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**IN 1995**, Utica College (known also as Utica College of Syracuse University) became an independently chartered institution in the State of New York. While the College maintains its unique academic relationship with Syracuse University and is privileged to offer the Syracuse undergraduate degree, the historic change in legal status has set in motion events that will transform the institution over the next decade.

Utica College was founded in 1946, but in some respects is only four years old. The leadership and faculty of the College have an opportunity—a duty—to set a new course for the future, building upon the notable traditions and strengths of this relatively young institution. This College stands at the threshold of a new era in its history. Its choices are clear. To advance will require resolve and risk-taking in order to forge and realize a shared vision for the future. To retreat will mean the tragic loss of opportunity.

It is in this context that the College's leadership initiated during the 1998-99 academic year a participatory strategic planning process that will become an established component of the College's new governance and planning structure. The process is guided by a Strategic Planning Committee that currently includes elected representatives of the faculty and SCT classified staff, senior administrators, and appointed members of the faculty, student body, the Board of Trustees, and the National Alumni Council.

The process itself combines attributes of what are commonly referred to as long-range planning, "entrepreneurial" planning, and operational planning. The College is implementing the process in four phases. The first phase involved the creation of a two-year action plan (1998-2000) designed to address immediate challenges and mission-critical imperatives. After campus-wide consultation, the president submitted this plan to the Board of Trustees at its September 1998 meeting, and the Board unanimously endorsed the plan. The second phase involved the identification of the College's Strategic Initiatives for the future. During this phase, the Strategic Planning Committee evaluated the College's strengths, assessed its weaknesses and challenges, and identified seven Strategic Initiatives and related major goals. Various campus constituencies reviewed and commented on this work throughout the process. This process concluded with consideration by the College Council in November 1999 and approval by the Board of Trustees in December 1999.

The third phase of the planning process, which began in 1999-2000, involved the formulation of an implementation-operational plan that specifies additional goals and objectives, strategies, responsibilities, timelines, benchmarks, evaluation of outcomes, and budget implications. Establishing the strategic and operational planning process as an ongoing, regular, and systematic feature of campus governance will constitute the fourth phase. Annual evaluation of the plan and the use of those results in ongoing planning and in budget development are part of the strategic planning process.

The College has identified seven Strategic Initiatives and related goals that set the institution's agenda for the next five years and that chart the major direction for the College over the next decade. While these initiatives affirm and build on the College's strengths and achievements, they also express the campus community's intentions for the future. These initiatives are as follows:

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**Strategic Initiative 1:** Distinctiveness—Utica College will support and develop programs known for their distinctiveness and excellence.

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**Strategic Initiative 2:** Learning Community—Utica College will embody a student-centered learning community that offers diverse curricular and cocurricular experiences that promote the College's mission and foster its values.

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**Strategic Initiative 3:** Educational Quality and Accountability—Utica College will dedicate itself to the continual improvement of its academic programs, teaching-learning practices, and cocurricular services.

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**Strategic Initiative 4:** Informed Innovation—Utica College will commit itself to innovation in program offerings and program delivery based on effective planning.

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**Strategic Initiative 5:** Integrated Marketing—Utica College will advance its programs, achievements, and reputation through an integrated marketing and communications plan.

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**Strategic Initiative 6:** Financial Vitality—Utica College will develop a stronger financial foundation for current and future programs.

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**Strategic Initiative 7:** Resource Enhancement—Utica College will strengthen and invest in its resources for academic and cocurricular programs.

As the College develops rolling short-term and long-range plans, these seven initiatives will guide the actions we take to transform this institution and establish its identity in the very competitive higher education marketplace in New York and the Northeast. Utica College will continue to build on the strengths of its faculty and programs while accepting the challenges that a new charter and a new vision hold for the future.



Todd S. Hutton  
President

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# MISSION AND VALUES

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## Mission

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

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## 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:

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

President Hutton has noted that a sense of purpose and a mission statement are not sufficient to form a basis for action; it is necessary to create a vision in order to act. Utica College is now in the process of creating its vision for a new era. The President has shared his vision for the College's future. He desires Utica College

To be one the nation's finest small regional universities acclaimed for its integration of liberal and professional study, for its "centers of academic excellence," for its innovative and cutting edge master's degree programs, and for its diverse learning community.

Elaborating on this vision statement, the President has offered the following view of Utica College:

"We will achieve the status of one of the nation's finest small universities not because we have sought to join the ranks of America's premier institutions, but because we pursue our sense of purpose and our unique mission with a degree of excellence that earns us the recognition of our peers and a discerning public. We will be known as one of the best because we are recognized for how well we bring together professional study that is liberal, and liberal study that educates for profession. This will be achieved by a well-developed internship program/senior year experience for all majors and by an innovative general education program that integrates our Core curriculum with each program of study.

In my vision for Utica College, we will cherish our own heritage and our relationship with our mother institution, Syracuse University, even as we forge a new place for ourselves in the higher education community. We will be known for our academic centers of excellence and our master's degrees that offer gateways to career and innovative approaches to meeting the emerging needs of society.

We will have larger undergraduate and graduate student bodies, which will enable us to offer students a richer campus life and educational experience. But we will not be so large as to lose the special character of caring that has defined this college since its days on Oneida Square. As a college community we will reflect a rich diversity of perspective and background, a quality that will enable us to prepare students for career and leadership in a global society. This experience will enable students to appreciate the possibilities that an increasingly interdependent world offers.

Our Utica College of the future will be characterized by a transformed living, learning, and working environment. In the next ten to twelve years we will construct a new state-of-the-art science and technology center and a second new residence hall; expand the Strebel Student Center, Gannett Library, and our athletic facilities; renovate every other building on campus; and implement a campus beautification plan. We will also give serious consideration

to building a new theatre facility, as part of the Strebels Center or as a separate building, and to constructing an ice arena that can be shared by the College and the greater Utica area.

The Utica College of the future will be an important resource for a once again growing and thriving Utica-Rome metro area and the Mohawk Valley. We will be part of a dynamic, revitalized region known for its exceptional quality of life, its excellent cultural amenities, its unparalleled four-season recreational opportunities, and its small but exceptional colleges and universities.

