

DRAFT: Self-Study Design  
Cornell University

Presented to the  
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## Table of Contents

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I.	Institutional Overview .....	2
	Leadership.....	4
II.	Institutional Priorities to be Addressed in the Self-Study .....	5
	Innovation in Teaching .....	5
	Diversity and Access .....	5
	One Cornell.....	6
III.	Intended Outcomes of the Self-Study .....	7
IV.	Self-Study Approach .....	7
V.	Organizational Structure of the Steering Committee and Working Groups .....	8
	Membership of the Steering Committee.....	8
	Charge for the Steering Committee.....	11
VI.	Guidelines for Reporting .....	13
VII.	Organization of the Final Self-Study Report.....	15
VIII.	Verification of Compliance Strategy .....	15
IX.	Self-Study Timetable.....	16
X.	Communication Plan.....	18
XI.	Evaluation Team Profile.....	19
XII.	Evidence Inventory .....	19

# Self-Study Design

## I. Institutional Overview

Founded in 1865 by Ezra Cornell and Andrew Dickson White, Cornell was conceived as a coeducational, non-sectarian institution that would teach and contribute to all fields of knowledge—from the classics to the sciences, the theoretical to the applied. Ezra Cornell captured these ideals in 1865 with a statement that has since become Cornell’s motto: “I would found an institution where any person can find instruction in any study.”

### Mission

Cornell University is both a private Ivy League university and the land grant university for the State of New York. Cornell’s mission is to discover, preserve, and disseminate knowledge; produce creative work; and promote a culture of broad inquiry throughout and beyond the Cornell community. Cornell also aims, through public service, to enhance the lives and livelihoods of our students, the people of New York, and others around the world.

### Vision

Cornell aspires to be the exemplary comprehensive research university for the 21st century, based on our distinctive status as a private university with a formal public mission. Faculty, staff, and students will thrive at Cornell because of its unparalleled combination of quality and breadth, high standards, and open, collaborative, and innovative culture; the opportunities provided by beautiful, vibrant rural and urban campuses; and programs that extend throughout the state of New York and across the globe.

### Key Facts

On its Ithaca campus, Cornell enrolls over 15,000 undergraduates in seven undergraduate colleges, including three “contract colleges” that receive partial and continuing funding from the state of New York and four “endowed colleges” that do not receive state appropriations (see Table 1).

**Table 1. Ithaca Undergraduate Colleges**

<u>Contract Colleges</u>	<u>Endowed Colleges</u>
Agriculture & Life Sciences	Architecture, Art & Planning
Human Ecology	Arts & Sciences
Industrial & Labor Relations	Engineering
	SC Johnson College of Business

In addition to the undergraduates, the Ithaca campus enrolls close to 6000 students in the Graduate School and a combined total of 2600 professional students in the Johnson Graduate School of Management, the Law School, and the New York State College of Veterinary Medicine (our fourth contract college).

On the Ithaca campus, there are approximately 1,600 tenured and tenure-track faculty, 1100 academic staff, and 7,500 non-academic staff.

In 2011, Cornell won a competition sponsored by New York City Mayor Bloomberg’s administration to establish a technology-oriented graduate school in the city. Cornell Tech campus began enrolling students at a temporary location in 2012 and relocated to newly constructed facilities on Roosevelt Island in Fall 2017. From its inception, Cornell Tech has been conceived of as an extension of Ithaca operations. For example, all faculty at Cornell Tech are members of—and are tenured through—departments based on the Ithaca campus, and faculty regularly collaborate and commute across and between the two campuses.

Also in New York City, Weill Cornell Medicine and the Graduate School of Medical Sciences together enroll approximately 1000 students. Weill also maintains a significant additional location in Doha, Qatar that offers a two-year non-degree pre-medical program followed by a four-year M.D. program.

Cornell has extensive and diverse international collaborations including instructional activities in Ethiopia, India, and Singapore as part of joint agreements with institutions in those countries.

Cornell University also operates several major research facilities, including:

- Cornell Laboratory of Ornithology in Ithaca, New York
- New York State Agricultural Experiment Station located primarily in Geneva, New York
- The Shoals Marine Laboratory on Appledore Island off the coasts of Maine and New Hampshire, operated in conjunction with the University of New Hampshire

## Leadership

Since 2015, Cornell has experienced a number of significant leadership transitions, including the president, the Ithaca provost, the Weill Cornell Medicine provost, various academic deans, and several vice presidents. Most notable have been multiple transitions in the president's office over a very brief period of time.

