
A New Dream, A New Era:

The “2010 Plan” for Utica College



Education that integrates
liberal and professional study

Volume II
**Strategic
Initiatives**

Preface to Volume II 2

Introduction 2

Mission and Values 4

 Mission 4

 Values 4

Vision for the Future 5

The Utica College Context: Current Environment and Major Trends During the First Five Years of the 2010 Plan 7

 Current Competitive Environment 7

 The Historical Context for the College’s Current Governance and Charter 8

 Leadership 9

 Academic Programs 9

 Financial Trends 11

 Institutional Stability and Growth 13

 Campus Facilities 14

 Characteristics of the Student Body 15

Environmental Influences – Current and Future 17

 Social Influences 17

 Economic and Financial Influences 18

 Political Influences in Higher Education 20

 Local Environment Specific to Utica College 20

Key Institutional Issues 23

 Strengths 23

 Challenges 24

 Key Issues 26

Strategic Initiatives and Goals 27

 Strategic Initiative No. 1: Educational Quality, Accountability, and Distinctiveness 27

 Strategic Initiative No. 2: Learning Community and Student Success 28

 Strategic Initiative No. 3: Informed Innovation 29

 Strategic Initiative No. 4: Integrated Marketing 29

 Strategic Initiative No. 5: Financial Vitality 30

 Strategic Initiative No. 6: Resource Enhancement 31

PREFACE TO VOLUME II

In December 1999, Utica College adopted a strategic plan that outlined the College's vision for the future and its direction for the 10-year period ending in 2010. That document, *A New Dream, A New Era: The "2010 Plan" for Utica College*, Volume I, reflected the higher education climate and the state of the College in 1999.

During the 2003-04 and 2004-05 academic years, the College undertook an interim review of the plan to ensure that it continues to be relevant in light of changes in the financial, social, and academic landscapes than have transpired over the first five years of the plan. This publication is the result of that review.

INTRODUCTION

In 1995, Utica College (known also at that time 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 set in motion events that are transforming the institution.

Utica College was founded in 1946, but in some respects it is only 10 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 has 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 representatives from the faculty, the administrative staff, SCT classified staff, and senior administrators, as well as appointed members of the 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.

As a preliminary step, the College created 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 College then began a second phase focusing on longer term planning which 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, identified seven strategic initiatives and related major goals, and drafted a strategic plan for the College. Various campus constituencies reviewed and commented on this work throughout the process. This phase of the process concluded with consideration and approval of the draft plan by the College Council in November 1999 and by the Board of Trustees in December 1999.

After adopting the 2010 Plan, the College began implementation by formulating annual operational plans that specify additional goals and objectives, strategies, responsibilities, timelines, benchmarks, evaluation of outcomes, and budget implications. Today the strategic and operational planning process is an ongoing, regular, and systematic feature of campus governance. 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.

During the 2003-04 and 2004-05 academic years, under the leadership of the President and the Strategic Planning Committee and with campus-wide consultation, the College undertook an interim review of the 2010 Plan. The result is Volume II of the 2010 Plan, which updates much of the contextual information, consolidates seven initiatives into six, adds emphasis on student success, and confirms the direction the College chose in 1999. The six initiatives that will set the agenda for the next five years are as follows:

STRATEGIC INITIATIVE NO. 1: Educational Quality, Accountability, and Distinctiveness – The College will dedicate itself to educational excellence and to the continual improvement of its academic programs, teaching-learning practices, and cocurricular services.

STRATEGIC INITIATIVE NO. 2: Learning Community and Student Success – Utica College will embody a student-centered learning community that offers diverse curricular and cocurricular experiences that advance the College’s mission, foster its values, and promote student success.

STRATEGIC INITIATIVE NO. 3: Informed Innovation – Utica College will commit itself to innovation in program offerings and delivery based on effective planning.

STRATEGIC INITIATIVE NO. 4: Integrated Marketing – Utica College will advance its programs, achievements, and reputation through an integrated marketing and communications plan.

STRATEGIC INITIATIVE NO. 5: Financial Vitality – Utica College will develop a stronger financial foundation for current and future programs.

STRATEGIC INITIATIVE NO. 6: Resource Enhancement – Utica College will optimize, strengthen, and invest in its resources for academic and cocurricular programs.

As the College develops rolling short-term and long-range plans, these six initiatives will guide the actions it takes 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

MISSION AND VALUES

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.

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

VISION FOR THE FUTURE

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 advancing 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 and career-oriented doctoral 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 and career-oriented doctoral 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 five to seven years we will construct a new state-of-the-art science and technology complex; expand the Strebel Student Center, Gannett Library, and our athletic facilities; renovate other buildings on campus; and implement a campus beautification plan. We will also give serious consideration to building a new theatre facility, as part of the Strebel Center or as a separate building.

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 20 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.

