Higher Aspirations, Greater Expectations: The 2020 Strategic Plan for Utica College

Mid-Point Update
Ratified by the Board of Trustees
October 30, 2015
Preface

In 2010, Utica College’s Strategic Planning Committee led the College community through an extensive process of revising the College’s 10-year plan. The process culminated with the Board of Trustees adopting Higher Aspirations, Greater Expectations: The 2020 Strategic Plan for Utica College on May 6, 2011.

Once the College completed the Middle States Periodic Review in 2013, it was time to review the College’s strategic plan at its approximate mid-point. Serving as a mid-term Strategic Planning Committee, members of the President’s and Provost’s Cabinets undertook this task at their summer 2014 retreat.

The Cabinets first reviewed the Appendices that were developed in 2010. They then considered the pedagogical, social, economic, and political trends that have emerged since 2010, and analyzed their influences on higher education. These trends include the following:

- Public scrutiny of affordability has intensified.
- Federal regulatory and compliance burdens have increased dramatically.
- Federal requirements for state authorization for online programs have eased, but individual states’ requirements have been burdensome.
- Due to significant delays in program approvals, the New York State Education Department has been an impediment to revenue diversification.
- New models for learning that create competition for the students we serve and opportunities to expand our curricular offerings and pedagogical methods.
- Federal earmarks and state member items are no longer available, eliminating a formerly robust source of funding.
- The economy, while not fully recovered, has strengthened since 2008.
- The shift in demographics produced smaller freshman classes for Utica College and many institutions in New York; however the number of graduating high school seniors has begun to increase.
- There will be a presidential transition during the second half of this plan.
The Cabinets then reviewed the challenges that had been identified in 2011 (see Appendix 3), and concluded that the challenges largely remain, as do the imperatives for addressing them:

- delivering consistency and quality in the College's programs and student services across locations and delivery systems
- attracting a larger portion of students who can excel at Utica College while remaining true to the College's commitment to serve disadvantaged students
- enabling student success and persistence to graduation regardless of the format of the College's degree programs
- documenting educational outcomes and using the results to improve the College's diverse and changing programs
- ensuring appropriate faculty oversight of the curriculum
- ensuring sufficient cash flow in the face of the need for reinvestments in programs and investment in new programs
- providing timely, accurate well formatted financial information and analyses
- staffing the enterprise with a sufficient number of personnel who have the skills and attitudes necessary to deliver quality programs and meet the needs of a diverse student body
- developing internal communications appropriate for a multifaceted, complex institution
- providing the appropriate information systems to support teaching and learning in rapidly changing internal and external environments

This work informed the development of new strategic objectives, which led to the setting of measurable targets. In the meantime, the over-arching goals previously labeled “priorities,” remained the same, although the wording of the fourth goal changed:

- Strengthening academic identity
- Ensuring a transformative student experience
- Ensuring institutional strength
- Fostering continuous improvement

Finally, based on feedback from the Board of Trustees, the Cabinets also undertook the challenge of rewriting the vision statement so as to capture the College's spirit of entrepreneurialism. The revised vision statement reads as follows:

*Utica College will be the nation's most innovative small university, inspiring students to create a future beyond their imagining.*
In the year 1995 Utica College was on the threshold of a new era in its history. Over the course of the next decade this new era began to take on distinctive form and substance. Under the guidance of its first strategic plan and a highly committed Board of Trustees, the institution was transformed from a research university’s neglected branch campus into a comprehensive college in its own right. The first graduate program carrying a Utica College degree, one which was at the vanguard of online learning, was introduced in 1999. It was followed by 17 additional masters and two professional doctorates. A facilities master plan and an integrated marketing plan were added to help chart the course. Attention to quality of life, campus spirit, and balancing the gender mix of the student body brought about the addition of fourteen new intercollegiate sports, which themselves have played a role in boosting the reputation of the College and increasing its enrollment. The total student body, undergraduate and graduate has more than doubled. To help fuel the transformation, the institution undertook by far its most ambitious comprehensive campaign, and surpassed its $24 million goal by more than $9 million.
As the College looks with hope and anticipation upon the next decade with the 2020 strategic plan as its guide, it must confront significant challenges facing American higher education. Tuition and fees have been rising at a pace beyond students’ ability to pay and this is attracting the attention of state and federal regulators. Students are defaulting on their loans at record levels, threatening the availability of future loans. As demographics in the Northeast continue to shift, the traditional-age student population will drop precipitously. Lawmakers and “consumers” of higher education are questioning the value proposition of higher education and are demanding unprecedented levels of accountability from colleges and universities. Added to this we hear from within our own ranks that the American higher education financial model is under extreme stress and on the verge of breaking. Utica College’s own president has been one of those voices heard at a national level.

Given this extraordinarily disruptive environment and the College’s tuition dependence, our current model of operating is simply not sustainable. Utica College will be compelled to change its business model and ways of operating and utilize more efficient shared governance if it is to realize its aspirations and continue to be an educational, economic, and social keystone of the Mohawk Valley. In short, the transformation begun in 1995 must open a new chapter of innovation and creativity in programs, services, operations, and governance.

This strategic plan provides a broad blueprint for Utica College’s future. Within the structure of this plan, we must identify specific pathways and put into place the structures and processes we will need if we are not just to survive, but are to thrive as an institution—if we are to continue to excel at affording our students the opportunity to transform their lives.

We ask for the support of our faculty, staff, alumni, and benefactors as we undertake this important work to ensure a prosperous future.

With hope and great anticipation for the future,

Lawrence T. Gilroy
Chair, Board of Trustees
2012-2015

Todd S. Hutton
President
1998-2016

The transformation begun in 1995 must open a new chapter of innovation and creativity in programs, services, operations, and governance.
Contents

The Foundation of the 2020 Plan ................................................. 8
Utica College’s Mission, Values, and Vision .................................. 8

The 2020 Plan’s Design ......................................................... 11
Strategic Goals ........................................................................ 11
Strategic Objectives .............................................................. 11
Strategic Targets ..................................................................... 12
College-wide Responsibility for the 2020 Plan ............................... 12

The Strategic Goals, Objectives, and Targets ............................ 13
Strategic Goal 1: Academic Identity. ........................................ 14
Strategic Goal 2: The Student Experience. ............................... 16
Strategic Goal 3: Institutional Strength. .................................... 18
Strategic Goal 4: Continuous Improvement. ............................. 20
Strategic Targets ..................................................................... 22

Appendix 1: The Higher Education Context .............................. 25
Social Influences ..................................................................... 26
The Economy ......................................................................... 31
Political Influences ............................................................... 34
Local Environment .............................................................. 36

Appendix 2: The Utica College Context .................................... 39
Governance, Leadership, and Planning ..................................... 40
Academic Programs .............................................................. 44
Educational Programs, Enrollments, Student Characteristics, and
Competition by Student Market .............................................. 50
Campus Facilities ............................................................... 65
Finances ............................................................................... 68

Appendix 3: Institutional Strengths and Challenges .................... 75
Strengths ............................................................................... 76
Challenges ............................................................................. 80
The Foundation of the 2020 Plan

Since its founding in 1946, Utica College’s hallmark has been talented and dedicated faculty and staff who work tirelessly to provide robust opportunities for students to achieve personal and professional success. Our mission, which combines the best traditions of a liberal education with career-focused professional studies, has remained remarkably constant, as has our commitment to such values as individual attention, lifelong learning, diversity of perspective, and dedication to the well-being of others. Our mission and values guide our planning, our decisions, and our actions.

Utica College’s Mission, Values, and Vision

Mission
Utica College educates students for rewarding careers, responsible citizenship, enlightened leadership, and fulfilling lives by integrating liberal and professional study, by creating a community of learners with diverse experiences and perspectives, by balancing a commitment to its local heritage with a global outreach, by encouraging lifelong learning, and by promoting scholarship in the belief that the discovery and application of knowledge enrich teaching, learning, and society.

Values
Utica College’s mission rests upon a foundation of values that guide the College community’s decisions and actions. These values include the following:

- individual attention for our students
- lifelong learning
- pragmatic approaches to teaching and learning
- continual improvement in our educational and operational quality
- diversity of perspective, background, and experience in an increasingly global society
- community and professional service
- ethical behavior and integrity in all that we do
- freedom of expression and the open sharing of ideas and creativity
- open, honest, and collegial communication
- the well being of others

Vision
Utica College will be the nation’s most innovative small university, inspiring students to create a future beyond their imagining.
At the same time, the College has demonstrated a remarkable ability to reinvent itself continuously. The pioneering spirit that has defined Utica College from the beginning has inspired faculty, staff, students, and administrators alike to create a bigger and better future for the fledgling institution. That impatience with the status quo is reflected in the College’s vision statement.

As the College embarks on this strategic plan, it has achieved full independence and is, in essence, a small university – a thriving, self-directed, teaching-centered institution with a diverse student body, innovative graduate, undergraduate, and online programs taught by professors who are both dedicated teachers and internationally recognized scholars, and a growing reputation within the academic community.

It is now our task to meet the demands of a rapidly changing external environment. Entry-level professional employment requires increasingly sophisticated skills, knowledge, and levels of preparation, while a dynamic marketplace demands that adults continuously acquire new skills, knowledge, and levels of preparation. Competition has increased on two fronts: the number of American students graduating from high school has dramatically decreased in New York and the Northeast, and American higher education faces increasing competition from foreign institutions. Emerging economic and political realities require more flexible structures and processes. Moreover, public and legislative demands for accountability give rise to the need to tie programming to results in ways that are both meaningful and measurable for students, parents, employers, and elected representatives.

Given the challenges arising from the world’s economic crisis and related changes in public perception regarding the value of higher education, and also considering the College’s recent emergence as a fully independent institution, the College must, through strategic growth and investments in resources, strengthen its financial underpinnings and its reputation for providing meaningful educational programming.

The task of achieving our vision is not an easy one. We must remain true to our mission and values even while we improve and innovate. We must respond to the changing demands on higher education, the changing demands of students and their future employers, and changes in demographics. We must ensure that every program – academic and
cocurricular, undergraduate and graduate, online and on-ground – is both excellent and distinctive. We must provide the financial, human, and physical resources to allow us to graduate students who are prepared to succeed personally and professionally. We must also expand beyond our physical campus, even as institutional control remains centered in Utica, New York.

Even more so, we must honor our commitment to our alumni, our current students, and future generations by ensuring that the institution – and the mission, values, and pioneering spirit upon which it was built – endure.
Strategic Goals

This plan establishes four strategic goals that will serve to focus our institutional efforts to fulfill our mission, uphold our values, and strive for our agreed-upon vision. In identifying these goals, the Strategic Planning Committee considered a number of factors, including the realities of the higher education climate (see Appendix 1), the College’s internal realities (see Appendix 2), and the College’s identified strengths and challenges (see Appendix 3).

Each of the goals is:
- institutional in scope
- long-range in perspective
- central to becoming the Utica College we envision

Strategic Objectives

For each goal, the College has identified objectives that are:
- institutional in scope
- foundational to the goal
- broadly directive as to the annual goals that will be developed by individual divisions, schools, departments, and offices to address the strategic plan

Utica College’s Strategic Goals

Academic Identity
Our programs will be of high quality, will be academically rigorous, and will challenge students to achieve their full potential.

The Student Experience
We will offer students a transformative experience that ensures they acquire the skills, experience, and knowledge to lead fully enriched lives.

Institutional Strength
We will ensure the long-term health and well-being of the institution.

Continuous Improvement
We will encourage a culture of continuous improvement, embracing practices and pursuing innovations that further our mission, values, and vision.
Because the strategic goals and outcomes are broad and interdependent in nature, measures of progress are likely to be both qualitative and quantitative in nature.

Strategic Targets
Reflecting the College’s strategic goals and objectives, the strategic targets provide specific and measurable outcomes for the period ending in 2020. The strategic targets are:

- institutional in scope
- foundational to meeting the plan’s strategic goals and objectives
- specifically directive as to the annual goals that will be developed by individual divisions, schools, departments, and offices to address the strategic plan

Because they are institutional in scope, strategic targets typically cut across two or more strategic goals and may, therefore, appear in multiple contexts.

Measures of progress relating to the strategic targets will largely be quantitative in nature.

College-wide Responsibility for the 2020 Plan
The College’s ability to fulfill its mission, uphold its values, and achieve its vision ultimately rests with its divisions, schools, departments, and offices. In many cases, this work will require collaborative efforts between and among various units, and plans may require multi-year implementation. The College must carefully allocate its human, fiscal, and physical resources to those efforts that represent our best opportunity to achieve our goals.