Succeeding President David Skorton, Elizabeth Garrett took office as Cornell's 13<sup>th</sup> president on July 1, 2015. Among her first appointments, she named Michael Kotlikoff (the Austin O. Hooey Dean of Veterinary Medicine at Cornell since 2007) as the 16th provost of Cornell University on August 1, 2015.

The following February, only seven months after taking the helm as Cornell's first female president, President Garrett announced that she had been diagnosed with cancer and would undergo immediate surgery. The provost was appointed as acting president during her hospitalization. Unfortunately, on March 6, 2016, President Elizabeth Garrett passed away.

Eighteen days later, the chairman of the Board of Trustees announced that President Emeritus Hunter S. Rawlings III would return as interim president. Interim President Rawlings served until April of 2017, when Martha Pollack took office as the 14th president of Cornell University. Thus, within a two-year period, the university had four different occupants in the president's office.

President Martha Pollack came to Cornell from the University of Michigan where she served as provost and executive vice president for academic affairs. She arrived on campus with Cornell experience under her belt, having served on the Steering Committee of the Jacobs Technion-Cornell Institute, an academic partnership between Cornell and the Technion-Israel Institute of Technology at Cornell Tech, from 2014 to 2017.

Prior to President Pollack's arrival, Augustine M.K. Choi, MD was appointed the provost for medical affairs at Weill Cornell in January of 2017.

## II. Institutional Priorities to be Addressed in the Self-Study

### Innovation in Teaching

In her August 25, 2017 inaugural address, Cornell's President Martha Pollack spoke of "educational verve":

*[Educational verve] is what we must aspire to in education: a vitality that leads our students to a lifetime of discovery, a passion for ideas, and a commitment to seeking truth.*

From that inaugural address, a primary component of developing "educational verve" — the joy of discovery — at Cornell has been innovation in teaching. President Pollack announced that we "must focus on innovative approaches to teaching and learning, coupled with careful assessment to ensure that we are deploying 'evidence-based' educational methods. "

An example of this institutional emphasis is Cornell's Active Learning Initiative (ALI) which supports course redesign to implement research-based active learning strategies and to create sustainable improvements in undergraduate education at Cornell. This project--motivated and informed by research from the field of cognitive psychology and actual college classrooms—identifies a variety of pedagogical approaches that are significantly more effective for student learning. Recently hired Discipline-Based Education Research (DBER) faculty in biology and physics are contributing to this growing body of research.

Given the emphasis on teaching, student engagement with the curriculum, and evidence-based pedagogical improvements, the priority on "Innovation in Teaching" intersects with the Standards 3, 4, and 5.

### Diversity and Access

President Pollack has also emphasized our civic responsibility "to create a community at Cornell that is truly diverse, inclusive, and egalitarian." She contends that

*Multiple imperatives underlie this responsibility: our knowledge, backed by research, that learning is enhanced in diverse settings and that diverse perspectives lead to better solutions to problems; the stresses in our society that*

*will only be addressed when our citizenry has an increased capacity to work across difference; and the moral imperative of equality that is fundamental to democracy.*

Several initiatives were born from recent task forces on issues related to diversity (see <http://diversity.cornell.edu/institutional-initiatives>). As just one example, in Fall 2018, all incoming first-year students participated in a three-hour Intergroup Dialogue Project (IDP) session—a small-group exercise in communication across difference—as part of New Student Orientation.

Given the emphasis on our mission, our civic responsibility, access and affordability, and academic excellence, the priority on “Diversity and Access” intersects with the Standards 1, 2, 3, 4, and 5.

### One Cornell

Cornell University is a complex entity. Unique in American higher education, it is a private Ivy League institution at the same time it is a land grant university offering discounted tuition to New York State residents enrolled in our contract colleges. Cornell’s home campus is in Ithaca, but it has operated a medical school in New York City since 1932, and an additional campus on Roosevelt Island since 2017. Consonant with that complexity, Cornell’s bylaws establish that Cornell’s colleges and schools each have jurisdiction over the academic interests of their own students.

