

# Management Review of Administrative Structures



UNIVERSITY AT ALBANY

State University of New York

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## INTRODUCTION AND EXECUTIVE SUMMARY

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The Matrix Consulting Group was retained by the University at Albany, State University of New York, to conduct a Management Review of Administrative Structures. The report, which follows, presents the results of the study. This study was designed to provide a high-level strategic review of the suitability of the University's administrative organizational structure. Areas specifically excluded from review during this engagement included: the College of Nanoscale Science and Engineering and all academic programs. The primary focus was on Administrative functions, principally those under direct control of the President.

### KEY FINDINGS AND OBSERVATIONS

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Based upon the entire evaluation conducted, the project team would highlight the following findings and observations as the key items for note within this report:

The University Administrative functions are generally organizationally structured in a traditional manner and comparable to the organizational structures observed in peer institutions. There are opportunities in selected administrative units to enhance efficiency through reorganization.

University at Albany staff members are managing a significantly higher number of students per FTE than its peer and aspirational peer institutions. Compensation at the executive managerial level is generally below that of the peer groups, although average salaries for full-time instructional staff are above the average of instructional staff at peer institutions and on par with the aspirational peer average.

While overall institutional expenses per student FTE are 25% above the average of peer institutions, the University at Albany's number of Executive, Administrative and Managerial staff per 100 students is only .7, around 70% of the peer/aspirational peer staffing levels.

The University at Albany's revenues from tuition and fees per student FTE at \$4,789 is only 58% of the peer group's average of \$8,243. This indicates that other institutions are generating significantly more revenue from tuition and fees than the University at Albany.

Key opportunities to improve operations and service to the organization through changes in policies, procedures or operating practices exist in the following units: Internal Audit, Information Technology, and Procurement.

Identified areas for potential organizational restructuring were identified in the following areas: Facilities Management, Environmental Health, and Environmental Sustainability (consolidation into a single organizational unit); Enrollment Management sub-units Bursar & Student Accounts (reporting to Controller rather than Academic Affairs); Enrollment Management (as Administrative function rather than Academic); and Development and Communications & Marketing (consolidation into single organizational unit).

The University should continue to streamline operations by continuing to centralize Information Technology services and by consolidating key financial functions under the Controller.

More discussion of each of these findings and recommendations, along with others, is contained in later sections of this report.

## STUDY SCOPE AND METHODOLOGIES

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The University at Albany, SUNY, sought assistance in conducting a management review of administrative structures. Over the last several years, numerous staffing changes, some significant, have occurred to address financial constraints impacting the University. Some of the reductions imposed as cost-saving measures in recent years have, for essentially the first time or the first time in any significant manner, impacted academic programs. Obviously, this was a cause of concern for some members of the University community, who questioned whether economies could be found elsewhere in the organization to mitigate the impact on academic programs. The University President, cognizant of the need to ensure the most effective and efficient utilization of staffing and resources allocated to administrative functions, sought to have a high-level independent, objective and third-party review conducted of the University's administrative functions.

The University sought this review to complement its continued efforts to streamline operations while maintaining appropriate service levels in an increasingly challenging economic environment.

In conducting this study, the Matrix Consulting Group's project team utilized a wide variety of data collection and analytical techniques that led to the conclusions reached in this report. These activities included the following:

Initial interviews were conducted with the University President and key administrative staff to identify issues, organizational and study goals and objectives, and to understand the existing organizational structure.

Interviews were then conducted with all Vice Presidents, the Provost, key administrative staff throughout the University and selected other managers, supervisors and staff. The purposes of these interviews were to document the following:

- Organizational structure in each administrative unit
- Key issues facing the administrative unit
- Identification of operational issues that result from the current structure and discuss potential alternatives that would improve administrative service delivery
- Staffing of the department and responsibilities of assigned staff
- Management systems utilized to plan, monitor and adjust approaches to providing services
- Identification of redundant organizational responsibilities

A detailed survey was conducted of all University employees to allow them to have input into issues surrounding the current organizational structure, service delivery and opportunities for

improvement. Specific focus was placed on areas of duplication throughout the organization and units that may be more appropriate for alternative location in the organizational structure.

Various alternative approaches to organizing and allocating university functions were developed and evaluated.

The following section consists of a summary of the review of the operations, management, and staffing of the University's departments

## GENERAL OBSERVATIONS AND FINDINGS

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There are several observations and findings that are worth highlighting as they are either general themes throughout the finding and recommendations, or have significant impact or potential for change. These include the following:

- Salary levels for administrative positions (President, Provost and Vice Presidents) are generally below those levels paid by peer institutions in comparable positions.
- Number of direct reports to the President (span of control) is not atypical to that seen in other institutions.
- Generally the organizational structure for major units in place at the University at Albany is a very common approach to the allocation and organization of University administrative functions. (i.e. – Academic Affairs, Finance and Business, Student Success, Research, Development, etc.).
- Areas of organizational structure differences between the University at Albany and other peer institutions generally fall in the area of specific sub-units and smaller organizational units within each major Unit. The number and location of these services in university structures vary greatly among peers. The key issue is more whether these units are unique and warrant being established as a separate unit, rather than whether the service should be provided.
- The ratio of administrators to academic positions is not out of line with what was observed in other universities. In fact the University at Albany generally falls below the average for peer institutions. The average number of Executive, Administrative and Managerial positions per student FTE was .007 for the University at Albany, compared to .011 and .01 for the peer institutions and aspirational peer institution groups respectively. The University at Albany operated with only 63% of the Executive, Administrative and Managerial staff of peer institutions and 72% of those in the aspirational peer group.

- Recent staff reductions, particularly in the administrative functions over the last several years, have resulted in service declines (in some cases significantly) – many of which are impacting the timeliness and accuracy of key operational practices throughout the University. These include financial processing, procurement, custodial and maintenance functions, etc. These service impacts will not be addressed through organizational change but only through more detailed analysis of workflow, processes utilized, and technology – absent an ability to restore lost positions.
- In many cases, administrative processes are more cumbersome and complicated at the University at Albany when compared to other universities outside of New York. This is due to the fact that the University has to comply not only with internal policies and procedures, but also with those imposed by the State and the State University system. This is particularly true for operations such as procurement and administrative financial functions. Many other institutions throughout the nation operate with a much greater level of independence, autonomy and simplified regulations. While this issue is outside of the University's ability to independently address or resolve, it is important to note when making comparisons to other entities or comparing staffing and/or efficiency levels.
- A comprehensive and coordinated technology plan is not guiding operations. While efforts are underway to more fully consolidate these services in a centralized approach, this is an area of concern for many units. Key operating modules of the financial system have not been implemented. It is extremely uncommon for an organization the size of the University at Albany not to have a budgeting module on the financial system for tracking, developing and projecting budgetary needs.
- Continued centralization of technology services is needed to eliminate areas of duplication and segregated responsibility and/or accountability. Technology staff assigned outside of the centralized Information Technology Service unit (ITS) should be responsible for unit-specific software and unique technology needs, not providing base services that are already the responsibility of the Information Technology Division.

The table on the following pages presents a summary of the key findings and recommendations contained in this report.


ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
President's Office				
Internal Audit & Management Services	Internal Audit (IA) is widely viewed as not functioning with a clear purpose, role and support function to other operations. Lack of a well-defined (or any) annual work plan leaves this unit functioning on its own.	<p>The IA unit should develop and have adopted by the President an annual work program, including provision of some performance audits, with quarterly reports on progress presented. New or changed audit focuses should be reviewed and also approved by the President as needed.</p> <p>One individual within the President's Office should be charged with the routine oversight of the work efforts of IA to ensure service needs of the University are being met.</p>	A reporting relationship directly to the President is typical for this function.	
Strategic Initiatives	None identified		None identified	
University Counsel	None identified		None identified	


ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<p><b>Office of Diversity and Inclusion</b></p>	<p>This unit generally operates fairly independently with an apparent lack of oversight, direction or accountability.</p>	<p>One individual within the President’s Office should be charged with the routine oversight of the work efforts of ODI to ensure service needs of the University are being met.</p>	<p>Common alternatives have Diversity &amp; Inclusion more closely integrated with Human Resources and / or not involved in day-to-day hiring process but functioning as educational and oversight office</p>	<p>Several alternatives exist for Diversity &amp; Inclusion including:</p> <ol style="list-style-type: none"> <li>1) No change. They continue to handle recruitment role in addition to other functions of office.</li> <li>2) Transfer recruitment function to Human Resources and Diversity &amp; Inclusion serves only as oversight and educational function. This approach creates greater potential for friction between this office and HR.</li> <li>3) Consolidate this office into the HR operation as a unit of HR. Potential for perceived loss of prominence of this effort to the organization.</li> </ol>



ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<p><b>Athletics Administration</b></p>	<p>Major issues identified regarding lack of accountability for operations – specifically related to financial management and compliance with adopted policies and procedures.</p>	<p>Training, as needed, should be provided to operational staff regarding compliance with financial policies and procedures. Clarity should be sought on when Athletics is allowed to deviate from these policies and procedures due to unique operating needs (or the requirements of Athletic Conference).</p>	<p>Athletics is appropriately located organizationally. It is typical for this function to report directly to the University President.</p>	<p>No change in reporting relationship is proposed.</p>



ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<p><b>Information Technology Services</b></p>	<p>Satisfaction levels with the IT services varied considerably among operating units.</p> <p>Concerns identified with the ability of ITS to effectively develop and communicate their annual work plan and the process that is utilized to develop this. Many units unclear of the level of support they can expect from ITS.</p> <p>Continued centralization should continue to pull all duplicative services under the control of the central IT function. IT staff and services provided within individual organizational units should be focused entirely on either specialized hardware or software that is not supported by ITS.</p>	<p>IT should continue efforts on improving service levels including annual customer satisfaction surveys.</p> <p>A more transparent and understood process for developing annual work plans for the ITS function should be implemented to enable all units to understand level of support they can expect to receive from ITS. Decisions can then be made on the level of contracted services departments must fund directly.</p> <p>The University should continue the centralization of all core IT services for the remaining University units that have IT staff. This will reduce duplication and enable IT staff within other units to focus on services or support areas NOT provided by IT rather than providing a duplicated service. Service level agreements may be needed.</p>	<p>The existing reporting relationship directly to the President is a model that should enable ITS to focus on greater organizational needs without pressure from specific operating units.</p>	<p>The existing organizational reporting approach should be maintained.</p> <p>If the University looks at an alternative approach, IT functions would most logically fall within the Finance and Business unit. However, placing at this level may cause concerns with other units at a similar organizational level.</p>
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ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<b>Finance and Business</b>				
<ul style="list-style-type: none"> <li>• <b>Human Resources</b></li> <li>• <b>Environmental Health and Safety</b></li> <li>• <b>Environmental Sustainability</b></li> <li>• <b>Financial Management &amp; Budget</b></li> <li>• <b>Facilities Management</b></li> <li>• <b>Controller</b> <ul style="list-style-type: none"> <li>- <b>Institutional Services</b></li> <li>- <b>State Accounting</b></li> <li>- <b>Sponsored Funds Financial Management</b></li> <li>- <b>Parking &amp; Mass Transit Services</b></li> </ul> </li> <li>• <b>University Auxiliary Services</b></li> </ul>	<p>Major concerns and issues identified with these functional areas related to issues of workload exceeding staffing levels (common theme among most university units given historical reductions).</p>		<p>Functions located within this unit are generally those of internal support functions and administrative in nature. These provide a strong “Administrative Services” grouping.</p> <p>Most “units” within this area based upon service / function provided and are logically organized and structured.</p>	
<p><b>Human Resources</b></p>	<p>Specific operational concerns were identified from the customer’s perceptions and level of satisfaction, though recent indications of improvement. Principally, due to workload / staffing issues.</p>			

ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<b>Environmental Health &amp; Safety</b>			Facilities, Environmental Health & Safety, and Environmental Sustainability have many interconnected functions and work activities require coordination. These, absent a high need for a “high profile” in the organization, could be consolidated	Consideration should be given to eliminate organizational barriers to combining Environmental Health and Environmental Sustainability under Facilities Management for a more comprehensive and coordinate approach.
<b>Environmental Sustainability</b>				
<b>Facilities Management</b>				
<b>Financial Management &amp; Budget</b>	No centralized budgeting module is in place.	Financial Staff must develop a plan in conjunction with ITS to implement the budget module on the financial system		
<b>Controller</b> <ul style="list-style-type: none"> <li>• Institutional Services</li> <li>• State Accounting</li> <li>• Sponsored Funds</li> <li>• Parking &amp; Mass Transit</li> </ul>			The Controller wears a significant number of hats overseeing financial operations, and having a role with Auxiliary Services. Some concerns about spreading too thin in this area	

ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<p><b>Institutional Services</b></p>	<p>Procurement – severe concerns noted over service levels, consistency, willingness to assist customers</p>	<p>Procurement function should be more fully evaluated to establish service delivery standards, performance goals &amp; expectations and identification of opportunities to streamline processing.</p> <p>RF Purchasing staff should be more fully involved in reviewing grants at the pre-award phase to eliminate issues related to spending funds / procuring goods that are occurring at the post-award phase. A training program for pre-award research administrators should be developed providing guidance on key procurement and financial policies that must be taken into consideration for grant application and spending of grant funds so they are fully aware of restrictions</p>		

ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<b>State Accounting</b>	None identified		None identified	
<b>Sponsored Funds Financial Management</b>	Disconnect between pre- and post-award financial management (ties into coordination with procurement, above).			
<b>Parking &amp; Mass Transit</b>				It would be common for Parking & Mass Transit to also be included in a large Facilities function rather than reporting to the Controller.

ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<b>Student Success</b>				
<ul style="list-style-type: none"> <li>• <b>Campus Center</b></li> <li>• <b>Career Services</b></li> <li>• <b>Counseling Services</b></li> <li>• <b>Conflict Resolution</b></li> <li>• <b>Disabled Student Services</b></li> <li>• <b>Health Services</b></li> <li>• <b>Multicultural Student Orientation</b></li> <li>• <b>Parent Services</b></li> <li>• <b>Personal Safety/Off-Campus</b></li> <li>• <b>Residential Life</b></li> <li>• <b>Student Involvement</b></li> <li>• <b>University Police</b></li> </ul>	<p>Similar to the prior unit, the major issues identified were staffing related due to reductions over the years. In many areas, FT staffing has been significantly decreased (for example – Campus Center) and part-time and student resources are a core component of the staffing complement.</p>	<p>No major operational recommendations at this point.</p>	<p>This unit is composed of a significant number of small units but each has unique operational purpose and is therefore appropriate.</p> <p>University Police is somewhat uniquely grouped with Student Success but it has not only worked well with the model the university has pursued to engage with the students but is highly preferred by the Police organization.</p>	<p>No major changes in organizational structure or reporting relationships.</p>

ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<b>Academic Affairs</b>				
<p><b>Enrollment Management</b></p> <ul style="list-style-type: none"> <li>• <b>Registrar</b></li> <li>• <b>Business Enrollment Systems Team</b></li> <li>• <b>Advising Services Center</b></li> <li>• <b>Student Financial Center</b> <ul style="list-style-type: none"> <li>○ <b>Financial Aid</b></li> <li>○ <b>Student Accounts</b></li> </ul> </li> <li>• <b>Undergraduate Admissions</b></li> <li>• <b>Graduate Admissions</b> <i>(direct report to Graduate Education, dotted line to Enrollment Management)</i></li> </ul>	<p>The majority of Academic Affairs was not within scope of the review other than the “administrative functions”.</p>	<p></p>	<p>There are key financial functions handled in Academic Affairs rather than in Finance and Business. This creates some concerns with internal controls, consistency in application of policies and procedures, and accountability. The Controller signs all checks issued even though many are issued from this area without direct oversight.</p> <p>Enrollment Management is a function that is also often identified as an Administrative function rather than Academic. The decision on location should be based upon the approach / guiding principles of Enrollment Management that the University desires to implement (i.e. – financial planning and control effort versus academic focus).</p>	<p>The core / major financial functions could be transferred under the direct control of the Controller. These would include: Bursar and Student Accounts. Alternatively, these could have joint reporting relationships but that generally results in other managerial difficulties.</p> <p>If no change in reporting relationships is implemented, the oversight role of the Controller to establish policies and procedures, implement internal controls and direct key financial practices must be enhanced.</p> <p>Enrollment Management could be incorporated in the administrative functions overseen directly by the President if a change in focus is desired.</p>



ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<b>Research</b>				
<ul style="list-style-type: none"> <li>• <b>Office of Sponsored Programs (OSP)</b></li> <li>• <b>Regulatory Research Compliance</b></li> <li>• <b>Technology Transfer</b></li> <li>• <b>University level Centers and Institutes</b></li> </ul>	<p>Key operational issue, other than staffing, relates to the post-award processing of grants and the expenditure of funds.</p>	<p>Training should be developed and provided to University personnel involved in grant writing and administration on key financial policies that are applicable to the grants, identification of those that can be superseded by grant requirements or Federal Requirements, and those that must be complied with in all circumstances. Procurement staff should participate in this training to ensure consistency of understanding and approach in handling grant payments.</p> <p>Grant administrators should be encouraged to discuss, in advance of grant submittal, any questions regarding financial practices rather than handling post-award.</p>	<p>Appropriately structured and reporting relationship.</p> <p>Post award location could be an issue in the future, if the recommended operational practice does not address current concerns.</p>	<p>No recommendation.</p>

ORGANIZATIONAL UNIT	OPERATIONAL ISSUE IDENTIFIED	RECOMMENDATION / ALTERNATIVES	ORGANIZATIONAL STRUCTURE ISSUE	RECOMMENDATION / ALTERNATIVES
<b>Development</b>				
<b>Campaign / Development Corporate &amp; Foundation Advancement Services Alumni Relations Advance. Alumni Association University Foundation</b>	No key operational issues other than staffing levels.	Not applicable.	Current reporting relationship is one of most common. Combination with Communications & Marketing would be the other most common approach.	Given staffing reductions in all units, it would be appropriate to maximize staff and reduce administrative structure (though no real significant cost savings) to consider an Advancement Unit approach that combines Development and Communications under a single umbrella.
<b>Communications &amp; Marketing</b>				
<b>Public and Media Relations Recording / Broadcasting</b>	No key operational issues other than staffing.	Not applicable.	Currently structured in one of the two most common approaches which are either stand-alone organizational unit or combined with Development in an "Advancement" type unit.	

Each of these recommendations is discussed in more detail later in the report outlining in more detail the rationale and basis for the individual recommendation.

## COMPARISON TO PEER INSTITUTIONS

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This chapter summarizes the finding of the project team, when evaluating the University at Albany’s organizational structure, allocation of functions, and staffing data against peer institutions. The project team compared the University at Albany against both current peer institutions and aspirational peers. The universities allocated to each group are represented in the table below:

Peer Institutions	Aspirational Peer Institutions
Georgia Institute of Technology	University at Buffalo
Northern Illinois University	University of California-Irvine
Old Dominion University	University of California-San Diego
Stony Brook University	University of California-Santa Barbara
University of Colorado at Boulder	University of California-Santa Cruz
University of Connecticut	University of Houston
SUNY Binghamton	University of Oregon
University of Hawaii at Manoa	University of Virginia-Main Campus
University of Vermont	
University of Wisconsin Milwaukee	

Information regarding each of these institutions was generally derived from publicly accessible data prepared by the Integrated Postsecondary Education Data System (IPEDS), supplemented by information obtained directly by the project team from the individual institutions (such as organizational charts, reporting relationships, etc.).

The University at Albany was compared to these peer institutions on several variables including: number of students, staffing levels (by major functional categories), salary and wage comparisons, and revenue / expense comparisons. As noted, the data utilized for conducting these various comparisons was generally derived from data available through the Integrated Postsecondary Education Data System (IPEDS) database. The value of utilizing these data is that institutions report information in a consistent manner. The project team utilized the most current data available in IPEDS for each data element. Appendix A outlines the key data elements utilized and what each variable represents, how it was calculated, and the base year of the data for that element.

## **COMPARISON OF STUDENT AND EMPLOYEE LEVELS ON A FULL-TIME EQUIVALENT BASIS**

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The following table shows how the University at Albany compares to these peer institutions based upon student enrollments, and allocation of staff by major functional category. For the employee staffing level comparison, staff was allocated to one of three major functional categories: Instructional, Research and Public Service Staff; Executive, Administrative or Managerial Staff; and Other Professional Staff.

The following table summarizes the base data utilized in these comparisons.



Comparison of Total Student and Staff Full-Time Equivalent Positions

Institution Type	Name	Staffing Data						
		Total Student FTE	Total Employee FTE	Instructional, Research & Public Service Staff FTE	Executive/ Administrative and Managerial Staff FTE	Other Professional Staff FTE	Non-professional Staff FTE	Full Time Instructional Faculty FTE
Peer	Georgia Institute of Technology	18,828	6,374	1,055	118	3,912	1,289	990
	Northern Illinois University	20,754	3,558	1,008	319	962	1,269	896
	Old Dominion University	18,858	2,467	908	145	555	859	723
	Stony Brook University	21,691	3,919	1,751	220	1,140	808	900
	University of Colorado at Boulder	16,020	7,010	4,775	438	876	921	816
	University of Connecticut	22,607	8,245	1,787	287	3,778	2,393	1,312
	SUNY Binghamton	13,582	1,985	647	109	578	651	543
	University of Hawaii at Manoa	16,899	4,254	1,681	89	1,498	986	1,084
	University of Vermont	12,172	3,495	1,184	98	967	1,246	611
	University of Wisconsin - Milwaukee	26,223	3,234	1,285	166	1,100	683	1,020
Aspirational Peer	University at Buffalo	25,889	4,439	1,768	192	1,396	1,083	1,058
	University of California-Irvine	26,889	6,286	2,106	376	2,507	1,297	984
	University of California-San Diego	27,863	12,097	2,689	493	5,548	3,367	1,042
	University of California-Santa Barbara	22,429	4,039	1,207	225	1,574	1,033	889
	University of California-Santa Cruz	16,461	3,256	867	168	1,245	976	572
	University of Houston	30,568	4,724	1,371	158	2,085	1,110	1,189
	University of Oregon	20,953	3,803	1,434	34	1,008	1,327	836
	University of Virginia-Main Campus	22,153	8,154	2,176	286	2,571	3,121	1,152
	University at Albany	15,930	2,336	772	114	728	722	604
Average of Peer Institutions		18,763	4,454	1,608	199	1,537	1,111	890
Average of Aspirational Peer Institutions		24,151	5,850	1,702	242	2,242	1,664	965
% Compared to Peer Institutions		85%	52%	48%	57%	47%	65%	68%
% Compared to Aspirational Peer Institutions		66%	40%	45%	47%	32%	43%	63%

Source: Comparative institution data taken from Fall 2010 IPEDS data.

The following points summarize key comparisons that should be noted from the preceding table:

- The University at Albany has a student FTE base that is 85% of the average of its peer institutions and 66% of aspirational peers. This differential is important to keep in mind when comparing numbers that are not calculated on a per student or other “equalizing” factor.
- The University at Albany’s total FTE employee base is 52% of the average of that maintained by peer institutions and only 40% of that maintained by the aspirational peers.
- Full-time Instructional Faculty at the University at Albany represent a level only 68% of those maintained, on average, by peer institutions and aspirational peers. While below the average of peer institutions, this is a level greater than maintained in any of the other staffing categories.
- Executive and Administration staff at the University at Albany represents 57% of the average level maintained by peer institutions and only 47% of that maintained by aspirational peers. While the University of Oregon’s reported number of Executive Staff (34) appears to be an “outlier” in comparison to other institutions, it has been included in the data as reported.
- Non-professional staff at the University at Albany represents 65% of the average level maintained by peer institutions and 43% of those maintained by aspirational peers.

It is clear that the University is operating with a leaner staffing apportionment than most of the comparative entities, especially when it comes to Executive/Administrative and Other Professional Staff.

The next page contains a chart comparing basic salary and benefit expenses at the University at Albany against peer institutions.

**COMPARISON OF SALARY AND SALARY EXPENSES**

Institution Type	Name	Salary Data			
		Average Salary of FT Instructional Staff	President Salary (base)	Salaries wages and benefit expenses for instruction as % of total expenses for instruction	Total salaries wages and benefit expenses as % of total expenses (GASB) (DRV2009)
Peer	Georgia Institute of Technology	105,710	424,500	84	63
	Northern Illinois University	68,908	325,981	89	64
	Old Dominion University	74,491	312,000	89	59
	Stony Brook University	103,842	400,000	92	62
	University of Colorado at Boulder	78,850	340,000	77	67
	University of Connecticut	103,290	577,500	83	64
	SUNY Binghamton	92,416	284,218	94	66
	University of Hawaii at Manoa	86,402	337,632	90	65
	University of Vermont	82,300	322,563	86	62
	University of Wisconsin - Milwaukee	69,428	280,550	89	69
Aspirational Peer	University at Buffalo	102,118	477,299	93	51
	University of California-Irvine	103,806	356,248	86	62
	University of California-San Diego	107,844	356,248	91	59
	University of California-Santa Barbara	106,988	286,125	95	60
	University of California-Santa Cruz	96,971	281,853	90	64
	University of Houston	91,170	425,000	93	55
	University of Oregon	76,711	414,398	85	64
	University of Virginia-Main Campus	106,606	487,000	90	55
	University at Albany	98,525	280,000	88	48
<b>Average of Peer Institutions</b>		<b>86,564</b>	<b>360,494</b>	<b>87</b>	<b>64</b>
<b>Average of Aspirational Peer Institutions</b>		<b>99,027</b>	<b>385,521</b>	<b>90</b>	<b>59</b>
<b>% Compared to Peer Institutions</b>		<b>114%</b>	<b>78%</b>	<b>101%</b>	<b>76%</b>
<b>% Compared to Aspirational Peer Institutions</b>		<b>99%</b>	<b>73%</b>	<b>97%</b>	<b>82%</b>

The following points summarize key comparisons that should be noted from the preceding table:

- When compared to other educational institutions, the University at Albany faculty salaries are 114% of the average for peer institutions and 99% of the average at aspirational peers.
- The President makes 78% of the average salary paid to those serving at peer institutions and 73% of the amount paid at the aspirational peers.
- Salaries and benefits for faculty when calculated as a percentage of total instructional expenses equal 88% which is 101% of the peer institution average and 97% of the aspirational peer average.
- When we evaluate the total expenditures for salaries, wages and benefits as a percentage of total expenses, the University at Albany, at 48%, represents only 76% of the peer institutions (who averaged 64% of total expenditures) and 82% of the aspirational peers' expenses (which averaged 59%).

So while faculty salaries are in line with comparable institutions (and exceeding the average for peer institutions), the salary paid to the president is substantially below that of peer institutions. Additionally, salaries as a percentage of total instruction expenses are in line with peer institutions, the overall total salaries, and wages and benefit expenses as a percentage of total expenses are significantly less than the average of both the peer and aspirational peer institutions. Based upon these calculations, the University is spending less than peers on salaries, wages and benefits with a larger percentage of expenditures allocated to non-wage spending. The data does not enable determination of where this additional spending is occurring.