Lastly, as part of my vision, UC will be a place where students can comfortably and actively explore spirituality, faith, and values, whether they come to our community from Protestant, Roman Catholic, Jewish, Islamic, Buddhist, Hindu, Humanist, or agnostic backgrounds. As part of their learning experience, students will reflect on how their belief systems relate to career and life in community. And they will have opportunities to apply their personal beliefs in career-related internships and service learning experiences.

This is my vision for Utica College, or at least a significant portion of it. I have asked the campus community to join me in creating a shared vision for a new era in the College's history, a vision that will take us twenty years into the future. Thoreau aptly observed that, "We are not what we are, ... but for what we are capable of being." I know that we are capable of being what we dream and envision for the future."

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# THE UTICA COLLEGE CONTEXT:

## Current Environment and Major Trends During the Last Decade

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### Current Competitive Environment

Utica College exists today in an extremely competitive higher education marketplace. In fact, professionals in college marketing predict that 10 percent of the small private colleges in New York State will close within the next decade. Competition from the growing public sector with its subsidized tuition rates is a major challenge, as is the trend among New York independent sector colleges to use both endowments and tuition revenues to increase tuition discount rates. In addition to competition from New York's public and independent colleges, the College faces significant competition from out-of-state selective institutions. These out-of-state colleges currently account for a net outflow of high school graduates from New York State.

Utica College draws a third of its full-time and virtually all of its part-time students from the surrounding Mohawk Valley where four publicly supported institutions, Mohawk Valley Community College, Herkimer County Community College, SUNY Institute of Technology, and SUNY Morrisville, and one highly selective independent college, Hamilton, actively promote their programs of study. The College's secondary recruitment area is the remainder of New York State where 64 SUNY, 17 CUNY, and over 100 independent institutions compete for students. The College is actively reaching into other areas of the Northeast to find students.

Utica College enters the marketplace with three strengths. Utica College enjoys the competitive advantages that are associated with small private colleges: small classes, excellent faculty, and individual attention. It has specific programs that are widely recognized for their quality. It offers the well-known Syracuse University degree.

While the College has relied on these qualities in its promotional and recruitment activities, these characteristics alone do not create a distinct presence in the marketplace with which students can identify. The College is critically aware of the need to address the issue of price versus value, to improve its programs, to develop attractive new programs, and to develop and communicate powerful and meaningful differences between Utica College's offerings and those of its competitors.

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## Change in Governance/Charter

Utica College was founded in 1946 as a cooperative venture between Syracuse University and local community leaders. While the local community provided financial resources, Syracuse University provided the legal and academic structure for the new college. Utica College operated as an essentially autonomous division of the University with its dean and/or president 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 was formed to raise money and hold financial and real estate assets for the College. In 1978, the institution became the first college within the University system to seek and receive separate accreditation by the Commission on Higher Education of the Middle States Association of Schools and Colleges. In the early 1990s, the Foundation and the College began a new level of dialogue about the College's future. The College began to openly inform the Foundation, as well as the University, of its academic direction. While the Foundation did not have legal authority to govern, its Board of Directors 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 allows an academic relationship between the College and the University to continue while establishing the College as a legally, financially, and operationally independent entity. As a result of the charter, Utica College created its own Board of Trustees, which is responsible for financial oversight and policy setting for the College. The president of Utica College reports to the UC Board of Trustees. Through a Memorandum of Understanding with Syracuse University, Utica College continues to grant the Syracuse undergraduate degree, while offering its own master's degrees.

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## Leadership

Since its founding in 1946 as a college of Syracuse University to serve the educational needs of local returning veterans, Utica College has grown to serve a wide variety of students from across New York and the Northeast. While the oversight Syracuse University furnished between 1946 and 1995 did provide a significant level of comfort and stability for the academic community, it also unintentionally inhibited the type of strategic thinking necessary to develop full institutional independence.

When Utica College acquired its charter in 1995, members of its first Board of Trustees energetically dedicated themselves to the task of developing Utica College as an independent institution responsible for its own financial and academic future. They quickly recognized the need to set strategic direction to guide the institution's transition, and when the presidency became vacant, they actively sought a new president with considerable planning experience. In spring 1998, they appointed Dr. Todd S. Hutton as president of the College.

During his first year on campus, Dr. Hutton instituted a collaborative planning process, which enabled all constituencies of the College to participate and gain ownership in a new vision for the College. He challenged the campus community and initiated plans for new academic and athletic programs to be implemented during the 1999 to 2002 period. This strategic plan is the result of his leadership.

Dr. Hutton's leadership and drive have attracted other planning oriented leaders, including a new vice president for academic affairs, dean of graduate and continuing education, and vice president for institutional advancement. The Board of Trustees, leaders in key College positions, faculty and staff, and the local community have demonstrated support for President Hutton and this strategic plan for Utica College.

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## Academic Programs

**Trends in Academic Programs**—Like other tuition-driven institutions, Utica College has remained responsive to its markets by changing its mix of programs – adding new programs when there was promise, demand, and mission relevance; modifying programs to improve academic coherence or viability; and discontinuing programs when promise or demand diminished. During the last decade, this has meant adding new baccalaureate degrees in physical therapy and health studies. The major in sociology evolved into a combined major in sociology and anthropology, and the human studies major was retitled liberal studies to better reflect its content and clearly distinguish it from the new health studies programs. The College dropped baccalaureate majors in engineering, gerontology, actuarial science, and,

most recently, construction management and fine arts, but continues to offer coursework in the engineering, gerontology, and fine arts fields.

Utica College has also broadened its mission to include entry-level master's degrees. As of the fall of 1999, three master of science degrees have been introduced in economic crime management, physical therapy, and education.

In general, the enrollment trends at UC reflect those within the higher education community. There has been a very high demand for programs in the health science fields (reflecting perceived job opportunity), while demand in the accounting and management areas has softened considerably, although to a much greater degree at UC than is generally typical. Psychology and biology continue to be the liberal arts and sciences programs with the greatest demand, as they are nationwide.

