average national indebtedness of $174,165 for students who took out loans in 2017 (data from ASCO). SUNY State College of Optometry graduates have had a 0% federal default rate for last 5 years, pointing to the effectiveness of its debt counseling program.

Academic Counseling and Learning Support Services
Academic counseling services are available for optometry students through the Office of Student Affairs and the Academic Advising and Clinical Remediation programs conducted through the Office of Academic Affairs. The Office of Graduate Studies and Research provides these services for graduate students. Individual residency programs, as well as the Office of Residency education provide academic counseling and learning support services for residents.

In 2016, the office of Student Affairs implemented the Academic, Clinical & Personal Excellence Initiative (ACPEI), a program designed to assist students in becoming the best doctors and community members that they can be. ACPEI is a partnership between the offices of Student Affairs and Academic Affairs, as well as Beta Sigma Kappa (BSK), an international optometric honor society. Participation involves attendance at a T-Chat session, which is a workshop or informal conversation around a specific topic. Past discussions have covered topics such as stress management, test anxiety, debt management, study strategies, sleep hygiene and career planning and are led by faculty, outside speakers, Student Affairs staff and BSK members.

Short-term personal advising can be obtained through the Office of Student Affairs, and is offered by the vice-president of student affairs, the registrar, and the director of career development. For professional psychological counseling, referrals are available. The College has a licensed clinical psychologist on retainer and bears the cost of the first three visits. A complete list of mental health resources offered by the College are available at https://www.sunyopt.edu/education/student-life/mental-health (**Appendix VI-11b**).

Professional students who need assistance with coursework are encouraged to reach out, as a first step, to their instructor(s). Peer tutoring is available to students at no cost and can be arranged by contacting the VPSA.

Academic Affairs, working with the Department of Biological and Vision Sciences, the Department of Clinical Education, and in collaboration with the office of Student Affairs, developed two programs to identify and assist the struggling student learner. Further details about these programs – the Academic Advising Program and Clinical Remediation Program – can be found under Standard 1.3.

All student transcripts are screened each semester, and those students experiencing academic difficulty are reviewed by the faculty Committee on Course and Standing, which reports to the dean. This committee may recommend modified schedules, academic counseling or other remedial actions to the vice president for academic affairs.

Career Placement Assistance
The Career Development Center (CDC), established in 2012 as a priority of the 2008 – 2013 Strategic Plan, was created to meet the career needs of SUNY Optometry students, residents and alumni. Through events such as the Family of Mentors Program (FMP) (**Appendix VI-12**) and the Annual SUNY Optometry Career Symposium, the CDC creates opportunities for busy students and professionals to connect and create meaningful relationships important to career development and career advancement. Descriptions of recent Annual Career Symposia can be found in **Appendices VI-13a** and **VI-13b**. Many individualized services are also available for the College community including career counseling, help improving interviewing and resume writing skills.

The SUNY FMP is an online and in-person program that was developed to enhance students' and residents' personal, academic, and career development and to expand professional networks for students, residents and mentors. FMP seeks to capitalize on the vast network of SUNY alumni, professional organizations and partners from which to recruit the most talented mentors to develop our outstanding student body.

We have been able to tap into the vast SUNY Optometry network by partnering with the Office of Alumni Affairs and utilizing the services of Graduway, an online "alumni" platform that offers our institution our first virtual network. The platform allows anyone in our network to filter users by important parameters such as residencies, mode of practice, and location. Students and residents can simply access the portal and check its directory to look for mentors who have indicated they are willing to help, and find their perfect match.

The mission of FMP is to connect students of optometry and residents with mentors in order to foster a trusting and long-lasting relationship that helps to develop students and residents personally, academically and professionally and allows the mentors opportunities to share wisdom and expertise, develop interpersonal communication, motivation, coaching, counseling, and leadership skills, and build professional networks.

As part of the third-year professional curriculum, students are required to pass a semester length practice management course (*Optometric Practice in a Changing Health Care Environment*) that provides information on private and group practice, practice as an independent contractor,

employment contracts, resume writing, debt management and legal issues. Students also have the option of enrolling in an elective course on personal financial planning.

Information Technology Support
Computer, networking and electronic mail facilities and services are offered to all students and residents by the Information Technology (IT) Unit in support of the teaching and learning, research and public service functions of the College. Each student is provided with an email account and access to the College's Intranet and library resources.

6.5 The program must maintain an orderly, accurate, confidential, secure and permanent system of student records.

Record Maintenance
Student records for the optometry and graduate programs are managed by the Registrar's Office, which follows the guidelines and practices of the American Association of Collegiate Registrars and Admissions Officers (*AACRAO's*) *Retention of Records, Guide for Retention and Disposal of Student Records*: 2014) with respect to retention and disposal of student records. Alumni and students may request a transcript via the College's Web site. Records for the residency program are maintained by the individual programs, with selected information also maintained in the Office of Residency Education. The listing of residents who successfully completed a program is kept in the Office of Residency Education and available to the registrar.

The staff in Student Affairs is able to access records both electronically and physically as deemed necessary. For the student information system, the Student Affairs staff has access to view certain areas of a record, but cannot make any changes. Only the director for information technology, VPSA, and registrar have total access to the student information system.

Any documents received via U.S. post mail or email regarding a student are kept in a locked fireproof drawer until filed in the student's record at the end of the week. Records are kept for five years after a student graduates at which time they are purged. The only record maintained after five years for each graduate is his/her transcript.

Record Access
SUNY College of Optometry adheres to the Family Educational Rights and Privacy Act (FERPA). Its FERPA policy (**Appendix VI-14**) is published at https://www.sunyopt.edu/pdfs/academics/SUNYOpt_FERPA.pdf , which is accessible from the *Student Consumer Information Page* (http://www.sunyopt.edu/about/student-consumer-information or **Appendix VI-15**). New College employees are given a brief FERPA introduction during their orientation

All members of the Office of Student Affairs staff have been trained in FERPA and are provided with access to the locked drawer where student records are kept and limited access to the student information system. Other SUNY State College of Optometry staff, faculty or researchers do not have access to student records. If such access (time-limited) is desired for internal research, the investigator must provide a justification for consideration by the VPSA. If granted

access by the VPSA, the investigator must sign a confidentiality agreement form and be trained on FERPA regulations concerning handling of records.

While the admissions office is not covered under FERPA, the staff is expected to meet these same standards as if covered. College work study students may enter inquiries into the admissions module of the student information system. Work study students are given FERPA basic training and are also required to sign a confidentiality agreement form. They are assigned a password that provides access to only the inquiries screen on the system.

Transfer of Records from Admissions to Registrar
Records are electronically transferred from the admissions module to the registration module. The registrar physically moves all paper records from the admission's file cabinet to the registrar's fireproof file cabinet in the registrar's office. This room is kept locked as is the file cabinet containing student records.

Medical and registration forms may be copied and hand delivered to Clinical Administration for their files. Registration forms may also be submitted to the Alumni Office. This procedure applies to both the optometry and graduate programs.

Grades
At the conclusion of a term, faculty are instructed to enter grades in the mysunyopt portal. After grades have been entered into the system, all current student records are recalculated to update their term and cum gpa. The registrar will flag students in academic difficulty and will provide the information to the Committee on Course and Standing (a faculty committee that reviews student progress each term) and the vice president for academic affairs. All committee members are required to return copies of grades to the registrar at the end of the meeting to be purged. The vice president for academic affairs maintains a copy for his office file.

Electronic Records Back Up
The student information server (Jenzabar) is currently housed in the Information Technology (IT) Department data center. The Office of Information Technology is responsible for backing up the system on a daily basis. Tapes are placed in a secure locked box. On a weekly basis, tapes are stored offsite with Iron Mountain Company. The IT department maintains (using a date and time stamp) a log of tape pickups. In the event of an emergency, only the IT staff has authorization to request the backup tapes. There is also a contingency plan in place in case the IT department is not able to retrieve the tapes.