THE UTICA COLLEGE CONTEXT: CURRENT ENVIRONMENT AND MAJOR TRENDS DURING THE FIRST FIVE YEARS OF THE 2010 PLAN

Current Competitive Environment

Undergraduate Education – Utica College exists today in an extremely competitive undergraduate education marketplace. In 1999, professionals in college marketing predicted that 10 percent of the small private undergraduate colleges in New York state would close within the next decade. Since then, three private New York colleges have closed, two have closed one of their branches, and one has been absorbed into a larger university. Competition from the growing public sector with its subsidized tuition rates is a major challenge; in fact, Stamats, Inc. (a higher education marketing and consulting company) reports that nationally only 12 percent of students say they plan to attend an independent four-year institution. The College must also be responsive to the trend among New York independent sector colleges to use both endowments and tuition revenues to increase grants and scholarships. 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 44 percent of its full-time and virtually all of its part-time undergraduate students from 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 Institute of Technology), and Morrisville State College, and two highly selective independent colleges, Hamilton and Colgate, actively promote their programs of study. The College's secondary recruitment area is the remainder of New York state 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 College is increasingly reaching into other areas of the Northeast to find students.

In 1999, Utica College identified three strengths it enjoyed in the undergraduate marketplace: the competitive advantages that are associated with small private colleges such as small classes, excellent faculty, and individual attention; specific programs that are widely recognized for their quality; and its relationship with Syracuse University. The College has worked hard to establish its individual identity as a small college that offers educational quality and value, and has met with initial success in such venues as the *U.S. News & World Report* rankings of both quality and value. It has also adjusted its financial aid practices in an effort to attract students with the means to shoulder a higher proportion of the cost of tuition and fees. The College is critically aware of the continuing 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.

Graduate Education – Each of the College's 14 graduate programs is designed to reach a particular market. Therefore, each faces the challenge of analyzing its particular competitive environment and addressing it, while attending to the College's overall need to address issues of quality and value and to differentiate itself from other institutions. The College's graduate programs in education will continue to be marketed to the local area and will meet local demand for the foreseeable future (although selected doctoral programs such as a doctor of education in educational leadership could have statewide and regional appeal). Education faculty members are building strong ties with area school systems to ensure that the College is in touch with local needs for programs in the field of education. The occupational therapy and physical therapy programs are designed to integrate with Utica College's undergraduate health studies program. Enrollment in these programs will be

dependent on recruitment and retention efforts at the undergraduate level. Programs in economic crime and accounting are designed to be delivered in an online format and to reach regional and national audiences. Enrollment in liberal studies potentially can meet needs for teachers seeking permanent certification in a local or distance education format, but could have a wider appeal in an online format.

Distance Education – Distance education, a popular option in the fields of adult and professional education, is a growing presence in the educational environment at both the graduate and undergraduate level. Currently, the New York State Education Department lists 356 distance learning programs being offered by New York state colleges: 36 percent at the associate’s level, 26 percent at the bachelor’s level, 21 percent at the master’s level, and 17 percent at the certificate level. The College instituted one graduate-level distance education program in 1999 (M.S. in economic crime management), and added two graduate-level programs (MBA in accounting and MBA in economic crime and fraud management,) and one undergraduate program (economic crime investigation) in 2004. It enrolled students in the transitional doctorate of physical therapy (DPT) program for the first time in 2005, and in January 2006 it received approval for an undergraduate program in cybersecurity and anticipates beginning to offer that major in fall 2006. As the College reaches into regional and national adult and professional education markets with distance learning, it will face competition from programs from across the country, but it will also have the opportunity to reach working adults whose needs would be well served by particular programs that Utica College offers. Currently, the College’s research suggests that its family of graduate and undergraduate economic crime programs has national, and perhaps international, marketability based on its content and quality.

The Historical Context for the College’s Current Governance and 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 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 Commission on Higher Education of the Middle States Association of Colleges and Schools. In the early 1990s, the Foundation Board and the College began a new level of dialogue about the College’s future. The College began to openly inform the Foundation Board, as well as 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 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 policy making and financial oversight. The President of Utica College reports to the UC Board of Trustees.

Through a renewable Memorandum of Understanding (effective 1995) with Syracuse University, Utica College continues to grant the Syracuse undergraduate degree. The College has been chartered to offer graduate degrees in its own name since 1998, and by the 2004-05 academic year it offered four different graduate level degrees, including the master of science, the master of science in education, the master of business administration, and the doctorate in physical therapy, in 14 specific program areas.

Leadership

Since its founding in 1946 as a college of Syracuse University to serve the educational needs of local returning veterans and other citizens, 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 an independent charter in 1995, members of its first Board of Trustees energetically dedicated themselves to the task of developing Utica College into 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, President 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 new academic and athletic programs, implemented to advance the goals proposed by the Strategic Planning Committee in 1999, and adopted by the Trustees in the same year.

President Hutton's leadership and drive have attracted other planning-oriented leaders to the executive team, and the strategic plan has been used throughout the College to guide planning, budgeting, and decision making. 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.