The table on the next page compares the University at Albany against its peers on average salaries for key administrative positions.



**COMPARISON OF SALARY LEVELS  
 Key Administrative Positions\***

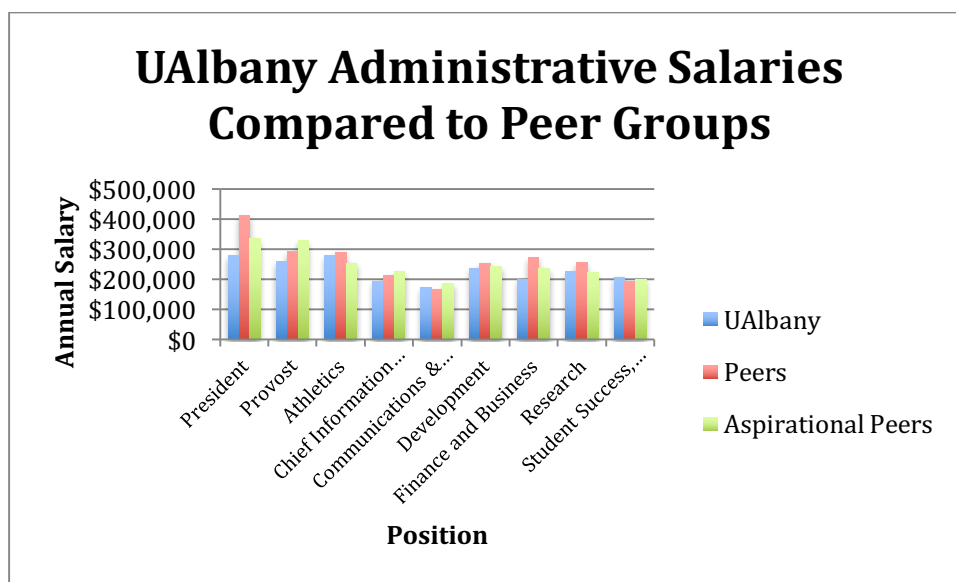
Position	Annual Salary Data				
	UAlbany	Peer Average	UAlbany as % of Peer Average	Aspirational Peer Average	UAlbany as % of Aspirational Peer Average
<b>President</b>	\$280,000	\$360,494	78%	\$385,521	73%
<b>Provost</b>	\$260,455	\$289,412	90%	\$330,157	79%
<b>Athletics, Vice President</b>	\$279,120	\$262,335	106%	\$232,140	120%
<b>Chief Information Officer</b>	\$196,894	\$219,918	90%	\$229,461	86%
<b>Communications &amp; Marketing, Vice President</b>	\$175,242	\$151,086	116%	\$189,000	93%
<b>Development, Vice President</b>	\$238,680	\$245,710	97%	\$238,925	100%
<b>Finance and Business, Vice President</b>	\$204,000	\$263,357	77%	\$237,006	86%
<b>Research, Vice President</b>	\$229,500	\$246,413	93%	\$225,153	102%
<b>Student Success, Vice President</b>	\$209,610	\$186,463	112%	\$197,839	106%

NOTE: All salary data taken from publicly available salary data sources covering fiscal years 2009-2010. Since organizational structures vary, not all positions were present either as a Vice President, or with the same allocation of duties / organizational units in each comparison organization.

\*Detailed information by institution attached as Exhibit C

When reviewing the university’s comparison to the two peer groups, the following items should be noted:

- In comparison to the peer institutions, most of the UAlbany executive level positions were compensated below the group average, with the exception of Communications and Marketing and the Vice President for Student Success.
- The comparison to the aspirational peer group showed a similar theme, with UAlbany salaries for these administrative positions generally below those seen at other institutions. However, they were below average by a smaller percentage than in the comparison to peer institutions. Three positions (VP Athletics, VP Research, and VP Student Success) were above the aspirational peer group averages at 109%, 102% and 103% respectively.
- In both comparisons, the President was among the lowest paid of the administrative positions, at 75% the average paid at peer institutions and 73% of average paid at aspirational peer institutions.



Most administrative positions at the University at Albany are below the average of the peer institution groups. Interestingly, most positions compared more favorably against the aspirational peer group than they did against the peer group.

The table on the next page compares the University at Albany against its peers on major revenue and expenditure levels.

**COMPARISON OF REVENUES PER STUDENT FTE AND EXPENDITURES BY FUNCTION**

Institution Type	Name	Revenue / Expense Comparisons				
		Revenue from Tuition, Fees and State Appropriations	Institutional Expenses	Instruction Expenses	Academic Support Expenses	Student Service Expenses
Peer	Georgia Institute of Technology	17,571	3,002	11,052	2,204	1,323
	Northern Illinois University	15,544	1,939	7,806	1,965	732
	Old Dominion University	10,320	1,469	6,392	1,984	622
	Stony Brook University	25,074	4,202	13,303	2,444	1,528
	University of Colorado	9,381	2,390	17,329	2,353	878
	University of Connecticut	33,117	6,278	17,558	4,500	1,671
	SUNY at Binghamton	14,360	2,209	8,093	2,011	907
	University of Hawaii	19,179	852	15,756	4,482	1,908
	University of Vermont	22,500	3,961	12,333	4,058	2,618
	University of Wisconsin - Milwaukee	11,517	976	6,756	1,767	1,961
Aspirational Peer	University at Buffalo	13,390	3,836	11,743	3,119	865
	University of California-Irvine	16,517	1,510	15,039	4,240	1,972
	University of California-San Diego	18,649	4,131	16,122	6,455	2,117
	University of California-Santa Barbara	16,720	1,713	8,832	1,729	2,952
	University of California-Santa Cruz	14,939	2,136	7,458	1,865	3,036
	University of Houston	13,775	1,659	6,455	3,657	827
	University of Oregon	12,346	2,393	8,461	1,853	1,169
	University of Virginia-Main Campus	19,372	3,390	12,479	4,803	1,308
	University at Albany	15,975	3,463	9,657	2,470	982
Average of Peer Institutions		17,856	2,728	11,638	2,777	1,415
Average of Aspirational Peer Institutions		15,714	2,596	10,824	3,465	1,781
% Compared to Peer Institutions		89%	127%	83%	89%	69%
% Compared to Aspirational Peer Institutions		102%	133%	89%	71%	55%

The following points summarize key comparisons that should be noted from the preceding table:

- Revenue from tuition, fees and state appropriations are generally consistent with that of the peer group averages. At \$15,975 per student FTE, the University at Albany was 89% of the peer university group and 102% of the aspirational peer group.
- Instructional expenses per student FTE at the University at Albany are also below the average of the two peer groupings. The University at Albany averages 83% of the peer groups' average for instructional expenses per student FTE and 89% of the aspirational peer group.
- The University at Albany exceeds the average of other peer institutions in the amount of spending (on a per student FTE basis) for institutional expenses. The University averaged \$3,463, which represents a 27% greater amount than the peer institutions average of \$2,596. One qualifier on this average should be noted, in that the University of Hawaii reported institutional expenses of only \$852 per student FTE and the University of Wisconsin Milwaukee reported \$976 per student FTE. Both of these figures represent "outliers" in the data as they are significantly below the amounts reported by all other institutions in the peer grouping. However, they have been included within the averages as they reflect official data reported through IPEDS.
- When comparing academic support expenses per student FTE, we find that the University at Albany averages 89% of the peer average and 71% of the aspirational peer average.
- When student services expenses per student FTE are evaluated, the University at Albany drops lower and represents only 69% of the peer average and 55% of the aspirational peer average.
- The University at Albany's research base is 52% of peer institutions and 42% of aspirational institutions, when expenditures are adjusted to remove CNSE expenses. Detailed data regarding research expenditures is attached as Appendix D.

The final charts, on the next two pages, provide some additional comparisons that are insightful when evaluating the University at Albany against peer groups. These charts calculate and present the number of students per staff member, and the number of staff per 100 students.

**CALCULATION OF NUMBER OF STUDENTS SUPPORTED PER STAFF FTE  
(In various employee classifications)**

Institution Type	Name	# Students / Staff FTE	# Students / Total Instructions, Research & Public Service FTE	# Students / Total Exec/Admin/ Managerial FTE	# Students / Non-Instruction and Non-Managerial Staff
Peer	Georgia Institute of Technology	3.0	17.8	159.6	38.4
	Northern Illinois University	5.8	20.6	65.1	61.1
	Old Dominion University	7.6	20.8	130.1	82.0
	Stony Brook University	5.5	12.4	98.6	70.0
	University of Colorado-Boulder	2.3	3.4	36.6	55.3
	University of Connecticut	2.7	12.7	78.8	32.7
	SUNY at Binghamton	6.8	21.0	124.6	69.4
	University of Hawaii at Manoa	4.0	10.1	189.9	44.0
	University of Vermont	3.5	10.3	124.2	42.3
	University of Wisconsin - Milwaukee	8.1	20.4	158.0	87.9
Aspirational	University at Buffalo	5.8	14.6	134.8	66.9
	University of California-Irvine	4.3	12.8	71.5	58.8
	University of California-San Diego	2.3	10.4	56.5	40.0
	University of California-Santa Barbara	5.6	18.6	99.7	61.2
	University of California-Santa Cruz	5.1	19.0	98.0	58.9
	University of Houston	6.5	22.3	193.5	67.9
	University of Oregon	5.5	14.6	616.3	61.6
	University of Virginia-Main Campus	2.7	10.2	77.5	34.9
	University at Albany	6.8	20.6	139.7	70.3
<b>Average of Peer Institutions</b>		<b>4.4</b>	<b>14.9</b>	<b>116.5</b>	<b>58.3</b>
<b>Average of Aspirational Peer Institutions</b>		<b>4.7</b>	<b>15.3</b>	<b>168.5</b>	<b>56.3</b>
<b>% Compared to Peer Institutions</b>		<b>138%</b>	<b>138%</b>	<b>120%</b>	<b>121%</b>
<b>% Compared to Aspirational Peer Institutions</b>		<b>145%</b>	<b>135%</b>	<b>83%</b>	<b>125%</b>

**CALCULATION OF NUMBER OF STAFF PER 100 STUDENT FTE  
(In various employee classifications)**

Institution Type	Name	# Staff FTE	Total Instructional, Research & Public Service Staff FTE	Total Exec., Admin., Managerial FTE	Total Non-Instructional / Managerial Staff FTE
Peer	Georgia Institute of Technology	33.9	5.6	0.6	32.9
	Northern Illinois University	17.1	4.9	1.5	15.1
	Old Dominion University	13.1	4.8	0.8	11.3
	Stony Brook University	18.1	8.1	1.0	13.1
	University of Colorado	43.8	29.8	2.7	16.3
	University of Connecticut	36.5	7.9	1.3	33.1
	SUNY at Binghamton	14.6	4.8	0.8	13.0
	University of Hawaii	25.2	9.9	0.5	21.1
	University of Vermont	28.7	9.7	0.8	23.2
	University of Wisconsin - Milwaukee	12.3	4.9	0.6	10.7
Aspirational	University at Buffalo	17.1	6.8	0.7	13.7
	University of California-Irvine	23.4	7.8	1.4	17.8
	University of California-San Diego	43.4	9.7	1.8	35.7
	University of California-Santa Barbara	18.0	5.4	1.0	15.6
	University of California-Santa Cruz	19.8	5.3	1.0	17.0
	University of Houston	15.5	4.5	0.5	14.3
	University of Oregon	18.2	6.8	0.2	15.1
	University of Virginia-Main Campus	36.8	9.8	1.3	30.9
	University at Albany	14.7	4.8	0.7	12.9
<b>Average of Peer Institutions</b>		<b>24.3</b>	<b>9.0</b>	<b>1.1</b>	<b>19.0</b>
<b>Average of Aspirational Peer Institutions</b>		<b>24.0</b>	<b>7.0</b>	<b>1.0</b>	<b>20.0</b>
<b>% Compared to Peer Institutions</b>		<b>60%</b>	<b>54%</b>	<b>67%</b>	<b>68%</b>
<b>% Compared to Aspirational Peer Institutions</b>		<b>61%</b>	<b>69%</b>	<b>72%</b>	<b>64%</b>

The following points summarize key comparisons that should be noted from the preceding two tables:

- When we calculate the number of students per FTE employee, we find that the University at Albany has 6.8 students per FTE, which represents 138% of the peer grouping and 145% of the average of the aspirational peer grouping.
- When evaluating the number of students against the total instructional, research and public service staffing levels, we find that the University at Albany has 20.6 students per FTE, versus 14.9 students per FTE at the peer institutions and 15.3 students per FTE at the aspirational peer institutions. This places the University at Albany at 138% and 135% of the peer and aspirational peer averages respectively.
- Similarly, when we compare the number of students per total executive and administrative FTEs, we find comparable results with the University at Albany having 139.7 student FTEs per executive/administrator compared to the peer institutions 116.5 and the aspirational peer average of 168.5. The University at Albany's number is 120% of the peer average and 83% of the aspirational peer average.
- If you compare the number of students against other employee classifications (classified on non-instructional and non-executive/managerial staff), you find that each of these positions at the University at Albany supports 70.3 student FTEs, which is significantly higher than either of the comparison groups. Peer institutions had 58.3 students per employee and the aspirational peer institutions had 56.3 students per employee.