**Faculty Scholarship and Development**—Faculty at Utica College engage in a wide range of scholarly activity that enlivens the spirit of inquiry on campus. Currently, research and publication occur in areas as widely diverse as molecular biology, health economics, public relations, animal taste preferences, and Sephardic literature. New faculty are bringing strong research backgrounds in areas new to the campus. For these newer faculty, in particular, there is a challenge in pursuing research and other scholarships as they take on the rigors of a 24-hour teaching load.

After a period of significant increases in the early 1990s, funds for faculty development have returned to a level approximately equal to that of 1988. Available funds have been used primarily to support presentations at conferences and summer research fellowships. Funds for faculty development in pedagogy and technology are extremely limited. Meeting these needs will be critical as the College undertakes changing its programs and as it is confronted with competition from other colleges and corporation-based training programs.

**Dynamic between Liberal and Career (Professional) Programs**—There exists at Utica College a not uncommon tension between liberal arts and professional programs. On a fundamental level, the underlying goal of a liberal 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 career program, learning a prescribed body of knowledge and skills. As the College strives to achieve balance between liberal and career 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 career programs is critical if the College is to give students opportunities to pursue the goals of both liberal learning and professional preparation. Utica College has, in fact, been relatively successfully at this. In 1987, the ratio of students in career versus liberal arts versus undecided majors was approximately 7:2:1. In 1997, it was approximately 6:3:1. A decline in the number

of management students has been offset partially by enrollments in new health science programs. The needs of the health science programs, however, have been far more visible than the needs of the management programs, and that visibility has led to an impression on campus that career programs are becoming more prevalent at UC.

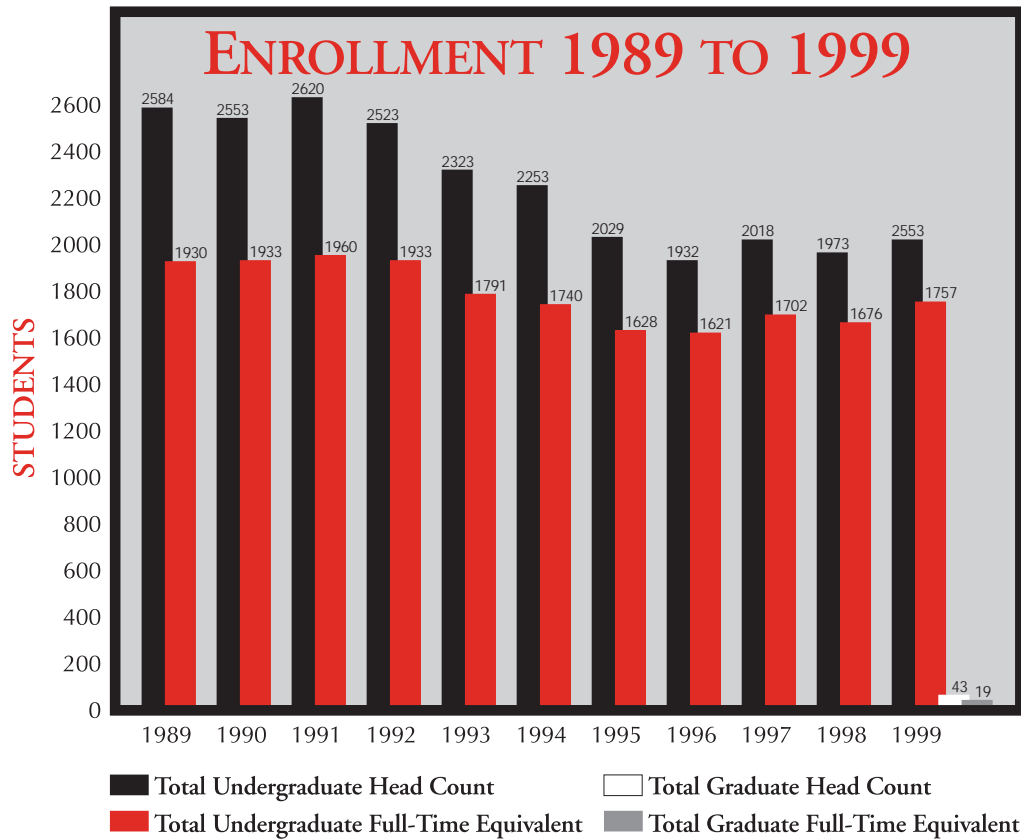
In addition, there is tension between the liberal arts and career areas involving question of autonomy and finances. Many liberal arts and sciences faculty are critical of the demands that outside accrediting bodies, common in professional education, make on curricula and institutional resources. Career program faculty often receive higher salaries due to market-driven factors. Moreover, liberal arts and career faculty typically have different perspectives on faculty service and professional accomplishment and this potentially affects faculty promotion and tenure decisions.

## Financial Trends

**Enrollment and Financial Patterns**—Eighty-five percent of Utica College’s unrestricted educational and general income is generated from tuition; therefore, enrollment and financial aid levels are the major factors in the College’s financial health. Between 1991 and 1996 there was a precipitous decline in student headcount (HC). (See chart) The majority of the loss in enrollment was the result of a decrease in the part-time, low-tuition continuing education division. Part-time enrollment peaked in 1991 at 990 when the program at Griffiss was active. It is now 389. The full-time undergraduate population, which peaked at 1640 in 1992 and bottomed at 1430 in 1995, is currently 1628. The full-time equivalent enrollment (FTE) shows less variability since changes in part-time enrollment have less effect on this figure than changes in the full-time enrollment. (See chart)

The College has adopted several strategies to deal with fluctuating enrollments including:

- developing programs to increase retention of students who are enrolled in the College
- strengthening recruitment efforts
- managing the Financial Aid budget to support enrollment and net tuition revenue goals
- investing in campus improvements that would make the campus more attractive to prospective students
- adding selected undergraduate and graduate programs
- enhancing cocurricular activities, most notably intercollegiate athletics



The College also adopted several strategies to deal with the financial stress this enrollment pattern engendered including:

- containing costs
- investing in technology and a residence hall to produce additional auxiliary income
- adopting a total return concept for endowment management and spending policy which permits access to unrealized capital gain
- using debt service reserves to pay off debt service early, thus relieving the College of principle and interest payments
- initiating new development efforts, including a major capital campaign
- adopting new methods to manage receivables that both support enrollment and reduce receivables

**Capital Campaign**—During 1993 and 1994, Utica College, in anticipation of receiving a charter as a new independent institution, prepared to launch a capital campaign. In 1994, the College entered the silent phase of The Campaign for Utica College, a comprehensive campaign designed to raise \$8 million for scholarships, general endowment, educational advancement (equipment and program support), and the Annual Fund. Foundation Director Emeritus Edward W. Duffy '50, Honorary Chair, and Trustee Dominic D. Carbone, General Chair, and a full Steering Committee assumed leadership for the Campaign.