Academic Programs

Trends in Academic Programs – Like other tuition-driven institutions, Utica College has remained responsive to its markets by changing its offerings of both undergraduate and graduate programs – adding new programs when there was promise, demand, and mission relevance; modifying programs to improve academic coherence or viability; experimenting with distance delivery; and discontinuing programs when promise or demand diminished.

During the past five years, this has meant designing a new baccalaureate degree in cybersecurity; adding minors in human rights and environmental science; redesigning the management program to reflect best practices and current standards for undergraduate business education; reconfiguring the undergraduate economic crime investigation major so that it can be offered in a distance learning format; and beginning the planning for concentrations in sports communication and insurance. The College chose to update its social science programs by dropping the baccalaureate major in social studies and focusing on coherence in the remaining programs. The College's health studies program, originally designed as bachelor's level preparation for the master's in physical therapy and occupational therapy, has developed into a viable major for students wishing to enter into health related careers that are not licensed, such as health educator and health insurance representative. The physical therapy major, initiated as a B.S. program in 1993 and developed into an M.S. program in 1999, became the College's first professional doctoral level program in 2005.

At the graduate level, Utica College has broadened its offerings from one to 14 programs. As of 2004-05, the College is admitting students into nine master of science programs (economic crime management; occupational therapy; liberal studies; childhood education; adolescence education; adolescence education apprenticeship; special education; childhood and special education; and adolescence and special education); two master's of business administration programs (one in economic crime and fraud management and one in accounting); one master of science in education program (inclusive education); and two doctorate in physical therapy programs (DPT and transitional DPT or tDPT).

In general, changes in enrollment levels in the various programs at UC reflect those within the higher education community. In the last 10 years there has been growing demand for programs in education (reflecting perceived job opportunity) and modest growth in demand in the accounting and management areas. A softening demand for degrees in the health sciences during the first five years of the plan now seems to be reversing. Psychology and biology continue to be the liberal arts and sciences programs with the greatest demand, as they are nationwide. A greater portion of Utica College first-year students are undecided about their major than is typical in the national applicant pool. (Source: Cooperative Institutional Research Project, Fall 2003)

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 microbiology, behavioral ecology and evolution, international accounting, human rights, the Habsburg monarchy, animal taste preferences, the effect of backpack weight on children's gait, smell perception in the elderly, evidence of diseases in 300-year-old skeletal remains, and Sephardic literature. Faculty creative efforts have recently included published works of contemporary poetry and a gallery show of prints at the Maui Arts and Cultural Center. 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 two to three preparations per semester.

During the last five years, funding for faculty development and for support of individual faculty presentations at conferences and research has increased by more than 50 percent. The College has begun investing more heavily in pedagogical education and support for faculty. In particular, the College has contracted for two instructional technologists to help faculty adopt course delivery and outcomes assessment for online delivery and has applied for and received a grant that has helped more than a third of the faculty redesign course delivery to be more inclusive. Continuing to meet faculty development needs will be critical if the College is to continue to enhance its programs, broaden its appeal to students, and recruit qualified faculty.

Dynamic between Liberal and Professional (Career) Programs – 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. Utica College has, in fact, been relatively successfully at this. In 1987, the portion of students in professional versus liberal arts versus undecided majors was approximately 70 percent, 20 percent, and 10 percent; in 1997, it was approximately 60 percent, 30 percent,

and 10 percent; and in 2004 it was 56 percent, 33 percent, and 11 percent. There are major factors driving the change in the ratios in the past five years: a decrease in enrollment in the health sciences, an increase in the number of students choosing English and history majors in conjunction with the education program, and an increase in the number of students who enroll with undeclared majors.

Dynamic between Undergraduate and Graduate Education – In the last five years, graduate programs, many of which are related to professional program areas, have become a substantial presence in campus life. With this growth have come questions related to the manner in which graduate education should be introduced, administered, and supported so that these programs will strengthen the College's mission and values. Addressing these issues in the years ahead will be a necessary part of the College's process of institutionalizing graduate education, while strongly supporting the College's commitment to the undergraduate program. This will involve issues of market-driven salaries, requirements of accrediting bodies for graduate education, and 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.