Even with this autonomy, Cornell’s disparate parts must work together. We are one university, governed by one Board of Trustees and one president. Though our students apply to and are enrolled in one specific college, they are able—and are often required—to take classes outside of their home college, thereby benefiting from the diversity of academic offerings made available across the university. Similarly, Cornell’s diverse physical locations—from Manhattan to Ithaca; from the agricultural experiment station in Geneva, New York to the medical campus in Doha, Qatar—are opportunities to experience different communities across the globe.

As Cornell continues to develop the Roosevelt Island campus and plans to increase undergraduate enrollment in Ithaca, the challenge of operating as one university remains a cross-functional focus for planning, governance, and administration. Accordingly, the priority on “One Cornell” intersects with the Standards 1, 2, 6, and 7.

### III. Intended Outcomes of the Self-Study

Among the outcomes of the self-study process, we are particularly interested in three: professional development, assessment of institutional change, and demonstration that Cornell meets the Commission's Standards for Accreditation and Requirements of Affiliation.

As described above, Cornell is a complex institution. Few faculty and staff have a comprehensive understanding of Cornell's breadth of activity and how the various parts of the university are interrelated. We have learned from past experience that the self-study offers a profoundly educational experience for those who participate. We seek to seize the opportunity provided by the self-study to develop those who might become the next generation of university leaders; thus, our working groups will be led by faculty rather than administrators.

Our self-study is taking place during period distinguished by transition and change. In addition to the movements in leadership noted above, the university has increased undergraduate enrollment, recently formed a new undergraduate college (the S.C. Johnson College of Business), continues to develop the campus on Roosevelt Island, and has undertaken broad, new initiatives as an expression of "educational verve." The self-study will provide an opportunity for us to examine the impact of these changes as these new initiatives unfold.

The self-study also gives us the opportunity to make a clear-eyed examination of this unique institution in the context of Middle States' fundamental expectations.

### IV. Self-Study Approach

- Standards-Based Approach
- Priorities-Based Approach

We anticipate that the Standards-Based Approach will provide a straightforward and comprehensive means of self-assessment. Especially given recent changes in university leadership and the evolving nature of our institutional initiatives, this approach seems well-designed to inform our strategic direction.



## V. Organizational Structure of the Steering Committee and Working Groups

### Membership of the Steering Committee

Cornell's process began to take shape following deliberation in the Provost's Council. From that discussion, the following two co-chairs were appointed to lead the effort:

- Michael Fontaine, co-chair, Associate Vice Provost of Undergraduate Education and Professor of Classics in the College of Arts & Sciences, and
- Marin Clarkberg, co-chair, Associate Vice Provost of Institutional Research & Planning and Accreditation Liaison Officer

They attended the November 2018 Self-Study in Philadelphia with:

- Lisa Nishii, Vice Provost of Undergraduate Education and Associate Professor of Human Resource Studies in the School of Industrial & Labor Relations, and
- Kathy Edmondson, University Assessment Project Manager and Assistant Dean for Learning & Instruction in the College of Veterinary Medicine

Subsequently, given his deep experience with the accreditation process, a fifth member was invited to join this operational Planning Committee:

- Alan Mathios, professor in Policy Analysis & Management in the College of Human Ecology, co-chair of Cornell's 2011 Self-Study and a Commissioner for the Middle States Commission on Higher Education

The Planning Committee strategized several approaches to staffing the working groups, running ideas through the provost's office for final approval. Invitations to chair the working groups were sent out via an email from the provost. The following working group chairs were selected, simultaneously becoming members of the Steering Committee:

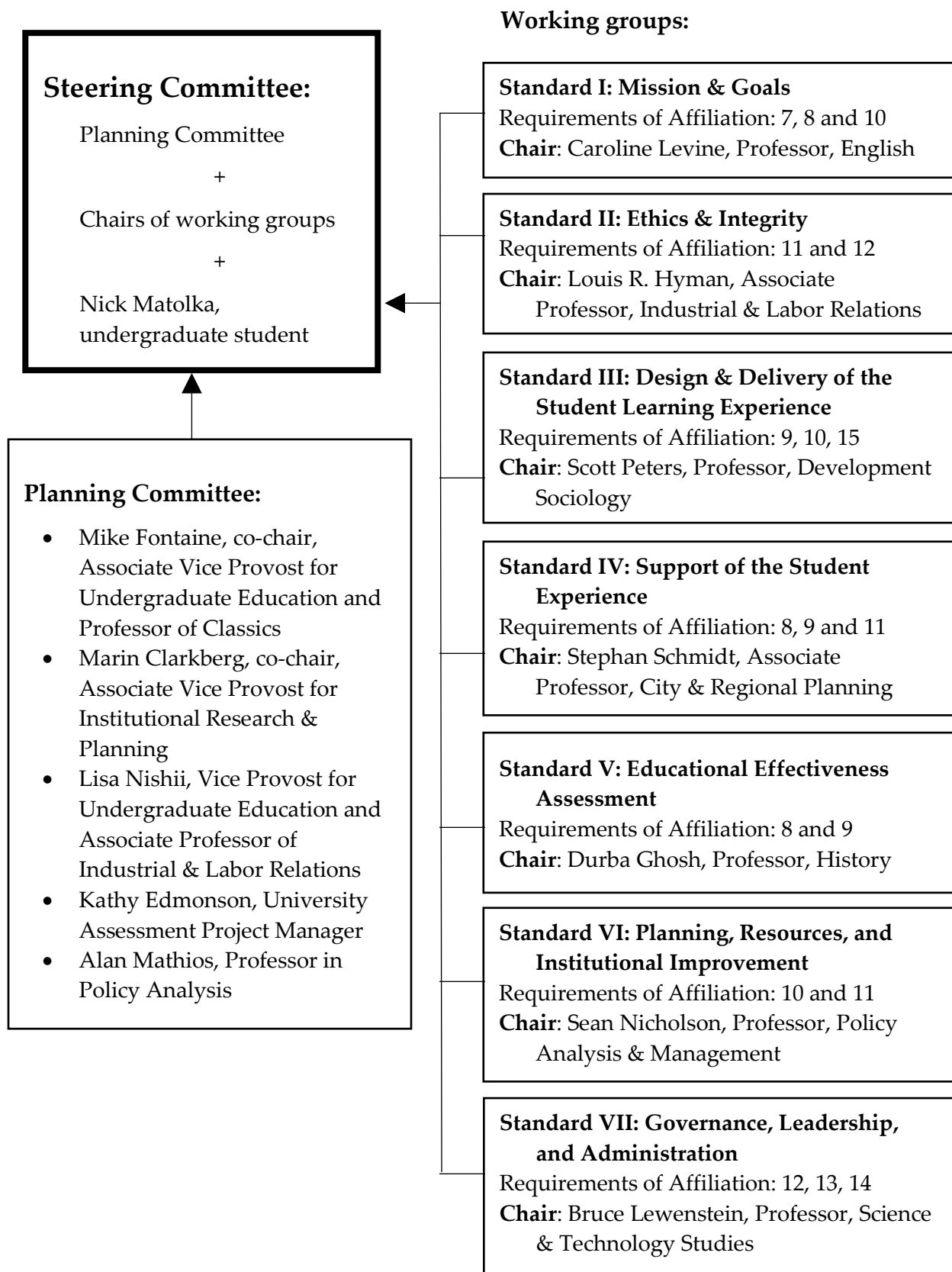
- Caroline Levine, chair of the Mission & Goals Working Group and Professor of English in the College of Arts & Sciences
- Louis R. Hyman, chair of the Ethics & Integrity Working Group and Associate Professor of Labor Relations, Law & History in the School of Industrial & Labor Relations

- Scott Peters, chair of the Design & Delivery of the Student Learning Experience Working Group and Professor of Development Sociology in the College of Agriculture & Life Sciences
- Durba Ghosh, chair of the Educational Effectiveness Assessment Working Group and Professor of History in the College of Arts & Sciences
- Stephan Schmidt, chair of the Support of the Student Experience Working Group and Associate Professor of City & Regional Planning in the College of Architecture, Art & Planning
- Sean Nicholson, chair of the Planning, Resources & Institutional Improvement Working Group and Professor of Policy Analysis & Management in the College of Human Ecology
- Bruce Lewenstein, chair of the Governance, Leadership & Administration Working Group and Professor of Science & Technology Studies in the College of Arts & Sciences

Finally, the Steering Committee membership was completed by asking the undergraduate Student Assembly for representation. The undergraduate member of the Steering Committee is:

- Nick Matolka, undergraduate in the College of Agriculture & Life Sciences

**Figure 1. Steering Committee Members**



## Charge for the Steering Committee

The Steering Committee adopted the following charge:

- Meet at least monthly beginning in January 2019 and continuing through the team visit in fall 2020
- Develop a comprehensive understanding of the entire accreditation process
- Communicate about the unfolding accreditation process to various campus constituencies, including the accreditation working groups, institutional leadership, the Board of Trustees, and the various university assemblies
- In consultation with the president and provost, craft the self-study design plan
  - Choose the self-study model
  - Determine which institutional priorities to highlight
  - Establish the overall timeline
  - Describe the desired characteristics of the evaluation chair and team members
  - Create the evidence inventory
  - Develop an outline or template for working group reports
- Invite individuals to serve on the working groups
- Coordinate, guide, and serve as a resource for the working groups, attending working group meetings as needed
- Help the working groups obtain access to information when necessary
- Read any draft working group reports—including working group reports due to the Steering Committee on October 16, 2019—and provide feedback within two weeks of receiving a report
- Commencing by November 2019, integrate the working group reports into a single, effective self-study document
- Share the draft self-study with campus constituencies beginning in February 2020

- Assume ownership and editorial responsibility for the final self-study document
- Participate actively in the visit of the evaluation team and its planning
- In collaboration with the staff of Institutional Research & Planning, complete the Federal Compliance Report for the university in the summer of 2020

#### Charge for the Working Groups

The Steering Committee provided the following charge to all working group members.

Each working group member will serve a term commencing in January 2019 and continuing until the team visit of Fall 2020.

The period of most intense information gathering, discussion, and analysis for the working groups will run throughout the 2019 calendar year, and we expect each working group to hold regular meetings—at least monthly, with periodic “check-in” between meetings—throughout much of the Spring 2019 and Fall 2019 semesters.

The chairs of the working groups are also members of the Accreditation Steering Committee; the working groups shall be in regular communication with the Steering Committee through the working group chairs.

Working group chairs will establish intermediary deadlines for the group to facilitate progress in addition to meeting the essential reporting milestones noted below.

The working groups shall:

- Examine the seven standards for accreditation
- Evaluate the specific standard and Requirements of Affiliation assigned to the working group
- Analyze documentation listed in the Evidence Inventory and assess whether additional information will be required to evaluate Cornell’s compliance with the standard
- Communicate additional information needs to the Steering Committee, suggesting approaches for acquiring that information as appropriate

- By making clear references to the accumulation of evidence, determine the extent to which Cornell demonstrates compliance with the standard
- By May 24, 2019, provide the Steering Committee with an initial draft report summarizing the group's findings regarding compliance with the standard, noting strengths, challenges, and opportunities for improvement where appropriate
- By October 21, 2019, provide a final draft of the report, responding to any feedback provided to the working group by the Steering Committee
- By March 1, 2020, review the February 2020 draft of the Self-Study Report assembled by the Steering Committee and provide any feedback to the Steering Committee
- In Fall 2020, participate in the evaluation team visit (e.g. meeting with the peer reviewers) as appropriate

## VI. Guidelines for Reporting

Each working group shall produce a report that summarizes the group's findings. Each report shall document Cornell's compliance with the standard while providing constructive criticism. Each report should be a thoughtful, fact-based assessment of the state of the university with references to evidence. The focus of the report is on the current state of the university, with a perspective informed by the time since the 2016 Periodic Review Report to the Middle States Commission.

Working Group reports shall be fewer than twenty single-spaced pages following this outline:

### I. Introduction (~1 page)

Provide a brief overview of the standard with mention of the institutional priorities and initiatives that relate to the standard.

### II. Overview of Findings (~1-2 pages)

An executive summary with key findings, this section notes significant accomplishments, challenges, exemplary and innovative practices, and opportunities for improvement or innovation. How do these relate to the institution's mission and priorities?

### III. Working Group sources and methods (~1-2 pages)

Explain how the group compiled the evidenced used to ascertain compliance. Was the Evidence Inventory sufficient? Were other methods of information collection used, such as interviews or reading confidential committee documentation? Did your working group engage with appropriate stakeholders? Did you collaborate with other working groups and, if so, how?