The Campaign was publicly announced in conjunction with the College's 50th Anniversary year at the Scholarship Luncheon in September 1996. The Campaign closed on May 31, 1999 with more than \$12 million in commitments, roughly 50 percent over the original goal. The Campaign for Utica College is the most successful in the College's history, giving the endowment its largest increase since its creation.

**Growth in Budget**—Over the last decade the College's Educational and General budget, excluding financial aid, has grown from \$13,778,000 to \$20,404,000. Expenditures have grown from \$7,138 per full-time equivalent (FTE) student to \$12,174 per FTE.

**Growth in Endowment**—The College's endowment grew, not only as a result of the Capital Campaign, but also as a result of increases in market value. The full market value ten years ago was \$2,620,000. Today it is \$11,218,000.

## Institutional Stability and Growth

As noted previously, one of the challenges that has confronted Utica College over the past two decades has been dramatic fluctuation in enrollment. Because the College's budget is largely tuition driven, this has meant considerable variation in financial stability from year to year. To illustrate, new student enrollment (freshmen and transfers) was 447 in 1978, 630 in 1981, 449 in 1985, 592 in 1990, 493 in 1995, 544 in 1996, 506 in 1998, and 548 in 1999. External factors such as a downturn in the traditional age college population in the Northeast during the early part of the 1990s, and the closing of Griffiss Air Force Base in the mid-1990s, adversely affected revenue from both regular full-time students and continuing education students. Without endowment revenue that could help cushion the swings in enrollment and with faculty-to-student and staff-to-student ratios that were unsustainable, the College has experienced pronounced financial challenges during the past five years.

In order to achieve financial vitality, the College must increase and diversify its tuition revenue sources. This will require increases in undergraduate enrollment by

2010, with a potential goal of between 2,100 and 2,500 degree-seeking undergraduate students (up from 1835 in fall 1999). It will also require increases in graduate and continuing education enrollments, which have the potential to grow exponentially over the next decade.

At the same time the College must increase its revenue from non-tuition sources. Strategies must be pursued that will increase revenue from endowment resources, annual contributed income, and grant support for program initiatives. Growth in endowment must be a high priority. Currently at \$11.2 million, the endowment should reach between \$40 million and \$50 million by 2010. At current investment earnings, today's endowment would be expected to double in ten years. The College must also see growth in its annual fund, both unrestricted and restricted, including gifts from individuals, foundations, corporations, and governmental sources. These dollars are the primary sources of funding for quality initiatives and professional development.

In sum, diversification and growth of revenue, both in absolute terms and as a ratio of revenue per student or revenue per faculty, will be necessary ingredients for a financially vital future.

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## **Campus Facilities**

The majority of the College's facilities were constructed between 1961 and 1969. The College built one building in 1972 (Harold Thomas Clark, Jr. Athletic Center) and one in 1983 (Alumni Hall). The College purchased Burrstone House and Champlin House in 1988. Major additions and selected renovations took place in the Clark Athletic Center and Addison Miller White Hall in the 1990s. Recently the College sold Burrstone House and leases back the space for student housing. A new residence hall was completed in August 1999. The College improved its technology infrastructure during the 1993 building project and undertook a major \$1 million technology initiative during 1998-1999.

Agencies that have visited the campus to inspect the buildings for bondholders have commented that the physical plant is very well maintained. However, the campus clearly has a need to renovate 30-35 year old buildings and to replace infrastructure items such as boilers, roads, and sidewalks.

There is a serious need for improvements and increases in classroom space, office space, and storage space. The need for classroom space is generated by the addition of programs that require dedicated laboratory space, and the necessity for computer labs and other teaching-learning space designed for new ways to deliver curriculum. Private office space is needed to attract faculty and staff and, once hired, allow them to have private space for consultation with students and research activity.

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## Characteristics of the Student Body

Utica College undergraduate students, whether they are pursuing degrees full-time or through continuing education, can be characterized as upwardly mobile, career-directed, and serious about their education. Over 30 percent of students are the first in their families to pursue a bachelor's degree. Although 22 states and 17 foreign countries were represented in the student body in fall 1999, 89 percent of the students resided in New York State.

The demographic profile of students clearly reflects the College's commitment to fostering diversity of perspective, background, and experience. Thirty-seven percent of the full-time students were male and 63 percent were female. In Fall 1999, 16.9 percent of the matriculated day students identified themselves as black non-Hispanic, Hispanic, American Indian or Alaskan Native, or Asian or Pacific Islander; 67.4 percent identified themselves as white non-Hispanic; 2.5 percent were foreign students; and 13.1 percent did not classify themselves. The part-time student enrollment is primarily white non-Hispanic, reflecting the demographics of the immediate geographic area.

Approximately 46 percent of the matriculated full- and part-time day students lived in college residence halls in 1999, while 22 percent lived in off-campus housing and 32 percent commuted to the College from their homes. Part-time evening students generally commute from their primary place of residence. The trend has been for the campus to become more residential. Prior to the opening of the new residence hall in the fall of 1999 only 41 percent of the matriculated day students lived in residence halls.

Most full-time students have jobs on campus and many students also work 15-25 hours per week off-campus.

The academic profile of the student body indicates a broad spectrum of academic ability. About 10 percent of the students can be characterized as academically talented, based on their scores on standardized achievement tests and their secondary school transcripts. About 12 percent of the students are in an "at risk" category at entrance, either as part of New York State's Higher Education Opportunity Program or as "conditional admits." "Conditional admits" are students who are identified in the admissions process as capable of graduating from the College, but whose lack in academic skill or attitude could hinder their success. The "at risk" students are required to avail themselves of the assistance of the Academic Support Services staff.