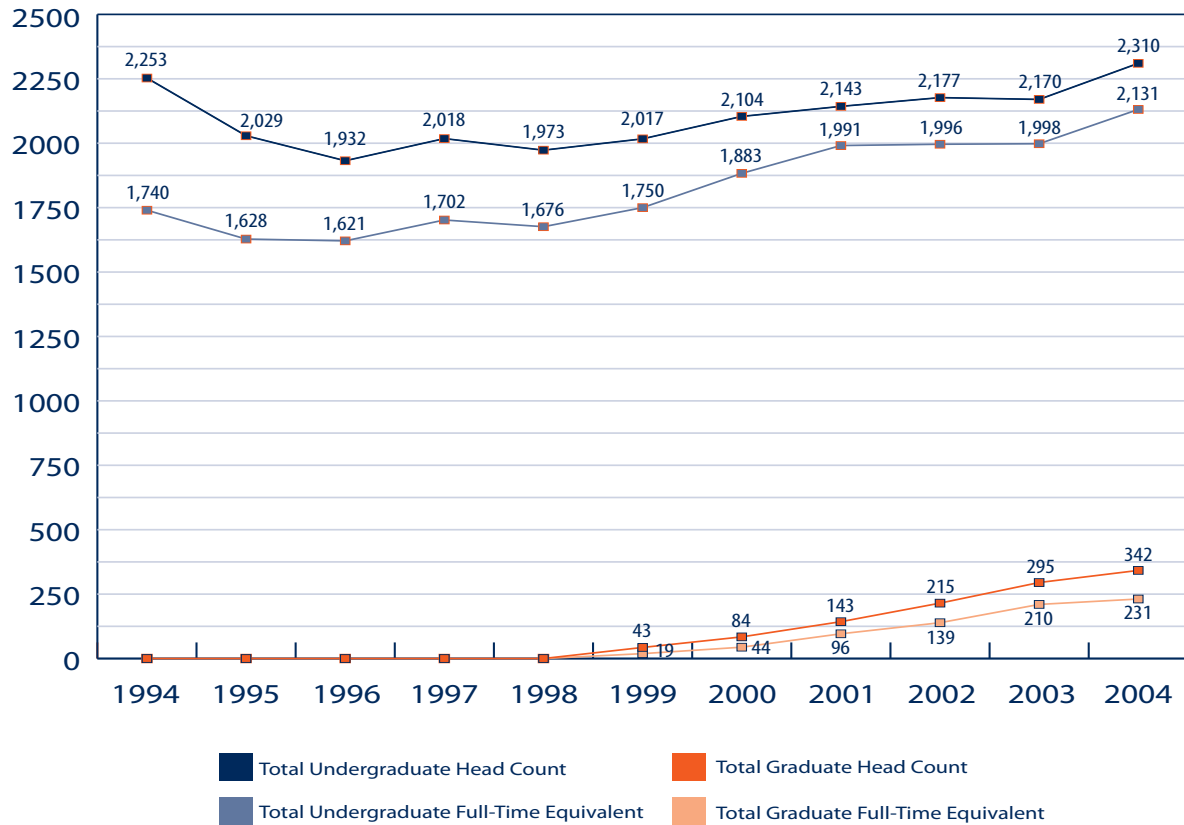
Financial Trends

Enrollment and Financial Patterns – In 2004, 84 percent of Utica College's unrestricted educational and general income was generated from tuition and fees net of financial aid (FY2004 Financial Statement) and in excess of 95 percent of its entire budget was generated from student charges, including tuition, fees, and room and board (Five-Year Financial Forecast, FY2004). The high degree of dependence on student-generated revenue means that enrollment and financial aid levels are the major factors in the College's financial health. Since the adoption of the Strategic Plan in 1999, the College has experienced substantial enrollment growth: from 2,060 to 2,652 in head count and from 1,769 to 2,362 in FTE. This growth has not been consistent across undergraduate, graduate, and continuing education enrollments: undergraduate enrollment grew from 1,753 to 2,079 (18.6 percent), graduate enrollment grew from 43 to 342 (795 percent), and continuing education decreased from 264 to 231 (12.5 percent).

The College experienced a period of undergraduate enrollment declines in the mid-1990s, primarily due to drastic drops in part-time student enrollment that resulted from the decommissioning of Griffiss Air Force Base and secondarily due to the slow erosion in full-time student enrollments. (See chart on next page) The part-time undergraduate student enrollment continued to drop until 2001 and has leveled off at around 300. The full-time undergraduate population, which bottomed at 1,430 in 1995, has been between 1,869 and 1,989 for the last three years. The full-time equivalent undergraduate enrollment (FTE) shows less variability over the last 10 years because changes in part-time enrollment have less effect on this figure than changes in the full-time enrollment. (See chart)

Graduate enrollment has grown substantially since the inception of graduate programs in 1999-2000. In the last five years, graduate headcount enrollment has grown from 43 to 342; the FTE enrollment from 20 to 231. The College expects the rate of growth to slow in graduate enrollment, as the number of students graduating will begin to offset new student enrollments.

Enrollment 1994 to 2004



The College is employing 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
- ❖ investing in technology to support recruitment and retention

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

- ❖ containing costs and undertaking innovations (e.g., cogeneration) to realize operational savings
- ❖ investing in two residence halls to produce additional auxiliary income (and the College has now added a third new hall)

- ❖ 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 comprehensive campaign
- ❖ adopting new methods to manage receivables that both support enrollment and reduce receivables

Fundraising Initiatives – In 1994, in anticipation of receiving a charter as a newly independent institution, Utica College launched 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. The Campaign closed on May 31, 1999 with some \$12.1 million in commitments, roughly 50 percent over the original goal. The Campaign for Utica College was the most successful in the College's history, giving the endowment its largest increase since its creation.