Each unit (division, school, department, office) will use both quantitative and qualitative measures to assess its progress in achieving its annual and multi-year goals. In turn, the institution’s leadership, using these measures, will assess and report to the College’s community the College’s overall success in achieving the strategic goals, objectives, and targets of this plan.
The Strategic Goals, Objectives, and Targets
Strategic Goal 1: Academic Identity

Our programs will be of high quality, will be academically rigorous, and will challenge students to achieve their full potential.
Objectives
As we develop strategic targets and annual plans in support of this goal, we will achieve the following:

1.1 A dedicated and effective faculty that delivers rigorous and high-quality academic programs

1.2 Programs or suites of interrelated programs that are contemporary, interdisciplinary, and inter-professional

1.3 A proactive and systematic approach to identifying and promoting programs of rising demand and relevance as well as programs in need of renovation or renewal in relationship to student demand and academic profile

1.4 A core curriculum that students value and self-report as having a demonstrable effect on their career and/or post-graduate pursuits

1.5 Co-curricular programming that is aligned with the curriculum of majors and the College’s General Education goals

1.6 Coordinated and sequenced advising that provides students with multiple opportunities to explore their personal and professional goals

1.7 Curricular planning that ensures that new and existing programs have a distinct public identity, meet market demand, and enhance the College’s reputation among its internal and external constituencies

1.8 Incremental improvements in the academic profile of incoming students to ensure that all students have the fullest potential for success at Utica College

1.9 A process for the assessment of student learning at the course, program, and institutional level that is faculty-driven, realistic, useful, and adequately supported
Strategic Goal 2: The Student Experience

We will offer students a transformative experience that ensures they acquire the skills, attitudes, and knowledge to lead fully enriched lives.
Objectives

As we develop strategic targets and annual plans in support of this goal, we will achieve the following:

2.1 Curricular and cocurricular experiences that broadly engage students, enhance their learning, and help them identify their goals and establish pathways to achieving those goals

2.2 Opportunities for innovative and creative team learning, experiential learning, internships, and other active-learning activities for all students

2.3 Improved student support programs and services that meet the needs of diverse student populations in on-ground, online, blended, and hybrid programs

2.4 First-year student retention rates and six-year graduation rates that surpass retention and graduate rates at schools with similar student body profiles

2.5 Recognition among the College’s alumni of the value of a Utica College education

2.6 Demonstrable achievement of relevant cocurricular student outcomes, including institution-level General Education goals
Strategic Goal 3: Institutional Strength

We will ensure the long-term health and well-being of the institution.
Objectives

As we develop strategic targets and annual plans in support of this goal, we will achieve the following:

3.1 An increased and diversified net revenue base
3.2 Strategic enrollment management plans that strengthen both recruitment and retention efforts
3.3 Increased alumni support
3.4 An endowment the size of which approaches that of similar institutions
3.5 Strategic partnerships and relationships that strengthen the institution
3.6 An improved learning, living, and working environment and more efficient and effective facilities utilization
3.7 Affordability for successive generations of students
Strategic Goal 4: Continuous Improvement

We will encourage a culture of continuous improvement, embracing practices and pursuing innovations that advance our mission, values, and vision.
Objectives

As we develop strategic targets and annual plans in support of this goal, we will achieve the following:

4.1 A comprehensive culture of assessment, where effective and sustainable processes generate useful data

4.2 Informed planning and decision-making supported by the collection and analysis of reliable data

4.3 Regular examination of our systems and processes and restructuring of those that hinder our ability to achieve the strategic aims of the College

4.4 Reduced costs, increased efficiencies, and improved operational results

4.5 Collaborative approaches to problem solving

4.6 A strengthened culture of accountability at all levels

4.7 Implementation of human resources best practices, including ongoing professional development opportunities for faculty and staff in an environment of innovation, creativity, and change

4.8 Active exploration and implementation of innovations in academic and cocurricular programs, administrative operations, and student services
**Strategic Targets**

By 2020, we will achieve the following targets, which are all related to the strategic goals and objectives. Note that many targets address more than one goal or objective.

1. Excellence in teaching effectiveness (Goals 1, 2, 3)
2. A strengthened review process for both academic and administrative programs (Goal 1 and 4)
3. 80 percent of academic programs operating at or above minimum thresholds for effectiveness as determined by an academic program management process designed to ensure operational efficiency (Goal 1)
4. Using the guidance and structure of the new Core curriculum, 75 percent of on-ground undergraduate students having:
   - Engaged in high-impact learning practices (student research, internships, mentorships, etc.) that will encourage self-motivation, self-advocacy, and leadership;
   - Produced an artifact that demonstrates that they have identified their own learning goals and established pathways to achieving those goals;
   - Demonstrated a capacity (as measured by intentional assessment tools) for civic engagement, social responsibility, cultural awareness, and effective interpersonal relationships (Goals 1, 2, and 4)
5. Above average scores on all questions in standardized measures of student engagement and satisfaction compared to all private, four-year institutions (Goals 1 and 2)
6. Continuous improvements in measures of program-level and institution-level public identity and reputational strength (Goals 1, 3, and 4)
7. An improved living, learning, teaching, and working environment as expressed in this strategic plan and in the capital campaign plan (Goals 1, 2, and 4)
8. A sustained retention rate of 75 percent for on-ground freshmen (Goals 1, 2, and 3)
9. A sustained on-ground freshman-to-junior retention rate of 65 percent (Goals 1, 2, and 3)

10. An increase in retention according to goals established for online programs identified as having poor retention rates (Goals 1, 2, and 3)

11. A 60 percent six-year graduation rate for undergraduate on-ground students (Goals 1, 2, and 3)

12. First-time placement rates for graduate and undergraduate students that match or exceed the rates of similar institutions regardless of instructional modality (Goals 1, 2, and 3)

13. A headcount of 7,000 by the Fall 2020 census date with a projected net student-based revenue of $78,000,000 (Goals 1, 2, and 3)

14. 200 total exchange and matriculated on-ground undergraduate international students (Goals 1, 2, and 3)

15. A DOE Financial Viability Ratio in the range of 2.5 – 3.0 (Goals 3 and 4)

16. The launch of a major comprehensive campaign with a goal of $50 – 75 million, which will include $10 million in outright gifts to the endowment, and raising $18 million for renovation and expansion of the Gordon Science Center (Goals 1, 2, 3, and 4)

17. A 25 percent increase in the number of donors, and alumni giving rates that stay within national averages (Goal 3)
The Appendices that follow were developed in 2010 as part of the process that informed this plan. The 2014 review process took these findings into consideration, and then fully considered the pedagogical social, economic, and political trends that have emerged since 2010, their influences on higher education, and the strategic directions they suggest. These trends are summarized in the Preface to this Plan.
Appendix 1: The Higher Education Context
When considering the College's current situation and its plans for the future, it is important to understand the environmental influences that are shaping students' lives and choices and will shape the educational, political, and economic trends that impact all institutions of higher learning. This section will examine social influences, including demographic trends, the current state of online learning, and the globalization of higher education; the economy; political influences; and the local environment.

Social Influences

The projected 12 percent decrease in the number of high school graduates in the Northeast between 2009 and 2020 will dramatically affect enrollments in Utica College's longstanding undergraduate programs, which primarily serve traditional college-aged students. In New York state alone, the number of graduates of public and private high schools will fall more than 16 percent, from 188,432 to 158,555. Over the same period, students of color will come to represent a greater proportion of their graduating high school classes (Exhibit 1).

The percentage of students graduating from New York high schools who entered four-year colleges remained relatively constant over the reporting years 2007-2009 at around 51 percent (52.9, 51.5, 50.4) suggesting that increased college attendance rates will not mitigate the effect of the overall decrease in the number of high school graduates. Likewise, the percentage of college students who graduated from high schools in Oneida and Herkimer counties, where, on average over the past three years 42 percent of the College's traditional undergraduate students permanently reside, remained relatively constant. However, in 2008-2009 only 30.3 percent of Herkimer County and 37.3 percent of Oneida County graduates entered four-year colleges, while 49.2 and 45.7 percent respectively entered two-year colleges (Source: Trends in New York State High School Graduates Entering Institutions of Higher Education Within and Outside New York State, 1990 to 2009, New York State Education Department).

Utica College's history positions it well to serve the increasingly diverse population graduating from high school; however, the growing percent of public school students qualifying for free or reduced lunches suggest that a greater portion of the students seeking the opportunity that Utica College provides will need substantial financial aid support.
Exhibit 1: Demographic Changes in High School Class Sizes and Ethnic Composition in the Northeast (NE) and New York (NY)

(Source: Knocking at the College Door, Western Interstate Commission for Higher Education, 2008)
According to a 2008 national survey (Staying the Course: Online Education in the United States) conducted by the Babson Survey Research Group and the Sloan Consortium, online delivery of education is exploding when measured by number and percentage of students taking online courses (80 percent or more of academic content delivered online and, typically, no face-to-face meetings); number of institutions offering courses online; and percentage of academic programs available online (all courses needed to complete an academic program available online).

More than 20 percent of all American higher education students took at least one online course in the fall of 2007. The number of students taking at least one online course grew 12.9 percent over the previous year; that growth rate far exceeds the 1.2 percent growth in the overall higher education population.

The 2008 survey indicated that 20 percent of the institutions offering online courses introduced such courses in the 2006-2007 year; only 15 percent offered online courses before 1999. In 2008 nearly 70 percent of all institutions (independent, public, and for-profit) saw online education as central to their strategic direction, primarily as a way to extend their geographic reach. A 2009 follow up survey (Learning on Demand: Online Education in the United States, 2009) by the Babson Survey Research Group and the Sloan Consortium indicated 63 percent still saw online learning as a critical part of their institution’s long-term strategy.

In 2007, the penetration rate of offerings of academic programs varied between 16 and 33 percent, depending on the type of academic program. Penetration rate is defined as the number of schools offering a particular program online divided by the number of schools offering the same program (Exhibit 2).

In 2008, for the first time, the National Survey of Student Engagement explored the demographics and experiences of first-year and senior students who took 75 percent or more of their courses online and compared them with first-year and senior students taking 100 percent classroom-based courses. The online student respondents were more likely to be “older, transfer, and first generation, to very often participate in course activities that challenged them intellectually, to very often participate in discussions that enhanced their understanding of different cultures, and to very often discuss topics of importance to their major.” While these findings may be due to the age of the students, the
Exhibit 2: Current National Online Market Penetration Rates by Academic Program Types

(Source: Staying the Course: Online Education in the United States, 2008, Babson Survey Research Group and the Sloan Consortium)
nature of the online delivery methodology, or the approaches adopted by faculty teaching online, it is clear that a significant number of students are positively engaged in their online educational experiences (Source: Promoting Engagement for All Students: The Imperative to Look Within/2008 Results, National Survey of Student Engagement).

The 2010 version of the Babson Survey Research Group and the Sloan Consortium survey (Class Differences: Online Education in the United States, 2010) indicates that the growth trend in online education continues. Fully 39 percent of students now take at least one course online. However, there are some changes in the character of the growth: there is increased competition for online students, the weaker economy has lead to increased enrollments, and much of the growth currently comes from growth in existing offerings rather than from institutions new to online environment. Pending changes in federal regulation of online for-profit institutions’ marketing practices, employment outcomes, and financial aid management will, in all likelihood, change the current dynamics of the competition between and among the various types of institutions offering online programs.

Clearly, developments in technology and pedagogy are fashioning and will continue to fashion how, when, and where a great many students, particularly adult students, will choose to study.

Since international students place great value on American degrees, there is enormous potential for American colleges and universities to tap this growing student market either by bringing foreign students to this country or taking American programs to foreign countries. Some schools are already tapping this market by partnering with corporations to bring foreign students to the U.S. to study, by partnering with foreign universities that allow students to earn dual or joint degrees, by instituting distance education programs abroad, or by establishing satellite campuses in foreign countries. New York’s Commission on Independent Colleges and Universities (CICU) is actively encouraging member institutions to look at the international student market as the traditional college-aged population decreases in the Northeast. Independent institutions as varied as Keuka College (locations in China), Alfred University (locations in Turkey, China), Rochester Institute of Technology (locations in Kosovo, Dominican Republic, Dubai, United Arab Emirates), and New York University (multiple locations including a branch campus in United Arab Emirates) are already reaching into the international market.
The Economy

The turbulent economic environment that emerged in 2008 has created financial uncertainty for most college students and institutions of higher education. For students, the central issue has become affordability. As home values, invested savings, private and government loans, and lines of credit have contracted and job opportunities have decreased, the financing of a college education from family resources has become more difficult. As increasing numbers of families and students turn to government sources for aid, these sources, in turn, are contracting either absolutely or relative to demand. Institutions working with diminished endowments and increasing costs have fewer resources with which to meet substantial increases in student requests for financial aid. For colleges and universities, major challenges in accessing debt and credit markets, maintaining liquidity, managing insurance costs, negotiating fluctuating markets, and adjusting for decreases in donor support are demanding changes in operations, strategic goals, and timetables.

In this environment, there are longer-term trends that are worth noting: changes in public support for higher education, emergence of the for-profit sector of higher education that is capturing a larger portion of the adult market, and patterns of activity in the world economy.

Overall public support for independent higher education has not kept pace with public support for public higher education or with tuition increases since the College’s 1999 adoption of the 2010 Plan for Utica College. Comparisons of student grant data and direct institutional aid data from 1997-98 and 2008-09 dramatically show this trend (Exhibit 3).