### IV. Detailed Analysis (~10-15 pages)

Using specific examples and documentation, describe how the institution meets this standard. Include any charts, graphs, or tables that substantiate the assessment. Explicitly list relevant documentation that is cited in the report. Consider the following questions:

- How are Cornell's priorities and initiatives reflected in our compliance with this standard?
- What assessment practices are in place to ensure Cornell continues to improve in these areas?

If appropriate, this section of the report may contain subsections.

### V. Suggestions or recommendations (optional, not required)

Describe if there are significant opportunities for improvement that Cornell should be expected to take action.

### VI. Appendix

List documents or links to evidence cited in the report.

In describing the findings of the team, working group reports should be written in first person plural, such as: "We find the university in compliance with the standard."

## VII. Organization of the Final Self-Study Report

The final self-study will follow this overall structure, incorporating working group reports:

Executive Summary

Institutional Overview and Recent Initiatives

Approach to the Self-Study Process

Standard I. Mission and Goals

Standard II. Ethics and Integrity

Standard III. Design and Delivery of the Student Learning Experience

Standard IV. Support of the Student Experience

Standard V. Educational Effectiveness Assessment

Standard VI. Planning, Resources, and Institutional Improvement

Standard VII. Governance, Leadership, and Administration

The final self-study report will be a product of the Steering Committee.

## VIII. Verification of Compliance Strategy

Working with offices across the university, staff from the office of Institutional Research & Planning will compile the materials required for the Federal Compliance Report into a single, book-marked PDF file. The Steering Committee will review the materials and confirm compliance before the documentation is submitted to the Middle States website.



## IX. Self-Study Timetable

<b>August 2018</b>	<ul style="list-style-type: none"><li>• Provost appoints Self-Study Co-Chairs Michael Fontaine, Associate Vice Provost for Undergraduate Education, and Marin Clarkberg, Associate Vice Provost for Institutional Research</li></ul>
<b>November 2018</b>	<ul style="list-style-type: none"><li>• Planning Committee members attend MSCHE Self-Study Institute in Philadelphia</li><li>• Planning Committee convenes on campus</li><li>• Co-chairs begin to draft Self-Study Design</li></ul>
<b>December 2018</b>	<ul style="list-style-type: none"><li>• Co-Chairs meet with leadership bodies (President’s Cabinet, Provost’s Council, Academic Deans’ Meeting)</li><li>• Institutional leadership select the self-study approach (“standards-based” or “priorities-based”) and timeline (Fall 2020 versus Spring 2021 visit)</li><li>• Provost seeks input from deans for working group chairs and members</li><li>• Provost appoints working group chairs</li></ul>
<b>January 2019</b>	<ul style="list-style-type: none"><li>• Steering Committee appoints working group members</li><li>• Co-chairs call MSCHE Vice President Steve Pugliese to set dates for his Self-Study Prep Visit to Ithaca</li></ul>
<b>February 2019</b>	<ul style="list-style-type: none"><li>• Working groups receive the charge to the group and the Evidence Inventory; co-chairs available to attend any working group meeting upon request</li><li>• Working groups commence evidence gathering with a regular schedule of meetings</li></ul>
<b>March 2019</b>	<ul style="list-style-type: none"><li>• March 7<sup>th</sup>, Cornell will submit Self-Study Design (two weeks before visit from MSCHE’s Steve Pugliese)</li><li>• March 21<sup>st</sup>, MSCHE’s Steve Pugliese to visit Ithaca for Self-Study Prep Visit</li></ul>
<b>May 2019</b>	<ul style="list-style-type: none"><li>• May 24<sup>th</sup>, initial draft of working group reports due</li></ul>
<b>June 2019</b>	<ul style="list-style-type: none"><li>• Steering Committee members read all working group reports and provide feedback</li></ul>
<b>October 2019</b>	<ul style="list-style-type: none"><li>• October 21<sup>st</sup>, working groups provide final reports to the Steering Committee</li></ul>