Currently the College is in the silent phase of a new comprehensive campaign, testing a goal of \$25 million. The goals of this campaign are to enable the College to construct a new science and technology complex, provide state-of-the art technology for teaching and learning, enhance its ability to offer financial aid to students, and build on its excellent academic programs. Under the direction of a former chair of the Board of Trustees, the Steering Committee for this campaign is actively pursuing its goals and is confident that the goals of the campaign will be reached.

Budget – Over the first five years of the strategic plan the College's educational and general revenue, excluding financial aid, has grown from \$30.8 million (FY2000/1,777 FTE) to \$47.1 million (FY2004/2,208 FTE). Revenues per full-time equivalent (FTE) student have grown 23 percent from \$17,328 to \$21,364.

Endowment – The value of the College's endowment and funds managed as endowment by the Trustees (quasi endowment) remained the same in value at the end of first five years (FY2000 to FY2004) of the plan as the result of decreases in market value and income distributions to the College's operating budget, despite contributions totaling \$2.7 million, and income reinvestment. The value of the portfolio was \$13,870,000 at the end of FY2004. Its value continues to fluctuate in a volatile market.

Institutional Stability and Growth

As noted in the 1999 edition of *A New Dream, A New Era: the "2010 Plan" for Utica College*, one of the challenges that had confronted Utica College over the prior two decades was dramatic fluctuations in enrollment. Because the College's budget is largely tuition-driven, this had meant considerable variation in financial stability from year to year.

The College's enrollment is a function of two factors: new enrollments and retention. The College aggressively addressed issues related to new enrollments in past 10 years. New undergraduate enrollments in the day programs (freshmen and transfers) grew from 493 in 1995 to 685 in 2000, and has stabilized in the last four years. Graduate enrollments have grown from nothing in 1998 to 342 in 2004. On the other hand, stabilizing and then increasing the undergraduate retention rate continues to be a challenge and retention rates over the past five years have been variable. Graduate programs are too new to have benchmarked graduation and retention rate data.

External factors such as downturns in the economy, changes in public funding for higher education and financial aid, changes in the job market, and loss of population in New York state continue to threaten the strides the College has made in stabilizing and increasing enrollments. Without endowment revenue that could help cushion environmentally induced swings in enrollment, it is likely that the College will continue to experience pronounced financial challenges during the next 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 the year 2010, with a potential goal of between 2,100 and 2,500 degree-seeking undergraduate students (up from 1,835 in fall 1999 to 2,171 in 2004). It will also require continued increases in graduate enrollment, which, in FY2004, had grown to 342 and now accounts for 12 percent of tuition and fee income. The College will need to reverse the decreasing enrollment trend in continuing education enrollments, which have the potential to grow exponentially over the last five years of the plan through the use of distance education to reach adult populations outside of the immediate area.

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. However, because the primary goal of the current campaign is to raise funds for a new science and technology complex (whether for direct construction expenditures or for investment in restricted endowment to support principle and interest payments on bonds), growth of unrestricted endowment will be modest over the next five years. The College must also see growth in its annual fund, both unrestricted and restricted, including gifts from alumni, friends, foundations, corporations, and governmental sources. It seeks to increase both the number of donors, particularly among its alumni, and the size of individual gifts. These dollars are and will continue to be for the next five years the primary source of funding for quality initiatives and professional development.

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

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 1982 (Alumni Hall). The College purchased Burrstone House and Champlin House in FY1988. Major additions and selected renovations took place in the Clark Athletic Center and the Addison Miller White Hall in the 1990s. The College sold Burrstone House and leases back space for student housing on an annual basis. The College improved its technology infrastructure in 1993 and undertook a \$1 million technology initiative during 1998-1999.

Since 1999, the College has constructed three new residence halls. New Hall houses 150 students in suite-style accommodations and includes a conference facility. Tower Hall houses 69 students in predominately single-occupancy rooms arranged in clusters. Bell Hall houses 113 students, also in predominantly single-occupancy rooms. At the same time, considerable renovation has taken place in the College's two oldest residences, North and South Halls. Student life has also been enhanced by the construction of the Charles A. Gaetano Stadium and the Harold Thomas Clark Sr. Team Facility in 2001, as well a team facility for men's and women's ice hockey at the Utica Memorial Auditorium.

In the spring of 2003, the College opened its new Faculty Center, containing four "smart classrooms," 15 faculty offices, offices for the College's Young Scholars Liberty Partnerships Program, and space for future development. In addition, several existing classrooms have been renovated and provided with new technological capabilities. The College will begin construction of phase one of the new science and technology complex during the 2005-06 academic year. This facility will also provide much-needed faculty office space in addition to classrooms and laboratory space to support the health sciences.

During the past five years the College has paid special attention to its public spaces. 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.

Agencies that have visited the campus to inspect the buildings for bondholders have commented that the physical plant is very well maintained. However, the College clearly still has a need to continue to renovate its older facilities.