6.6 The program's publications, written policies, advertising, and student recruitment must present an accurate representation of the program.
All program publications, written policies, advertising and student recruitment material are regularly reviewed by the relevant program administrator (i.e., vice president for student affairs, associate dean for research and graduate studies or director of residency programs) for accuracy and updated as needed.

The primary published recruitment materials, which are reviewed by the vice president for student affairs, are the Admissions Brochure (**Appendices VI-2a** and **VI-2b**), College's Fact Sheet (**Appendix VI-16**) and View Book (**Appendix VI-17**). These are published on the College's website at http://sunyopt.edu/pdfs/admissions/SunyAdmissions.pdf, http://www.sunyopt.edu/about/fact-sheet/ and http://www.sunyopt.edu/pdfs/about/SUNY_Viewbook.pdf, respectively.

The College publishes a great deal of assessment data that can be used by students and others to evaluate its programs. The *Student Consumer Information* page (**Appendix VI-15** or http://www.sunyopt.edu/about/student-consumer-information) provides basic data. More extensive data can be found on *Factbook* (**Appendix VI-18** or http://www.sunyopt.edu/offices/institutional-research/factbook).

Policies of particular relevance to students can be found in the *Student Handbook* (**Appendix VI-19** or https://www.sunyopt.edu/pdfs/academics/StudentHandbook2018.pdf). This document is reviewed on an annual basis by the vice presidents for academic and student affairs. Additional information relevant to optometry students can be found on the College's website (e.g., http://www.sunyopt.edu/education/admissions/od_program or **Appendix VI-20a** and http://www.sunyopt.edu/education/academics/od-program or **Appendix VI-20b**). This material is reviewed regularly by the vice presidents for academic and student affairs.

In the annual exit survey, students are asked to rate their level agreement with the following: "I was given an accurate picture of the College during the admissions process" In the 2018 exit survey, 87% agreed or strongly agreed with this statement.

6.6.1 The program must publish and adhere to policies and procedures on academic and professional standards, grading, attendance, disciplinary actions, retention, dismissal and reinstatement, non-discrimination policy, due process, academic calendar, tuition, fees, refund policy, honors, scholarship and awards, and other related matters.
Policies and procedures that the College adheres can be found in the *Student Handbook* (**Appendix VI-19** or https://www.sunyopt.edu/pdfs/academics/StudentHandbook2018.pdf) as follows:

- Academic and professional standards   page 38
- Grading   page 41
- Attendance   page 38
- Disciplinary actions   page 7
- Retention   page 43
- Dismissal and Reinstatement   page 44
- Nondiscrimination policy   page 4
- Due process   page 11
- Honors   page 43

The academic calendar is posted on the College's website (**Appendix VI-21** or https://www.sunyopt.edu/about/college-calendar). Information on tuition and fees is posted at http://www.sunyopt.edu/education/admissions/tuition-fees (**Appendix VI-22**) and scholarships and awards at http://www.sunyopt.edu/education/admissions/financial-aid (**Appendix VI-23**). The University's refund policy is at http://www.suny.edu/sunypp/documents.cfm?doc_id=390 (**Appendix VI-24**).

6.6.2 The program must publish and adhere to policies and procedures regarding student grievances and must maintain records of receipt, investigation, adjudication and resolution of such complaints.
The following policy is published on page 6 of the College's Student Handbook (https://www.sunyopt.edu/pdfs/academics/StudentHandbook2018.pdf or **Appendix VI-19**):

Formal Complaint Procedure for Students
Formal complaints that are not academic in nature are addressed in the SUNY College of Optometry's Formal Complaint Procedure for Students, below.

In most instances, grievances or issues of concern that students have at the College are addressed informally, often with the assistance of the vice president for student affairs and international programs or another college faculty or staff member. However, a formal complaint may be initiated by any student.

- *A formal complaint must be in writing, dated, signed by the complainant and addressed to the vice president for student affairs and international programs. (Please note that only written, dated and signed submissions will be processed as formal complaints; verbal and electronic submissions will not be processed.)*

- *The vice president for student affairs and international programs has the authority to forward those complaints with merit. If the complaint is against the vice president for student affairs and international programs, the formal complaint can be made to the president of the College.*

- *Upon receipt, the vice president for student affairs and international programs will forward the complaint to an appropriate College authority, usually another vice president, who has the authority to address the complaint. In certain situations, the vice president for student affairs and international programs may be deemed the appropriate authority to address a particular formal complaint.*

- *An acknowledgement of the complaint will be sent in writing by the appropriate College authority to the complainant (and a copy will be sent to the vice president for student affairs and international programs) within 10 business days of the date the written complaint is received by the vice president for student affairs and international programs.*
- *The appropriate College authority will provide a written response to the complainant (and a copy will be sent to the vice president for student affairs and international programs) within*

20 business days of the date the written complaint is received by the vice president for student affairs and international programs.

- *The complainant has the right to redirect the complaint to the vice president for student affairs and international programs for further action if he or she is not satisfied with the initial response from the appropriate College authority. Every effort will be made to resolve the complaint in a confidential manner and as expeditiously as possible, however, complete confidentiality cannot always be guaranteed. In the process of handling complaints, certain information may be distributed to appropriate administrators, respondents and/or witnesses in order to investigate, institute remedial actions or to informally resolve the complaint.*

Records of Formal Complaints

Records of formal complaints will be kept for a minimum of five years by the vice president for student affairs. For each formal complaint received, the following information will be logged and maintained as part of the College's formal complaint log:

- The date the formal complaint was submitted to the vice president for student affairs;
- The nature of the formal complaint;
- Copies of the acknowledgment and response (recorded by date) provided to the student from the appropriate College authority and the steps taken by the College to resolve the formal complaint;
- The College's final decision regarding the formal complaint, including any referral to outside agencies;
- Any other external actions initiated by the student to resolve the formal complaint, if known to the College (such as a lawsuit, EEOC investigation, etc.)

A listing of student complaints their resolution may be provided on site upon request.

6.7 The program must provide opportunities for students to access and communicate with faculty and administrators of the program.

Faculty office hours are posted in course syllabi, which are available on campus for review. All College administrators have an open-door policy. Alternatively, students (individually or collectively) may arrange a specific time to meet with administrators.

The vice presidents for academic affairs (dean) and student affairs hold regularly scheduled meetings with Student Council officers. An important opportunity for student participation in College governance occurs on the following faculty committees, which have student members:

- Curriculum Committee
- Committee on Scholarships, Fellowships, Awards and Student Aid
- Information Technology Council
- Institutional Research and Planning Committee
- Committee on Affirmative Action and Cultural Diversity
- Committee on Learning Resources
- Committee on Health and Safety and Energy Conservation

- Committee on Admissions
- Committee on Educational Policy

The College Council and the College's affiliated foundation, the Optometric Center of New York (OCNY), also have student representatives.
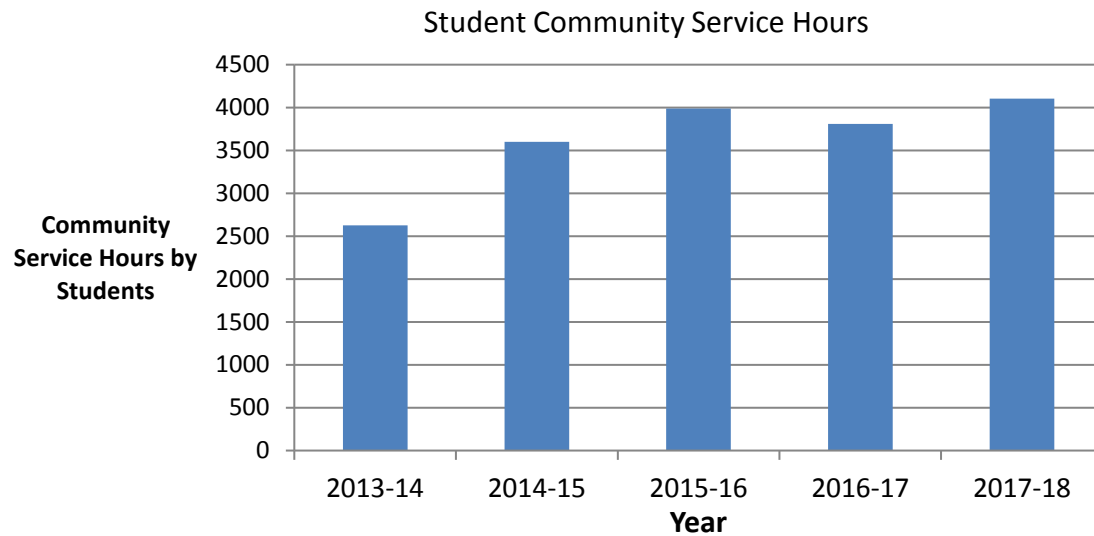
The dean meets with each class and its representatives during the term to solicit feedback regarding the curriculum and individual courses and to learn of any concerns that students may have. Department chairs, the vice president for student affairs and the registrar participate in certain of these meetings.