The project team also calculated the number of employees per 100 students. In conducting these calculations, we grouped staff into one of three categories: Instructional, Executive / Administrative/Managerial, and Non-Instructional / Non -Managerial.

- The University at Albany had 4.8 instructional staff per 100 students. This is a better ratio than that calculated for the peer and aspirational peer groups who had an average instructional staff per 100 student ratios of 9.0 and 7.0 respectively.
- Similarly, we evaluated the number of Executive, Administrative, and Managerial staff per 100 employees. The University at Albany has 0.7 per 100 students, compared to 1.1 and 1.0 for the peer and aspirational peers. The University at Albany operated with fewer executive and administrative personnel than its peers.
- Finally, when comparing the number of non-instructional and non-managerial employees per 100 students, we find that the University at Albany has 12.9 employees per 100

students, versus 19 per 100 students for the peer institutions and 20 per 100 students at the aspirational peer institutions.

Similar to the results in the last table, the University at Albany's staffing levels are considerably leaner than their peers, with fewer employees per 100 students.

The following chapter details, by each major functional area, the organizational, administrative and operational findings developed by the project team.





## SUMMARY OF FINDINGS BY ORGANIZATIONAL UNIT

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The Matrix Consulting Group utilizes a variety of principles and guidelines in evaluating administrative and organizational structures. These are summarized in the following sections.

### THE ROLE OF ORGANIZATIONAL STRUCTURE IN OBJECTIVE ACCOMPLISHMENT

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University organizational structures, in some cases more so than other public sector administrative structures, are often impacted by various policy decisions regarding priority of services and the level of emphasis that the organization desires to grant to specific functions. Direct reporting to the President or other high-ranking administrative personnel is often seen as giving prominence to a service area and represents a level of independence or autonomy. Structures develop over time and are often unplanned, thereby resulting in an overall system that can be duplicative, fragmented, inefficient, and resistant to change once in place.

The University at Albany is no exception, and several issues in the last decade have impacted the organizational structure, approach and ability to effectively deliver services. These include:

- Extended period of tight fiscal constraints resulting in a corresponding extended period of staff reductions, often taken through abolition of vacant positions, wherever they might exist, versus planful organizational restructuring.
- Generally high service levels demanded by customers (students, faculty, administrators);
- Incremental changes in organizational structure and staffing allocations based, at times and in part, upon strengths of individuals rather than other factors through non-strategic reductions as noted above.
- Decisions made at higher levels (i.e. – SUNY System Administration or New York State government).

Incremental changes in organizational structure and organization, with no overall strategy, are often detrimental to the organization's overall performance. To identify potential areas for improvement, questions posed and evaluated by the project team included:

- Are some programs unnecessarily duplicative? Does this duplication constrain progress in

other areas? Administrative savings resulting from consolidation of redundant programs can be redirected towards enhancement of other University services.

- Is the current structure too fragmented? Does the fragmentation prevent the University from effectively mounting major initiatives or encourage smaller, less effective programs? Does this result in slower progress and lost opportunities for major gains? Fragmentation often means less flexibility for major initiatives and less accountability for basic services provided.
- Is the current structure inefficient? Do too many departments or divisions recreate the same administrative structures or have involvement in the provision of a single service? Are these structures necessary or are they redundant?
- Does a complex structure make it resistant to change direction, either from the Board of Trustees, the President or top administrators? Does the complexity of an organizational structure and the diversity of its structure make it more difficult for students and employees to understand how and where services are provided and who is accountable for service delivery? Would other methods of organization allow a greater degree of public input?

Each of these issues, among others, should be carefully considered during any contemplated reorganization. Changes have occurred in the way in which proactive and leading organizations have been organized to maximize their effectiveness. Some of the more pertinent trends are described in the following section.

## ORGANIZATIONAL TRENDS TO CONSIDER

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There are a number of trends apparent in public sector organizations that should be considered in evaluating alternative forms of organization. These trends reflect a move away from organizations and systems that are:

- Centralized or decentralized as a matter of “principle” – rather focus should be on the specific services provided and the efficiency of service provision
- Hierarchical
- Rule-driven
- Process-oriented
- Reactive

Effective public sector organizations are moving toward organizations and systems that are characterized by the elements presented below:

- Centralized and responsive. Public sector organizations are designing service delivery methods, especially internal support services, based upon a centralized approach that focuses on the most efficient and effective provision of the internal service without regard to perceptions of authority, control, silos, or historical practice. Going hand in hand with this is the provision of highly responsive, economical and efficient services governed by technical experts. This approach allows other departments to focus on their “core business” rather than administrative functions.
- Decentralized and flexible. Progressive local government organizations are designing their structure, systems and processes to provide a varied response to different situations, therefore making themselves more flexible and open to change. Greater autonomy and initiative are encouraged with required centralization utilized only where internal control is needed; it fosters greater efficiency, or provides cost savings.
- Flatter organizations. Progressive organizations are also reducing the number of layers of administrators, managers and supervisors resulting in fewer levels of organization and oversight, and enabling line workers to make more decisions. The flatter organization results from the need for quicker decisions and changes lessening the need for the command and control functions previously performed by middle managers. These organizations also typically have highly developed supervisory training programs and high levels of accountability for individuals selected for supervisory / managerial positions.
- Mission and results-driven organizations. Public organizations are encouraging long-term thinking through the development of strategic plans, the definition of goals, translation of these goals into desired objectives, and the use of performance measures to make more informed decisions on program priorities and resource allocations.
- Competitive organizations. Under pressure from the economy, reduction in revenue sources, and devolution of service from the state and federal level, local governments throughout the nation are restructuring their services to be more cost efficient and effective.
- Anticipatory organizations. Instead of dealing with crises as they occur, public sector organizations are focusing on how to prevent them through such efforts as development of plans for preventive maintenance of an organization’s infrastructure, the development of strategic plans, adoption of performance measures, etc.

- Customer centric organizations. Constituents are increasingly looking over the shoulder of universities, and all public institutions, and requiring justification for the actions of their top administrators. There is increasing conflict within organizations regarding the funding priorities assigned to individual services (e.g. – administrative versus academic). This requires organizations to increasingly spend more time considering how to be more proactive in serving their customers and ensuring a high level of accountability for service delivery.

These trends warrant consideration in the evaluation of the University at Albany's administrative structure and the development and consideration of alternatives to the current structure.

#### ORGANIZATIONAL AND MANAGEMENT SYSTEM PLANNING PRINCIPLES

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In evaluating the plan of organization and the administrative structures of the University at Albany, the Matrix Consulting Group utilized a number of general principles for organizational structure. These principles are presented in the paragraphs below:

- Organizational structure must be designed to facilitate the objectives of the University. Organizations must be willing to adapt to new situations, realities and priorities. The organizational structure must reflect the public policy goals and objectives of the organization for it to remain vital.
- Organizational structure should facilitate decision-making, planning and management of operations and activities. This impacts the organizational structure and the management / supervisory staffing assigned within a structure. Critical functions within an organization should be placed where those responsible can access key decision makers without having to work through multiple layers of an oversight organization. Similarly, less vital functions can be safely placed more deeply within an organizational structure. Additionally, organizational structures should enable the sharing of “internal support” services, where feasible, to maximize staff utilization, enable staff to specialize in the functions performed, and enable the overall department / agency to focus on its core businesses.
- Organizational structures should focus attention on management or public policy priorities. Key issues or initiatives should be given organizational prominence. This may be temporary (e.g. new service area) or long-term (public safety). Key services provided by the University must be reflected in the organizational structure with no “gaps” or “overlaps” in service delivery.

- Span of control must be appropriate given complexity of function and the management systems in place to monitor performance. Some functions require lower ratios of staff to supervisors either due to the complexity or level of workload or operational practices that require higher levels of oversight. Other functions, such as those that are more centralized (typically) or more routine in nature, are open to higher ratios of staff to supervisors.
- Responsibility for performing a function should be placed as low in the organization as possible while retaining effectiveness and efficiency. Many recent trends in organizations have focused on the objective of “pushing decision making down” to line staff. Reducing the need to refer to managers also reduces the need for those same management positions.
- Organizational structure and management systems should not be unnecessarily complex. Organizational structures and management systems should be based on common sense and should also be easily understood both internally and externally.
- Roles and responsibilities of managers and supervisors should be clearly defined. This is particularly important when there are multiple layers of supervision in an organizational structure. What makes one level of supervision different from the others above and below it? Is there a clear rationale for adding or maintaining an additional level of management or supervision?
- An organization must be designed to maximize efficiency of programs and of its own staffing. An organizational structure is the reflection of the priorities of the community in many ways. This includes the efficiency with which the operations of the community are run. Similar functions should be grouped together under common supervision.

These principles, coupled with the trends identified previously, lead to a number of key organizational issues, which should be considered in evaluating any organizational structure.

## USING GUIDING PRINCIPLES TO EVALUATE THE UNIVERSITY AT ALBANY

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In order to evaluate the administrative and organizational structure of the University at Albany, the project team has utilized the principals summarized in the preceding sections, as follows:

Organizational Structure Criteria
Facilitates objectives and policies
Facilitates decision-making and planning

Organizational Structure Criteria
Facilitates management of operations
Access to key decision makers for staff
Critical functions near key managers
Key programs with organizational prominence
No gaps or overlaps in services
Span of control is "appropriate"
Decision making at line level where possible
Effort to make the organization "flat"
Management systems support structure
Roles and responsibilities are clearly defined
Distinction of roles among staff are clear
Organization makes "common sense"
Similar functions are grouped together

These criteria, presented in the preceding table, were utilized by the project team as one method of screening and comparing various alternative organizational structures, in conjunction with the information gained from the peer institution comparison and other data points, to identify key findings and recommendations.

## FINDINGS AND RECOMMENDATIONS SUMMARY BY ORGANIZATIONAL UNIT

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This following sections summarize, by major functional units, the key recommendations and findings that have been developed for the University at Albany. It should be noted that only those areas where specific changes were recommended are included. Changes and alternatives considered, but not recommended, have not been included in the report for brevity and to focus attention on the identified opportunities.

The recommendations contained in this chapter are based upon the efforts of the project team in assessing and evaluating the University at Albany's administrative structures, service approaches, operational practices (at a high-level) and staffing / reporting relationships based upon analytical efforts that included:

- Development and review of current organizational structures and staffing allocations;
- Comparison to peer university organizations for key data points and organizational structure approaches;
- Comparison to other academic institutions that the project team has worked with and their approaches to handling administrative functions;
- Issues identified by staff during the interview phase that were subsequently evaluated and analyzed by the project team;
- Issues identified by staff through the employee survey and subsequently evaluated by the project team; and
- Identification and evaluation of potentially duplicative or fragmented services provided throughout the organization.

These recommendations are not based primarily upon a single evaluation of one of the activities or factors listed above, but rather a comprehensive and holistic view of the organization taking into account all the data points and information available.

The key guiding principles utilized by the project team in this evaluation and the subsequent development of specific recommendations were focused on changes that resulted in one or more of the following:

- Simplification / streamlining of the organization (where a resulting benefit accrued to the organization);
- Centralization of services where efficiency or effectiveness or benefits (monetary or non-monetary) could be achieved;
- Fostering future ability to be flexible in service approach and / or maintain or improve services;
- Enabling departments / agencies to focus on their core business services; and
- Consistency with “good government” management principles for organizational design and operation.

The project team did not pursue recommended changes simply to make a change to the organization but identified only those areas where a tangible benefit (i.e. – simplified organizational structure, enhanced focus of service delivery, clarify of purpose, elimination of duplication, etc.) would result from the change.

The following sections contain tables summarizing the key points evaluated and considered by the project team prior to reaching a decision point. For each unit, the table summarizes the factors evaluated, identified gaps or overlaps in service or lack of focus / accountability, the key benefits of the change, issues or concerns that should be noted regarding the change, and any specific recommendation identified by the project team.