Characteristics of the Student Body

Undergraduate Students – 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. More than 47 percent of students who completed the Cooperative Institutional Research Project (CIRP) survey in 2002 and 2003 are the first in their families to pursue a bachelor's degree. Although 31 states and 18 foreign countries were represented in the student body in fall 2004, 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. Forty-four percent of the full-time students were male and 56 percent were female. In fall 2004, 15.3 percent of the matriculated day students identified themselves as black non-Hispanic, Hispanic, American Indian or Alaskan Native, or Asian or Pacific Islander; 66.6 percent identified themselves as white non-Hispanic; 1.7 percent as foreign students; and 16.3 percent did not classify themselves. The part-time student enrollment is primarily white, non-Hispanic, reflecting the demographics of the immediate geographic area.

Approximately 48 percent of the matriculated full- and part-time day undergraduate students lived in College residence halls in 2004-05, while 18 percent lived in off-campus housing and 34 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 halls (1999 and 2002), only 41 percent of the matriculated day students lived in residence halls. With the opening of Bell Hall for the 2005-06 academic year, it is likely that this trend toward increasing the residential population will continue.

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

About 11 percent of the incoming first-year students can be characterized as very well prepared academically, based on their scores on standardized achievement tests and their secondary school transcripts. About 20 percent of the students are admitted via New York state's Higher Education Opportunity Program (HEOP) or the conditional admit program. Conditional and HEOP admits are students who are identified in the admissions process as capable of graduating from the College, but whose level of academic preparation and/or self-direction could hinder their success. These "at risk" students are required to avail themselves of the assistance of the Academic Support Services Center and HEOP program.

In fall 2004, approximately 11 percent of the matriculated undergraduate student body were in the process of exploring different fields and disciplines and had not declared a major, 16.5 percent had elected a major in the Division of Arts and Sciences, 27.5 percent a major in the Division of Health and Human Studies, and 45 percent a major in the Division of Social Sciences and Management. Approximately one third of the matriculated students are majoring in traditional liberal arts majors.

The majority of full-time students are of traditional college age (18 to 21) but a significant minority of the transfer and second-degree students are over 24 years of age. Seventy-four percent of the full-time population falls in the traditional college age group. Eighteen percent are between 22 and 24, four percent are between 25 and 29, and four percent are 30 and over. Only six 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 80 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. Twenty-one intercollegiate sports and five 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. 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, non-traditional, and distance-learning students in the life of the College. While the College is experimenting with the use of e-mail and the Web site to communicate with these student populations, it continues to work toward building stronger links between the student and the College.

In 2004-05, Utica College instituted its first undergraduate distance learning program, designed for students who have earned an associate's degree. While the College expects these new students to be similar to current transfer students in terms of educational background and career aspirations, it expects that they will be more diverse, older, and more likely to be employed full-time. The College will need to examine new ways to foster close ties between faculty and students, promote its values, and provide opportunities for personal growth within the structure of this new delivery system.

Graduate Students – Utica College graduate programs currently serve distinct populations with distinct characteristics. Students in the campus-based health programs primarily come from the College's undergraduate health studies major, reflect the demographic characteristics of the College's traditional undergraduate population, and are already integrated into the College's culture. Students in the campus-based education programs are adult students who are primarily teachers and prospective teachers from the local area and reflect the ethnic make-up of the surrounding counties. A demographic profile of the campus-based liberal studies program has not emerged because the program is small and relatively new.

The College is offering four graduate programs in a distance learning format: economic crime management; economic crime and fraud management; accounting; and the transitional DPT. While the numbers are still too small to generalize about the demographic make-up of these programs, the College expects its target market to include adult learners who are geographically disbursed and employed. As is true with undergraduate distance learning, the College will need to examine new ways to foster close ties between faculty and students, promote its values, and provide opportunities for personal growth.

ENVIRONMENTAL INFLUENCES – CURRENT AND FUTURE

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 9.4 percent from approximately 169,023 to 184,931. Over the following five years the number will decrease 2.9 percent to 175,653. (Source: New York State High School Graduate Projections by Regents Region and County, New York State, 2003) Growth in the number of high school graduates from the Northeast will be 11.6 percent between the years 1999 and 2006; however the numbers of graduates will decrease 3.2 percent in the following five years. (Source: Projection of Education Statistics to 2012, NCES, 2002) People of color will represent a greater proportion of the population. In 2004, 67 percent of the public high school graduates in New York were white non-Hispanic; 81 percent of the Northeast population was white non-Hispanic. By 2009 the respective percentages will be 63 percent and 77 percent; by 2014, 60 percent and 74 percent. (Source: Projection of High School Graduates by State and Race/Ethnicity, Western Interstate Commission for Higher Education and The College Board, 2003)

A higher percentage of students graduating from high school in New York are entering four-year institutions than were 15 years ago. In 1990, 48.7 percent of public and nonpublic school graduates entered four-year colleges; in 2003, 56.0 percent entered 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. As a result, the skills of students entering college will reflect a broader range of preparation. In 2003, Oneida and Herkimer Counties, where a significant portion of the College’s students permanently reside, had 40.8 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, 2003)

There is evidence that the proportion of high school graduates from needy families will increase. Thirty-seven percent of the state’s children are not living with two parents and 39 percent live with parents who do not have full-time year-round employment. (Source: U.S. Bureau of the Census, American Fact Finder, 2000)

Between 1994 and 2004, the population in New York grew 0.63 percent compared to 2.2 percent in the mid-Atlantic region and 8.8 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 245,000. The population in the category of 50 years old or older has grown by 2.1 percent between 1994 and 2004. (Source: U.S. Bureau of the Census, Population Division, 2000)

Utica College’s history positions it well to serve the increasingly diverse population graduating from high school; however, the demand for financial aid will be intense. There is also 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.