6.8 The program must provide opportunities for students to participate in student governance, advocacy and other leadership development activities.
The purpose of the Student Council is "to promote and insure the welfare and interests of all those it represents, namely the student body." The Council, which is active and has significant influence and interaction with the College administration, consists of representatives from each professional class, the graduate program and student organizations as described in the constitution, which can be found at https://www.sunyopt.edu/education/academics/student-constitution or **Appendix VI-25**.

Students are provided with the opportunity to participate in a variety of organizations and clubs that are represented on the Student Council. A complete listing of student organizations and clubs can be found at http://www.sunyopt.edu/education/student-life/clubs-and-organizations (**Appendix VI-26**).

Students are provided opportunities and encouraged to participate in community service activities, including those provided by Lions Club, National Optometric Student Association (NOSA), Student Volunteer Optometric Service to Humanity (SVOSH), BSK tutoring, Fellowship of Christian Optometrists (FCO), New Jersey Student Optometric Physicians (NJSOP), Vision Walk and Special Olympics. Participation in recent years is given below:

Student Community Service Hours

6.9 The program must make available to students information on postgraduate educational programs, such as residencies, graduate degrees and fellowship training opportunities.

The College has a long-standing history with residency education, as well as one of the largest programs in the country. SUNY College of Optometry students are exposed to this program through a variety of mechanisms, including meetings with the residency director who discusses various topical areas relating to doing a residency, presentations given as part of the professional curriculum, dissemination of various program announcements and information and interactions with residents who serve as instructors in clinical laboratories and rotations. Descriptions of each of the College's residency programs can be found at http://www.sunyopt.edu/education/academics/residency-programs or **Appendix VI-27.** In recent years, about 40% of graduating SUNY students indicate they plan to enter a residency program either affiliated with SUNY or another school/college of optometry (**Appendix VI-28** or https://www.sunyopt.edu/pdfs/about/factbook2018/OD_Program_Student_Learning_Outcomes/Percent%20planning%20to%20enter%20a%20residency%20program.pdf).

In recent years, about 3 to 6 professional students elect to enroll in the combined OD-MS program (**Appendix VI-29**). These students are provided with information regarding opportunities for continued graduate studies (to pursue a PhD).

Optometry students also have the option to obtain an Advanced Graduate Certificate in Optometry Business Management, which is offered jointly with SUNY Empire State College and described at http://www.sunyopt.edu/education/academics/mba-certificate-program (**Appendix VI-30**). The 18 credits earned in this program are transferable into the SUNY Empire State College MBA program upon acceptance into this program. Since the initiation of this program in 2014, 7 students have been awarded an Advanced Graduate Certificate and 3 an MBA. Both the certificate and MBA programs are open to practicing optometrists.

Standard VII – Facilities, Equipment and Resources

7.1 The teaching and patient care facilities and equipment must be appropriate to fulfill the mission, goals and objectives of the program.

Overview of Facility

The building has 18 floors above grade, including a mezzanine between the 3rd and 4th floors. Below grade it has a basement mezzanine (lower lobby), basement, sub-basement and partial sub-sub basement. There is a total area of 297,000 gross square feet of which 189,019 is net assignable square feet. This is broken down by function as follows:

Instructional	16,206 sf
Research	16,975 sf
Clinical Space	54,722 sf
Information Services	5,337 sf
Library	11,895 sf
Assembly/Exhibition	13,984 sf
Student Activity	7,506 sf
Administration (Optometry)	12,390 sf
Administration (SUNY Central)	9,957 sf
College Services	7,279 sf
Building Services	32,768 sf

Classrooms, laboratories and clinic space exist that are sufficient to support the professional program in optometry, graduate programs, residency programs, continuing education, and research. The four patient care floors include approximately 92 examination rooms and a centralized imaging center. A portion of a fifth floor will be added when a new 5,000 sf Center for Pediatric Eye Care is completed on the 10th floor in 2019.

There are three lecture halls outfitted with state-of-the-art audiovisual capacities (two on first floor with a capacity of 105 each and one on second floor with a capacity of 94) and an auditorium (seating capacity 242) that is similarly outfitted. Seminar rooms and lecture halls have been enlarged and renovated. Fully equipped teaching laboratories (refraction/procedures, geometrical and visual optics, ophthalmic optics, vision science, anatomy, microbiology/histology and simulation) are primarily situated on floors 2, 3M, 14, 15, and 16. Research facilities are located on the 8th, 14th, 15, 16th and 17th floors, with a biological research facility on the 17th floor. The University Eye Center (UEC) is situated on floors 5, 6, 7 and 8 with its administrative offices on floor 10. The library is on the 4th floor.

Some faculty offices are on the clinic floors, and are primarily located on floors 9, 10 ,11, 14, 15 and 17. The 9th floor is home to Office of Administration and Finance, the 11th floor to Student Affairs and International Programs and the 12th floor to the Offices of the President, Academic Affairs and Institutional Advancement. Various SUNY administrative offices, including the metropolitan New York City branch of the SUNY Welcome Center (student recruitment), are situated on the 18th floor. A summary of space allocation in the building is given in **Appendix VII-1**.

Recent, Current and Future Renovations

The College building is over 100 years old, necessitating significant improvements to provide contemporary teaching facilities and enhanced student life space. The State has provided significant investment in our facilities leading to major renovations (some completed and others ongoing) that have transformed a challenge into one of our strongest assets. Since 2011, nearly $40M has been invested and the following projects have been completed:

- Student Center of Life & Learning
- Student Fitness Center
- Research Offices and Laboratories on 16th & 17th floors including needed core facility repair and improvement
- Two lecture halls gutted and renovated with technology upgrades
- Complete renovation of the lobby level providing enhanced security, establishment of art gallery and patient welcome desk
- Complete rehabilitation of the College's electrical systems

Facility improvements currently underway include the lower lobby (basement mezzanine) renovation to provide new methods, anatomy and simulation labs and exam rooms to practice national board exams; library renovation; rehabilitation of building support systems; and renovation of the basement and 7th floor bathrooms. It is estimated that the expenditures for these projects will be over $20M. Design for renovation of the 10th floor Pediatric Clinic is underway with an expected budget of about $3.3. Other projects, including renovation of the 7th floor clinic and 16th floor biological labs are soon to enter the design phase. Current and past projects since 2011 are summarized in **Appendix VII-2**.

7.1.1 The program must plan and provide for the repair, maintenance and replacement of physical facilities, ophthalmic instruments and other equipment, and computers and other technology infrastructure.

Annual budgeting and equipment lifecycle process

As detailed in **Appendix VII-**3, a comprehensive and systemic equipment lifecycle process that proactively supports the leadership's identification of future budget requirements is accomplished by conducting a systematic review of equipment twice a year. These reviews occur during the annual

- budget development process, usually in March, April and May
- equipment/property control inventory process, usually in September and October.