In fall 1999, approximately 10 percent of the matriculated student body were in the process of exploring the curriculum and had not declared a major. Fifteen percent had elected a major in the Division of Arts and Sciences, 39 percent had chosen to study in the Division of Health and Human Studies, and 36 percent had chosen a

major in the Division of Social Sciences and Management. Approximately 30 percent of the matriculated students are majoring in traditional liberal arts majors.

The majority of full-time students are of traditional college age but a significant minority of the transfer and second-degree students are over twenty-four years of age. Seventy-one (71) percent of the full-time population falls in the traditional college age group of 18 to 21. Seventeen (17) percent are between 22 and 24, 6 percent are between 25 and 30, and 6 percent are over 30. Only 7 percent of the part-time student body is of traditional age.

The College's values that express its ethical and interpersonal dimensions are actively promoted in the cocurricular life of the campus. Students assume much of the responsibility for the governance of the social and residential life on campus and participate in the judicial process that adjudicates code of conduct violations. An active Student Senate serves as the liaison between the student body and the administration and funds social and community activities. Some 70 student clubs and organizations provide opportunities for social, volunteer, and professionally related activity. A weekly student newspaper provides news and information to the campus community and a campus radio station offers programming that appeals to diverse populations. Twelve intercollegiate sports and four club sports offer opportunities for athletic competition on the Division III level and a strong intramural program involves about 70 percent of the undergraduate population. By the fall of 2000 the College will have added three women's and two men's intercollegiate sports to bring the total to 17. Academic, personal, and career counseling are readily available to all students, thanks to staffing levels that allow for such support.

The College sees a challenge in seeking to involve more commuting and non-traditional students in the cocurricular life of the campus. An increase in the numbers of commuters involved in campus activities has followed a concentrated effort by the Student Affairs staff, but there is still opportunity for improvement in this area.

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# ENVIRONMENTAL INFLUENCES

## — Present & Future

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### Social Influences

**Demography**—Utica College's future will be influenced by the demographic changes taking place in New York and the Northeast. The number of New York high school graduates in the next five years will grow 9.5 percent from approximately 164,084 to 180,000. Over the following five years it will grow an additional 8.9 percent to 196,000. Growth in the Northeast will be 8.6 percent in the next five years and 6.5 percent in the following five years. People of color will represent a greater proportion of the population. In 1999, 66 percent of the public high school graduates in New York will be white non-Hispanic; 65 percent of the Northeast population will be white non-Hispanic. In 2004 the respective percentages will be 65 percent and 59 percent; in 2009, 58 percent and 54 percent. (Source: Projection of High School Graduates by State and Race/Ethnicity, Western Interstate Commission for Higher Education and The College Board)

A higher percentage of students graduating from high school in New York are entering four-year institutions than were 15 years ago. In 1983, 42 percent of public school graduates were entering four-year colleges; in 1997, 56 percent were entering four-year colleges. This means that the actual pool of students desiring a four-year college education is growing more rapidly than the size of the graduating class but it also means entering level skills will be reflective of a broader range of preparation. In 1997, Oneida and Herkimer counties, where a significant portion of the College's students permanently reside, had 38 percent of the graduating seniors entering four-year colleges and universities, a substantially lower rate than the state as a whole. (Source: Distribution of High School Graduates and College Going Rate, New York State, 1997)

There is evidence that the proportion of high school graduates from needy families will increase. Thirty-two (32) percent of the state's children are not living with two parents and 35 percent live with parents who do not have full-time year-round employment.

Between 1990 and 1998, the population in New York grew 1 percent compared to 1.8 percent in the mid-Atlantic region and 8.7 percent nationally. New York experienced a net out-migration of 1.7 million people. The older population in New York has grown and the white non-Hispanic population has decreased by 195,000. The population in the category of 50 years old or older has grown by 2 percent between 1990 and 1996.

Utica College's history positions it well to serve the growing first generation, diverse population graduating from high school; however, the increased demand for financial aid will be intense. There is opportunity for serving the growing older population in the state through continuing education and for reaching out to the growing populations in other areas of the country through recruitment and new delivery systems.

**Technology**—Technology is supplementing and altering academic delivery systems by facilitating a resource-rich environment in the traditional classroom, and allowing colleges to reach out to new groups of students via the Internet. Technology is also changing methods of information retrieval and distribution and the ways in which faculty and students communicate. Institutions that are successfully using technology in the educational process have invested both in the technology and in training for their faculty and staff.

In the classroom and laboratory, computers are being used to present information in exciting new ways, to simulate real-world experiences, and to share information in collaborating groups. The development of computer technology, and expansion of access to the Internet and the World Wide Web in the last 10 years, allows students to access course materials, to take tests, and to communicate at a time and place that meets their needs. Developing technologies and web languages will facilitate document exchange between students and faculty and will allow for greatly enhanced communications. Colleges and businesses across the country can and do provide students in New York with access to on-line training, individual courses, and whole academic programs.

College libraries are exploiting the growing information resources on the Internet. More and more professional journals are "going online," and digital books, downloadable on demand, are becoming a reality.

Utica College has taken active steps to harness the power of technology through equipping new computer laboratories, expanding library resources, and networking the residence halls, and will continue to exploit the new methodologies in ways that support its mission and values. The College will face stiff competition as other colleges use technology to access the College's traditional markets, but it also has the opportunity to use technology to reach new audiences for its programs.

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## Economic and Financial Influences

**General Conditions**—Four major economic trends have affected and will continue to affect the future of higher education and its delivery: growth in the service and technology sectors of the economy, increasing global economic activity, increasing requirements for professional credentialing and “just-in-time” professional training, and changes in the stock market that affect charitable contributions.

The country as a whole is experiencing growth in the service and technology sectors. Between 1993 and 1998, the service industry grew by 1 percent as a portion of the GDP. Technology related industries are expanding rapidly as is evidenced by the stock market and the employment market. These changes are creating a demand for professionals trained in these areas. The service sector includes fields as diverse as the criminal justice professions, educators, and health care professionals. The growing technology field demands not only computer and engineering professionals, but also a wide range of technologically aware business people.