Generational Influences – Sociologists have noted that the group of students who started entering college in 2000 is exhibiting characteristics that are different from the preceding generation and have dubbed them the Millennials. As a group, Millennials are close to their parents; focused on grades and performance; busy with extracurricular activities; eager for community service; talented users of technology; demanding of a secure, regulated environment; respectful of norms and institutions; conventionally minded, verging on conformist thinking; ethnically diverse; and majority female. (Source: *Millennials Go to College*, Howe, Strauss) Millennial parents are consumer-oriented when considering educational options and seek an active partnership with a college once their children enroll. These generational characteristics need to be considered if the College is to

effectively attract and educate students over the next 10 years.

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, to share information, and to encourage learning through collaboration. The development of computer technology and expansion of access to the Internet in the last 10 years allow students to access course materials, to take tests, and to communicate at a time and place that meets their needs. Developing technologies and Web enhancements will facilitate document exchange between students and faculty and will allow for greatly enhanced communication. Colleges and businesses across the country can and do provide students in New York with access to online training, individual courses, and whole academic programs.

College libraries throughout the country are exploiting the growing information resources on the Internet. An ever-increasing number 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 by equipping new computer laboratories; expanding on-campus and remote access to abstract and full-text article databases; introducing a Web-based tool for asking librarians reference questions; introducing wireless service in the new Faculty Center and elsewhere on the campus; and installing a network in the residence halls. The College will continue to utilize new and emerging technologies 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.

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 1994 and 2002, the service industry grew by 7.7 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 criminal justice, education, and health care. The growing technology field demands not only computer and engineering professionals, but also a wide range of technologically aware business people. (Source: U.S. Department of Commerce, Bureau of Economic Analysis, 2003)

The American economy is increasingly linked to the global economy. Between 1994 and 2004 exports decreased by 0.2 percent as a portion of the GDP and imports grew by 3.3 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 communicating across language barriers. Higher education will be under continuous pressure to educate individuals to compete in this new economic landscape. (Source: U.S. Department of Commerce, Bureau of Economic Analysis, 2004)

American society is seeing a tremendous increase in demand for credentialing and for “just-in-time” and “just-for-you” instead of “just-in-case” education. This sort 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 benefited from the overall growth of the American stock market in the late 1990s. The value of gifts from private sources to education increased dramatically. However, the recent economic climate has led to decreases in endowment value and in giving. Between FY2001 and FY2003 endowments at colleges like Utica decreased 2.3 percent (Source: NCUBO) and total giving fell. This economic climate coupled with the emerging competition from public universities, colleges, and community colleges seeking support from the private sector will challenge the College’s fundraising efforts.

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 FY1998 and FY2002, New York state’s overall expenditures on higher education, including student financial aid and institutional operating support, grew 22.5 percent; however, the independent sector’s share decreased by 1.2 percent. Between 1998 and 2002, state-funded financial aid increased 130 percent for undergraduates at independent institutions; aid for students at SUNY institutions increased by 122 percent; and aid for students at CUNY institutions increased by 111 percent. (Source: Student Financial Aid, New York State Education Department, 2002) However, in the category of direct aid to institutions for operating support, state aid for independent institutions dropped from \$49 to \$44.25 million. This represents an absolute decrease in total support for independent institutions of 69 percent (which is equivalent to a 73 percent decrease measured in 2003 real dollars). (Source: New York State Budget, 2003)

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. In 2001-02, students at independent institutions received \$181,060,642 or 26 percent of the funds coming to New York. (Source: Student Aid Summary Report, New York State, 2002)

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.

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 against 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 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 Bulletin 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.

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.

Local Environment Specific to Utica College

Background – 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 7,000 of its 19,000 alumni live in the Mohawk Valley, 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, the College has continued its contribution to, and ties with, the local community, and appears to enjoy excellent "town-gown" relations.

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 non-profit agencies. The College, as an institution, 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 & Walk, an event that attracts 10,000 members of the community to the campus each year.

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. Students in the health sciences, criminal justice, 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 economic impact of the College on the community is enormous, contributing more than 500 jobs to the local workforce and generating more than \$100 million in spending annually. At the same time, the economic, political, and educational environment in the local community has a deep impact on Utica College, its programs, and its plans for the future.