Over the same period, the weighted average tuition at NY independent colleges grew 86 percent, while dollar value in grant aid to students at independent institutions from federal Pell grants and state TAP grants grew a combined rate of only 30 percent. As a result, a portion of the responsibility for funding education shifted from the public sector to students, families, and independent institutions. At four-year SUNY public and at four-year CUNY public institutions, the tuition grew by 57 and 31 percent respectively. However, public support from the TAP and Pell programs increased at nearly the same rate: 48 percent for the public sector. The family and public sector institutions did not experience a corresponding demand on their financial resources.
Exhibit 3: Percent Change in Public Support by Sector 1997-98 to 2008-09

NY Aid to NY Institutions
Federal Pell Grant Aid to Students
NY TAP Grant Aid to Students
Enrolled in NY Institutions

NY Independent Tuition Increase 57%
SUNY Tuition Increase 57%
CUNY Tuition Increase 31%

Public
Independent

(Source www.grapevine.ilstu.edu, New York State Education Department Office of Research, and Information and CICU).
Since more than 95 percent of Utica College’s full-time students need financial aid, any change in financial aid policy directly affects the finances of the College and its students. Any alteration in allocations between the public and private sectors clearly changes the competitive recruitment market.

The for-profit sector is a far greater economic force in higher education today than it was in fiscal year (FY) 2001. Between the FY 2001 and FY 2009, the University of Phoenix grew by more 400 percent and, at more than 662,509 unduplicated students enrolled in the 12-month period, is the largest for-profit higher education institution in the United States. In addition, it grew from 40 local centers in FY 2001 to 75 local centers in FY 2009. Other for-profit entities, such as Cappella University and Argosy University, are growing at rates far greater than those of traditional independent and public institutions. For-profit institutions primary serve adult and part-time students. (National Center for Education Statistics IPEDS Database). At this time, these institutions are reaching into the New York market only through their online programs, as they currently have no ground presence in this state primarily due to New York State Education Department and Board of Regents policy decisions.

Increasingly, the American economy is tied to the world through such mechanisms as outsourcing, international finance, international trade, and multinational corporations. This type of international economic activity will demand that Americans become more aware of international monetary and trade policy as well as cultural differences that play out in the economic activity of different countries, the challenges of shaping business to compete in widely differing markets, and the challenges of communicating across language barriers. Higher education will be under continuous pressure to educate American students to compete in this economic landscape, and has an opportunity to make the American culture more accessible to students around the world. By the same token, countries in other parts of the world are aggressively seeking the investment of American intellectual capital in the form of satellite programs, branch campuses, and new full-fledged U.S.-sponsored institutions.
Political Influences

State of New York

All New York state institutions of higher education – public, independent, and for-profit – are part of the University of the State of New York and are regulated by the Board of Regents. This arrangement results in a more highly-regulated environment for New York's independent institutions than is common in other states, and creates a situation in which the state government both regulates and competes against the private sector.

However, this arrangement also creates a stronger relationship between the well-being of independent higher education and the state's success in meeting its own goals for higher education in general. Over the past 10 years, Utica College has benefited from this relationship in the form of direct grants from New York's 2004 capital matching grant program for independent college campuses, its long-standing student opportunity programs, and legislative funding for capital improvements in critical needs areas.

Accountability and Institutional Accreditation

Colleges and universities are under increasing public pressure to provide evidence that they are achieving the goals and objectives that they set for themselves and for their students. This pressure is exerted through the mechanisms of accreditation and program registration. Unless institutions meet these accreditation and program registration requirements, they are not eligible to receive public funds, including student aid funds.

Middle States Commission on Higher Education, Utica College's regional accrediting agency, requires that the College have “a plan for assessment of outcomes … (that) includes a multi-dimensional evaluation of scholastic achievement using qualitative and quantitative measures.” The New York State Regents, which approves the registration of Utica College's academic programs, list “maximizing success for all higher education students” as a No. 1 priority. This priority involves creating high educational quality for all higher education students (Source: Components of the Bulleting of the Statewide Plan for Higher Education, New York, 2003).

Utica College's internal procedures will have to ensure that its academic and cocurricular programs are systematically and creatively assessed.

Regulatory Environment

The federal Higher Education Opportunity Act of 2008 has imposed extensive new reporting requirements on colleges and universities. These requirements call for such public reporting as the percentage of tuition increases, the development of online tuition calculators allowing students to get a pre-application estimate of the type of financial aid they could
expect if admitted, and more detailed reporting with respect to graduation rates and financial aid awarding. As is the case with regulation of accreditation and program registration, the Act allows for the revocation of an institution’s eligibility to receive public funds if it fails to comply with regulations. The Act adds to this enforcement mechanism a requirement that the federal government publish the names of institutions with a history of the highest and lowest rates of tuition increase.

While not enacted, there is political discussion at both the state and federal level of direct regulation of tuition increases. There is also continuing discussion of changing regulatory language to include more restrictive criteria relating to a student’s right to continue to receive public financial aid and a broader governmental role in assessment which, by extension, may increase governmental oversight of curriculum content and employment and graduate school placement rates of graduating students.

Program Accreditation and Professional Licensure/Certification – Students entering professional fields must meet licensure standards set by the various states. Most of these professions require a student to graduate from an accredited program as well as from an accredited college. Utica College offers three programs that are subject to program accreditation: Nursing, Occupational Therapy, and Physical Therapy.

Some professions require that a student meet specific course requirements in order to sit for qualifying exams or achieve entry-level licensure or certification. Utica College’s programs in Accounting and Education are in this category.

There is constant change in the world of program accreditation and professional licensure/certification as professional associations refine the requirements for professional practice and state agencies change the requirements for licensure/certification. Utica College’s internal program development and assessment, as well as its allocation of resources, will be directly and continuously affected by these changes.

As organizations representing professionals outside the legally regulated professions strive to set standards to prepare students entering their field of endeavor, they are developing academic program guidelines and, in some cases, formal accreditation processes. The College’s Psychology-Child Life and Chemistry programs currently meet the guidelines of a professional association; the Gerontology and Management programs are currently working toward accreditation by professional associations.
The College has had success in the past decade in attracting state and federal funding through competitive and non-competitive grants. The current political environment makes it more difficult to obtain non-competitive grants; however, the College continues to work with its elected representatives and government officials to seek these funds.

Local Environment

Since Utica College’s founding in 1946, the College has been an integral part of the local community. In its early years, the majority of the College’s students were from Utica and surrounding towns, and now more than 7,900 of its 20,000 alumni live in the local vicinity, which is unusual for an independent college. Even as the College has become more residential and its students have come from a wider geographic area, it continues to actively engage with the surrounding community and enjoys the support of the general public and local businesses and governments.

Utica College faculty and staff pride themselves on their service to the local community. Employees serve in leadership positions on local school boards, community organizations, and not-for-profit agencies. The College makes its facilities available to numerous community groups. For example, The Players of Utica, a local theatre company, produces plays in Strebel Auditorium, and the American Heart Association uses the campus for its annual America’s Greatest Heart Run and Walk, an event that attracts 10,000 members of the community to the campus each year. The College also hosts events that feature local residents, including an annual regional science fair and art gallery shows featuring the work of students in the Utica Public Schools and local artists and photographers.

The Young Scholars Liberty Partnerships Program, a collaborative initiative with the Utica City School District, assists disadvantaged students from grades 7-12 in their efforts to obtain a Regents’ diploma and pursue higher education. This program has been highly successful both in its primary mission and in helping engage Utica College students in the local community as tutors and mentors. In addition, the College’s students maintain a high level of visibility in the local area. The College’s Institute for Excellence in Education, Mohawk Valley Center for Economic Education, and Mohawk Valley Writing Project are important resources for the area’s teachers and school systems. Students in the health sciences, criminal justice, education, communications, and other fields...
often complete fieldwork and internships in local institutions, student organizations perform hundreds of hours of volunteer work annually in the community, and the College’s athletic teams provide a source of entertainment and community spirit that many local citizens enjoy.

The College’s economic impact on the community is enormous, contributing more than 470 full and 270 part-time jobs to the local workforce and generating more than $300 million in spending annually. At the same time, the economic, political, and educational environment in the local community has an equally deep impact on Utica College, its programs, and its plans for the future.

Between October 1998 and October 2008, manufacturing jobs declined by 7,200 and service jobs expanded by 9,200 in Oneida and Herkimer counties. The combined population of Oneida and Herkimer counties decreased from 299,415 to 293,870 between July 2000 and July 2008. The loss of population was mitigated by immigration from foreign countries (Source: Census Bureau County Population Estimate, 2009). Oneida and Herkimer counties, like most counties in New York, will experience a decrease in the number of high school graduates over the next 10 years.

In October 2010, unemployment rates in both Oneida and Herkimer counties were 7.1 percent. This represents an increase of three to four percent over employment rates for the majority of months before the economic downturn in 2008 (Source: www.economagic.com). This trend suggests that the need for financial aid to support local students will remain high.

In the Mohawk Valley, high-growth areas of employment requiring a college degree include computing, mental health, and physical therapy. The College offers several programs in each of these areas.

Local political and economic leaders perceive Utica College as an important part of the fabric of the area. They specifically recognize its Young Scholars Program, its student and employee contributions to community life, its investment in the area’s intellectual, research, and training infrastructure, and its influence on the cultural life of the community. Local leaders see the College as a significant employer, a resource for economic growth, and a community cultural resource worthy of public support. In fact, the local state assemblywoman and senator have become strong advocates for adequate funding for long-standing New York state programs such as the Tuition Assistance

Local Economic and Demographic Trends

Local Political Trends
Program, the Bundy Program, and the Higher Education Opportunity Program; have led efforts to adopt and fund a capital matching program for independent higher education; and secured funding for the College's science and technology complex. Former U.S. Congressman Sherwood Boehlert ’61 secured substantial federal grants to support capital and program enhancements. His successor, elected in 2006, served two congressional terms and demonstrated commitment to the College though his work with the College's Economic Crime and Cybersecurity programs as well as the Center for Identity Management and Information Protection. The College will need to continue to work with city, county, state, and federal leaders to educate them about its programs and the benefits of private-public partnerships. Additionally, the College needs to help them understand trends in public policy, particularly in public funding policy for post-secondary education, and how the various policy and funding choices affect private education in general and Utica College in particular.

Changes in Local Institutions’ Missions

Two local public institutions, SUNYIT, previously a two-year upper division institution, and Morrisville State College, previously a two-year lower division college, have begun to offer four-year degree programs. Since there is overlap between fields of study offered at Utica College and those at the public colleges, there is increasing local, low-cost competition at the bachelor’s level.

The two area community colleges, Mohawk Valley and Herkimer County, have both indicated that they intend to stabilize or expand enrollments. All community colleges in the state are under pressure from public four-year colleges to build transfer programs and relationships that will make it extremely easy for students to transfer within the SUNY system. The trend could have serious negative ramifications for Utica College’s transfer market.
APPENDIX 2:
THE UTICA COLLEGE CONTEXT
Governance, Leadership, and Planning

Utica College was founded in 1946 as a cooperative venture between Syracuse University and local community leaders to serve the educational needs of local returning veterans and other citizens. While the local community provided financial resources, Syracuse University provided the legal and academic structure for the new college. Between 1946 and 1995, Utica College operated as an autonomous division of the University with its chief administrative officer reporting to the chancellor in the overall governance structure. The Syracuse University Board of Trustees ultimately held the authority and responsibility for financial and programmatic decisions for the College. Financially, Utica College was considered as a single line item in the overall University budget.

A unique relationship between the College and the University evolved as the College matured. In 1953, the locally organized Utica College Foundation Board was formed to raise money and hold financial and real estate assets for the College. In 1978, the College became the first college in the University to seek and receive separate accreditation by the Middle States Commission on Higher Education. In the early 1990s, the Foundation Board and the College began a new level of dialogue about the College’s future and the College began to inform the University of its academic direction. While the Foundation Board did not have legal authority to govern, it responded by changing its focus from providing resources for immediate needs to building resources to support the overall, long-term academic direction of the College.

In 1995, with the support of Syracuse University, Utica College applied for and was awarded a separate charter by the Board of Regents of the State of New York. The charter allowed an academic relationship between the College and the University to continue while establishing the College as a legally, financially, and operationally independent entity. Specifically, Utica College continued to grant the Syracuse University undergraduate degree under a renewable Memorandum of Agreement.

As a result of the 1995 charter, Utica College created its own Board of Trustees, which is responsible for policy-making, financial oversight, and selection and oversight of the president. The Board energetically dedicated itself to shaping Utica College into a vibrant academic and financially stable independent institution committed to its historical roots of integrating liberal and professional education, offering educational opportunity to a diverse student body, and providing personal attention to individual students as it met their educational needs.


1946 to 1995: The History
The membership of the first Board of Trustees consisted largely of individuals who had been members of the Foundation Board (see above). They came to their new role with full awareness of the key issues facing the College, including the need to reconsider its current mission (which was directed at undergraduate education) given that many of the fields of study that the College had traditionally offered were beginning to require graduate-level degrees as a prerequisite for entry-level employment; the need to stabilize its enrollments and financial base; and the need to create an identity for the College outside of the Syracuse shadow.

In 1996, the College began a self-study in preparation for its 1998 reaccreditation by Middle States. The findings of the 1998 self-study confirmed the key issues identified by the Trustees and outlined additional concerns with the College’s governance, planning, budgeting, and assessment processes. The Trustees recognized that it was essential to set strategic direction to guide the institution’s complex transition to independence and to address issues raised in the 1998 self-study.