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## UNIVERSITY PRESIDENT’S OFFICE

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The University President’s Office is responsible for the overall administration of the University at Albany’s operations, oversight of all departments, and support to the Board of Trustees. At the present time, the President’s Office is structured with direct and indirect reporting relationships from the following organizational units:

- Internal Audit and Management Services
- Office of Diversity and Inclusion
- Governmental Relations
- Strategic Initiatives
- University Counsel

These ‘single function’ units were also evaluated in regards to their reporting relationship to the President:



- Athletics Administration
- Information Technology Services

The following table summarizes the evaluation criteria utilized and the findings that resulted from the evaluation of the organizational and operational practices of the Office of the President:

PRESIDENT’S OFFICE

Evaluation Criteria	Key Comments / Findings
<p>Alignment with Organization Criteria such as:</p> <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• This organization represents typical direct reports and program oversight.</li> <li>• Internal Audit and Diversity &amp; Inclusion generally placed in high prominence in the organization to lend support for these efforts and provide independence.</li> </ul>
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• The current structure of the President’s Office in terms of the number and types of functions overseen is common among other University structures.</li> <li>• This organization is appropriate given the nature of the functions overseen and their need for autonomy and independence from other organizational units.</li> <li>• No issues with structure / layers of administrators noted. The number of reporting layers is appropriate.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinction of roles among staff are clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• Spans of control within the units of this Office are appropriate given the nature and level of the functions provided.</li> <li>• Roles and responsibilities are generally clear with the exception of the following:                             <ul style="list-style-type: none"> <li>- Greater clarity of the purpose, scope and role of the Audit function should be addressed.</li> <li>- An annual work program for the Audit function should be developed, presented to the President, and approved each year to guide operations.</li> <li>- Greater day-to-day oversight of the Audit function should be implemented. Staff should be relocated to the Administration Building, or in closer proximity, if possible, to facilitate this.</li> </ul> </li> </ul>
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• There is no duplication of services provided by these units.</li> <li>• However, concerns noted with ability of Diversity and Inclusion to timely complete their role in handling recruitments. This has impact on the timeliness of the filling of positions.</li> <li>• The project team believes that this is an issue of staffing versus a need to reallocate this service elsewhere in the organization (i.e. – HR). While a common approach is to have this recruitment function performed in HR, the transfer would eliminate the opportunity for Diversity &amp; Inclusion to have input prior to decisions being made. If this were transferred, the role of Diversity &amp; Inclusion becomes one of only oversight and “post-action” critique rather than assistance in meeting diversity goals.</li> <li>• If this function were to be transferred to HR it should be done based on a policy decision to change the role of the Diversity &amp; Inclusion office, rather than based on lack of staffing as HR is not staffed a level to make it easy to absorb these duties either.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"><li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li><li>• Structure or staffing significantly impact service provision.</li></ul>	<ul style="list-style-type: none"><li>• No financial or programmatic vulnerabilities noted.</li></ul>



**ATHLETICS ADMINISTRATION**

Evaluation Criteria	Key Comments / Findings
<p>Alignment with Organization Criteria such as:</p> <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• This organization represents typical direct reports and program oversight.</li> </ul>
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• This organization is appropriate given the nature of the functions overseen and their need for autonomy and independence from other organizational units.</li> <li>• No issues with structure / layers of administrators noted. The number of reporting layers is appropriate.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinctions of roles among staff are clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• Spans of control within the units of this Office are appropriate given the nature and level of the functions provided.</li> <li>• Roles and responsibilities are generally clear with the exception of financial management; Where conformance to adopted policies and procedures of the University are not always given the priority they should. Issue raised that number of staff assigned to financial functions may not be sufficient to perform duties.</li> </ul>
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• There is no duplication of services provided by this unit.</li> </ul>
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• Continued issues noted with the ability of the Athletics Department to consistently follow key financial policies (i.e. – procurement, financial processing, etc.). Additional training by Finance and Business staff should be provided to Athletics staff and/or a dedicated financial analyst position should be allocated to the Athletics Unit that has a dual reporting relationship to Finance.</li> </ul>

**INFORMATION TECHNOLOGY SERVICES**

Evaluation Criteria	Key Comments / Findings
<p>Alignment with Organization Criteria such as:</p> <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• ITS should remain a direct report to the President to give independence and prominence of the services.</li> </ul>
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• This organization is appropriate given the nature of the functions overseen and their need for autonomy and independence from other organizational units.</li> <li>• No issues with structure / layers of administrators noted. The number of reporting layers is appropriate.</li> <li>• The location of ITS as direct report is in alignment with best practices for a high-functioning IT department.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinctions of roles among staff are clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• Spans of control within the units of this Office are appropriate given the nature and level of the functions provided.</li> <li>• ITS should expand efforts to work collaboratively with other organizational units and demonstrate value they offer. They should adopt an annual work plan, with input from all VPs, approved by the President to guide their daily work activities. Challenge is to do this and remain nimble, as opposed to being locked into a rigid work plan.</li> </ul>
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• ITS should continue to work with other organizational units to consolidate duplicative services. IT staff within other units should be focused only on unique software and technology needs NOT supported by the central IT function. ITS should develop “service level contracts” with major units where IT staff are being consolidated, to clearly outline the level, type and amount of services that will be provided.</li> <li>• ITS should conduct an annual survey of customers to identify satisfaction levels and for identification of improvement opportunities.</li> </ul>
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• No concerns noted regarding financial or programmatic vulnerabilities.</li> </ul>

## FINANCE AND BUSINESS

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The Finance and Business Unit is generally responsible for the overall financial, human resources and facility maintenance functions of the University. This area also has direct oversight of some semi-independent functions (such as Auxiliary Services). At the present time, the Finance and Business Unit is structured with direct and indirect reporting relationships from the following organizational units:

- Financial Management and Budget
- Human Resources Management
- Environmental Health and Safety
- Environmental Sustainability
- Facilities Management
- Controller
  - Institutional Services
  - State Accounting;
  - Sponsored Funds Financial Management
  - Parking and Mass Transit Services
- Auxiliary Services

The following table summarizes the evaluation criteria utilized and the findings that resulted from the evaluation of the organizational and operational practices of the Finance and Business Unit:



Evaluation Criteria	Key Comments / Findings
<p>Alignment with Organization Criteria such as:</p> <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• The current organization of functions located within the Finance and Business unit is typical of most institutions. It combines key “internal support” functions under a single VP, rather than multiple, as is seen in some of the peer institutions that make effective use of administrative personnel.</li> <li>• The areas of oversight for this Unit are diverse for the VP; however, key individuals are responsible for the day-to-day operations of each functional area: Facilities, HR, and Financial Operations, etc.</li> <li>• This is an appropriate structure for the University.</li> </ul>
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• In general the reporting levels are appropriate. However, there are several independent smaller units that provide an opportunity to better coordinate service and create a more focused organization from realignment. These might include incorporating Environmental Health and Safety and Environmental Sustainability into Facilities Management.</li> <li>• Parking and Mass Transit functions are often included within a broad Facilities operation. While the current approach works well under the Controller, this is an alternative that should be considered in the future, especially given the Controller’s rather extended span of control.</li> <li>• As with other units, staffing reductions over the last decade have impacted ability to provide services at historic levels.</li> </ul>
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinction of roles among staff is clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• Creation of a single unit composed of Facilities Management, Environmental Health and Safety, and Environmental Sustainability, while not necessarily creating financial savings, will enable greater coordination of work, oversight by a single Administrator, and greater clarity of responsibility and accountability for these functions to customers.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• No duplicative services were noted in these functional areas within the Finance and Business Division.</li> <li>• As previously noted, there is a disconnect between some of the financial services provided in Academic Affairs that should be placed more directly under the control of the Controller – as he retains accountability (without direct oversight) for many of the financial transactions generated in these units.</li> <li>• A more comprehensive Facility Operations – perhaps titled Central Services – would provide opportunities for greater staff cross-utilization and encompass several small units.</li> </ul>



Evaluation Criteria	Key Comments / Findings
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• The lack of a budget module on the financial system to enable automation, development, and tracking of the budget is a major deficiency that should be given priority.</li> <li>• Segregation of fiscal responsibilities between Finance &amp; Business and Academic Affairs results in accountability being placed on the Controller with little oversight of those operations (i.e. – Bursar, Student Accounts).</li> <li>• Major concerns noted both from staff involved in financial functions (controller and purchasing) and Research Staff, regarding the coordination and service provision related to pre- and post-award financial management. Procurement staff should be more intricately involved in handling support to other units in ensuring compliance. They should be involved in reviewing grants prior to submittal (or providing standardized guidelines for use by Research staff) to eliminate procurement issues that are arising after grant award.</li> <li>• Satisfaction levels with services provided by HR and Procurement were two specific areas noted during interview and from the employee survey. Due to recent cuts, service levels have declined in these areas. As two of the most important internal services provided to support other units, the University should further evaluate and study opportunities to increase service levels in this area – either through additional staff or the simplification of processes. Procurement issues relate more directly to willingness to assist customers where in HR the issue appears more directly related to workload issues impacting staff rather than willingness.</li> <li>• The Controller’s workload, both in quantity and breadth of responsibility is very broad. In addition to day-to-day responsibility for financial operations, this position also has significant responsibilities related to Parking &amp; Mass Transit Services, Auxiliary Services, the Student Loan Services Center and UAlbany’s affiliated corporations. The reinstatement of the Assistant Controller position should be considered.</li> </ul>



## STUDENT SUCCESS

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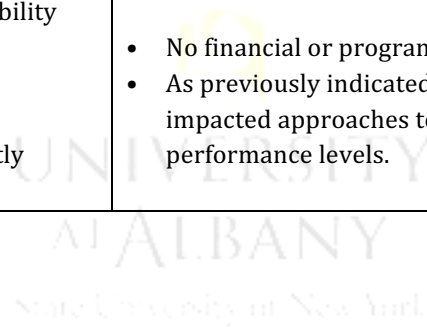
The Student Success Unit is generally responsible for overseeing and administering the majority of services provided directly for the benefit of student such as the campus center, student health and counseling services, Residential Life, and related services. Additionally, this unit oversees the University Police. At the present time, the Student Success Unit is structured with direct and indirect reporting relationships from the following organizational units:

- Campus Center
- Career Services
- Counseling Services
- Conflict Resolution and Civic Responsibility
- Disabled Student Services
- Health Services
- Multicultural Student Success
- Orientation
- Parent Services
- Personal Safety and Off Campus Affairs
- Residential Life
- Student Involvement and Leadership
- University Police

The following table summarizes the evaluation criteria utilized and the findings that resulted from the evaluation of the organizational and operational practices of the Student Success Unit:

Evaluation Criteria	Key Comments / Findings
<p>Alignment with Organization Criteria such as:</p> <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• The functions and services provided by this unit are very typical of those seen in “Student Affairs” Divisions.</li> <li>• The functions allocated to this unit generally have a purpose of ‘student support’ and congruity of mission that make their allocation to this unit appropriate.</li> <li>• This organizational unit has a large number of smaller organizational units but these are appropriate given the need to identify and give prominence to the function. Additionally, staffing levels in most of these functions are minimal.</li> </ul>
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• The only function within this unit that is normally located elsewhere in university organizations is University Police. This service is more frequently an independent function or a component of another unit such as Administration.</li> <li>• However, from all interviews and discussion, the current location of the University Police is appropriate given the strategy undertaken by the University at Albany to connect with students as a partnership rather than simple a “policing” organization. Top administrators of both University Police and Student Success see this organizational structure as working extremely well.</li> <li>• As with all other units, staffing levels have been severely reduced over the last decade which in turn have impacted service levels.</li> </ul>
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinction of roles among staff is clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• Overall spans of control within this unit are within expected ranges.</li> <li>• No significant issues related to roles and responsibilities of individual programmatic areas were discovered.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• Services provided are not duplicative of those provided by other organizational units, and therefore, no recommendations are made for major organizational change.</li> </ul>
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• No financial or programmatic vulnerabilities were noted.</li> <li>• As previously indicated, reductions in staffing have impacted approaches to providing services and specific performance levels.</li> </ul>



## ACADEMIC AFFAIRS

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Academic Affairs is generally responsible for overseeing and administering all academic programs for the University. In addition, there are a limited number of auxiliary services in this unit that provide direct services to the students and/or that directly support the academic programs. It is important to note that the project team did not evaluate academic programs or their administration. The scope of inquiry was limited, in this unit, to those functions that are more administrative in nature.

At the present time, the administrative side of the Academic Affairs Unit is structured with direct and indirect reporting relationships from the following organizational units:

- Enrollment Management
  - Business Enrollment Systems Team ( not reviewed as part of this study)
  - Advising Services Center ( not reviewed as part of this study)
  - Registrar
  - Student Financial Center
    - Financial Aid
    - Student Accounts
  - Undergraduate Admissions ( not reviewed as part of this study)
  - Graduate Admissions (*direct report to Graduate Education, dotted line to Enrollment Management*) ( not reviewed as part of this study)
- Institutional Research, Planning and Effectiveness

The following table summarizes the evaluation criteria utilized and the findings that resulted from the evaluation of the organizational and operational practices of Academic Affairs:





Evaluation Criteria	Key Comments / Findings
<p>Alignment with Organization Criteria such as:</p> <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• The Academic Affairs Unit is focused primarily on academic services supplemented with “administrative services” directly associated with students.</li> <li>• This approach is not unusual. The primary alternative seen in other organizations is the allocation of some of the current financial functions to the Finance Unit of the organization (i.e. – Bursar, Student Accounts).</li> </ul>
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• The current organization meets common organizational approaches for the services provided.</li> <li>• Reporting levels are not atypical to those seen in other entities.</li> <li>• Staffing levels, as with other units, have been impacted by financial constraints and do impact service levels provided.</li> </ul>
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinction of roles among staff is clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• One area where there is a lack of clearly defined roles and responsibilities relates to the financial functions – specifically Bursar and Student Accounts. While the Controller is responsible for overall financial management, these functions do not report directly to him. Refund checks, with the Controller’s signature, can be issued directly by staff that is not under his oversight.</li> <li>• Overall, no issues identified with spans of control or management systems in this unit.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• No significant duplication of services was noted in the Academic Affairs administrative unit.</li> <li>• However, many academic sub-units maintain independent IT staff that operate independently of the centralized ITS function. The current effort to more fully integrate these into the central IT function should continue. IT staff in academic units should be focused on services that are not provided by ITS (e.g. – specialized software or hardware support).</li> </ul>
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• Consideration should be given to relocating the Bursar and Student Accounts functions within the Controller’s area of responsibility (the current “one stop” shop provided for students should be maintained). If this change is not implemented, the President should establish a greater oversight role for the Controller in setting policies and procedures utilized by these financial functions to limit financial vulnerability.</li> <li>• The other functional area worth consideration of an alternative approach is enrollment management. Comparisons to other institutions indicate that this function is typically either a function of Academic Affairs or Finance &amp; Business. The functions performed by this unit have direct impacts on the future of the University and direct financial repercussions. Consideration should be given to looking at segregating Enrollment Management from Academic Affairs and relocating to a unit reporting to the President (located within Finance &amp; Business).</li> </ul>

RESEARCH

The Research Unit is generally responsible for overseeing and handling the administration of all research-related activities of the University. The current organizational structure of this unit has the following major organizational units:

- Vice President for Research
- Office for Sponsored Programs
- Office for Regulatory Research Compliance
- Technology Transfer
- University-level Centers and Institutes

The following table summarizes the evaluation criteria utilized and the findings that resulted from the evaluation of the organizational and operational practices of the Research Unit:

Evaluation Criteria	Key Comments / Findings
Alignment with Organization Criteria such as: <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• The structure of the University at Albany’s Research unit is similar to that observed in most of the peer institutions and other universities with which the project team has worked.</li> <li>• The current structure is appropriate based upon the mission of the unit and services provided.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• A similar structure to the University’s Research unit is common in other universities.</li> <li>• No major reorganizational steps are needed to flatten or reallocate functions.</li> <li>• As with other units, staffing has been impacted – though perhaps to a lesser extent – due to financial constraints.</li> </ul>
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinction of roles among staff is clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• No concerns noted with spans of control or reporting relationships in this unit.</li> <li>• Clarity of roles and responsibilities was not identified as an issue.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• Service duplication was not an issue within the Research Unit.</li> <li>• As will be discussed in the following section; an opportunity exists to strengthen inter-unit financial processing related to pre and post-award processing of grants.</li> </ul>
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• Despite efforts to address, there remains a significant issue and financial vulnerability related to the financial processing of grants. There is an operational disconnect between pre and post grant processing without sufficient dialogue and interaction between staff of the two units.</li> <li>• Office of Sponsored Programs staff must provide a greater level of support to the Research unit in addressing compliance with procurement regulations prior to grant application, to reduce the number of issues arising after grant award when funds need to be spent.</li> <li>• Office of Sponsored Programs staff should provide additional training and standard guidelines to assist grant writers in understanding how to appropriately structure grants to make expenditure of funds easy. Additionally, staff should be familiar with grant requirements and willing to facilitate grant expenditures.</li> <li>• The University should first attempt to rectify this issue through enhanced training and cooperation between Research staff and staff from Finance &amp; Business (i.e. – Controller and Procurement staff). If this issue cannot be resolved in that manner, consideration should be given to organizationally placing a greater responsibility for post-award compliance on procurement staff. However, this approach should only be pursued after addressing other service level issues in procurement.</li> </ul>



**UNIVERSITY DEVELOPMENT**

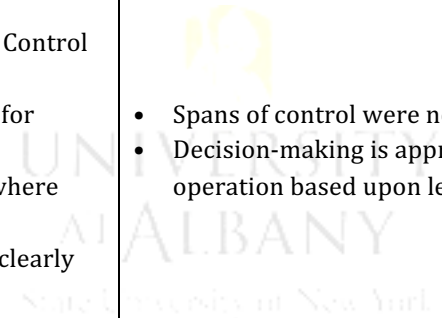
The University Development Unit is generally responsible for handling services related to financial campaigns / support for the university, alumni relations / association, and overseeing the University at Albany Foundation. The current organizational structure of this unit has the following major organizational units:

- Campaign / Development and Conduct
- Corporate and Foundation Relations
- Advancement Services
- Alumni Relations and Advancement Events
- Alumni Association
- University at Albany Foundation

The following table summarizes the evaluation criteria utilized and the findings that resulted from the evaluation of the organizational and operational practices of the University Development Unit:

Evaluation Criteria	Key Comments / Findings
Alignment with Organization Criteria such as: <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• University Development is generally a discrete organizational unit reporting directly to the President. UAlbany has a common organizational structure for this function.</li> <li>• The units within the Development Office are based upon functional responsibilities. Given reductions in staffing, some consideration should be given to regrouping responsibilities to have fewer discrete units.</li> </ul>



Evaluation Criteria	Key Comments / Findings
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• This unit structure is consistent with approaches typically seen in other Development Operations from the perspective of the services provided. The internal organizational units (Campaigns, Corporate, Foundation, etc.) vary from university to university though they typically provide all of these same services.</li> <li>• Number of reporting levels was not identified as an issue.</li> <li>• Staffing has been impacted as it has in other units due to fiscal constraints. This will impact the volume and timeliness of services provided.</li> </ul>
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinction of roles among staff is clear.</li> <li>• Management systems support structure.</li> </ul>	 <ul style="list-style-type: none"> <li>• Spans of control were not significant issues.</li> <li>• Decision-making is appropriately disseminated through the operation based upon levels of staff positions.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• There is no duplication of services provided with other units.</li> <li>• While some academic units have outreach efforts, these are not necessarily duplicative and initiatives have been made to coordinate efforts university-wide.</li> </ul>
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• No concerns noted regarding financial or programmatic vulnerabilities.</li> <li>• It would be appropriate to consider implementation of an Advancement Unit that incorporates both University Development and Communication &amp; Marketing into a single administrative unit. While cost savings are minimal, at best, it does provide opportunities for more cross-utilization of staff, and a greater consistency in message / administration of these functions.</li> </ul>

**COMMUNICATIONS AND MARKETING**

The Communications and Marketing Unit is generally responsible for providing all University related communications, public and media relations, and recording and broadcasting services for the University at Albany. The current organizational structure of this unit has the following major organizational units:

- Communications and Marketing
- Public and Media Relations
- Recording and Broadcasting

The following table summarizes the evaluation criteria utilized and the findings that resulted from the evaluation of the organizational and operational practices of the Communications and Marketing Unit:

Evaluation Criteria	Key Comments / Findings
Alignment with Organization Criteria such as: <ul style="list-style-type: none"> <li>• Facilitates objectives and policies.</li> <li>• Facilitates decision-making and planning.</li> <li>• Facilitates management of operations.</li> <li>• Access to key decision making and planning.</li> <li>• Critical functions near key administrators.</li> <li>• Key programs have organizational prominence.</li> <li>• Similar functions are grouped together.</li> </ul>	<ul style="list-style-type: none"> <li>• Communications and Marketing is often a discrete organizational unit reporting directly to the President. The other most common approach is a more comprehensive “Advancement Unit” that combines Communications and Marketing with Development- related activities.</li> <li>• The units within the Communications &amp; Marketing Unit are based upon functional responsibilities.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Alignment with External Entities / Organizational Design Practices:</p> <ul style="list-style-type: none"> <li>• Organization structure and makes “common sense”, “meets industry standards” or “best management practices”.</li> <li>• Effort to make the organization “flat” and maximize utilization of administrative / managerial positions.</li> <li>• Number of reporting levels appropriate for size / complexity of organization.</li> <li>• Staffing levels are in line with recognized “best management practices” and associated workload / service levels.</li> </ul>	<ul style="list-style-type: none"> <li>• This unit structure is consistent with approaches typically seen in other Communications &amp; Marketing operations from the perspective of the services provided.</li> <li>• Number of reporting levels was not identified as an issue.</li> <li>• Staffing has been impacted as it has in other units due to fiscal constraints. This will impact the volume and timeliness of services provided.</li> </ul>
<p>Alignment of Staffing / Managerial Control criteria such as:</p> <ul style="list-style-type: none"> <li>• Span of control is appropriate for services provided.</li> <li>• Decision making at line level where possible.</li> <li>• Roles and responsibilities are clearly defined.</li> <li>• Distinction of roles among staff is clear.</li> <li>• Management systems support structure.</li> </ul>	<ul style="list-style-type: none"> <li>• No concerns noted in these areas.</li> </ul>

Evaluation Criteria	Key Comments / Findings
<p>Redundant / Duplicative Services or Potential for Shared Services Exists.</p> <ul style="list-style-type: none"> <li>• Services provided similar to those in other units.</li> <li>• Key responsibility for service provision impacted by duplicated or fragmented service delivery / organizational structure.</li> <li>• Services provided by individuals responsible / accountable for their provision.</li> <li>• No gaps or overlaps in services.</li> <li>• An alternative structure or service delivery approach would enable greater use of shared services.</li> </ul>	<ul style="list-style-type: none"> <li>• There is no duplication of services provided with other units.</li> <li>• While some academic units have their own communication initiatives, efforts are made to coordinate.</li> </ul>
<p>Financial or Programmatic Vulnerability</p> <ul style="list-style-type: none"> <li>• Noted potential for financial vulnerability due to staffing or organizational structure.</li> <li>• Structure or staffing significantly impact service provision.</li> </ul>	<ul style="list-style-type: none"> <li>• No concerns noted regarding financial or programmatic vulnerabilities.</li> <li>• It would be appropriate to consider implementation of an “Advancement Unit” that incorporates both University Development and Communications &amp; Marketing into a single administrative unit. While cost savings are minimal, at best, it does provide opportunities for more cross-utilization of staff, and a greater consistency in message / administration of these functions.</li> </ul>

## APPENDIX A – Description of Data Elements

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All data was retrieved from the Integrated Postsecondary Education Data System databases. The following points summarize each major data variable utilized in the analysis and details what it represents and the year of the data utilized. In all cases, the most recently reported / available data was utilized.

- Student (FTE) – Represents the number of full-time equivalent students at the University for Fall enrollment 2010.

- Total FTE – Total number of full-time equivalent staff employed by the University for Fall 2010. The full-time equivalent (FTE) of staff is calculated by summing the total number of full-time staff from the Employees by Assigned Position (EAP) component and adding one-third of the total number of part-time staff.

Sub-categories of this number, calculated in the same fashion, include the following:

- Instructional, Research & Public Service Staff
- Executive / Administrative and Managerial Staff
- Other Professional Staff
- Non-professional Staff

- Average Salary of FT Instructional Staff – Calculated based upon GASB 34/35 standards, this variable represented the average salary (equated to 9-month contracts for full-time instructional faculty of all ranks) utilizing Fall 2010 IPEDS data.

- Salaries, wages and benefit expenses as % of total expenses for instruction – Calculated based upon GASB 34/35 standards, this variable is calculated by totaling all salaries, wages and benefit expenses related to instruction and dividing by the total expenses allocated to instruction.

- Total salaries, wages and benefit expenses as a % of total expenditures – Calculated based upon GASB 34/35 standards, this variable is determined by totaling all salaries and wage expenses including employee fringe benefit expenses divided by total expenses.

- Revenues from Tuition and Fees per FTE – Calculated based upon GASB 34/35 standards, this variable represents all revenues from tuition and fees assessed against students for educational purposes divided by the institutions FTE student enrollment.

- Instruction Expenses per FTE – Calculated based upon GASB 34/35 standards, this variable is calculated by totaling all expenses related to instruction within the institution and dividing by the 12-month FTE enrollment. Most current data utilized which was from the 2008-2009 academic year.

- Academic Support Expenses per FTE – Calculated based upon GASB 34/35 standards, this variable is calculated by totaling all expenses related to academic support (libraries, museums, clinics, media, academic administration, academic IT support, etc.) within the institution and

dividing by the 12-month FTE enrollment. Most current data utilized which was from the 2008-2009 academic year.

- Student Services Expenses per FTE – Calculated based upon GASB 34/35 standards, this variable is calculated by totaling all expenses related to student services (such as admissions, registrar, student records, student activities, student organizations, intramurals) within the institution and dividing by the 12-month FTE enrollment. Most current data utilized which was from the 2008-2009 academic year.

- Institutional Support Expenses per FTE – Calculated based upon GASB 34/35 standards, this variable is calculated by totaling all expenses related to institutional support (such as general administrative services, executive management, legal and fiscal services, purchasing, information technology, etc.) within the institution and dividing by the 12-month FTE enrollment. Most current data utilized which was from the 2008-2009 academic year.

- Administrative Salaries - Since IPEDS data did not contain relevant salaries of administrative staff, this data was compiled from publicly available data available either from the institutions themselves, or other publicly available databases for the years 2009 or 2010. It is important to note that this data will be less consistent in reporting parameters than that available from IPEDS.

- Research Expenditures – R&D expenditures from all funding sources for 2009 as reported by The National Science Foundation / National Center for Science and Engineering Statistics report Academic Research and Development Expenditures: Fiscal Year 2009.

## APPENDIX B – Summary of Employee Survey

The Matrix Consulting Group administered an online survey for employees of the University at Albany to provide input into the Management Review of Administrative Structures study that was being conducted. This survey enabled employees the opportunity to provide confidential input and comments on a variety of issues including: current operational processes and procedures (and the impact on service delivery), appropriateness of existing organizational structures in each major administrative unit, span of control, and identification of duplication or gaps in services between organizational units.

The survey was distributed to 2,685 employees. A total of 751 employees, or 28%, responded to the survey. The table below shows the response distribution by functional area:

Assigned Unit	Number Responding	% of Total Responses
Academic Affairs / Academic Units	342	45.5%
Athletic Administration and Intercollegiate Athletics	17	2.3%
Communications and Marketing	10	1.3%
Finance and Business	66	8.8%
Information Technology	56	7.5%
Office of the President	8	1.1%
Research	34	4.5%
Student Success	71	9.5%
University Development	21	2.8%
Skipped Question	126	16.8%
<b>TOTAL</b>	<b>751</b>	<b>100.0%</b>

There were a total of 751 respondents who completed at least a portion of the survey. Individuals were not required to answer all questions. This represents a response rate of 28%.

The Matrix Consulting Group also asked respondents to identify other characteristics about their position including whether it was administrative or faculty, and whether the position was supervisory or non-supervisory. The following tables summarize the responses received:



Respondents by Position Type – Administrative or Faculty

Position	No. of Respondents	% of Total Respondents
Administrative	296	39%
Faculty	438	58%
Skipped Question	17	2%
Total	751	100%

Respondents by Position Type – Supervisory or Non-Supervisory

Position	No. of Respondents	% of Total Respondents
Supervisory	302	40%
Non-Supervisory	430	57%
Skipped Question	19	3%
Total	751	100%

As shown in the tables above, of those identifying their position type, 39% of responding employees were in administrative positions and 58% were in faculty positions. Similarly, 40% of responding employees indicated they were in a supervisory position versus 57% who indicated they were in a non-supervisory position.