The annual budget call letter includes both a funding request template and a request for a narrative (**Appendices VII-4** and **VII-5**). For the annual equipment/property inventory control process, a spreadsheet listing the College's equipment is reviewed by area heads (**Appendices VII-6** and **VII-7**). Please note that the spreadsheet in **Appendix VII-7** includes the purchase date for each piece of equipment, thereby supporting the leadership's proactive identification of future budget considerations. Each budget head has access to this information as they develop their annual budget request.

Equipment Acquisition and Replacement

Expenditures for equipment acquisition, replacement and upgrading in the areas of academics (teaching and research), patient care, and information technology for the past three years were as follows:

Area	2015-16	2016-17	2017-18
Academics (not including Library or research)	$63.8K	$52.2K	$43.6K
Patient Care	$443.9K	$468.1K	$451.8K
Information Technology	$27.9K	$262.2K	$46.5K

Expenditures for repair and maintenance (excluding salaries) were:

Area	2015-16	2016-17	2017-18
Academics	$10K	$10K	$10K
Patient Care (with EHR)	$366.1K	$198.4K	$326.3K
Information Technology	$422.8K	$626.7K	$879.0K

Equipment acquisition and replacement occur through a number of mechanisms:

- Routine: Routine equipment acquisition or replacement is handled through the annual budget request submitted by VPs and negotiated with the President and VP for Administration and Finance. Once approved, the VP or designee manages the acquisition or replacement of equipment through their respective budgets.

- Extraordinary: If an unexpected equipment failure occurs during the year that imposes an extraordinary cost on a VP's budget, he/she can request budget supplementation from the President or VP for Administration and Finance. This process is usually successful depending on the need and level of cost involved.

- Comprehensive: A planned, large-scale, and possibly multi-year acquisition or replacement of equipment, defined by the quality and total cost of the items involved, would begin with a formal request made to the President or VP for Administration and Finance. Following discussions and if approved, a funding strategy would be formulated and an appropriate procurement process initiated.

- Capital Projects: Equipment acquisition or replacement can take place by means of capital building projects. Such equipment must relate directly to the project and may be either fixed or movable.

Maintenance

Preventative maintenance and repairs on building infrastructure equipment is scheduled by Computerized Maintenance Management System (CMMS). Copies of the maintenance and repair reports can be found in the Engineering Department on floor 3M. Equipment is replaced according to use and need as described previously under this standard. The engineering team closely monitors maintenance schedules and performs daily walk through inspections of all

operating equipment. The ophthalmic equipment is maintained by one full-time individual on staff.

The Facilities Department, headed by an Associate Director for Physical Plant, is composed of Engineering, Maintenance, and Housekeeping. These areas work together cohesively to ensure that the building achieves the highest level of operational efficiency and cleanliness.

The Engineering Department consists of a full-time Plant Utilities Engineer II who supervises three full-time Plant Utilities Engineers, one full-time Plant Utilities Assistant and one Maintenance Assistant. The primary functions of this department are to (1) ensure that the building has adequate heating and/or air-conditioning and (2) maintain, troubleshoot, repair, test, and calibrate mechanical and electrical equipment providing heat, hot water, ventilation, air-conditioning, and electrical distribution.

The Maintenance Department consists of four full time employees -- two General Mechanics, one Maintenance Assistant and one Cleaner. This department is responsible for the general maintenance of the building and performs a variety of repairs, installations and minor construction tasks. The Housekeeping Department consists of 10 cleaners reporting to a Staff Associate/Facility Manager.

Capital Projects
Please refer to **Appendix VII-2** for recently completed capital projects and those underway.

7.2 The program must provide access to well-maintained library, study space and information facilities, sufficient in size, breadth of holdings, and information technology to support the program's education and other missions.
Library
The Kohn Vision Science Library occupies the fourth floor of SUNY State College of Optometry, with windows facing 42nd and 43rd Streets. It is reached by elevators and, if necessary, also by stairs. In summary:
- The total net area of the fourth floor is 13,895 square feet, including two restrooms.
- The public areas are: four major stack sections, six group study rooms, two computer labs, one multimedia room with scanners, study carrels, couch and soft seating area, book and instrument display areas, and quiet study areas with tables.
- The staff areas are: circulation desk, work room, offices, Reserve Collection stacks, and storage rooms.
- There are four emergency exits leading to stairwells and a Fire Warden's telephone connection at Stairwell D on the 43rd Street side.

Holdings by Collection
The Library collection supports the curriculum and research needs of the College and provides specialized material via Interlibrary Loan to outside institutions and patrons. New acquisitions are cataloged in-house by Library staff, either by downloading existing bibliographic records or by original cataloging. Library expenditures are given in **Appendix VII-8**.

The Library is currently undergoing a renovation that will be discussed in further detail below. There are two intersecting goals at the core of our renovation efforts:
1) To move as much content as possible to digital formats;
2) To make the Library a more open and welcoming place for students to study, providing more seating areas and room for collaborative work.

In order to facilitate that, we are conducting an aggressive "weeding" effort focusing on removing outdated material and reducing redundancy, e.g. removing duplicate copies. We are not removing any material, regardless of the date of publication, in our core collection. For that reason, while the number of titles will be somewhat reduced, there will be a greater reduction in the number of "items," which refers to copies of a singular title. Currently, there are 74,407 items in our catalog.

The EyeBrowze online public access catalog lists 22,748 records representing monographs (books). These include books in the Main, Reference, Reserve, and Rare Book Collections. In addition, there are 1266 electronic books.

Print periodicals account for 747 records, and there are 1748 serial titles. The balance of the collection, approximately 2020 records consists primarily of slides, computer files, CD-ROMs, videos/DVDs, and microforms. Data on utilization of electronic resources (**Appendix VII-9**), interlibrary loans and document delivery, library expenditures and patron assistance and are posted on Factbook under Library (http://www.sunyopt.edu/offices/institutional-research/factbook).

Electronic Resources
A listing of the Kohn Vision Science Library electronic resources can be found at http://www.sunyopt.edu/library/resources. Students, staff, faculty members, and alumni are provided with access to full-text articles at http://www.sunyopt.edu/library/find_journals. While the Library holds subscriptions to a large collection of electronic journals, it has access to many more journals and databases provided by SUNYConnect, a program of the State University of New York, and the New York State Library's NOVEL service (New York Online Virtual Electronic Library).

Electronic databases, including the National Library of Medicine's PubMed, Google Scholar and VisionCite Citation Index (citations to articles targeted to vision science, optometry and ophthalmology) can be found at http://www.sunyopt.edu/library/find_databases. Open URL linking technology allows connection from these databases to full-text electronic content owned by the Library or available through open access. The EyeBrowze online catalog, which is accessible through the Internet, can be found at http://www.sunyopt.edu/library/find_books.

<u>Web site</u>
The Kohn Library website (http://www.sunyopt.edu/library) is maintained, updated, and enhanced on an ongoing basis. Every few years, the website is completely redesigned to keep up with new information needs, technologies, and available information resources.

The Library currently has 43,964 unique journal titles in our holdings and our discovery service has had 25,723 searches over the past year. The Library home page had 9,784 page views from March 2017 through March, 2018.

<u>Library Technology</u>
The College's Information Technology Department provides maintenance and support for computers and printers in the Library. Current resources include:
- Computers: 41 for patron use, eight for staff and circulation use, five for online catalog and transfer stations
- Printers: two networked and two individual printers for patrons and five individual printers for staff
- Two printer activation kiosks
- One copier
- Two scanners
- One KIC (Knowledge Information Center) scanning and emailing kiosk

<u>Library Renovation</u>
In 2017 Library staff surveyed the students regarding their perception and satisfaction with the Library's physical facility. The survey was followed by a focus group in which students were clear in voicing their desire for an improved atmosphere for studying and learning.