In 1997, the Trustees approved expanding the College’s mission to include graduate education, and in 1998, the College was chartered by New York to offer graduate degrees in its own name. When the presidency became vacant in 1997, the Trustees actively sought a new president with considerable planning experience to guide the College through the multifaceted issues facing what was essentially a new institution with an expanded mission. In spring 1998, they appointed Dr. Todd S. Hutton as President of the College.

Using a collaborative planning process and the findings of the 1998 self-study, President Hutton oversaw the drafting of the 2010 Plan for Utica College, which updated the institution’s mission and values and identified initiatives designed to address institutional distinctiveness, academic quality, the environment for student learning, programmatic innovation and growth, institutional image, and financial vitality. The Trustees adopted the plan in December 1999.

During the 2003-2004 academic year, to assure the success of the 2010 Plan for Utica College, the Trustees reorganized the Board’s committee structure around the plan’s initiatives. Since then, four committees (Educational Experiences and Programs, Innovation and Marketing, Institutional Resources and Finance, and Advancement) have reviewed programs and issues related to initiatives under their purview at every...
Board meeting. In 2008, the Middle States Reaccreditation Visiting Team commended the College on its success in using the 2010 Plan for Utica College “to guide institutional development and resource allocation.”

Improving the Collaborative Environment

In 2000, in response to a 1998 Middle States’ recommendation, the Trustees approved a new internal governance system. As recommended by the campus community, the new structure replaced a single council having representation from faculty, staff, and students with a system of four constituency-based bodies representing faculty (Faculty Senate), staff (Administrative Staff Advisory Council and SCT Advisory Council), and students (Student Senate), a College Council, and an All-College Forum. While acknowledging that the faculty was represented by a union in matters related to compensation, the Middle States Reaccreditation Visiting Team commended the College for establishing a “Faculty Senate separate from the bargaining unit.” The change in structure addressed Middle States’ 1998 concern that, at the time, faculty lacked an independent, collective voice in academic matters. A review of the structure of the All-College Council and the All-College Forum is currently underway.

Three-Year Action Plan

In 2007, to advance the 2010 Plan for Utica College, the Board of Trustees adopted a three-year investment plan to support the development of new programs, improvement in existing programs and academic support services, and implementation of new student success strategies. This plan, operational in nature, guided the development of new undergraduate programs complementary to existing majors that respond to environmental needs, new graduate programs that meet a social need or afford entry-level credential into a profession, and domestic and foreign satellite campuses that enable Utica College to offer programs that are consistent with its mission. (See Academic Programs for more detail.)

The Journey to Independence

As noted above, all of Utica College’s graduate programs have always offered the Utica College degree. By agreement with SU, any new undergraduate programs introduced after the 2007-2008 academic year also offer the Utica College degree.

In fall 2008, Utica College took the final step on its journey to full independence. A new memorandum of understanding between Utica College and Syracuse University, signed in fall 2008, specifies that all students entering the College after fall 2010 will receive the Utica College degree. In 2016, when the last of the students who entered the College
before spring 2011 graduate, Utica College will no longer have any type of formal relationship with Syracuse University.

Given that 20,000 Utica College alumni hold a degree in Syracuse University’s name, the College will continue to recognize its lineage in its historical documents. In addition, given the challenges facing higher education, the College will continue to form partnerships with the University in ventures that are of benefit to both institutions.

In some ways, this plan is similar to the 2010 Plan for Utica College: the mission, while reworded and shortened, remains focused on the integration of liberal and professional learning. Likewise, sense of core values and institutional vision are preserved. The plan itself, reflecting the maturation of a very young institution, the demands placed on it by external forces and its dynamic internal environment, is more focused. There are only four of priorities, each with a limited number of strategic goals. This plan provides a roadmap for operational plans that must be developed by individual units, prioritized by the administration, and actively and systematically undertaken in order to address the priorities outlined. It demands more from the community in the way of planning and assessing. It demands that every unit pay attention to all four priorities.
Academic Programs

Change in Academic Programs

The last 10 years have been a period of dynamic change in the College’s academic programs, as the College worked to improve existing programs, reach new student populations, and diversify its tuition revenue stream. Programs have been added where there was promise, demand, and mission relevance; programs have been substantially changed to improve academic program coherence and viability and to meet the changing entry-level requirements for professions that its graduates enter; and programs that are not viable have been discontinued (Exhibit 4). One program was terminated, redesigned, and reinstated. Each change in the College’s overall academic program addressed one or more initiatives in the 2010 Plan for Utica College. The changes in the last three years also meet objectives outlined in the Three-Year Action Plan (TYAP), including addressing the change in demographics in the Northeast, reducing reliance on campus-based undergraduate tuition while providing new sources of revenue that can support the institution, and extending the College’s reach and reputation.
<table>
<thead>
<tr>
<th>New Programs (TYAP) designate creation under the Three Year Action Plan</th>
<th>Degree</th>
<th>Academic Level and Format</th>
<th>Enrollment Fall 2010*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biochemistry (TYAP)</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>17</td>
</tr>
<tr>
<td>Creative Writing (TYAP)</td>
<td>Minor</td>
<td>Undergraduate Campus-based</td>
<td>5</td>
</tr>
<tr>
<td>Cybersecurity and Information Assurance</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>101</td>
</tr>
<tr>
<td>Cybersecurity and Information Assurance</td>
<td>BS</td>
<td>Undergraduate Distance</td>
<td>133</td>
</tr>
<tr>
<td>Cybersecurity–Intelligence and Forensics</td>
<td>MS</td>
<td>Graduate Distance</td>
<td>58</td>
</tr>
<tr>
<td>Economic Crime and Fraud Management</td>
<td>MBA</td>
<td>Graduate Distance</td>
<td>98</td>
</tr>
<tr>
<td>Education Suite of Programs–Childhood, Childhood and Special Education, Adolescence and Special Education, Adolescence Education, Educational Leadership and Administration</td>
<td>MS</td>
<td>Graduate Campus-based</td>
<td>122</td>
</tr>
<tr>
<td>Education Suite of Programs–Leadership and Instruction for Inclusive Classrooms</td>
<td>MSE</td>
<td>Graduate Campus-based</td>
<td></td>
</tr>
<tr>
<td>Education Suite of Programs–School Building Leadership, School District Leadership</td>
<td>Advanced Certificate</td>
<td>Graduate Campus-based</td>
<td>3</td>
</tr>
<tr>
<td>Financial Crimes Investigation</td>
<td>Certificate</td>
<td>Undergraduate Distance</td>
<td>28</td>
</tr>
<tr>
<td>Foreign Languages (TYAP)</td>
<td>BA</td>
<td>Undergraduate Campus-based</td>
<td>14</td>
</tr>
<tr>
<td>Geosciences (TYAP)</td>
<td>BA, BS</td>
<td>Undergraduate Campus-based</td>
<td>6</td>
</tr>
<tr>
<td>Gerontology (TYAP)</td>
<td>BA</td>
<td>Undergraduate Campus-based</td>
<td>2</td>
</tr>
<tr>
<td>Gerontology (TYAP)</td>
<td>Advanced Certificate</td>
<td>Graduate Distance</td>
<td>1</td>
</tr>
<tr>
<td>Health Care Administration (TYAP)</td>
<td>MS</td>
<td>Graduate Distance</td>
<td>75</td>
</tr>
<tr>
<td>Homeland Security Risk Assessment</td>
<td>Advanced Certificate</td>
<td>Graduate Distance</td>
<td>0</td>
</tr>
<tr>
<td>Human Rights Advocacy</td>
<td>Minor</td>
<td>Undergraduate Campus-based</td>
<td>1</td>
</tr>
<tr>
<td>Liberal Studies</td>
<td>MS</td>
<td>Graduate Campus-based</td>
<td>18</td>
</tr>
<tr>
<td>Occupational Therapy Transitional Master's (TYAP)</td>
<td>MS</td>
<td>Graduate Distance</td>
<td>17</td>
</tr>
<tr>
<td>Post-Professional Physical Therapy Transitional Doctorate</td>
<td>DPT</td>
<td>Graduate Distance</td>
<td>188</td>
</tr>
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</table>
## New Programs (TYAP) designate creation under the Three Year Action Plan

<table>
<thead>
<tr>
<th>Program</th>
<th>Degree</th>
<th>Academic Level and Format</th>
<th>Enrollment Fall 2010*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional Accountancy</td>
<td>MBA</td>
<td>Graduate Distance</td>
<td>18</td>
</tr>
<tr>
<td>Recreational Leadership</td>
<td>Minor</td>
<td>Undergraduate Campus-based</td>
<td>3</td>
</tr>
<tr>
<td>Risk Management and Insurance (TYAP)</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>10</td>
</tr>
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</table>

## Changes

<table>
<thead>
<tr>
<th>Change</th>
<th>Degree</th>
<th>Academic Level and Format</th>
<th>Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Economics-change of concentrations *</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>36</td>
</tr>
<tr>
<td>Chemistry- addition of concentrations</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>30</td>
</tr>
<tr>
<td>Construction Management- Previous program terminated; newly designed program added (TYAP)</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>40</td>
</tr>
<tr>
<td>Economic Crime Investigation-offered the program online</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>79</td>
</tr>
<tr>
<td>Economic Crime Management-Program modified to offer in Asia-Pacific (TYAP)</td>
<td>MS</td>
<td>Graduate International Programs</td>
<td>Spring 2011</td>
</tr>
<tr>
<td>Government and Politics change in concentrations</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>30</td>
</tr>
<tr>
<td>Journalism-addition of concentration*</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>34</td>
</tr>
<tr>
<td>Management change in concentrations*</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>116</td>
</tr>
<tr>
<td>Nursing RN to BS-offered the program online (TYAP)</td>
<td>BS</td>
<td>Undergraduate Distance Program</td>
<td>186</td>
</tr>
<tr>
<td>Occupational Therapy-program changed from a bachelor's level to a master's level program</td>
<td>MS</td>
<td>Graduate Campus-based</td>
<td>78</td>
</tr>
<tr>
<td>Physical Therapy-program changed from a master's level program to a doctoral-level program</td>
<td>DPT</td>
<td>Graduate Campus-based</td>
<td>78</td>
</tr>
<tr>
<td>Psychology-Child Life change in concentrations</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>62</td>
</tr>
<tr>
<td>Public Relations-addition of concentration*</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>39</td>
</tr>
</tbody>
</table>

## Terminations

<table>
<thead>
<tr>
<th>Termination</th>
<th>Degree</th>
<th>Academic Level and Format</th>
<th>Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fine Arts</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>NA</td>
</tr>
<tr>
<td>Music</td>
<td>Minor</td>
<td>Undergraduate Campus-based</td>
<td>NA</td>
</tr>
<tr>
<td>Nursing RN to BS-phasing out Extended Campus Version (TYAP)</td>
<td>BS</td>
<td>Undergraduate Campus-based</td>
<td>NA</td>
</tr>
<tr>
<td>Social Studies</td>
<td>BA</td>
<td>Undergraduate Campus-based</td>
<td>NA</td>
</tr>
</tbody>
</table>

*enrollment reported includes all concentrations currently offered
The development of new graduate and undergraduate programs, the growth in distance education, and the possibility of satellite campuses have added a new level of complexity to issues surrounding assurance of academic quality across platforms and locations, faculty development, course development, provision of academic support services (student advising, computing resources, library resources, tutoring services) and administrative support (admissions, financial services, administrative information services).

Given this complexity, the College has undertaken many initiatives to make its services more student-oriented and timely, including:

• reconfiguration of the School of Graduate and Extended Studies (GES) into the Office of Graduate Studies reporting to the Associate Provost and Dean of Graduate Studies and an Office of Online and Extended Studies reporting to the Vice President for Strategic Initiatives,
• adding online tutorial services, and adding online services and instructional technology staff
• improving online library resources and services,
• creating a standing administrative committee to deal with registration issues
• creating a one-stop student financial services office, and
• adding functionality to the administrative information system.

Many of these initiatives were funded with money made available through the Three-Year Action Plan.

However, the fact that these new programs attract a broad spectrum of students is forcing the College to redefine what it means to be a Utica College student, what it means to teach students enrolling with more varied goals and at different degree levels, and what it means to give these students “personal attention” given their different styles, situations, and goals. The variety of settings, the dissimilar characteristics of the students and the part-time faculty, and different methods of course delivery are also forcing the review of College policies and processes, including:

• college processes for student outcomes assessment that assure curricular integrity on both the course and the program level, academic freedom, and consistency and integrity in programs/courses across platforms
• department, school, and governance procedures that ensure that faculty at different sites and using different methodologies are part of decision-making processes
• appropriate department, school, and governance procedures for evaluating faculty, given the diverse methodologies and the different levels of instruction
• course scheduling that assures that a full range of liberal arts and professional course offerings needed by students are available on a timely basis, regardless of physical location or course delivery method.