The information regarding the employee’s position (unit assigned, administrative versus faculty, and supervisory versus non-supervisory status) was utilized by the project team to conduct more in-depth analysis of the responses received to identify trends that may exist based upon the type of position or that were unique to individual work units. To ensure confidentiality of respondents, generally only the overall results are being reported in this summary rather than the cross-tabbed and segmented data. However, this data was utilized by the project team and provided useful insight during the evaluation in understanding the respondent’s perceptions.

## EVALUATION OF THE EMPLOYEE’S OWN WORK UNITS PROCESSES AND ORGANIZATIONAL STRUCTURE

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Participants were asked to respond to a series of statements regarding their individual work unit and the processes, procedures and organizational structure utilized within it. The following table outlines the statements presented to participants and the responses showing the level of agreement or disagreement with the statement.

EVALUATION OF THE EMPLOYEE'S WORK UNIT

Statements	Strongly Agree or Agree	Neither Agree or Disagree	Strongly Disagree or Disagree	No Response (N/A)
1. The business processes within my unit are effective.	69.4%	11.1%	13.7%	5.8%
2. The business processes within my unit are efficient.	60.9%	14.9%	18.6%	5.6%
3. My unit's work is not duplicated by other departments.	73.5%	7.9%	11.1%	7.5%
4. My unit has well documented rules policies and processes to guide my work.	66.6%	13.0%	17.3%	3.1%
5. In my unit, we do a good job planning and scheduling our work.	75.3%	11.8%	11.1%	1.9%
6. My unit is rarely in a crisis mode.	59.0%	14.9%	23.6%	2.6%
7. In my unit, we have the right mix of in-house and outsourced services.	45.5%	21.5%	9.3%	23.7%
8. The organizational structure of my unit is well suited to its responsibilities.	67.0%	12.3%	17.6%	3.1%
9. The functions / services performed by my unit are appropriately placed. They should not be conducted by another unit.	82.9%	5.3%	7.4%	4.5%

As shown in this table, overall, employees generally had very favorable opinions regarding the structure of their own organizational unit. The greatest level of disagreement occurred when asked about “being in a crisis mode”, “efficiency of business processes” and “organizational structure is suited to its responsibilities”. While these statements had the greatest level of disagreement, this only represented 23.6%, 18.6%, and 17.6% of the responses respectively.

Employees were asked to provide a narrative response if they marked either disagree or strongly disagree on any statement, so that the project team could develop a more detailed understanding of the rationale or basis of the disagreement.

In total, respondents provided 216 narrative responses for review. In general, these responses typically indicated a concern regarding the impact of staff reductions on their ability to perform assigned duties and provide service to the organization. Other frequently commented upon issues included:

- Inefficient processes
- Lack of cooperation among work units
- Lack of training
- Strategic planning and focusing on the future is not done enough to provide guidance on service delivery – too reactive. Those that are developed aren't utilized

Additionally, there were a large number of very specific recommendations and comments regarding individual work units, areas of duplication and potential restructuring opportunities.

## EVALUATION OF PROCESSES AND ORGANIZATIONAL STRUCTURE OF OTHER WORK UNITS

Next, participants were asked to respond to a series of statements regarding the processes and organizational structures of other work units within the organization, taken collectively. The following table outlines the statements presented to participants and the responses showing the level of agreement or disagreement with the statement.

EVALUATION OF OTHER WORK UNITS AT THE UNIVERSITY

Statements	Strongly Agree or Agree	Neither Agree or Disagree	Strongly Disagree or Disagree	No Response (N/A)
1. The business processes involving other units are efficient and effective.	24.1%	26.0%	21.0%	28.8%
2. Other units that I interact with in performing my job perform work that is not duplicated by other departments.	47.6%	18.8%	10.9%	22.7%
3. Other units do a good job planning and scheduling their work.	25.2%	32.0%	13.7%	29.0%
4. The organizational structure of other university units that I interact with is well suited to their responsibilities.	33.3%	28.5%	12.0%	26.2%

Unlike the prior question, the responses related to evaluating other work units did not result in as many responses in agreement with the individual statements. Interestingly, the level of

disagreement is fairly comparable to those seen when individuals were evaluating their own work unit. However, the number of responses in neither the “neither agree nor disagree” or “no response” categories increased substantially. For all statements, over 40% choose either “neither agree nor disagree” or “no response”. Many employees responding did not feel competent to fairly assess other work units given a lack of understanding of their operations. This was especially true for those respondents who were faculty members where many indicated insufficient knowledge about the specific functions performed in many of the administrative units.

Similar to the prior question, employees were again asked (but not required) to provide a narrative response if they marked either “disagree” or “strongly disagree” on any statement. In response, the project team received 139 narrative responses for review and consideration. Recurring issues reflected in these comments included the following:

- Greater financial oversight needed in many areas of the University. Many staff need greater training in basic financial functions
- IT services are difficult to navigate due to number of individual units with a role in this function
- Staff reductions have impacted efficiency of many administrative units
- Purchasing processes and service levels are inconsistent. There appears to be a lack of focus on helping the customer.
- The Research Foundation is perceived as being both inefficient and obstructive.
- Insufficient staffing levels in some core administrative areas (such as HR, Purchasing, and Accounting) are impacting their ability to provide services and therefore negatively impacting other units’ ability to function efficiently. This is compounded by their perceived inability to clearly articulate applicable regulations and rules to their customers or to provide accurate responses to questions.

In addition to these themes, there were also many comments related to very specific operational issues provided to the project team.

## SPAN OF CONTROL

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Next, the project team asked participants to choose a statement that best reflected their view of the appropriateness of the span of control within the University at Albany. For purposes of this question, span of control was defined as the number of employees per administrator.

The following table summarizes the response received:

SPAN OF CONTROL EVALUATION

Statements	Response Percent
1. There are too few administrators, in relation to the number of employees, to provide an adequate level of supervision and direction to staff.	7.9%
2. There is a good balance between the number of administrators and employees.	48.4%
3. There are too many administrators, in relation to the number of employees.	24.6%
4. I don't know enough to make a determination.	19.1%

Following this section, participants were asked to respond to the following open ended question: "Are there areas within the University's administrative organizational structure, where you feel the spans of control should be modified to improve efficient use of resources? If so, please identify the area and provide comments regarding why the change is appropriate." In response to this question, the project team received 164 specific responses to review and consider.

The most common areas identified included the following:

- Bigger issue is not the number of administrators but choosing the correct individual
- There are too many "specialty" units within the university. We need to consolidate into a leaner organization
- Failure to fully utilize technology has resulted in too many employees being assigned in some areas
- Perception that there are too many assistant and associate deans, and too many administrators in Development, Athletics and Student Support services
- There is no consistency across units regarding number of employees per supervisory positions. Some individuals in supervisory or managerial positions supervise only 1 or 2 people

The vast majority of narrative comments received in response to these questions were very specific about individual units and individual positions that should be reviewed and/or that were not operating efficiently. All of these comments were reviewed, but are not included in this summary, and generally follow the themes listed above.

## EVALUATION OF OVERALL ORGANIZATIONAL STRUCTURE OF THE UNIVERSITY

Participants were next asked a series of questions that asked them whether they believed certain work units were appropriately located within the University’s organizational structure. They were asked to choose between three responses: appropriately located, should be reviewed, or don’t know.

The following table summarizes the responses received to these questions.

DIVISION	ORGANIZATIONAL UNIT	Appropriately Located	Should be Reviewed	Don't Know
President's Office	Audit and Management Services	29.6%	13.5%	56.9%
	Diversity and Affirmative Action	40.4%	17.5%	42.1%
	Strategic Initiatives	43.6%	9.7%	46.7%
	University Counsel	47.4%	4.9%	47.8%
Athletics Administration	Athletics	39.0%	20.5%	40.5%
Information Technology	Information Technology	41.1%	20.3%	38.6%
Finance and Business	Financial Management and Budget	60.5%	5.5%	34.0%
	Human Resources Management	58.8%	11.5%	29.8%
	Environmental Health and Safety	40.0%	18.1%	41.9%
	Environmental Sustainability	37.7%	17.2%	45.1%
	Facilities Management	55.6%	9.6%	34.9%
	Controller	56.2%	4.1%	39.7%
	Institutional Services	45.2%	6.8%	47.9%
	State Accounting	56.1%	6.2%	37.6%
	Sponsored Funds Financial Mgmt.	51.5%	11.5%	37.0%
	Parking and Mass Transit Svcs.	45.0%	19.2%	35.7%
University Auxiliary Services	41.0%	12.9%	46.1%	
Student Success	Campus Center	59.1%	9.3%	31.7%
	Career Services	59.3%	7.5%	33.2%
	Counseling Services	59.8%	6.7%	33.5%
	Conflict Resolution and Civic Responsibility	57.6%	6.3%	36.1%
	Disabled Student Services	63.3%	4.1%	32.6%
	Health Services	57.7%	11.4%	30.9%
	Multicultural Student Success	57.4%	6.3%	36.3%
	Orientation	60.9%	6.5%	32.5%
	Parent Services	56.2%	4.1%	39.6%
	Personal Safety and Off Campus Affairs	50.9%	12.2%	36.9%
	Residential Life	63.3%	3.6%	33.1%
	Student Involvement and Leadership	59.9%	4.2%	35.9%
	University Police Department	43.0%	20.3%	36.7%

DIVISION	ORGANIZATIONAL UNIT	Appropriately Located	Should be Reviewed	Don't Know
Academic Affairs	Enrollment Management	58.3%	6.2%	35.6%
	Advisement Services	61.5%	6.7%	31.8%
	Bursar	46.2%	14.6%	39.1%
	Financial Aid	50.8%	12.6%	36.6%
	Registrar	64.7%	4.4%	31.0%
	Student Accounts	48.0%	15.3%	36.7%
	Institutional Research, Planning and Effectiveness	50.9%	8.1%	41.0%
Research	Research	59.2%	5.5%	35.2%
	Office for Sponsored Programs	53.2%	7.7%	39.1%
	Office for Regulatory Research	55.0%	6.9%	38.1%
	Compliance	34.5%	13.0%	52.5%
	Technology Transfer	42.1%	12.7%	45.1%
Development	University Development	56.1%	5.4%	38.6%
	Campaign / Development	53.8%	5.6%	40.7%
	Corporate and Foundation	51.8%	6.0%	42.2%
	Advancement Services	49.1%	5.8%	45.1%
	Alumni Relations and Advancement	53.8%	6.9%	39.3%
	Events	54.5%	7.4%	38.1%
	Alumni Association	52.7%	7.4%	40.0%
Communication and Marketing	University at Albany Foundation	51.2%	13.6%	35.2%
	Communication and Marketing	51.3%	13.6%	35.1%
	Public and Media Relations	46.5%	12.5%	41.0%
	Recording/Broadcasting			

As shown, most units in the organization received around 50% or more responses indicating that it was appropriately located at present. It is also important to note that a significant percentage chose the “don’t know” option. This could be an indication that many employees are not sufficiently aware of the functions performed by many administrative areas to evaluate whether or not they are appropriately located in the organizational structure. This may be an area where the University should increase internal communication to expand the understanding of the existing organizational structure and the purpose of many of the administrative functions.

The following table summarizes the most frequently mentioned changes related to each of the major divisions in the narrative comments that were provided regarding where certain services / functions should be located organizationally.

Division / Unit	Comments Received
Office of the President	<ul style="list-style-type: none"> <li>• Diversity should be part of HR to streamline process</li> <li>• Audit should report to Board of Trustees</li> <li>• Audit should be integrated into Finance and Business</li> <li>• Reasonable accommodations and disabilities should be incorporated into Diversity and Affirmative Action</li> </ul>
Athletics	<ul style="list-style-type: none"> <li>• Should report to Provost</li> <li>• Consolidate under Student Success</li> </ul>
Information Technology	<ul style="list-style-type: none"> <li>• Should not report to President</li> <li>• Consolidate with Communication and Marketing</li> <li>• Place as unit in Finance and Business</li> </ul>
Finance and Business	<ul style="list-style-type: none"> <li>• Expand Facilities Management to include Environmental Health and Safety</li> <li>• Parking and HR should report directly to President</li> <li>• Sponsored funds could report to Research</li> <li>• Parking aligned with student services</li> <li>• Parking and Police should be combined</li> <li>• Most functions belong where they are but some need enhanced focus on servicing customers (HR, Procurement)</li> </ul>
Student Success	<ul style="list-style-type: none"> <li>• Student Success should fall under academic affairs</li> <li>• To many units within the organization - reduction / consolidation needed</li> <li>• UPD should report to President</li> <li>• Parking and UPD should be in same unit</li> <li>• Campus Center should report to Finance and Business</li> </ul>
Academic Affairs	<ul style="list-style-type: none"> <li>• Many of these should be incorporated into Finance and Business</li> <li>• Bursar, Financial Aid and Student Accounts should be combined</li> <li>• Enrollment Management, Financial Aid and Student Accounts should be combined and report to the President</li> <li>• Bursar and Student Accounts should report to Controller</li> </ul>



Division / Unit	Comments Received
Research	<ul style="list-style-type: none"> <li>• Consider placing under Provost as academic related</li> <li>• Academic Centers / Institutes should be more closely aligned with their affiliated schools/colleges</li> <li>• Sponsored Programs integrated with post-award services</li> </ul>
Development	<ul style="list-style-type: none"> <li>• Reduce number of sub-units</li> <li>• Consolidate with Communications and Marketing</li> </ul>
Communications and Marketing	<ul style="list-style-type: none"> <li>• Include in President's Office</li> <li>• Combine with Development</li> <li>• Combine with Outreach, Engagement and Special Events</li> <li>• Consider contracting out</li> </ul>

## OPEN-ENDED QUESTIONS

The survey concluded with an opportunity for participants to answer a series of open-ended questions and provide narrative feedback and comments to the project team. As previously noted, full text of the narrative responses have not been included to ensure confidentiality of the employees, but also for space considerations. However, a summary of the most frequent responses is listed below each question. The specific questions presented included the following:

- Are there additional opportunities for unit or departmental consolidation that you feel should be considered by the University to provide a higher level of service or to control / reduce the cost of service provision?