In the Spring of 2017, the Kohn Vision Science Library undertook Phase I of a three-year renovation, focusing on the south side (42nd Street side) of the Library. Phase I, which was undertaken over the Spring and Summer of 2017 and winter of 2018, consisted of the following:
- Weeding of approximately 2,000 outdated volumes
- Painting and carpeting of the Library open space, computer labs, and study rooms
- Knockdown and reconfiguring of shelves that allow for sightline across the Library
- Addition of study space through the demolition of an under-utilized conference room
- Addition of windows adjacent to the elevator vestibule
- Widening of entrance
- Addition of new, LED lighting throughout the facility
- Purchase of new furniture

Phase II began in early July 2018. This phase focused on the north side (43rd Street side) of the Library. This phase included:
- A complete assessment of the bound journal collection leading to a major reduction in print and further reliance on digital resources.
- The reduction of periodical stacks to ensure a clear sightline and enhanced study space

- The addition of state-of- the-art study carrels with power
- The addition of study tables and comfortable seating

Phase III, to be accomplished by the end of 2019, will feature the addition of a café, the technological enhancement of the study rooms, and new office furniture.

Information Technology

Technology Inventory

The recently upgraded core network consists of two Alcatel-Lucent Omniswitch 6900 core switching hardware located in the 3rd Floor Data Center with approximately 79 Alcatel-Lucent Omniswitch 6860 switches located in LAN closets throughout the institution. Wireless networking infrastructure is constituted of two Alcatel-Lucent 4704 wireless controllers in the data center and 110 Alcatel-Lucent AP125 access points deployed on all floors. ITS also utilizes Dell PowerEdge servers and Dell/EqualLogic storage area network (SAN) hardware in the data center to handle various network services, including Active Directory, Dynamic Host Configuration Protocol (DHCP), Domain Name Services (DNS), backup and file/print services. In addition, ITS utilizes VMware vSphere for server virtualization. To secure the core network, as well as the workstations from intrusions, viruses and other types of malware, ITS incorporates various system tools, including Checkpoint Firewall, Sentinel Intrusion Prevention/Intrusion Detection system, Office 365 Advanced Threat Protection and Dell Endpoint Security Suite.

ITS supports approximately 1,000 computers utilized throughout on campus, including approximately 200 thin clients in the clinical and academic areas. The majority of workstations are Dell OptiPlex computers running Windows 7/10. The College also has a fair number of Apple Macintosh computers and uses HP t620 series thin client hardware.

For system applications, the College standardizes on Microsoft Office applications (Word, Excel, Access, PowerPoint), and utilizes Office 365, including Outlook for the Web for electronic mail and calendaring, OneDrive, SharePoint, Office Online and Skype for Business. Some of the major third party applications that ITS supports include the Jenzabar EX student information system, PowerFAIDS for Financial Aid, NextGen electronic health record/patient management/optical management system, Moodle course management system, Class Climate course evaluation system, ExamSoft, Examplify online assessment system, Blackbaud Raiser's Edge NXT fundraising system, Ex Libris Aleph 500 library management system, Illiad interlibrary loan system, Meditrek medical education management system and the GoPrint print management system used in our computer labs.

Current Classroom Technologies

The College's three lecture halls classrooms were recently renovated and now offer state-of-the-art technological amenities for both students and faculty to provide the latest in teaching and learning technologies. These technologies include wired and wireless network access, smart interactive podium monitor, white boards, power and network capabilities for classroom seating, front screen LCD projectors, 70-inch large screen monitors to supplement main primary viewing screen, desktop PC and laptop connectivity, document camera, multi-source lecture capture

system, DVD/Blu-Ray, audio and video conferencing capabilities, including use HD cameras, wireless presenter remote with laser pointer, wireless lavalier and handheld microphones, assistive listening devices and fixed podium.

The College also recently upgraded the audiovisual technologies in the Schwarz Theater located in the basement. This space now includes state-of-the-art classroom technology comparable to the three main lecture halls. The Theater, though, has a larger seating capacity and includes a performance space.

Support Services

Recent ITS implementation include the upgrade of our ITS data center infrastructure, commencing with the core network authentication servers and enabling a Microsoft Windows Server 2016 Active Directory environment; the implementation of dual 500Mbps Internet circuits for expanded online capabilities; the implementation of a new Rave Mobile Safety campus-wide emergency notification system, as well as the ongoing process of improving the College's web site as a mechanism to provide enhanced communication with the community-at-large and maintain our strong presence on the Internet, including ensuring that the web site and other online resources are accessible to the widest possible audience, regardless of technology or ability.

In addition, ITS assisted in the implementation of the virtual simulation laboratory; updated the audiovisual capabilities in various learning spaces in the building, including classrooms and labs; updated our existing classroom response system, TurningPoint 5 to TurningPoint Cloud to provide instructors with immediate feedback on content comprehension, engage students and promote critical thinking; developed an Admissions microsite – SUNYOPT-In, to provide incoming students with pertinent information leading up to their enrollment, including financial aid, housing, orientation checklist and other resources needed for the transition to SUNY Optometry. During the Summer of 2017, the College upgraded its course management system to Moodle 3.1 to further enhance teaching and learning and provided faculty with detailed training before the beginning of the semester on its new features and functionality. All courses have an online presence using Moodle. Most recently, ITS upgraded the Alcatel-Lucent core network wired infrastructure during the Winter and Spring of 2018.

Clinical Services

ITS works with the University Eye Center to implement Clinical IT initiatives to enhance patient care. Some highlights include assisting in the implementation of the NextGen electronic health record, patient management and optical management system; upgrading to ICD-10, or the 10th revision of the International Statistical Classification of Diseases and Related Health Problems; assisted in the design and development of the "patient rooms of the future" and assisting in meeting "Meaningful Use" objectives In addition, ITS implemented a number of 3rd party clinical applications, including Zeiss FORUM picture archive and communications system (PACS); Surescripts E-prescribing solution; Instamed to process credit card and online payments; Navicure claims clearinghouse; Intellicred credentialing management system; Glimpse performance dashboards and Itentive ChartGuard in the event of system outage. More recently,

the NextGen Patient Portal was launched - a secure online platform that allows patients to send messages to their doctor, request appointments, request medication refills, pay bills online, and other functionality. Lastly, ITS recently launched the newly designed UEC website in Spring 2018.

Information Technology Council
The Information Technology Council (IT Council) was created to address the evolving needs of the College relating to information technology. The IT Council includes the Chief Information Officer, Library Director, Media Services Manager, as well as faculty, student, Administration and Clinical Administration representatives.

The goals of the IT Council are as follows: 1) to encourage consultation, coordination and communication among the various committees, departments, units and individuals at the College with an interest in or responsibility for technology issues; 2) to promote and extend the participation of the College in new technology-based initiatives; and 3) to provide guidance on matters relating to planning, implementation, budgeting, policies and procedures.

The IT Council consults informally as needed and meets regularly. Minutes are maintained and routed to the IT Council, the President, the Dean and interested others.

Collaboration and Resource Sharing
There have been opportunities to work with other SUNY campuses or organizations on in which the College has participated on technology initiatives. SUNY Optometry participates in SUNYConnect, the SUNY-wide electronic library initiative, which includes the management and support of the Ex Libris library management system, Aleph 500, and the Illiad electronic interlibrary loan system. The College also partakes in technology procurement using SUNY technology contracts, including the Microsoft Campus Agreement, Adobe, Apple and Credential Solutions, as well as NYS technology contracts available through the NYS Office of General Services (NYS OGS). Collaboration continues with SUNYNet's Internet and Intranet services, as well as being one of four sites of the state-of-the-art University Video Conferencing System (UVCS).

ITS also participates in SUNY sponsored information technology conferences, including the Conference on Instructional Technologies (CIT), SUNY Technology Conference (STC) and SUNY Wizard Conference. These conferences enable the College to invoke in peer networking and the sharing of information technology ideas. SUNY-based technology organizations, including the SUNY Council of CIOs (CCIO), Computer Officers Association (COA), Educational Technology Officers Association (EdTOA), as well as external organizations EDUCAUSE (Higher Ed IT) and HIMSS (Healthcare IT) allows promote the optimal use of information technology and information sharing, professional development activities and advocacy initiatives.