Graduate campus-based and distance programs, most of which are related to professional program areas, now have a substantial presence at the College. With their growth have come questions related to the manner in which graduate programs should be introduced, administered, and supported so that they will further the College's mission and values. The College continues the process of institutionalizing graduate education while strongly supporting its commitment to the undergraduate program. Among the issues being assessed are expectations for faculty service and professional accomplishment in both undergraduate and graduate instruction that potentially affect hiring as well as faculty tenure and promotion decisions. The creation of new processes that support the expanded faculty role in graduate programs, including making admissions decisions, advising students, developing and assessing graduate curricula, and overseeing independent research, are also under discussion.

There exists at Utica College a not uncommon tension between undergraduate liberal arts and professional programs. On a fundamental level, the underlying goal of a liberal arts program is to learn to question assumptions and values and gain a breadth of knowledge. This goal contrasts with a basic underlying goal of a professional program: learning a prescribed body of knowledge and skills. As the College strives to achieve balance between liberal and professional program goals, it gives students the opportunity to encounter the reality that will be part of their post-graduation lives. Acknowledging the tension and using the energy created by the tension form the basis of a dynamic educational experience for the College's students.

Maintaining liberal arts and professional programs is critical if the College is to give students opportunities to pursue the goals of both liberal learning and professional preparation. In fall 1999, the proportion of campus-based matriculated undergraduate students in professional, liberal arts, undecided majors was 61, 29, and 10 percent; in fall 2010 it was 60, 35, and 5 percent respectively. The increase in the proportion of students in the liberal arts is the result of growth in the number of
students pursuing the College's Education program, which, at Utica College, requires that students have an academic major. All undergraduate students enrolled in the distance campus are in professional programs.

The faculty at Utica College engages in a wide range of scholarly activity that enlivens the College community’s spirit of inquiry, enriches teaching and learning, and contributes to the expansion of knowledge for society at large. Research and publication occur in areas as widely diverse as microbiology, persistence and managerial skills in the corporate bond market, behavior of red-backed salamanders, non-sentential philosophy, the environmental effects of hydraulic fracturing, the Underground Railroad in Oneida County, the effects of ethics education on the behavior and beliefs of health-care students, readiness for self-direction in learning, the complexities of translating poetry from German to English, health beliefs and behaviors in rural elders, engineering for sustainability, and the role of nostalgia in the perception of art. Faculty creative efforts have recently included published works of contemporary poetry and fiction, visual art works exhibited both in the U.S. and abroad, and published news stories for major networks. Faculty members regularly involve students in substantial research projects and in professional presentations of the findings. For faculty, there is a challenge in pursuing research and other scholarship as they take on the rigors of a 24-credit hour teaching load and multiple course preparations per semester.

Funding for faculty development has remained relatively constant since 2005 at around $85,000, with the exception of 2005 – 2006, which was abnormally high ($101,000). During this time the number of faculty has increased from 119 to 136 and the number of requests for funding has increased slightly. The College has typically invested between 35 and 43 percent of its development funds in faculty honoraria for faculty creating online courses, although that percentage, and the number of honoraria, is falling as more faculty are trained. The honoraria for faculty creating online classes represented only 28 percent of the total development funds in 2009 – 2010. The money for research, conferences, sabbaticals, and summer fellowships has remained flat, and met only 56 to 59 percent of the faculty requests for such support. The number of sabbaticals had been roughly the same per year until 2009 - 2010 when sabbaticals were put on hold as the College dealt with the effects of the financial recession. Meeting faculty development needs remains critical if the College is to continue to enhance its programs, broaden its appeal to students, and recruit and retain qualified faculty.
Educational Programs, Enrollments, Student Characteristics, and Competition by Student Market

Between the Falls of 1999 and 2010, student enrollments grew 75 percent from 2,060 to 3,595. Current students, like their predecessors, are pursuing programs in liberal arts and professional studies (Exhibit 5).

Exhibit 5: Enrollment by General Area of Study and Degree Level

<table>
<thead>
<tr>
<th></th>
<th>Undergraduate</th>
<th>Graduate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liberal Arts</td>
<td>20%</td>
<td>3%</td>
</tr>
<tr>
<td>Liberal Arts in combination with Education</td>
<td>9%</td>
<td></td>
</tr>
<tr>
<td>Professional Studies</td>
<td>65%</td>
<td>74%</td>
</tr>
<tr>
<td>General Undergraduate Studies</td>
<td>4%</td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td>21%</td>
<td></td>
</tr>
<tr>
<td>Non-Matriculated</td>
<td>2%</td>
<td>2%</td>
</tr>
</tbody>
</table>

Since 1999, the graduate portion of the headcount enrollment has risen from 2 percent of total enrollment to 25 percent of total enrollment. In the fall of 2010, 2,678 students studied at the undergraduate level and 917 at the graduate level. Over the same period, the graduate portion of the FTE (full-time equivalent enrollment) has risen from 1 percent of total enrollment to 19 percent of total enrollment. In 2010, the undergraduate FTE enrollment was 2,398; graduate FTE was 578 (Exhibit 6).

Current Markets

Utica College currently competes for students in four distinct markets:

- market for campus-based undergraduate programs serving primarily traditional-aged full-time students
- market for extended campus-based study serving primarily local adult students and visiting foreign students who are non-matriculated
- market for campus-based graduate programs
- market for domestic distance graduate and undergraduate serving primarily adults

Over the past 10 years, the proportion of enrollment and the enrollment numbers represented by each these markets has changed, which, in turn, has diversified tuition income as was called for in the 2010 Plan for Utica College (Exhibit 7).
Exhibit 6: Total Headcount and Full-time Equivalent Enrollments 1999-2010

- Total Headcount Enrollment
- Total Undergraduate Headcount
- Total Graduate Headcount
- Total Undergraduate FTE Enrollment
- FTE Full-Time Equivalent Enrollment
- Total FTE Enrollment
Exhibit 7: Enrollment by market Headcount (HC) and Full-time Equivalent (FTE)

- **2010 FTE**
  - Market for campus-based undergraduate programs
  - Market for campus-based graduate programs market
  - Market for extended campus-based study market
  - Market for distance undergraduate & graduate programs market

- **1999 FTE**
  - Market for campus-based undergraduate programs
  - Market for campus-based graduate programs market
  - Market for extended campus-based study market
  - Market for distance undergraduate & graduate programs market

- **2010 HC**
  - Market for campus-based undergraduate programs
  - Market for campus-based graduate programs market
  - Market for extended campus-based study market
  - Market for distance undergraduate & graduate programs market

- **1999 HC**
  - Market for campus-based undergraduate programs
  - Market for campus-based graduate programs market
  - Market for extended campus-based study market
  - Market for distance undergraduate & graduate programs market
Campus-Based Undergraduate Market

The campus-based undergraduate program offerings include the traditional liberal arts, professional study, and pre-professional preparation for advanced study. The College offers teacher education programs that, in conjunction with specified liberal and professional majors, lead to certification in several teaching areas. Several of the undergraduate programs address emerging disciplines such as cybersecurity and economic crime and areas of high need such as nursing and education. Several, such as Psychology-Child Life and Public Relations, are nationally recognized. Several have distinctive aspects, such as the local history research focus in the History major and student-faculty research opportunities in Biology, Chemistry, and Geology. Utica College also welcomes undergraduate students who have not chosen a field of study, and provides them with academic and personal guidance as they explore academic opportunities. The cocurricular programming includes student government, residence hall programming, social, cultural, and academic organizations, student media, varsity athletics, an active intramural program, and sororities and fraternities. There is a range of student support services, including the state's oldest Higher Education Opportunity Program, academic advising, counseling and tutoring services and life choices educational programs.

In fall 2010, the 2,134 students enrolled in campus-based undergraduate programs were generally enrolled full-time and were primarily of traditional college age. The ratio of females to males was 7:6, and one in five reported themselves as being a student of color or as being multiracial. Sixty-five percent were living away from home; the remaining 35 percent commuted from local residences. While 86 percent were NY state residents, the College's active recruitment of athletes, foreign students, and students from northeastern states is broadening the geographic representation, students came from 25 states and territories and 20 countries. More than one in four students participated in a varsity sport. Nearly all students receive financial aid. The demographics of the full-time first-year and transfer entrants are different due to the fact that the transfer students come primarily from the local area and reflect the demographics of the local area whereas the first year students come from a wider area and reflect a broader demographic population (Exhibit 8).
Exhibit 8: Demographics of Campus-Based Undergraduate Programs

<table>
<thead>
<tr>
<th>Demographics</th>
<th>Total Enrollment</th>
<th>Entering First-Year Students</th>
<th>Entering Transfers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full time</td>
<td>97%</td>
<td>100%</td>
<td>96%</td>
</tr>
<tr>
<td>Traditional Age Student (17-22)</td>
<td>85%</td>
<td>99%</td>
<td>72%</td>
</tr>
<tr>
<td>Female</td>
<td>54%</td>
<td>50%</td>
<td>66%</td>
</tr>
<tr>
<td>Self-identified as Student of Color or Multiracial</td>
<td>20%</td>
<td>23%</td>
<td>13%</td>
</tr>
<tr>
<td>Participating in a Varsity Sport</td>
<td>28%</td>
<td>45%</td>
<td>12%</td>
</tr>
<tr>
<td>Receiving Financial Aid</td>
<td>99%</td>
<td>99%</td>
<td>97%</td>
</tr>
<tr>
<td>With documented Need</td>
<td>89%</td>
<td>92%</td>
<td>89%</td>
</tr>
</tbody>
</table>

Housing

- Living in Residence Halls                        | 47%              | 75%                          | 21%               |
- Living in Apartments                              | 18%              | 1%                           | 29%               |
- Living with Parents                               | 35%              | 24%                          | 50%               |

Permanent Residence

- NY                                               | 86%              | 79%                          | 95%               |
- Other Northeast State                             | 10%              | 15%                          | 2%                |
- Remaining States                                  | 1%               | 2%                           | 0%                |
- Foreign Country                                   | 3%               | 3%                           | 3%                |

Parent Education

- < Bachelor or Missing-Mother                      | 50%              | 48%                          | 55%               |
- < Bachelor or Missing-Father                      | 56%              | 54%                          | 54%               |

Retention

Utica College’s retention rate for the first-year, first-time student 2009 cohort was 64.4 percent, which compares to retention rates for all bachelor’s level private colleges of 68.7 percent, for all master’s level private colleges of 71.4 percent and for all types of institutions of 66.7 percent. (ACT, 2010 Retention/Completion Summary Tables) On a January 22, 2009 news release, American College Testing reported that national retention levels for the 2008 cohort were at the lowest level since data-gathering began in 1983 in five out of eight types of postsecondary institutions surveyed, including all private colleges.
Utica College has taken aggressive steps in the past three years to increase retention rates, as called for in the 2005 update of the 2010 Plan for Utica College. In 2006, funds from the Three-Year Action Plan were used to establish the Office of Student Success, which assumed some responsibilities formerly associated with the Academic Support Services Center and added responsibility for identifying students at risk of interpersonal, academic, or personal crisis and intervening for the purpose of increasing their chances of success. The Office of Student Success has added three academic coaching experts who proactively reach out to first-year students, helping them with time management, assisting them in finding academic and social support, and providing systematic follow up on initial contacts. It has also worked with varsity coaches to ensure that students understand that academic success is the primary reason for being at Utica College. In spring 2009, the College contracted with an online vendor to provide tutoring services for distance education undergraduates; the service is also available to campus-based undergraduate students, who are actively using it.

In spite of these efforts, the College's first-time, full-time retention for 2009 cohort fell to a new low point. Given that retention rates for the 2008 cohort fell for all private colleges after the economic downturn, it seems highly probable that Utica College, with its highly needy student population, will find it extremely difficult to improve its retention rates.

Over the past 10 years, the College has successfully attracted increasing numbers of students to its undergraduate campus-based programs using a variety of strategies, including adding new academic programs and varsity athletic teams, developing a comprehensive marketing plan, recruiting in new geographical areas, and improving campus facilities. However, the challenge of maintaining enrollments in these programs over the next 10 years will be great, given the demographic and economic environment.

The most serious challenge the College faces in this market over the next 10 years is the precipitous drop in the number of high school graduates in New York and in the Northeast, where Utica College draws 96 percent of its campus-based undergraduate students. In fact the College's primary source of students (44 percent) is the surrounding three counties (Oneida, Herkimer, and Madison) where four publicly supported institutions – Mohawk Valley Community College, Herkimer County Community College, SUNYIT (State University of New York Competition
Institute of Technology), and Morrisville State College – and two highly selective independent colleges – Hamilton College and Colgate University – actively promote their programs of study. The College's secondary recruitment area is the remainder of New York, where 64 SUNY (State University of New York), 17 CUNY (City University of New York), and more than 100 independent institutions compete for students. The competition will obviously be keen for both first-year and transfer students due to the downward demographic trend in the College's main markets.

However, it should be noted that the College also faces the challenge of phasing out the Syracuse University degree for new students enrolling after 2010. The College has gone to considerable efforts to prepare its campus-based undergraduate market for this change. It appears that this work has been successful given that the number of students who indicated the Syracuse University degree was an important factor in their decision to attend Utica College over the last 10 years has steadily decreased.

The economic environment will exacerbate the problems in this market. Stamats, Inc., a national higher education marketing firm, characterizes colleges like Utica College, which have high discount rates, have endowments less than three to five times their annual operating budget, are largely tuition driven, have few unallocated budget dollars, have current students who are disproportionately receiving loan-based aid, and have undifferentiated majors, as vulnerable in the current climate.