<b>November 2019- February 2020</b>	<ul style="list-style-type: none"> <li>• Steering Committee assembles comprehensive a Self-Study draft</li> </ul>
<b>March, 2020</b>	<ul style="list-style-type: none"> <li>• Working group members provide feedback on the comprehensive Self-Study draft</li> </ul>
<b>April-May 2020</b>	<ul style="list-style-type: none"> <li>• Self-Study draft shared and discussed with institutional leadership, the Board of Trustees, and the various university assemblies</li> </ul>
<b>June 2020</b>	<ul style="list-style-type: none"> <li>• Self-Study draft sent to Team Chair</li> <li>• Team Chair’s Preliminary Visit</li> </ul>
<b>July – August 2020</b>	<ul style="list-style-type: none"> <li>• Self-Study Report finalized based on Team Chair feedback</li> </ul>
<b>September 2020</b>	<ul style="list-style-type: none"> <li>• Self-Study shared broadly with campus community and the public</li> </ul>
<b>October 2020</b>	<ul style="list-style-type: none"> <li>• Evaluation Team on campus</li> <li>• Team Report provided within two weeks following the visit</li> <li>• Cornell provides official response</li> </ul>
<b>March 2021</b>	<ul style="list-style-type: none"> <li>• Commission meets and determines action</li> </ul>

## X. Communication Plan

<b>Purpose</b>	<b>Audience</b>	<b>Methods</b>	<b>Timing</b>
Share documents, evidence, drafts of reports	Steering Committee and working group members	“Cornell 2021 Reaccreditation” course on Canvas, Cornell’s LMS	January 2019-Fall 2020
Keep campus constituencies informed about Self Study Process	Cornell employees	Email to all deans, directors and department heads	March 2019 (request to facilitate accreditation work and an invitation to open forum with Pugliese)
	Public	<a href="http://accreditation.cornell.edu">accreditation.cornell.edu</a> and <a href="mailto:accreditation@cornell.edu">accreditation@cornell.edu</a> email address	February 2019-Spring 2021
	Cornell constituencies	Articles in the Cornell Chronicle	<a href="#">February 2019</a> (process launching), June 2019 (design approved), June 2020 (seeking feedback on drafts), September 2020 (anticipation of visit)
Explain accreditation process as it unfolds at Cornell	Students	Presentation to the Student Assembly	March 2019, Spring 2020
	Faculty	Presentation to the Faculty Senate	February 2019, Spring 2020
	Staff	Presentation to the Employee Assembly	February 2019, Spring 2020
	Trustees	Regular updates to the Trustee Task Force on Accreditation	March 2019, May 2019, November 2019, May 2020
To gather feedback on draft reports	Public	Comment feature and blind email to <a href="mailto:accreditation@cornell.edu">accreditation@cornell.edu</a>	May 2020
	Campus constituencies	Invitation to provide feedback following presentations described above	Spring 2020

## XI. Evaluation Team Profile

We expect that the Chair of the Evaluation Team would be the President/Chancellor or President/Chancellor Emeritus of an AAU member institution or another highly selective research university comprised of several colleges.

We request that one member of our Evaluation Team be an Executive Vice President for Finance or other chief financial officer from a large institution that receives public financing and has a substantial endowment. It would be especially helpful if one or more team members had experience working with a Responsibility Center Management (RCM) type of budget model.

We further request that our Evaluation Team includes an academic officer from a medical college and a seasoned faculty member or administrator from an agricultural, land grant university.

Given our significant investment in Cornell Tech in New York City, we request that a member of our team has experience with flourishing professional master's programs, particularly those relating to engineering or entrepreneurship.

## XII. Evidence Inventory

The Steering Committee and the working groups are using Canvas, Cornell's new Learning Management System (LMS) to catalog, share, and distribute documentation (see Figure 2). All members of the committees have access to our Canvas site, and we anticipate that members of the visiting team in Fall 2020 will also be given access to the document repository there.

Figure 2. Use of Canvas for Cornell 2021 Reaccreditation

Perpetual Term

Cornell 2021 Reaccreditation > Modules

View Progress + Module

Home

Modules

Announcements

Grades

Quizzes

Collaborations

Files

Conferences

Outcomes

Pages

Syllabus

Assignments

Discussions

People

Settings

Account

Dashboard

Courses

Calendar

Inbox

Help

Steering Committee

- Committee Membership (all committees)
- Minutes
- Steering Committee agenda, notes Feb. 12, 2019

Documents and resources for ALL GROUPS

- Committee Membership (all committees)
- Middle States Standards
- Accreditation processes
  - 2009 Self Study Design
  - 2011 Self Study
- 2011 Schedule for the site visit
- Evaluation/visiting team report (example)