7.3 The library and information services staff must support the needs of the faculty, residents and students of the program
Library
Library's Mission

The Harold Kohn Vision Science Library seeks to meet the information needs of the College community through the selection, acquisition, organization and delivery of materials and services, as well as provision of the technology, instruction and support necessary to ensure access to information and its management. In support of these efforts Library staff set up appropriate systems and procedures to maximize effectiveness, ensure control over materials, and track activities and services. Library staff work closely with other Information Services colleagues and relevant others in the development, organization and delivery of instructional programs; to provide advice, consultation, and support as appropriate; and to take a leadership role in the introduction of new services and technologies.

Overview of Services

The Library serves students, faculty, researchers, residents, clinicians, alumni, staff, and the general public. The services provided include:

- Open seven days a week. On weekdays, opens at 8:00 am and closes at 10:00 pm. Saturday hours are 10:00AM to 8:30PM and Sunday hours are 10AM to 10PM. These hours and access to study space are adjusted during midterm and final examination periods. Off-campus access to virtual resources is available via the proxied Web site for members of the SUNY Optometry community.
- Over the next several years, the Library will be migrating to a new Library Services Platform and discovery layer. This will enable more seamless access to SUNY Optometry's collection as well as shared collections throughout the state. Our migration date is projected to be 2019.
- Reference, research assistance, and instruction in searching are provided. (See **Appendix VII-9** for Library circulation data and **Appendix VII-10** for a summary of Library patron assistance)
- Librarian mediated searches from a wide variety of databases
- Interlibrary loan service for professional students, faculty, researchers, residents, graduate program students, clinicians, and staff
- Links to electronic journals and databases
- Targeted resources on the Library website for optometric professionals including clinicians, students and instructors (Eyesites, Image Bank, Clinical Point of Care)
- Up-to-date highlights on relevant topics provided through the College intranet, (e.g., vision science, optometry, ophthalmology): RSS feeds on Web site, Twitter
- Group and one-on-one training for accessing electronic journals and databases
- Tip sheets for databases available in the Library and online
- Assistance with alerting and table-of-contents services
- Reserve Collection to support course work
- Copyright Guidelines and Citation Guides
- Information for students' leisure time activities: leisure reading collection, New York City culture and entertainment information in the Library as well as on an extensive Web site: http://www.sunyopt.edu/library/resources/new_york_city

<u>Staff</u>
The Library is operated by a staff of six people: Library Director, Associate Librarian, Serials and Document Delivery Services Manager, Library Outreach and Services Coordinator, Evening Administrative Support, and Administrative Support. The Library Director and Associate Librarian are members of the Faculty and have M.L.S. degrees from ALA accredited library schools, as well as second master's degrees. The Library Director is also a Distinguished Member of the Academy of Health Information Professionals. Each of the other members have more than ten years of service at SUNY Optometry. Curriculum vitae of the Library Director and Associate Librarian can be found in **Appendices VII-11** and **VII-12**. Responsibilities of staff members can be found at http://www.sunyopt.edu/library/about_the_library/staff_directory. or in **Appendix VII-13**.

Information Technology
The mission statement for the Office of Information Technology Services (ITS) is as follows:

The Office of Information Technology Services provides, maintains and supports specialized computer systems and provides resources and services to maximize the efficiency and effectiveness of the Academic, Clinical, Research, Business and Administrative functional areas across the institution.

ITS provides high quality technology services throughout the College community, including supporting the College's academic and clinical teaching programs. IT ensures high availability, dependability and reliability of the campus wired and wireless network infrastructure, electronic mail and conferencing system, as well as campus servers. That includes ensuring that information is secure, available and that appropriate disaster recovery protocols are in place. ITS also provides comprehensive technical support throughout the College community, as well as training and web development and programming services. In addition, ITS oversees and maintains one of four designated University-wide Video Conferencing System (UVCS) sites within the State University of New York system. ITS staffing is currently comprised of 13 full-time individuals. The organizational chart for ITS can be found in **Appendix VII-14**.

The entire College community, including all students and faculty are provided with a network user account and an email account with access to campus network resources. The network user account not only allows users access to the campus network, but it is also used to access a private network directory (H: drive) to store files, as well as to access other online network resources and applications.

All faculty are provided a computer and on a regular basis, computer equipment and peripherals are upgraded or replaced. All high-priority computer equipment are on annual maintenance contracts - either 24x7, 7days/wk or 9x5, M-F. All other technology equipment is maintained and repaired in-house. The IT equipment replacement policy can be found in **Appendix VII-15**.

The Office of Information Technology Services currently offers one-on-one student and faculty course training as requested and offers tip sheets on logging onto the campus network and accessing Office 365. ITS also subscribes to Hoonuit, formally Atomic Learning, the online

technology training and professional tool for educators. Training for faculty in the use of classroom technology is done on an individual basis by Media Services and is supplemented by skilled AV work-study students who are present in every class and assist in the setup and troubleshooting of individual lectures. ITS also offers the ITS Video Conferencing and Training Center to provide group training for up to 16 participants with laptops on all ITS supported applications. Additional information regarding support provided by the Office of Information Technology's staff may be found under Standard 7.2.

7.4 The program must have an emergency preparedness plan.
The College's Emergency Response Plan can be found in **Appendix VII-16**. A link to this plan can be found on the College's Emergency Response webpage (http://www.sunyopt.edu/offices/university_police/emergency_response). All employees must take annual compliance training; knowledge of the emergency preparedness plan is a portion of this training.

Standard VIII – Clinic Management and Patient Care Policies

8.1 The program must have or be assured the use of a clinical patient care program sufficient to fulfill its mission, goals and objectives.

The University Eye Center (UEC), the College's owned and operated Article 28 patient care program, consists of its primary location on the College campus.[10] In addition, the College has contractual arrangements with community organizations (Satellite Clinics) including hospital clinics and diagnostic and treatment centers.[11] **Appendix VIII-1** lists the current satellite clinics. The on-campus clinic provides adult and pediatric primary eye care services (including contact lens services and ophthalmic dispensing) as well as more specialized care in the areas of ocular disease, vision therapy, advanced contact lenses, low vision, head trauma, adults with disabilities, children with special needs, infant vision, and learning disabilities.

The UEC is administratively structured into three major services: Primary Care, Advanced Care and Vision Rehabilitation. Specialized services are organized under each of these major service areas as indicated in **Appendix VIII-2**.

The UEC is one of the busiest optometric clinics in the country. Its location in the heart of the nation's most densely populated metropolis affords extraordinary access to an exceedingly clinically diverse and challenging patient base. The central clinic at 33 West 42nd Street has about 71,000 patient visits per year while the satellite clinics see about 45,000 patient visits for a total of about 115,000 patient visits per year (data for FY 2017-2018).

The 42nd Street clinical facility consists of four clinical floors containing approximately 100 examination rooms. Floor plans are given in **Appendix VIII-3a**. In addition, there is one floor that is primarily dedicated to supporting the clinical floors with staff in a variety of functions including clinical administration, medical records, call center, referral service, billing, community outreach and an ophthalmic laboratory. The floor plan is in **Appendix VIII-3b**.

The UEC Referral Service provides advanced and specialized services including diagnostic imaging and testing to the patients of referring doctors in our community. In FY 2014-2015, FY 2015-2016, FY 2016-17 and FY 2017-18 the number of patient visits as a result of referrals was 11,731, 12,285 13,290 and 14,238, respectively.

The College is cognizant of its responsibility to provide services to less fortunate members of the community. Fee reduction applications are readily available throughout the clinical floors to assist patients. **Appendix VIII-4** summarizes such services provided by the UEC in 2017-18.