In the face of this competition, Utica College does have a few very important attributes:

- a longstanding tradition of and reputation for providing educational opportunity to a wide variety of students, including veterans; working adults; individuals from underserved, ethnically, economically diverse, and immigrant populations; and promising at-risk applicants. Students in these particular categories represent a sub-demographic that is growing even as the overall market is shrinking.
- an international programs office that has increased foreign student enrollments from 37 to 53 between the fall of 2005 and the fall of 2010,
- the competitive advantages that are associated with small private colleges, such as small classes, excellent faculty; and wide recognition of the quality of specific programs,
- An active athletics recruitment program.
Extended Campus-Based Market

Until the 2009 fall semester, this campus offered 11 academic programs that could be completed on campus in the evening at reduced tuition rates. It also served non-matriculated students interested in taking individual courses. It operated the summer sessions and opened its courses to matriculated students from all campuses who wished to enroll. In January 2010, the College stopped matriculating students in the 11 academic programs. It continues to enroll non-matriculated students and to operate the summer sessions.

Until 2010, the extended campus-based program was essentially the same as the program that was known as continuing education prior to 2005. The fall 2009 enrollment of 111 compared poorly with the 264 enrolled in continuing education in 1999. In the fall 2009, 67 percent of the students pursuing study in this market were not seeking a degree from the College. They rarely pursued study over more than one or two semesters. By the fall 2009, only 33 percent of the students in this market were pursuing undergraduate degrees in one of 11 undergraduate programs available through extended campus-based campus study, reflecting the 10-year downward trend in matriculated student enrollments. The RN to BS Nursing program, which accounted for nearly 50 percent of the enrollment in the 11 degree programs, was in the process of being migrated to the distance campus. Finally, these students were paying the lowest tuition rate at Utica College. These factors lead to the decision not to matriculate students in extended campus-based programs in 2010.

Because of the reconceiving of the extended campus operation, it is not useful to compare trends over years. The summer and 2010 fall enrollments are characterized as follows:

**Exhibit 9: Demographics of Extended Campus-Based Courses**

<table>
<thead>
<tr>
<th>Student Program Campus</th>
<th>Summer 2010</th>
<th>Fall 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extended-Campus Enrollments</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Matriculated Undergraduate-Programs Phasing Out</td>
<td>10</td>
<td>32</td>
</tr>
<tr>
<td>Non-Matriculated Undergraduate-Domestic</td>
<td>62</td>
<td>53</td>
</tr>
<tr>
<td>Non-Matriculated Undergraduate-Foreign</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>Non-Matriculated Graduate-Domestic</td>
<td>20</td>
<td>13</td>
</tr>
<tr>
<td>Campus-based Undergraduate-Domestic</td>
<td>313</td>
<td>NA</td>
</tr>
<tr>
<td>Campus-based Undergraduate-Foreign</td>
<td>4</td>
<td>NA</td>
</tr>
<tr>
<td>Campus-based Graduates</td>
<td>115</td>
<td>NA</td>
</tr>
</tbody>
</table>
The number of non-matriculated foreign undergraduate students who were studying full-time on a visiting basis as part of their foreign university degree programs is a bright spot in the extended campus-based enrollment picture. This population has been growing over the last 10 years as the Office of International Education has created more exchange agreements with foreign institutions. These students generally live in the residence halls, use the support services of Office of International Education and the Office of Student Affairs, and attend classes that are part of the campus-based programs.

The Office of Online and Extended Studies, in cooperation with the Office of International Programs, will seek to increase the number of full-time visiting (non-matriculated) international students who generally attend for one full academic year. The College will continue to enroll, on a space available basis, non-matriculated students interested in pursuing education on a course-by-course basis.

In the summer the extended campus will seek to offer courses that benefit campus-based students and serve the non-matriculated population. It will experiment with offering summer online courses that will be available to both campus-based students living either in Utica or at their permanent residences and distance students which will allow for more course selection for both groups and create efficiencies of scale at the course level.

The Future of Extended Campus-Based Study

Campus-Based Graduate Market

The campus-based graduate programs primarily focus on professional fields, offering opportunities to develop or update professional credentials. The health professions and education programs which account for 99 percent of the enrollment grew out of undergraduate programs in response to the credentialing requirements of health profession associations and the permanent teacher licensure requirements of the New York State Education Department.

In the fall of 1999, three students were enrolled in the only graduate program offered by Utica College. In fall 2010, there were 303 students in 14 campus-based graduate programs, one of which was offered in both traditional and weekend formats. They were enrolled in three types of programs: health professions, education, and liberal studies. There are two programs designed for full-time study in health professions...
programs; there are 11 programs in education and one in liberal studies that are designed for part-time students. Students in many of the education programs enroll in courses offered in as part of the liberal studies program. In 2010, these programs combined to represent eight percent of total headcount enrollment.

Exhibit 10: Headcount Enrollment Campus Based Graduate Programs

- Master’s & Graduate Certificates-Education (11)
- Master’s-Occupational Therapy
- Doctorate/Master’s-Physical Therapy
- Master’s-Liberal Studies
The health professions programs include the Doctor of Physical Therapy (DPT) and the Master of Occupational Therapy (MSOT). Both of these programs are accredited and, with current resources, have set cohort enrollment caps (40 DPT, 56 MSOT). In fall 2010, the DPT enrolled at 100 percent of its enrollment cap in the first year of the professional program (enrolls undergraduate and graduate students), 85 percent in the second year and 78 percent in the third year (graduate students). In the same semester OT was at 85 percent of its enrollment cap in the first year of the professional program (enrolls undergraduate and graduate students) and at 82 percent of the second year (graduate students).

Because Education and Liberal Studies graduate students are mostly part-time and from the local area they differ from the students studying in the health professions. They are older and, because the tuition rates charged for these programs are lower, less apt to apply for and receive financial aid (Exhibit 11).

**Exhibit 11: Demographics of Campus-Based Graduate Programs Fall 2010**

<table>
<thead>
<tr>
<th>Demographics</th>
<th>Health Professions</th>
<th>Education</th>
<th>Liberal Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full time</td>
<td>100%</td>
<td>29%</td>
<td>11%</td>
</tr>
<tr>
<td>Student Age &gt;26</td>
<td>29%</td>
<td>47%</td>
<td>50%</td>
</tr>
<tr>
<td>Female</td>
<td>79%</td>
<td>68%</td>
<td>78%</td>
</tr>
<tr>
<td>Self-identified as Student of Color or Multiracial</td>
<td>6%</td>
<td>5%</td>
<td>11%</td>
</tr>
<tr>
<td>Receiving Financial Aid (UC, State, Federal grant or waiver, Federally subsidized loan)</td>
<td>99%</td>
<td>2%</td>
<td>0%</td>
</tr>
<tr>
<td>With documented Need</td>
<td>93%</td>
<td>28%</td>
<td>22%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Permanent Residence</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• NY – Local (Oneida, Herkimer, Madison)</td>
<td>62%</td>
<td>92%</td>
<td>88%</td>
</tr>
<tr>
<td>• NY – Non-local</td>
<td>25%</td>
<td>7%</td>
<td>6%</td>
</tr>
<tr>
<td>• Other State</td>
<td>9%</td>
<td>1%</td>
<td>6%</td>
</tr>
<tr>
<td>• Foreign Country</td>
<td>4%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

The health professions programs are well suited to draw from U.S and Canadian markets, because in both countries there is critical need for graduates in both physical and occupational therapy professions. In the short term, the College must focus on having each cohort at 100% enrollment; in the longer term, with additional resources, these programs are promising in terms of enrollments.
The education suite of programs serves an extended local population. In the current local economic and demographic environment, there will be restricted employment opportunities for graduates of these programs; however, these programs enjoy a reputation that may allow them to expand at satellite campuses, in the online environment, or through a hybrid of these delivery systems.

The graduate program in Liberal Studies is a highly individualized program of study that allows students to explore cross-disciplinary topics. It also provides electives for students in the Education suite of programs. In its campus-based form, the program will not grow.

**Distance Graduate and Undergraduate Market**

Programs on the distance undergraduate and graduate campuses serve students interested in developing their professional and management expertise in the areas of economic crime, cybersecurity, criminal justice or health care. They are designed for domestic, part-time, adult students. The majority of the students are seeking advancement in a current field of employment or a change in career.

Utica College’s 10 distance graduate programs (Master of Science programs in Cybersecurity and Information Assurance, Criminal Justice Administration, Economic Crime Management, and Health Care Administration; the transitional Master of Science in Occupational Therapy; two MBA degrees, one in Economic Crime and Fraud Management and the other in Professional Accountancy; the post-professional transitional DPT for professionals in Physical Therapy, and two advanced certificates, one in Gerontology and the other in Homeland Security Risk Assessment), and four distance undergraduate programs (three B.S. programs in Cybersecurity and Information Assurance, Economic Crime Investigation, and RN to BS nursing, and one certificate program in Financial Crimes Investigation) serve adults pursuing degrees on a part-time basis. The College partners with a vendor for the general marketing and student recruitment for these programs.

Since the adoption of the 2010 Plan for Utica College in December 1999, Utica College’s enrollment from this market has increased from 23 students in the Economic Crime Management program to 601 graduate and 426 undergraduate students in 13 programs in fall 2010. These programs currently account for 29 percent of the College’s headcount enrollment and 18 percent of its FTE enrollment (Exhibit 12).
Exhibit 12: Demographics of Distance Undergraduate and Graduate Programs Fall 2010

<table>
<thead>
<tr>
<th>Demographics</th>
<th>Undergraduate</th>
<th>Graduate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full time</td>
<td>10%</td>
<td>2%</td>
</tr>
<tr>
<td>Student Age &lt;26</td>
<td>16%</td>
<td>16%</td>
</tr>
<tr>
<td>Student Age 27-29</td>
<td>9%</td>
<td>13%</td>
</tr>
<tr>
<td>Student Age 30-39</td>
<td>33%</td>
<td>39%</td>
</tr>
<tr>
<td>Student Age 40-49</td>
<td>30%</td>
<td>25%</td>
</tr>
<tr>
<td>Student Age &gt;49</td>
<td>12%</td>
<td>8%</td>
</tr>
<tr>
<td>Female</td>
<td>69%</td>
<td>59%</td>
</tr>
<tr>
<td>Self-identified as Student of Color or Multiracial</td>
<td>15%</td>
<td>31%</td>
</tr>
<tr>
<td>Receiving Financial Aid (UC, State, Federal grant or waver, Federally subsidized loan</td>
<td>64%</td>
<td>49%</td>
</tr>
<tr>
<td>With documented Need</td>
<td>43%</td>
<td>37%</td>
</tr>
<tr>
<td>Permanent Residence</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• NY – Local (Oneida, Herkimer, Madison)</td>
<td>11%</td>
<td>1%</td>
</tr>
<tr>
<td>• NY – Non-local</td>
<td>33%</td>
<td>33%</td>
</tr>
<tr>
<td>• Other State</td>
<td>54%</td>
<td>53%</td>
</tr>
<tr>
<td>• Foreign Country</td>
<td>1%</td>
<td>12%</td>
</tr>
</tbody>
</table>

Retention

Distance students generally have poor retention rates, and those who persist often proceed through programs with one or more semesters of stopping out to attend to personal, financial, and employment demands.

The retention rates for the 758 undergraduate students entering the College’s undergraduate distance programs between fall 2005 and spring 2010 into the third semester was 44 percent. The retention rates were much lower for cohorts starting in the fall semester since the third semester fell in a summer term. Generally, there was an increase in the retention rate the following fall. The graduation rate for these 758 students is 11 percent. However, for cohorts that have that have had the opportunity to attend 10 or more semesters, the graduation rate is 18 percent.

The retention rates for the 876 graduate students entering the College’s graduate distance programs between fall 2005 and spring 2010 into the third semester was 70 percent. The retention rates were much lower for
cohorts starting in the fall semester since the third semester fell in a summer term. Generally, there was an increase in the retention rate the following fall. The graduation rate for these 876 students is 27 percent. However, for cohorts that have had the opportunity to attend 10 or more semesters, the graduation rate is 57 percent.

In the interest of improving undergraduate distance retention rates, the College has:

- created a dedicated portion of a full-time faculty load to advising undergraduate distance students in the Criminal Justice suite of programs. This person is in email contact with students each semester to suggest specific course registration for the following semester (2006),
- improved its information sharing with its online recruitment, enrollment and services vendor, allowing the vendor to make individual contact with students who have not reregistered in a timely fashion (2009),
- contracted with an online vendor for tutoring services to specifically address the needs of distance education undergraduates (2009),
- created a dedicated staff position to advise and register undergraduate distance students in the RN to BS Nursing program,
- created the Office of Extended Study that will focus on the needs of distance learners (2010)

These programs have considerable potential for growth. The Economic Crime/Cybersecurity programs are associated with institutes that are internationally recognized professional organizations, giving them the opportunity to reach new markets. The Health Care suite of programs provides working professionals opportunities to upgrade their credentials to meet new expectations of their jobs. Graduates of these programs have numerous opportunities for employment in sectors of the economy that are growing. The programs enjoy growing enrollments, and are beginning to draw students from outside the United States.