The American economy is increasingly linked to the global economy. Between 1993 and 1998 exports grew by 1 percent as a portion of the GDP and imports grew by 2 percent. Increasing global economic activity will demand that Americans become more aware of cultural differences that play out in the economic activity of different countries, international monetary and trade policy, the challenges of shaping business to compete in widely differing markets, and the challenges of communication across language barriers. Higher education will be under continuous pressure to educate individuals to compete in this new economic landscape.

American society is seeing tremendous increase in demand for credentialing and for “just-in-time” and “just-for-you” instead of “just-in-case” education. This form of education is particularly well suited to asynchronous, distance learning. Organizations other than traditional public and independent colleges are stepping up to meet this change in demand. Businesses like Motorola have formed “universities” that contract with colleges and universities to develop and deliver educational programs for their employees. The University of Phoenix, which offers distance learning degrees, is an accredited degree-granting institution that is a subsidiary of the Apollo Group, a publicly-traded corporation. Colleges and universities are creating partnerships with business to create specialized training programs. The Michigan Virtual Automotive College, which is a not-for-profit 501(c) 3 corporation formed by the University of Michigan aimed at developing and delivering technology, is an example of this sort of partnership.

Colleges and universities have benefited from the overall growth of the American stock market. The value of gifts from private sources to education has increased dramatically over the past few years. For the last three years, the percentage of increase has been double digit; this past year, it grew to 13 percent. However, there is much more competition for gift income as more public universities, colleges, and community colleges seek support from the private sector.

**Public Support for Higher Education**—During the 1990s, public support for independent higher education has declined relative to the cost of higher education. This is true on both the state and federal levels.

Between Fiscal Year (FY) 1993 and FY1998, New York State's overall expenditures on higher education, including student financial aid and institutional operating support, grew 8.7 percent; however, the independent sector's share decreased by 7 percent. In the category of student aid between 1991 and 1998, undergraduates at independent institutions received increases of 144 percent; however students in SUNY institutions received increases of 201 percent and students in CUNY institutions received increases of 260 percent. In the category of operating aid, independent institutions dropped from \$160.1 to \$49 million. This represents an absolute decrease of 69 percent and a 73 percent decrease in 1998 real dollars.

The Federal Pell grant program is the largest source of tax-supported aid to post-secondary students in the state. In 1990-91 students at independent institutions received \$202,554,000 or 36 percent of the funds coming to the New York. In 1996-97 students at independent institutions received \$162,272,000 or 29 percent of the funds coming to New York.

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. An alteration in allocations between sectors clearly changes the competitive recruitment market.

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## Political Influences in Higher Education

**University of the State of New York**—All institutions of higher education, public and private, in New York State are part of the University of the State of New York and are regulated by the Board of Regents. This arrangement creates an environment for independent educational institutions in which the state government both regulates and competes with the private sector.

**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.

The Commission on Higher Education of the Middle States Association of Colleges and Schools, 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 Board of Regents, which approves the registration of Utica College's academic programs, challenges all New York colleges with "improving academic quality, providing choice for students, and increasing cost-effectiveness."

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

**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 their requirements for professional practice and state agencies change their 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.

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## Local Environment Specific to Utica College

**Local Economic and Demographic Trends**—The closing of Griffiss Air Force Base in 1995 was the culmination of a major shift in the local economy away from military and manufacturing activity and toward service industries. Between 1989 and 1996, manufacturing jobs declined by 6,000 and service jobs expanded by 8,000 jobs in Oneida and Herkimer Counties. Although unemployment has remained low, wage levels have declined in real terms. The region's retail environment is being influenced by the growth of national retail enterprises such as Wal-Mart and Home Depot. Population has decreased from 251,000 to 231,000 over the last eight years in the local area. The 18 to 34 year-old category has decreased faster than the overall population. The Oneida County Workforce Development organization is actively recruiting area graduates for local employment through its Oneida County College Student Corps program.

These trends suggest that the need for financial aid to support local students will grow and that the College's approach to fund raising will need to be adjusted to account for less local ownership of business. The population shift decreases the size of the immediate market that most actively uses continuing education and increases the value of UC graduates as a source of young professional employees.

In general, there is currently little growth in job openings in professional fields. However, Utica College offers programs in all of the high-growth occupations. High-growth occupations requiring college degrees include special education teachers (510 percent increase), secondary teachers (+350 percent), systems analysts (+350 percent), and registered nurses (+220 percent).

**Local Political Trends**—Local political and economic leaders perceive Utica College as a contributing community member. They specifically recognize the Young Scholars Liberty Partnership Program, student and employee contributions to community life, and intellectual, research, and training contributions. These leaders are intensely aware of the College as a potential resource for economic development.

In general, local leaders do not see the College as an employer that needs public support so that it can grow and prosper. While intensely aware of public policy toward public higher education, some are poorly informed about the trends in public policy, particularly in public funding policy, for private education and the effects of these trends on Utica College.

**Changes in Local Institutions' Missions**—Two local public institutions, SUNY Institute of Technology, a two-year upper division institution, and SUNY Morrisville, a two-year lower division college, have submitted formal plans to the SUNY Central Administration that outline plans 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 a strong likelihood of direct, local, low-cost competition in bachelor's level education developing within the next five years.

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 the 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.

When the College's internal strengths and challenges are examined in light of environmental factors, key institutional issues emerge.

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## Strengths

The College has identified four primary strengths upon which the College's future can be built:

- Students and alumni believe that the education they receive in their major programs is excellent.

In a 1998 student survey, students indicated that education in their major is extremely important to them; in fact, it is the fourth most important aspect of their college experience. They also indicated that they have a high level of satisfaction with this aspect of their college experience. A 1997 alumni survey indicates that alumni credit their majors with promoting more intellectual growth than either their experiences in general education or their cocurricular activities.

- The campus welcomes diverse populations and is working actively to have students involved in community life.

Utica College also has a long standing and strong commitment to diversity. It boasts one of the first HEOP programs in New York. When intolerance has occurred it has been resolved effectively. Students from diverse backgrounds are fully integrated into campus life and government, and appropriate support is provided for those who need it. In the 1998 student survey, students indicated they had significantly more opportunities to interact with a diverse student population than they did in 1995.