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[10] The University Eye Center is a Diagnostic and Treatment Center licensed by the New York State Department of Health, an agency of the State of New York. As such, it is required to comply with the Official Compilation of Codes, Rules and Regulations of the State of New York (NYCRR). As a Diagnostic and Treatment Center, the University Eye Center must comply with Article 28 of the New York Codes, Rules and Regulations, Title 10.

[11] Certain of the satellite clinics may serve as externship sites. Please see Standard 2.10.

8.1.1 The clinical patient care program must include an integrated teaching clinic primarily staffed by faculty members who are employed by the program.

Students are fully integrated into the UEC's clinical activities and services. Services are provided under the supervision of about 64 full-time and part-time licensed optometrists, 13 part-time consulting ophthalmologists, 2 full-time psychologists, 1 full-time nurse, 12 full-time and part-time opticians and 1 full-time social worker. All doctoral level clinicians hold faculty rank and are employed by SUNY College of Optometry. This is the case for the College campus and satellite clinics.

8.2 A coordinated system of clinical governance, administration, management and evaluation must be followed by all clinics managed by the program.

Effective June 2015, The position of Vice President for Clinical Affairs which oversaw all clinically related programs, was eliminated and responsibilities were divided into two positions: 1) Director for Health Care Development: This individual is responsible for expanding the College's external partnerships within the New York healthcare community and for advancing the College's patient care interest in relationship to ongoing health care reform, and 2) Vice President for Clinical Administration: The College's University Eye Center (UEC) leadership structure was re-aligned such that it is now led by a health care executive supported by a Chief Medical Officer. The new structure is in keeping with common hospital and health center structures.

Tables of organization for the UEC may be found in **Appendix VIII-5**. Clinic management policies are referenced in the UEC Bylaws (Appendix 3 of UEC *Policy and Procedure Manual*) as well as in specific policies and procedures contained within the manual (**Appendix VIII-6**). The vice president for clinical administration, who also serves as executive director of the UEC, reports directly to the president of the College. Position descriptions for the principal administrative personnel of the UEC are published in Appendix 7 of the UEC *Policy and Procedure Manual*. Clinic administrators, who are classified as management/confidential employees by the University, are evaluated annually with respect to negotiated performance expectations.

Policy and procedural matters related to the UEC, as well as the effectiveness of operations, are discussed at monthly meetings of the Clinic Council. This council, chaired by the Chief Medical Officer, is primarily concerned with the quality of the care of patients balanced with the educational needs of the students. It is composed of the UEC senior administrative staff, chiefs of clinical services, clinical education department chair, the Clinical Vision Research Center director and the Residency program director. Sample minutes of meetings of the Clinic Council are available on campus upon request.

The SUNY College of Optometry has professional service contracts to provide faculty and residents to non-profit hospital and health centers (satellite clinics) in the New York metropolitan area. The optometrists who staff these clinics (faculty and residents) are employed by the College. They follow the rules and regulations of the external clinics, and the day-by-day operations of these external sites are not managed by the UEC.

8.2.1 The program must publish and make available to staff, student clinicians, residents and faculty, a clinic manual which includes all clinic policies and procedures.

There has been a concerted effort to be green with the voluminous *UEC Policy and Procedure Manual* (just under 700 pages) (**Appendix VIII-6**) and not print unnecessary copies. The complete manual is available to faculty and staff via the Office 365 email system in the Sharepoint SUNY OPT Home Page under the document header of *College – UEC policies & procedures*. The appendices to the manual incorporate documents such as the Clinical Management Protocols, Bylaws, Tables of Organization and the Credentialing Standards. The Sharepoint document also contains a summary of 2018 changes to the UEC manual (see below). For students, the manual and list of changes are available electronically via the Sharepoint SUNY OPT Home Page. In addition, each clinical floor (Floors 5, 6, 7 and 8) has a CD with the aforementioned files in the rare occurrence that the network is down and not available.

All new employees (faculty and staff) are provided with information on how to access these electronic documents. Students are informed during their orientation immediately preceding their entry into the clinics.

An extensive review of the University Eye Center's (UEC) policies and procedures was last conducted between February and April 2018. As a result of this review, 82 policies/procedures were modified (approximately 25% of these were substantial changes). **Appendix VIII-7** summarizes the changes. Two new policies/procedures were developed in the areas of operations and patient care.

8.2.2 The program must verify credentials of faculty members who serve in the clinic.

The policy for initial and re-credentialing in the UEC is in the *UEC Policy and Procedure Manual* C-12 (**Appendix VIII-6**). All faculty members with clinical privileges are required to complete the credentialing process at the time of initial appointment and every two years thereafter. A number of specific items are required to be submitted for the initial and re-credentialing and privileging process, including original degrees and licenses. A detailed listing of these items is included in the above-mentioned policy and procedure.

8.2.3 The program must define the scope and extent of clinical privileges for each faculty member who serves in the clinic.

Providers must request and be granted privileges to provide direct patient care during each credentialing and privileging cycle. The policy is section P-8 of the *UEC Policy and Procedure Manual* (**Appendix VIII-6**). The credentialing and privileging period is bi-annual, and providers must meet certain requirements to be re-credentialed and maintain privileges. A faculty member may request a new privilege at any time during the credentialing and privileging cycle. The requested privilege or change in privileges requires approval by a service chief. Delineation of the scope and extent of each faculty member's clinical privileges are determined with the credentialing policy (*UEC Policy and Procedure Manual* C-12 in **Appendix VIII-6**) and clinical privileges form (**Appendix VIII-8**). Moreover, the approval process ensures review at the service-specific and organizational level with the Chief Medical Officer granting the final approved

privileges. Privileging of residents is based on a recommendation by the director of residency programs and approval of the Chief Medical Officer.

8.2.4 The patient record must allow for efficient review of the patient's condition and any pertinent previous care provided at the program's clinical facility.

In preparation to meet the continuing requirements of health care reform, the UEC invested in a new electronic health record system which includes scheduling, registration, e-prescribing, patient accounts, billing, patient portal and optical inventory management in June 2015. NextGen, a leader in the health information technology industry, provided our center with an integrated solution to securely document and access information as well as streamline our clinical and operational functions. The system was critical to the ICD-10 transition in October 2015, the implementation of e-prescribing in March 2016, and it is compatible with Meaningful Use Objectives, Physician Quality Reporting Initiatives as well as the Merit-based Incentive Payment System (MIPS).

Current patient records (and past records of active patients) are stored in an electronic format. The *UEC Policy and Procedure Manual* M-2 (**Appendix VIII-6**) addresses specifically what information should be contained in the medical record. Patient records allow for efficient review of patient conditions and any pertinent previous care provided at the UEC. Access to records is restricted to the practitioner or student who sees the patient. An audit trail can be obtained of who viewed a patient record. The confidentiality of patient information is of paramount concern. Students, faculty and staff are reminded annually on a formal basis about confidentiality of clinical records.

The UEC has a Privacy Officer for issues related to confidentiality, a Compliance Officer for issues related to "business integrity" and an Information Security Officer for issues related to the physical, technical and administrative safeguards of information. All employees and students are required to take an annual on-line course on HIPAA and Business Integrity and successfully pass a quiz associated with the course. Access to records by accreditation site teams must adhere to HIPAA regulations (*UEC Policy and Procedure Manual* H-4 and 5; **Appendix VIII-6**).

8.2.5 The clinic must conduct a continuous quality assessment, improvement and compliance program that provides for remediation when deficiencies are identified.

Quality Assessment and Improvement

The UEC's Quality Assessment and Improvement Plan can be found in Appendix 5 of the *Policy and Procedure Manual* (**Appendix VIII-6**). It is the University Eye Center's policy to review charts of patients seen within the UEC's in-house clinics. The quality and appropriateness of care rendered by faculty to patients are retrospectively reviewed by the Quality Assessment and Improvement Committee (QA). This team meets weekly. Generally, a minimum of 10 records are reviewed for each faculty member per year. For FY 2017-2018, over 640 charts have been reviewed. QA activity for this period can be found in **Appendix VIII-9**.