Currently six distance programs have been in existence long enough to have graduates, while four are too new to have graduates and are gaining enrollments as they become fully implemented. Two programs are not currently accepting majors while the College considers either redesigning them or discontinuing them. The two certificate programs attract
virtually no interest in the marketplace but remain on the books because
the courses that required for the certificates are enrolled by students
enrolled other online programs.

The College expects to expand its online offering dramatically over the
next five to seven years in anticipation of a 10 to 12 percent demographi-
cally related decline in the campus-based student body However, with
growing adult student interest in distance education, all of the College’s
programs will be facing increasing competition as more colleges from all
over the country enter the online world (see Social Influences). In this
competitive and ever-changing environment, each program will require
constant oversight and adjustment.

Developing New Markets

The College is actively pursuing opportunities to develop new interna-
tional and domestic markets.

International Markets

The College is establishing itself in the international marketplace and
expects to offer one of its graduate online programs in the Asian market
in 2011. The program will hold its residency in Asia and will adjust
courses currently offered to make them relevant to the legal and technolo-
gical structures used in Asian countries. The College will also actively
consider offering selected programs in partnership with foreign institu-
tions, establishing its own satellite campuses, and expanding its online
offerings to students in foreign countries if these choices seem viable.

Domestic Satellite Markets

The College is actively researching the development of satellite campuses
in several markets, as was called for in College’s 2010 Plan. The staffs of
the Vice Presidents for Strategic Initiatives and Enrollment Management
continue to review opportunities for delivering its programs in areas
of the country and world where there is both programmatic need and
where there appears to be a robust demand for the types of programs the
College offers. After conducting an initial review of the literature and
trends, efforts are focused on the following demographic markets:

- expanded partnerships with other American institutions that
  allow the College to offer programs that are complementary to the
  partner college’s programs
- formation of a military base presence at New York’s Ft. Drum and
  surrounding region, similar to the presence that the College had at
  the Rome-based Griffiss Air Force Base in the 1980s
• development of a site focused on the economic crime and criminal justice suite of graduate and undergraduate programs at the U.S. Postal Inspection Service National Training Facility, the Bolger Center in Potomac, Maryland; to include a “storefront” presence for the College in the Washington, D.C. region for the College’s Center for Identity Management and Information Protection and related operations
• creation of Utica College site(s) in areas of high growth, including metropolitan areas of Arizona, California, Nevada, and Florida
• development of Canadian sites, such as Ottawa, Toronto, and Vancouver, focused on the Health Care suite of graduate programs

With dramatic growth in facilities and academic and athletic programs, both on ground and online, over the past 10 years, Utica College is familiar with managing growth. The key to growth in a period of fiscal uncertainty, however, is proactive, targeted, and controlled growth.

Each of the aforementioned areas is being prioritized based upon such factors as further market analysis and higher education market saturation, possible academic or other programmatic offering availability, fiscal and human capital investment realistically needed to open operations, federal, state, and local regulatory challenges, cost-benefit and cash-flow analysis, and domestic and international economic trends indigenous to the area of interest and nationally overall.

Given the growth in the number of veterans between the ages of 22 and 35 who are looking for undergraduate and graduate programs of all sorts, the College is exploring opportunities to better serve this population within the framework of its campus-based and distance programs. These include the establishment of a Veteran’s Committee, appointment of a Veteran’s Campus Liaison to be a single point of contact for general veterans’ inquiries, increased promotion of the College’s commitment to discount tuition for veterans and their spouses, and further analysis of the evolving G.I. Bill and related benefits particular to this population.

Campus Facilities

Over the past 10 years, the College has invested heavily in its Utica campus facilities. The construction of the Faculty Center (2003), F. Eugene Romano Hall (2008), and the Economic Crime and Justice Studies Building (2009) created 98,000 square feet of new academic
space, including 15 smart classrooms, eight health science labs, four computer labs, 39 faculty offices, a specialized economic crime research space, a meeting hall/auditorium, a convergence media lab, and eight social/meeting spaces. The College added three new residence halls: Sherwood Boehlert Hall (1999), Tower Hall (2002), and Bell Hall (2005), which collectively provide residential space for 322 students. Each hall offers different living environments, including suites, single rooms, and clusters. Boehlert Hall also features a conference room that accommodates 133 people and Bell Hall has meeting space for Board of Trustees and other governance bodies. The Charles A. Gaetano Stadium opened in 2001 to serve as the home field for the football, field hockey, soccer, and lacrosse teams. The Harold Thomas Clark Sr. Team Facility (8,355 square feet in 2001), the ice hockey team facility at the Utica Memorial Auditorium (5,100 square feet in 2001), and the Gary Kunath Fitness Center (6,400 square feet in 2006) were added to the College’s athletic facilities to accommodate students’ needs for varsity, intramural, and personal fitness space. The College allocated operating funds to upgrade its inventory of buildings, most of which were built before 1969. Among the improvements that have been completed are office renovations, construction of group study areas and a café in the Library, three major roof replacements, safety and livability improvements in North and South Halls, accessibility improvements across campus, renovations in the White Hall Lobby and the Strebel Student Center’s Ellen Knower Clarke Lounge, a boiler replacement in Hubbard Hall, and the addition of a back-up generator for institutional computing. In addition, the College paid special attention to its public spaces, such as Romano Plaza and the White Hall entrance. Sidewalks and plazas have been renovated, gardens, landscaping, and lighting have been improved, new parking lots have been added, and old lots have been resurfaced.

There continues to be a pressing need for additional and updated science laboratory space; additional faculty office and research space; library modernization; and increased and modernized student space to house activities, support services, social gatherings, athletics, and theater productions. The $25 million Achieve Campaign that concluded in May 2011 funded, in part, new facilities for the Health Sciences, Economic Crime, Cybersecurity, and Criminal Justice programs as well as two Biology laboratories (see above). The focus now is on raising funds to renovate and reconstruct facilities for the physical and natural sciences.
Since 2008, the College partnered with Sightlines, Inc. in producing comparative studies of its facilities and facilities operations, based on other member colleges that are similar in terms of size, technical complexity, region, geographic location, and setting (Return of Physical Assets, - list of comparison changes slightly between 2008 and 2010: Underlined in 08 and 10, Italicized in 08 only, Plain in 10 only. Adelphi University, Elms College, Le Moyne, LIU-C.W.Post, Rider University, Saint Mary's College, Siena College, College of, Saint Rose, The Sage Colleges, University of New Haven, Wagner, Wheaton, Wilkes). Findings revealed that, in terms of its campus facilities:

- UC is similar in terms of the technical complexity needed to support its programs (08 and 10)
- the number of square feet per user (~400 users per 100,000 square feet) at Utica College is typical to that of the comparison colleges (range: ~180 to ~810 users per 100,000 square feet)
- UC has fallen well behind in funding for planned maintenance and has a comparatively large backlog of deferred maintenance. The backlog is greater in 2010 than in 2008.
- In 2008 UC was typical in terms of general impression and cleanliness, a little below average in terms of grounds and mechanicals, and a little above in terms of exteriors. Energy consumption was higher than comparison colleges.
- In 2010 UC outperformed its comparison institutions’ in grounds, maintenance, cleanliness and underperformed in energy consumption, but showed improvement in the previous year.

In collaboration with Faxton-St. Luke's Healthcare, the College built a co-generation facility on the St. Luke's campus; this facility began supplying electricity to both campuses in 2009. Utica College anticipates that its facility will provide 75 percent of its power more reliably at a cost savings and electricity costs will be cut by as much as 10 percent. To accommodate student-housing needs, the College leases Burrstone House from Faxton-St. Luke's. It also moved back-office operation to rented space at 600 French Road and the Office of Online and Extended Studies to the Utica Business Park to free resources in Gordon, DePerno, and White Halls for faculty offices and academic programs.

In the 2010 Plan for Utica College, the College committed to develop satellite campuses. The College is currently renting facilities from the United States Postal Service at the William F. Bolger Center in Potomac,
Maryland in support of research efforts for the College’s Center for Identity Management and Information Protection (CIMIP) and related Economic Crime and Justice Studies initiatives. The College is currently assessing the long-term viability of other programs in promising markets in support of alternative revenue opportunities.

**Finances**

The discussion in this section is based on the 11 fiscal years from 1999-2000 (the base year used in developing the College’s last Strategic Plan) to 2009-2010 (the most recently completed fiscal year). For the purpose of comparison, the years 1999-2000, 2004-2005, and 2009-2010 appear in the graphs below. During this period, the College changed its administrative computing systems. Data for 1999-2000 is based on the old computing system and, while the breakdown of income is not strictly equivalent to later years, it provides a good approximation of baseline data.

Between 1999-2000 and 2009-2010, the College’s income more than doubled from $26.2 million to $60 million in 2009-2010. Over the same period, net income generated by student enrollment (Tuition, fees, room and board) grew from $21.0 million to $52.1 million. This income source accounted for between 78 percent and 87 percent of the College’s total net income during this period. In 2009-2010, the College was more dependent on this source, as the country’s economy flagged and income from government grants and contracts, private gifts and grants, and investment, returns shrank (Exhibit 13).
Exhibit 13: Income by Categories in Dollars and as a Percent of Total Dollars; Fiscal Years 1999-2000, 2004-2005, and 2009-2010

For Definition of Categories: See National Center for Education Statistics’ Integrated Postsecondary Education Data System (IPEDS)
Between the academic years 1999-2000 and 2009-2010, the College’s expenditures grew from $26.0 million to $58.8 million in 2008-2009. The portion of expenditures allocated to Advancement grew from 21 percent to 25 percent as the College geared up for its comprehensive campaign, which is designed to achieve goals set in the Plan for 2010. Expenditures in other areas varied by smaller percentages, and did not move in a consistent pattern over the period (Exhibit 14).

Diversification of Tuition Income

Net tuition accounted for between 78 and 87 percent of the annual student-generated income discussed above. While it is clear that the College continues to be highly tuition dependent, the portion of that tuition income coming from the campus-based undergraduate market has fallen, making the College less vulnerable to the projected downturn in that particular market. New programs developed to serve the campus-based graduate market and domestic distance graduate and undergraduate market are generating increased revenue, which has offset loss of tuition being generated by the extended campus-based study market.

In 2009-2010, 74 percent of College’s net tuition was generated by the campus-based undergraduate market; the remaining 24 percent came from the campus-based graduate programs, the domestic distance graduate programs and undergraduate programs and the extended campus-based enrollments.
Exhibit 14: Expenses by Categories in Dollars and as a Percentage of Total Dollars 1999-2000, 2004-2005, 2009-2010

Exhibit 15: Net Tuition by Market

Campus-based Undergraduate Programs
Other Campuses Combined
Tuition Campus-based Undergraduates
Tuition all Other Campuses
While donations to the College in any one year generally vary due to the number and variety of donors’ interests and the differences in types of donations, donations to the College have trended upwards over the past 10 years. In the first five years of the period, the average amount received per year was $1.6 million. In the second six-year period, the College began its comprehensive campaign, and the average total amount received grew to $2.41 million. Donations in 2008-2009 and 2009-2010 were down four previous years, reflecting the general economic downturn.

The College’s comprehensive campaign has exceeded its financial goal of $25,000,000, but continues to seek funds to meet the need for new and renewed space for the College’s science programs as well as unrestricted annual giving.

The value of the College’s endowment and funds managed as endowment by the Trustees (quasi endowment) is a function of market, contributions, and allocations. The endowment grew from $13.0 million at the end of the 1999-2000 year to $19.3 at the end of the 2007-2008 year. At the end of the 2008-2009 year, the value had fallen to $16.4 million, primarily as a result of the crisis in the financial markets. At the end of the 2009-2010 year the value had risen to $18.4 as the result of new donations and market recovery.

Utica College’s ability to manage its debt is more limited than it was 10 years ago. The College uses a number of select financial ratios to monitor its debt capacity as well as to ensure compliance with preexisting debt agreement covenants. One of those is the viability ratio, which is a key ratio used by the Council on Independent Colleges to measure the College’s ability to cover debt with available resources (expendable net assets divided by long-term debt). The College’s ratios were .29, .44, .08 respectively in the 1999-2000, 2004-2005, and 2000-2010 years, well below the Council on Independent College’s suggested ratio of between 1.0 and 1.25. In part, the ratio has been made worse by a fall in the value of the endowment (see above), reducing available resources. Additionally, this ratio has become lower because the College, as part of the 2010 Plan for Utica College, set about investing in its facilities (see above) to add and renovate space, to support new programs, and to present a more competitive face as it pursued enrollment growth using long-term debt. While the College computes several financial ratios in conjunction with a summary of long-term debt on an annual basis to monitor its debt capacity, this measure is indicative of the College’s overall financial ability to finance its future.

\[ \text{Alumni Donors} \]

\[ \text{Other Donors} \]

\[ \text{Annual Fund} \]

\[ \text{Capital Fund} \]
APPENDIX 3: INSTITUTIONAL STRENGTHS AND CHALLENGES
When the College’s internal strengths and challenges are examined in light of environmental factors, key institutional issues emerge.