The College's commitment to preparing students for social responsibility is modeled through its seven academic institutes and the Young Scholars Liberty Partnership Program.

- The College has a long history of liberal and career programs.

The importance of career and liberal education has been recognized in the Utica College mission statement since the College's inception. In 1997, 2,086 alumni questionnaires were distributed to graduates of the last five years; 412 were returned. In that survey, 73 percent of the respondents who chose to respond to open-ended questions indicated that the College had very much contributed to their ability to perform well in a career and to develop job-related skills.

In making visits to other campuses, members of the Strategic Planning Committee found that Utica College's commitment to this integration of career and liberal education was more fundamental to its mission than it was at those colleges even though they had many of the same programs.

- The College can rightly boast of a talented and dedicated faculty who make a difference in students' lives.

Utica College has a dedicated teaching faculty. In 1998 the Middle States Evaluation Team stated that "In most of their basic characteristics, the faculty of Utica College constitute a true asset to the institution. They are competent professionals who are academically prepared and qualified for their teaching responsibilities; they demonstrate evidence of engagement in scholarship and continued professional growth; they are evaluated according to formal, equitable assessment procedures; they enjoy institutional support for professional development; they serve as student advisors and fulfill important tasks in institutional governance; and they work in an atmosphere that relishes freedom of inquiry and expression. ... Faculty affection for Utica College and their enthusiasm for their vocation constitute formidable reservoirs of institutional strength. Utica is a teaching College, and it demonstrably possesses the essential element for success in its chosen mission: a group of talented teachers who have chosen the same mission." (Source: Report to the Faculty, Administration, Trustees, and Students of Utica College of Syracuse University)

In the alumni survey previously referred to, 74 of the 288 who completed the open comment section identified faculty expertise, faculty attitude, or faculty relationships as the most or among the most important educational experiences that they had at the College.

## Challenges

The College has identified three areas of challenge that must be addressed to ensure a viable future:

- The College must clarify the connection between liberal and career education that is central to the College's mission in order to ensure a coherent curriculum and create a distinct image.

The Self-Study made clear that "linkages between mission and program are often unstated and there is no formal process for the mission statement to drive curricular development." The Strategic Planning Committee noted that the College's current general education program does insure that students in career programs do have exposure to liberal study. However, they also noted that there is no curricular assurance that students in liberal programs are exposed to skills and knowledge that are associated with career education. The Committee on the Senior Year Experience noted that many programs do not have a senior experience that integrates liberal and career related learning.

- The College's particular identity is not well recognized by other colleges, local leaders, or prospective students.

In general, officials from other colleges that the Strategic Planning Committee visited recognize Utica College for particular programs in career-related majors. Committee members found that the College's relationship with Syracuse University is widely misunderstood. Professionals in the field generally think of Utica College as a branch of Syracuse University, as opposed to an independent, financially separate institution that has maintained its historical academic relationship by giving the Syracuse degree at the undergraduate level.

The Strategic Planning Committee reviewed the College's publications and discovered that the College does not represent a clear image of its general education goals or its particular educational mission. In reviewing materials of other colleges, members noted that Utica College has two characteristics that could define it in prospective students' eyes: linkage between career and liberal learning and a community supportive of diversity.

Students most often identify Utica College as a component of Syracuse University or as a school that has an excellent program that they have an interest in pursuing. While both images are positive, they are not sufficient to create a distinct presence in the marketplace with which students can identify.

- The College's physical, human, and financial resources need to be enhanced if the College is to maintain a dynamic and growing educational program.

Utica College's physical campus, while generally in good repair, is not adequate to serve the specialized academic and cocurricular needs of current and future programs. Office space is limited, as are student study space and general meeting space. Technology is not adequate to meet the needs of non-traditional programs.

The College must invest in developing its current faculty and staff and in adding staff to meet critical challenges. Groups such as the Academic Committee on Technology have identified specific training needs.

In the short run, since 85 percent of Utica College's unrestricted educational and general budget is from tuition, expanding financial resources is directly related to increasing enrollments and managing the tuition discount rate. In the long run, the College will need to increase annual giving and grow its endowment.

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## Key Issues

To ensure that the College builds on its reservoir of strengths and successfully meets these challenges, we must address the following key issues:

- Establish a clear and compelling vision for the future and a strong commitment to our mission
- Identify our distinctiveness as an institution and the distinctive features of each of our academic programs
- Highlight the mission-critical purpose of “providing professional study that is liberal, and liberal study that educates for profession” by ensuring that this purpose is reflected in every program
- Offer a general education program that reinforces the mission of the College, provides a common experience, and prepares men and women for the future
- Exploit the power of technology for teaching and learning
- Provide better integration between general education and major programs of study
- Strengthen the living-learning environment that enables optimum teaching and learning and that contributes to the recruitment and retention of students

To support these mission-critical imperatives, we must also:

- Recommit ourselves to excellence in all programs, all teaching, and all services
- Establish an effective, participatory strategic planning process and reform the shared governance structure to permit greater collaboration, participation, ownership, and efficiency in decision making
- Strengthen enrollment and marketing programs that enable the College to achieve its class-building and retention goals and strengthen its reputation and image
- Enhance resources to support the attainment of vision and mission
- Ensure affordability
- Husband financial and human resources for the purpose of strengthening the academic program, improving the learning-living environment, enhancing teaching, and promoting distinctiveness
- Build a stronger sense of community and an appreciation for the dedication and loyalty of faculty and staff
- Invest in the College's faculty and staff

# STRATEGIC INITIATIVES AND GOALS

The College has identified seven Strategic Initiatives and related goals that set the institution's agenda for the next five years and that chart the major direction for the College over the next decade. While these initiatives affirm and build on the College's strengths and achievements, they also express the campus community's intentions for the future.

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## Strategic Initiative 1: Distinctiveness

Utica College will support and develop programs known for their distinctiveness and excellence. As part of this Initiative, the College will...