Records are compared against the protocols published by the University Eye Center. Records are "flagged" whenever an error, omission, or other failure to comply with the Institution's clinical management protocols may adversely affect the outcome of the patient encounter, as follows:

- Level Zero: a note to the practitioner. No clarification or correction required, for informational use only.
- Level One: minor error(s) or omission(s) in the record without impact on patient care. Requires clarification or correction by the attending doctor.
- Level Two: significant error(s) or omission(s) in the record which may affect patient care. Requires clarification or correction by the attending doctor.
- Level Three: potentially sight or life-threatening error(s) or omissions. Requires immediate attention by the attending doctor.

In addition to reviewing faculty, the QA team also evaluates clinical indicators and works on specific projects requested by the chief medical officer. The clinical care indicators represent conditions of high risk, high prevalence or both.

Faculty members are informed of their flagged charts. Level 2 and level 3 flags are immediately brought to the attention of the Chief Medical Officer. The chief of the particular service where the patient was seen is then informed. The chair of the QA team is notified when the issue has been resolved. Detailed QA reports are provided to the chief of staff/director of professional services and Clinic Council quarterly. Service chiefs share the information with their faculty at the next scheduled service faculty and staff meeting.

Patient Surveys
Patient's satisfaction surveys, which can be completed anonymously, are available on all clinic floors as well as on the UEC website. These forms are submitted to the UEC's Director or Clinical Operations and processed as described in section C-9 of the *UEC Policy and Procedure Manual* (**Appendix VIII-6**)*.* An example of patient satisfaction survey results can be found in **Appendix VIII-10**. Information gathered though these surveys was utilized to restructure administrative processes at our reception desks where patients are checked-in and modifications were made to our existing protocols in our call center to better serve patients.

Business Integrity Program
The Compliance Program for the UEC is reviewed annually by the Compliance and Business Integrity (CBI) Officer and senior administrative staff (C-7 of the *UEC Policy and Procedure Manual*; **Appendix VIII-6**). As part of this process, the policies and procedures relating to compliance and business integrity are reviewed along with the Office of the Medicaid Inspector General (OMIG) Annual Work Plan and any associated documents. All employees are required to take an on-line course on related topics and pass a quiz as part of our ongoing training program. The quiz includes examples of relevant scenarios to test the knowledge of individuals and their understanding of their responsibilities as part of the monitoring activities to detect potential compliance-related issues.

All clinical faculty and staff as well as interns and residents are required to take an on-line business integrity course, including a test, annually. A primary focus of this program is the appropriate billing and coding of insurance claims.

For the period of January 2017-December 2017, the CBI Officer conducted audits which can be found in **Appendix VIII-11**. Education and training were provided to faculty as a result of this audit and additional audits continue throughout the year to ensure compliance is maintained, training topics reflect pertinent areas of potential concern and that deficiencies noted have been addressed.

8.2.6 The clinic must publish or post policies and procedures on the patient's rights and responsibilities.
The *Patient's Bill of Rights* is posted in the patient reception area of each of the four clinical services and included in the *UEC Welcome Brochure* that is given to every new patient at their first appointment and annually thereafter (**Appendix VIII-12**). It is also included in the *University Eye Center's Policy and Procedure Manual* (P-1: Patient Bill of Rights; **Appendix VIII-6**) that is accessible by faculty, staff and students. Each patient signs a general consent document (C-10: Consent Form, General of the *UEC Policy and Procedure Manual)*. Additional written informed consent may be obtained for secondary and tertiary procedures (C-11: Consent, Informed of the *UEC Policy and Procedure Manual*). In addition, payment and insurance policies are also delineated in educational materials available on the clinical floors and on our website. This information assists patients to understand their responsibilities with regard to insurance coverage issues.

8.2.7 The clinic must have written procedures for receiving and resolving patient complaints, grievances and appeals.
The University Eye Center's (UEC) policy and procedure on *Compliments and Complaints* addresses three specific areas:
1. Resolution of Verbal Complaints
2. Responding to Patient Satisfaction Surveys
3. Responding to Written Patient Compliments and Complaints

The aforementioned policy and procedure can be found in the *UEC Policy and Procedure Manual* (**Appendix VIII-6**) under C-9: Compliments and Complaints. Copies of all compliments and complaints are filed in the Office of Clinical Administration and are available for review to applicable regulatory and/or accreditation agencies and their representatives.

8.2.8 Clinic programs must utilize established procedures to address risk management such as liability, security and safety.
Clinical faculty (including on-site residents) and staff, as employees of the State of New York, are covered under section 17 of the NYS Public Officers Law (Policy M-3: Malpractice/Professional Liability of the *UEC Policy and Procedures Manual*; **Appendix VIII-6**). Under this statute, employees are covered for their acts or omissions and are both indemnified and defended by the

state provided that the employee is acting within the scope of his/her employment and that injury or damage did not result from intentional wrongdoing. Students are covered under a separate certificate of insurance purchased by the University as they are not deemed state employees. **Appendix VIII-13** contains the declaration page and policy for this coverage.

The College's University Police has primary responsibility for security and safety on campus. The department consists of University Police Officers and Security Officers who have the responsibility for crime prevention, building safety, fire and medical emergencies. Fire drills and building evacuation drills are conducted periodically and in accordance with the rules and regulations for Article 28 Diagnostic and Treatment Centers. Safety and security procedures are included in the *UEC Policy and Procedure Manual* (C-28: Child Protection Policy; E-4: Emergency Response Management Plan; L-1: Life Safety Management Plan; S-2: Safety; and S-5: Security Management Plan), which can be found in **Appendix VIII-6**.

The College's policy and procedures for environmental safety and infection control are contained in Appendix 8 of the *UEC Policy and Procedure Manual* (**Appendix VIII-6**). The Environmental Safety and Infection Control Committee promotes a safe and functional environment which monitors and improves patient and staff safety as well as reducing the possibility of acquiring and transmitting infections. On an annual basis all employees and students must complete the necessary infection control training and periodically attend course updates as mandated by state law. Credentialed optometrists and students are required to have active CPR certification.

Incident reports dealing with patients are reviewed by the Director of Clinical Operations and the Chief Medical Officer to ensure that sentinel events as well as potential risk management issues are reviewed and that appropriate action is timely. Patient complaints are also reviewed for timeliness and appropriate follow up by senior management in the UEC. In addition, the QA&I program addresses risk management issues as they arise during record reviews.

8.3 The program must provide eye and vision care services, which are consistent with accepted and well-established health care standards such as clinical practice guidelines.
The University Eye Center (UEC) utilizes the Clinical Practice Guidelines from the American Optometric Association's (AOA) Clinical Practice Guidelines as published in C-4: The American Optometric (AOA) Clinical Practice Guidelines of the *UEC Policy and Procedure Manual* (**Appendix VIII-6**). These guidelines represent the framework for the management of specific vision and ocular disorders, or visual-related sequelae of systemic disease and/or trauma. Following these guidelines assures that patient care rendered in the UEC is consistent with established standards of care. Clinical faculty have been instructed to incorporate the Clinical Practice Guidelines into their patient care processes at the UEC and into their clinically-based academic activities at the College.

The AOA's Clinical Practice Guidelines are available in a folder on the desktop of the computer in each examination room, via SUNY Optometry's library webpage (http://www.sunyopt.edu/library/resources/clinical_point_of_care#eye_disease_management) and at the AOA's website https://www.aoa.org/optometrists/tools-and-resources/clinical-care-

publications/clinical-practice-guidelines?sso=y. In addition, there is a bound printed version of the complete set of current guidelines in the College's Harold Cohen Vision Science Library.

The Quality Assessment and Improvement Committee (QA) utilizes these clinical practice guidelines as the standard of care when reviewing and auditing records. Procedures employed by QA committee are described under Standard 8.2.5 of this Self-Study.