**Strengths**

The College enters the next 10 years with experienced and energetic leadership that values innovation and entrepreneurial approaches to its educational programs, student support services, and program delivery systems. The Board has restructured its committees around the initiatives in the College’s strategic plan to insure that the College moves systematically to build on its strengths and address its challenges; it has broadened its membership in terms of diversity, geographic representation, and range of expertise; and it is completing a comprehensive campaign that will exceed its monetary goal, which is three times as great as the previous campaign’s goal. In the past 10 years, faculty members have designed and inaugurated more than 20 undergraduate and graduate programs, redesigned existing programs to meet the changing expectations of society, the changing requirements of the professions, and the learning needs of students, and has gained national and international recognition for programs and research in fields as diverse as human rights, economic crime investigation, and history. The College has reconfigured and introduced new academic support services such as expanded online tutoring, technical support, and access to information, and new student support services such as academic coaching for first year students in the resident halls; and has begun integrating an information commons into its traditional library. It has also undertaken projects that improve services to students, such as creating an Office of Student Financial Services that allows students to resolve issues related to financial aid and billing in one location. It has also undertaken projects to improve the efficiency and effectiveness of underlying operations, such as the construction of a co-generation facility in partnership with Faxton-St Luke’s Healthcare. In addition, the College has become more sophisticated in planning and implementing new programs. The Middle States Commission on Higher Education, in its reaccreditation Report to the Faculty, Administration, Trustees, and Students in 2008 (2008 Middle States Report) noted that the College “has renewed its spirit by involving people throughout the campus in institutional planning, by mobilizing the College community around a common enterprise, and by nurturing a spirit of possibility.”

**Momentum**

The College enters the next 10 years with experienced and energetic leadership that values innovation and entrepreneurial approaches to its educational programs, student support services, and program delivery systems. The Board has restructured its committees around the initiatives in the College’s strategic plan to insure that the College moves systematically to build on its strengths and address its challenges; it has broadened its membership in terms of diversity, geographic representation, and range of expertise; and it is completing a comprehensive campaign that will exceed its monetary goal, which is three times as great as the previous campaign’s goal. In the past 10 years, faculty members have designed and inaugurated more than 20 undergraduate and graduate programs, redesigned existing programs to meet the changing expectations of society, the changing requirements of the professions, and the learning needs of students, and has gained national and international recognition for programs and research in fields as diverse as human rights, economic crime investigation, and history. The College has reconfigured and introduced new academic support services such as expanded online tutoring, technical support, and access to information, and new student support services such as academic coaching for first year students in the resident halls; and has begun integrating an information commons into its traditional library. It has also undertaken projects that improve services to students, such as creating an Office of Student Financial Services that allows students to resolve issues related to financial aid and billing in one location. It has also undertaken projects to improve the efficiency and effectiveness of underlying operations, such as the construction of a co-generation facility in partnership with Faxton-St Luke’s Healthcare. In addition, the College has become more sophisticated in planning and implementing new programs. The Middle States Commission on Higher Education, in its reaccreditation Report to the Faculty, Administration, Trustees, and Students in 2008 (2008 Middle States Report) noted that the College “has renewed its spirit by involving people throughout the campus in institutional planning, by mobilizing the College community around a common enterprise, and by nurturing a spirit of possibility.”
Since 1946, every version of the Utica College mission, including the current version, has placed emphasis on integrating liberal and professional studies in an environment that sets great value on individual attention and lifelong learning. The 2008 Middle States Report characterized the current mission as “coherent and appealing,” and noted that the College “clearly enunciated institutional values.” The report adds that the College’s planning is consistent with its mission. The mission and values statements as stated in 2000 were reviewed as part of the drafting process of this strategic plan, and the Strategic Planning Committee found that the community remains committed to the College’s historical purpose and values: integrating liberal and professional in and focusing on individual students. At the community’s request, the mission and values statements were made more concise.

There is evidence across the campus that the College is actively advancing its mission. The faculty is both developing new and revamping existing curricula that integrate liberal and professional study. Faculty members are reaching out to adult and place-bound students through online offerings, and encouraging students to become involved in major-related activities such as clubs, attendance at professional conferences, and research. Staff members are developing new services and programs designed to foster individual student success, including online tutoring, proactive individualized outreach for students who are new to the campus-based programs, a support program for veterans, academic support programs and mentoring imbedded in the varsity sport programs, and newly implemented course software that provides faculty with more sophisticated tools to monitor student participation in online courses.

The faculty and staff are warmly regarded by the vast majority of students and alumni. Current students, prospective students, and alumni regularly characterize the College’s employees as friendly and caring. Many faculty and staff are actively involved in the local community as volunteers, board members, and project leaders and advisors.

In 2008, the Middle States Reaccreditation Visiting Team characterized the College’s faculty “as a clearly hard-working, dedicated, and qualified group of individuals.” As reported in the 2008 Middle States Self-Study, faculty members typically teach 12 hours each semester and carry, on average, a 25-to-1 advising load. In addition, 70 percent published or presented in the two years prior to the self-study. In students’ eyes, the
quality of faculty interaction with students in their discipline ranks highly among the strengths of the institution. The faculty is actively engaged in research, often working collaboratively with colleagues and students. While it is impossible to list all types of faculty activity here, the following are examples of the types of activities undertaken. Faculty members assume leadership roles in national and international professional organizations in fields as disparate as Physical Therapy and Human Rights, and receive prestigious awards to pursue study from sources such as the Gerda Henkle Foundation and the National Endowment for the Humanities. They serve their professions by serving on editorial boards in the fields of education and business and grant review panels in fields such as geology education and presenting posters in numerous fields. They write and edit textbooks in criminal justice and math.

Staff members take a similarly active role in reaching out to students, prospective students, their professional colleagues, and the local community. On their own time, they attend student events, and reach out to high school students at local financial aid and admissions information nights and at programs for students with disabilities transitioning to college. They serve as officers, presenters, and organizers for professional group as diverse as College Student Personnel Association of New York; Counselors of Central New York; Mohawk Valley Society for Human Resource Managers; College Student Educators International; Admissions, Orientation, and First-Year Experience Directorate Board; and New York State Disability Services Council. The support staff governance group regularly undertakes projects that benefit the less fortunate members of the greater Utica community.

Utica College has nearly 40 undergraduate programs and more than 20 graduate programs that serve four distinct student markets that differ from each other in terms of educational goals, age, life-stage, and geographical locations. This diversity enriches the classroom and creates a dynamic working environment. In addition, the College has experimented with and is actively exploring taking its programs to students in foreign countries and additional locations in this country, thus positioning it to diversify its tuition revenue stream. (See Educational Programs, Enrollments, Student Characteristics, and Competition by Student Market)

The College is deliberately developing its limited expertise in satellite-site and international education and operations as a preliminary step to
taking its distinctive programs to new populations of students.

Strengthened Institutional Identity – In the words of the 2008 Middle States Report, the College “has pursued a robust vision to position the institution and has clarified its identity in the higher education marketplace.” The College has seen measurable increases in applications, campus visits, and admissions, at both the undergraduate and graduate levels.

### Exhibit 17: Growth in Admissions Activity

<table>
<thead>
<tr>
<th></th>
<th>First Tracked in Administrative Information Systems</th>
<th>Percent Increase 2010 Compared to First Track Year</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Undergraduate Campus-based Programs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applications</td>
<td>2005</td>
<td>28%</td>
</tr>
<tr>
<td>Admissions</td>
<td>2005</td>
<td>26%</td>
</tr>
<tr>
<td>Campus Visits</td>
<td>2008</td>
<td>22%</td>
</tr>
<tr>
<td><strong>Graduate Campus-based Programs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applications</td>
<td>2005</td>
<td>205%</td>
</tr>
<tr>
<td>Admissions</td>
<td>2005</td>
<td>233%</td>
</tr>
<tr>
<td>Campus Visits</td>
<td>2008</td>
<td>63%</td>
</tr>
<tr>
<td><strong>Undergraduate Distance Programs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applications</td>
<td>2005</td>
<td>75%</td>
</tr>
<tr>
<td>Admissions</td>
<td>2005</td>
<td>76%</td>
</tr>
<tr>
<td><strong>Graduate Distance Programs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applications</td>
<td>2005</td>
<td>84%</td>
</tr>
<tr>
<td>Admissions</td>
<td>2005</td>
<td>77%</td>
</tr>
</tbody>
</table>

The growth of the campus from the architectural standpoint has given rise to an increased level of awareness of the dynamic nature of the College’s academic and research programs generally and in the areas of signature programs like Physical Therapy (Romano Hall), Economic Crime and Justice Studies (ECJS Building), and Public Relations/Journalism (Professor Raymond Simon Convergence Media Center) in particular. Several of the College’s institutes and centers, notably the Economic Crime Institute, the Center for Identity Management and Information Protection, and the Human Rights Advocacy Program, have bolstered the institution’s reputation and profile in national and
international arenas. Programs such as the Institute for Excellence in Education, the Mohawk Valley Center for Economic Education, and The Mohawk Valley Writing Project strengthen the College's identity in regional professional circles. The College has successfully completed rigorous processes for accreditation both institutionally and with regard to a number of its academic programs. Among alumni, who are increasingly involved with their alma mater, the College is now perceived as a progressively robust institution that offers broader academic programs and cocurricular activities in improved facilities on a more mature, residential campus. The College and local community have a healthy and mutually supportive relationship. The College's athletic programs have given the College more regional visibility, and additionally have attracted students from a broader geographic area. There is growing recognition of the College as a local economic engine, a fact to which several local, state, and federal officials have spoken, and the College has seen increased political and private support.

Challenges

Financial Constraints

The College faces substantial financial constraints that stem from its history as a tuition-dependent branch campus and from changes in the external environment.

The College continues to be very tuition dependent. The College has a very low endowment-to-student ratio that, in part, grows out of its history. As a branch campus, the College balanced its budget on a yearly basis, had difficulty attracting grant support because it did not have financial independence and independent oversight of its programs, and had alumni whose loyalties were often divided between the College and its parent university. The low endowment means there is little protection from dramatic changes in the environment and few resources with which to invest in new and innovative programs and services. In the words of 2008 Middle States Report, the College “remains vulnerable to the decline in high-school graduates, especially in the Northeast, to economic fluctuations, and to the intense competition in the higher education marketplace.”

Certainly the global financial crisis that began in 2008 complicates the College's financial picture by negatively affecting families' ability to pay for college as well as reducing the College's ability to increase its donor base, build its endowment, address its deferred maintenance
and accessibility issues, and maintain and invest in the human, technological, physical, administrative resources that will sustain the College’s fundamental core as well as its new initiatives. In addition, the College’s debt ratio is relatively high because, over the past 10 years, the College purposefully increased its debt burden to finance expansion and modernization of its physical plant to serve the learning and living needs of its current and future students and to make itself more attractive to prospective students. In the face of these realities, the College must develop a financial safety net in a volatile economy and expand its capacity to finance its future.

Given both the federal and state governments’ interest and involvement in higher education, any changes in policy, regulations, reporting requirements, or funding will directly affect the College’s operations and its competitive position vis-à-vis other institutions. In the past 10 years, public funding policy, particularly state public, has shifted funds away from independent non-profit institutions (see Higher Education Context); regulation, particularly at the federal level, has changed institutional operations and accreditation oversight; and reporting requirements have changed both lending institutions’ approach to student loans and families’ approaches to decision-making in choice of college attendance. In the current economic environment, the College can expect sudden and jolting governmental changes in approaches to the higher education sector.

The College has made and expects to continue make broad and rapid changes in its programs, thereby straining its current academic oversight mechanisms, its support systems, and its technical, human resource, and management infrastructures. This will require that all of the College’s systems become more flexible, proactive, and efficient. Among the particular challenges the College faces are:

- delivering consistency and quality in the College’s programs and student services across locations and delivery systems
- attracting a larger portion of students who can excel at Utica College while remaining true to the College’s commitment to serve disadvantaged students
- enabling student success and persistence to graduation regardless of the format of the College’s degree programs
- documenting educational outcomes and using the results to improve the College’s diverse and changing programs
- ensuring appropriate faculty oversight of the curriculum
• ensuring sufficient cash flow in the face of the need for reinvestments in programs and investment in new programs
• providing timely, accurate well formatted financial information and analyses
• staffing the enterprise with a sufficient number of personnel who have the skills and attitudes necessary to deliver quality programs and meet the needs of a diverse student body
• developing internal communications appropriate for a multifaceted, complex institution
• providing the appropriate information systems to support teaching and learning in rapidly changing internal and external environments.

The College will need to ensure that the stress of change on systems and resources does not overwhelm its ability to move forward.

The strategic leadership of the Board and the administration, including the academic administration, has been remarkably stable over the past 10 years. However, there will be transition due to retirements in the next 10-year period. It is imperative that the College have a clear sense of its direction and broad commitment to that direction to guide it during the leadership transition it will face. It is crucial that all constituencies maintain open and honest communication about the long-term health of the College, the challenges it confronts, and the successes it enjoys. It must create viable three- to five-year action plans, communicate those plans, and move purposefully if the College is to fulfill its mission in new and creative ways.