- 1a. offer a distinctive general education program that expresses the mission and values of the College; that is unifying and integrating for the entire educational experience; that incorporates explicit curricular and cocurricular goals; that has coherence and a sense of sequence; that provides common experiences; and that provides opportunities for active learning
- 1b. integrate liberal and professional study
- 1c. integrate general education with the major and minor fields of study
- 1d. require students to participate in internship or other experiences that enable them to reflect on the value of their education for career and life long learning
- 1e. develop educational "centers of excellence" in selected programs, centers, and institutes

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## Strategic Initiative 2: Learning Community

Utica College will embody a student-centered learning community that offers diverse curricular and cocurricular experiences that promote the College's mission and foster its values. As part of this Initiative, the College will...

- 2a. nurture a culture of inquiry
- 2b. nurture a climate of mutual respect and caring among the constituencies of the College and acknowledge the roles and contributions of each
- 2c. nurture an educational environment that fosters the development of the individual role from student to practitioner
- 2d. increase opportunities for students to develop their leadership skills, contribute to a diverse community, and enhance their personal and professional growth

- 2e. strengthen the international dimensions of the UC learning experience  
(see also Initiative 3)
- 2f. develop and continuously evaluate the campus's structure for shared governance
- 2g. build a student body, a faculty, and a staff that are sufficiently large to support a diversity of programs and services but not so large as to sacrifice the College's culture of caring
- 2h. recruit a larger proportion of students who can excel in and benefit from the UC learning community while remaining true to its historical commitment of offering opportunity to students with less preparation but exceptional promise

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### **Strategic Initiative 3: Educational Quality and Accountability**

Utica College will dedicate itself to the continual improvement of its academic programs, teaching-learning practices, and cocurricular services. As part of this Initiative, the College will...

- 3a. evaluate programs for their centrality to the mission of and vision for the College and for their current and future viability
- 3b. continually evaluate the quality of programs to ensure best teaching practices and most current knowledge
- 3c. evaluate through a systematic outcomes assessment program the College's success in achieving its goals for student learning and development
- 3d. evaluate the extent to which UC graduates develop lives and careers reflective of a quality education from a school of distinction
- 3e. strengthen the faculty and staff evaluation process so that it supports the goals associated with excellence and accountability
- 3f. ensure an academic organizational structure that supports the mission and vision for the College, that promotes student learning and faculty teaching and scholarship, and that allows for the most effective use of resources
- 3g. strengthen technology and library resources and support services appropriate to the educational goals of the College
- 3h. develop a stronger professional development program for faculty and staff that enables the College to achieve goals for distinction and continuing improvement of quality (see also Initiative 6)

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## Strategic Initiative 4: Informed Innovation

Utica College will commit itself to innovation in program offerings and delivery based on effective planning. As part of this Initiative, the College will...

- 4a. develop strong undergraduate programs, complementary to our existing majors, that anticipate and respond to the environmental trends and to the changing skill and knowledge requirements of an evolving society
- 4b. develop graduate programs that are innovative, meet a unique social need, or afford entry-level credentials into a profession
- 4c. develop selected degree and certificate programs, credit courses, and noncredit professional development programs for individuals who cannot attend programs or courses during daytime hours or who commute to the UC campus
- 4d. explore the development of satellite programs and campuses that enable UC to offer current and new programs consistent with its mission and vision for the future, including satellites in other locations within the state and Northeast region and in other locations throughout the world
- 4e. develop a teaching-learning center for improving teaching and learning (e.g., peer-training in teaching techniques and learning modalities) through traditional and emerging methods and modes of instruction
- 4f. seek partnerships with business, industry, government, and other higher education institutions for developing educational programs that meet social and economic needs and further the interests of the College

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## Strategic Initiative 5: Integrated Marketing

Utica College will advance its programs, achievements, and reputation through an integrated marketing and communications plan. As part of this Initiative, the College will...

- 5a. implement a strategic communications and marketing plan that articulates the institution's distinctiveness and that builds the reputation and image of the institution among its stakeholders—current and prospective students, faculty and staff, parents, alumni, current and prospective donors, higher education community, regional business and industry, local and state leaders
- 5b. test ideas for program changes to ensure that they are sensitive and responsive to changing market conditions
- 5c. implement a communications plan that supports each strategic initiative and provides the strategies and tools for effective communication both internally and externally

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## Strategic Initiative 6: Financial Vitality

Utica College will develop a stronger financial foundation for current and future programs. As part of this Initiative, the College will...

- 6a. build enrollment through recruitment and retention to enable growth and to support a diverse educational program
- 6b. diversify its revenue so as to reduce dependence upon undergraduate tuition
  - increase the revenue from graduate and continuing education
  - actively explore education-related enterprises that will add “enhancing” revenue, such as summer conference programs
  - actively explore non-educational enterprises that do not adversely compete with local business and industry
- 6c. increase contributed income and build the endowment to support the College’s goals
  - increase revenues from corporate, government, and foundation grants, and individual gifts
  - increase annual funds, both unrestricted and restricted
  - build the endowment to a level that will enable earnings established by the Board’s Total Return Spending Policy to make a meaningful contribution to the College’s finances
- 6d. manage the financial aid discount rate to achieve enrollment and program goals
- 6e. seek partnerships with business, industry, government, and other higher education institutions for developing cost effective operations and institute efficiency and effectiveness measures

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## Strategic Initiative 7: Resource Enhancement

Utica College will optimize, strengthen, and invest in its resources for academic and cocurricular programs. As part of this Initiative, the College will...

- 7a. optimize the campus's physical environment for effective teaching and learning
  - build and renovate facilities to support the mission and educational goals of the College and its new and existing programs (see also Initiative 2)
  - develop a campus that is attractive to prospective students and faculty and staff and that reflects the commitment to quality in the educational program (see also Initiative 3)
- 7b. enhance the alumni program so that it supports student and College development
  - provide a campus experience that develops student commitment to the future of the College
  - provide alumni programming that builds loyalty, support, and commitment
- 7c. develop technology and library resources and support services appropriate to the educational goals of the College
  - develop an integrated academic and administrative technology plan
- 7d. invest in faculty and staff by providing competitive compensation and professional development
- 7e. strengthen relationships with city, county, and state officials and with appropriate associations (e.g., Commission on Independent Colleges and Universities) in order to advocate for the interests of the College and private higher education
- 7f. administer the College to insure optimum use of resources