In response to this question, there were 76 responses provided. Selected representative feedback received included:

- Career services should be centralized
- Communications should be centralized – Schools and Colleges should not be doing this piecemeal
- Division 1 athletics should be reviewed
- Energy Management and Environmental Sustainability
- IT across all functional areas
- Decentralized services have served individual academic departments well – don't change it
- Centralize functions such as PR, Communications, Webmaster, and Marketing
- Purchasing doesn't need to be consolidated as much as reformed

- Research should report to Provost rather than President similar to other academic units (with exception of Nano)
  - Admissions and Enrollment Management
  - Functions identical on State and RF sides (such as Purchasing, Payroll, and Accounting) should be integrated.
  - One person should oversee Student Accounts, Student Services Center and Financial Aid to ensure they work together and share resources.
- Are there opportunities for functional consolidation (i.e. – specific services or programs that are similar in nature but provided by more than one unit or department) that you feel should be considered by the University for consolidation or relocation in the organizational structure to provide a higher level of service or to control / reduce the cost service provision?

In response to this question, there were 66 responses provided. The following are some representative comments received:

- CAS Computing and Library Systems group should be reviewed for inclusion in ITS.
  - Greater focus on shared services in general.
  - Some redundancies in the Career Services areas.
  - Consider decentralization of some services such as communications, media and post-research awards to the individual units. Pre and post award functions need greater integration.
  - Integrate Purchasing, Accounting and reporting functions on grants with a single financial system.
  - Outsource functions such as vehicle repairs, snow plowing and grounds maintenance. Greater focus on preventive maintenance efforts rather than new construction and aesthetic improvements.
  - All design-related functions (Planning, Architecture, Engineering and Construction) should be under a single director. Facilities Management area should eliminate redundant units and unneeded services.
  - Student Accounts and Financial Aid.
  - University Development and Communications and Marketing.
- Are there any operating efficiencies (either within your unit or department or in other units or departments) that you feel the project team should consider during this study that if implemented, might impact either organizational structure or staffing requirements?

In response to this question, there were 92 responses provided. Some representative comments and feedback received included:

- Decentralization of pre-award research services should serve as model for other service areas such as HR, and facilities repair
  - Career services and communications are two areas to be centralized
  - Issue isn't necessarily the need to centralize or consolidate units, but whether the correct individuals are leading each work unit
  - Purchasing practices and service levels impact the work accomplished by the University and the ability of faculty to be cutting-edge and innovative
  - Consolidation of some colleges into a single unit could reduce administrative positions
  - State regulations may be greater cause of inefficiencies than the University's policies
  - Role of the Office of Diversity needs to be clarified relative to the search process
  - Internal Audit needs an audit plan. Communications and Marketing should be merged with Development. Post award functions should report to the VP for Research. Student Accounts and Bursar should report to the Controller. ITS should report to the VP for Finance
  - An integrated purchasing, accounting, human resources management, and equipment management on-line system would streamline business processes. Electronic signatures should also be used to improve efficiencies
  - Data communications and telecommunications should be merged into a single unit
  - The role of the Office of Campus Planning needs a clearer purpose and direction
  - Support functions such as HR, Purchasing and Accounting must be improved to support the University's mission and enable more efficient processing
  - Continue efforts to collocate and centralize IT services
- Finally, participants were provided a space to provide any additional comments that they wanted to share with the project team.

In response to this question, there were 73 responses provided. Representative comments and feedback received included:

- It's not an issue of too many administrators per employee but overall staffing levels too low for services to be provided
- Staffing levels inhibit provision of services. Management should be aware of this
- Implement consistent office hours across all units to provide consistent service to customers
- The University is not a "business" and attempting to operate like one impacts the core mission of providing educational services
- Some administrative services (such as Institutional Services and Procurement) are not customer-friendly or easily accessible
- Reductions in staff on the front line (secretarial, janitorial, etc.) are impacting the services provided by other staff

- Many in faculty positions indicated a lack of understanding and awareness of administrative functions that made it difficult to provide meaningful input on those questions



## CONCLUSION

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Overall, the number of individual narrative responses provided in this survey exposed the project team to a wide variety of perspectives on operational and organizational issues present at the University at Albany to supplement the information and knowledge gained from interviews.

Despite the perception that there would be large variations in the perceptions dependent upon whether the respondent was a faculty member or not, there were frequently similar perspectives toward key issues from both groups. Overall, the survey provided additional information that was useful to the project team in evaluating alternatives, understanding operational constraints, areas of overlap and duplication, and identifying key service areas with operational practices that impacted other organizational units.

The results of this survey served as one “data point” that the project team utilized in making recommendations contained in the report. Other data points included personal interviews conducted with staff, our benchmarking against peer and aspirational peer educational institutions, and comparison of practices at the University at Albany against recognized best practices.



## APPENDIX C – Executive Salary Data by Institution

	Name	President	Provost	Athletics,	Chief Information Officer	Communications & Mktg,	Development,	Finance and Business,	Research,	Student Affairs,
Peer	Georgia Institute of Technology	\$424,500	\$380,928	\$304,056	\$257,743	No data avail.	\$368,076	\$370,090	\$383,126	\$192,453
	Northern Illinois University	\$325,980	\$265,200	\$275,004	\$179,772	\$193,116	\$197,148	\$293,328	\$200,004	\$198,708
	Old Dominion University	\$312,000	\$275,000	\$250,000	\$160,000	\$90,000	\$230,645	\$237,000	\$235,000	\$150,000
	Stony Brook	\$400,000	\$353,702	\$282,800	\$282,800	\$145,082	\$336,600	\$295,800	\$194,893	\$210,914
	University of Colorado - Boulder	\$340,000	\$312,303	\$297,708	\$230,000	\$154,800	No data avail.	\$255,000	\$324,880	\$183,000
	University of Connecticut	\$577,500	\$340,661	\$351,717	\$247,776	\$205,780	No data avail.	\$284,596	\$299,226	\$233,285
	SUNY Binghamton	\$284,218	\$255,530	\$181,157	\$176,494	Not VP Level pos.	\$207,499	\$239,461	\$247,592	\$160,667
	University of Hawaii - Manoa	\$337,632	\$284,808	\$223,200	\$236,760	No data avail.	No data avail.	\$260,208	\$222,720	\$209,280
	University of Vermont	\$322,563	\$199,145	\$195,375	\$207,921	\$129,744	\$200,000	\$251,718	\$251,718	\$179,957
	University of Wisconsin - Milwaukee	\$280,550	\$226,846	No data avail.	No data avail.	\$139,077	\$180,000	\$181,496	\$104,970	\$146,369
Aspirational	University at Buffalo	\$477,299	\$272,872	\$294,580	\$210,000	\$174,000	\$197,144	\$200,000	\$245,958	\$230,688
	UC Irvine	\$356,248	\$290,316	\$184,599	\$304,023	Not VP Level pos.	\$211,124	\$211,893	\$255,432	\$161,405
	UC San Diego	\$356,248	\$273,250	\$137,266	No data avail.	Not VP Level pos.	\$285,834	\$258,499	\$150,763	\$215,537
	UC Santa Barbara	\$286,125	\$258,956	\$60,338	\$197,583	Not VP Level pos.	\$188,538	\$190,349	\$229,880	\$183,957
	UC Santa Cruz	\$281,853	\$198,918	\$60,338	\$201,159	Not VP Level pos.	\$210,862	\$193,262	\$215,072	\$188,000
	University of Houston	\$425,000	\$318,000	\$350,000	\$144,000	\$180,000	\$174,000	\$343,923	\$203,963	\$175,000
	University of Oregon	\$414,398	\$322,140	\$450,000	No data avail.	\$213,000	\$230,000	\$223,118	No data avail.	\$193,125
	University of Virginia-Main Campus	\$487,000	\$706,800	\$320,000	\$320,000	N/A *	\$413,900	\$275,000	\$275,000	\$235,000
University at Albany	\$280,000	\$260,455	\$279,120	\$196,894	\$175,242	\$238,680	\$204,000	\$229,500	\$209,610	
<b>Average of Peer Institutions</b>		<b>\$360,494</b>	<b>\$289,412</b>	<b>\$262,335</b>	<b>\$219,918</b>	<b>\$151,086</b>	<b>\$245,710</b>	<b>\$266,870</b>	<b>\$246,413</b>	<b>\$186,463</b>
<b>Average of Aspirational Peer Institutions</b>		<b>\$385,521</b>	<b>\$330,157</b>	<b>\$232,140</b>	<b>\$229,461</b>	<b>\$189,000</b>	<b>\$238,925</b>	<b>\$237,006</b>	<b>\$225,153</b>	<b>\$197,839</b>
<b>% Compared to Peer Institutions</b>		<b>78%</b>	<b>90%</b>	<b>106%</b>	<b>90%</b>	<b>116%</b>	<b>97%</b>	<b>76%</b>	<b>93%</b>	<b>112%</b>
<b>% Compared to Aspirational Peer Institutions</b>		<b>73%</b>	<b>79%</b>	<b>120%</b>	<b>86%</b>	<b>93%</b>	<b>100%</b>	<b>86%</b>	<b>102%</b>	<b>106%</b>

\*UVA has a single Vice President for Development and Public Affairs

## APPENDIX D – Comparison of Research Expenditures

### FY 2009 Research Expenditures (In Thousands)

	NSF Rank	Institution	All R&D expenditures	Federal government	State & local government	Industry	Institutional funds	All other sources	\$ Per Student FTE	\$ Per FT Faculty FTE
Peer	28	Georgia Institute of Technology	561,631	322,452	10,727	43,885	167,766	16,801	29.8	567.3
	239	Northern Illinois University	20,644	17,098	11	729	2,806	0	1.0	23.0
	155	Old Dominion University	71,909	27,644	5,549	5,875	32,841	0	3.8	99.5
	74	Stony Brook University	258,098	107,396	23,246	5,309	113,801	8,346	11.9	286.8
	18	University of Colorado	648,417	500,123	27,719	40,385	41,758	38,432	40.5	494.2
	80	University of Connecticut	225,217	120,668	9,495	8,173	71,996	14,885	10.0	414.8
	161	SUNY Binghamton	66,050	16,704	6,624	3,599	32,391	6,732	4.9	80.9
	68	University of Hawaii Manoa	290,707	203,453	17,191	29,758	32,198	8,107	17.2	268.2
	120	University of Vermont	122,558	92,555	253	2,971	19,914	6,865	10.1	200.6
183	University of Wisconsin - Milwaukee	44,115	18,955	6,103	711	15,463	2,883	1.7	43.3	
Aspirational Peer	59	University at Buffalo	338,283	152,146	20,063	21,355	100,208	44,511	13.1	319.7
	62	University of California-Irvine	209,061	118,252	42,697	4,840	39,857	3,415	7.8	212.5
	6	University of California-San Diego	325,493	177,098	17,228	16,330	68,145	46,692	11.7	312.4
	88	University of California-Santa Barbara	215,728	113,837	3,878	15,522	44,082	38,409	9.6	377.1
	113	University of California-Santa Cruz	144,052	76,085	4,042	4,735	38,882	20,308	8.8	121.2
	134	University of Houston	99,262	40,020	20,453	5,730	26,097	6,962	3.2	118.7
	153	University of Oregon	75,869	61,464	342	1,360	7,905	4,798	3.6	65.9
	73	University of Virginia-Main Campus	261,604	218,499	858	7,766	17,933	16,548	11.8	433.1
	58	University at Albany*	119,091	33,919	32,244	27,105	21,724	4,099	6.3	133.8
Average of Peer Institutions			230,935	142,705	10,692	14,140	53,093	10,305	13	248
Average of Aspirational Peer Institutions			283,190	163,203	16,141	15,524	53,020	35,301	9	245
% compared to Peer Institutions			52%	24%	302%	192%	41%	40%	49%	54%
% Compared to Aspirational Peer Institutions			42%	21%	200%	175%	41%	12%	73%	55%

Source, National Science Foundation Academic Research and Development Expenditures, 2009

\*UAlbany Total expenditures have been reduced 65% by to compensate for CNSE expenditures that were reported as part of total campus expenditures through 2009

## **APPENDIX E – Overview of the Matrix Consulting Group**

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The Matrix Consulting Group is a national management consulting group established in 2002 that focuses entirely on the public sector and provides a full range of analytical services to our clients. These include organizational structure evaluations, operational efficiency and effectiveness reviews, organizational culture evaluations, staffing analysis, financial reviews, customer service assessments, and feasibility studies. The staff at the Matrix Consulting Group have conducted over 500 individual studies during their careers for clients across the country. While based in Palo Alto, California, we also maintain offices in Massachusetts, Illinois, Texas, and Washington.