Local Economic and Demographic Trends – The decommissioning 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 1994 and 2004, manufacturing jobs declined by 6,000 and service jobs expanded by 10,000 in Oneida and Herkimer Counties. Although unemployment has remained low, wage levels have declined in real terms. (Source: Current Employment by Industry, New York State Department of Labor, 2004) The region's retail environment is being influenced by the growth of national retail enterprises that locate in "big-box" retail centers. Population has decreased from 250,836 to 234,373 over the last 10 years in Oneida County. 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. (Source: U.S. Census Bureau, Population Division, 2000)

These trends suggest that the need for financial aid to support local students will grow and that the College's approach to fundraising 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 computer related fields (46 percent increase), secondary teachers (38 percent increase), systems analysts (39 percent increase), registered nurses (27 percent increase), and management analysts (30 percent increase). (Source: U.S. Department of Labor, Bureau of Labor Statistics, 2002)

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

Over the past five years local leaders have come to see the College as an employer, a resource for economic growth, and a cultural resource that needs public support so that it can grow and prosper. 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 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 project. Congressman Sherwood Boehlert '61 secured substantial federal grants to support capital and program enhancements. The College will need to continue to work with city, county, state, and federal leaders 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 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.

KEY INSTITUTIONAL ISSUES

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

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. 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 ensure that the perspectives brought to the College community by all of its members find a meaningful voice in the College's affairs.

Utica College also has a long-standing and strong commitment to diversity. It boasts one of the first HEOP programs in New York. It actively promotes an inclusive learning environment through faculty development and year-round student support services. In fall 2004 nearly half of its incoming undergraduate students came from families in which neither parent had a four-year college education. Fully 18 percent of its undergraduates were adults over 25. In the last three years undergraduate students representing 30 countries have enrolled at UC.

Students from diverse backgrounds are fully integrated into campus life and government, and appropriate support is provided for those who need it. When intolerance has occurred it has been resolved effectively.

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

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

The importance of liberal and professional 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 the integration of liberal and professional 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, 1998)

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 the liberal and professional education that is central to the College’s mission in order to ensure a coherent curriculum and create a distinctive image.

The 1998 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 ensure that students in professional 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 professional exploration and preparation. The Committee on the Senior Year Experience noted that many programs do not have a senior experience that integrates liberal and career related learning.

- ❖ While the College’s particular identity is increasingly well recognized by other colleges, local leaders, and prospective students, the College must refine its core messages and achieve greater prominence in the higher education marketplace.

In general, officials from other colleges that the Strategic Planning Committee visited in 1999 recognized Utica College for particular programs in career-related majors. Committee members found that the College’s relationship with Syracuse University was widely misunderstood. Professionals in the field generally thought 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. During the first five years of the plan, the College has been successful in developing strong relationships with local leaders and involving them in the growth and development of the College.

In 1999, the Strategic Planning Committee reviewed the College’s publications and discovered that the College did 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 liberal and professional learning and a community supportive of diversity*. Since that time, based on subsequent research, the College has developed core messages in all of its admissions publications that stress the College’s academic excellence and sense of community, through the themes of “Tradition, Opportunity, and Transformation.”

Students 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 admissions and other promotional materials now articulate the relationship with Syracuse University, while giving greater emphasis to Utica College as an independent institution with a distinct mission.

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

Utica College's physical campus, while generally in good repair and expanded in the last five years, is still 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, in addition to science and "smart" classroom space.

While great improvements have been made, technology and library resources are still not adequate to meet the future demands created by nontraditional programs and technologically sophisticated students, faculty, and staff.

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. The College must continue its efforts to attract, support, and retain faculty and staff who are ethnically and socially diverse and who are actively involved in building an inclusive community in which all can work and learn in an environment of openness, acceptance, and safety.

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 the endowment.

Key Issues

To ensure that the College builds on its reservoir of strengths and successfully meets these challenges, we must recommit ourselves to excellence in all programs, all teaching, and all services, and address the following key issues:

- ❖ Establish and communicate a clear and compelling vision for the future and a strong commitment to our mission
- ❖ Identify and communicate 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 addresses the general education goals established by the faculty, reinforces the mission of the College, promotes the value of the liberal arts, and prepares men and women for the future
- ❖ Exploit the power of technology for teaching, learning, information acquisition, advising, working, and communicating
- ❖ Provide better integration between general education and major programs of study
- ❖ Strengthen the living-learning environment that enables optimal teaching and learning and that contributes to the recruitment and retention of students

To support these imperatives, we must:

- ❖ Ensure that the new programs and services that have been added to the College in recent years are supported by adequate resources and adhere to the high standards of excellence expected of all of the College’s offerings
- ❖ Evaluate and support existing programs and ensure that existing programs sustain excellence in teaching and curricular currency and relevancy
- ❖ Enhance the participatory strategic planning process, by continuing to explore new ways for the campus community to be involved and by continuing to use the Strategic Plan as the basis for planning, budgeting, and decision-making
- ❖ Continually evaluate and improve 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 for students
- ❖ 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 commitment to the College’s welfare among all the constituencies of the College, including the local community
- ❖ Invest in the College’s faculty and staff, and demonstrate appreciation for their loyalty and dedication

STRATEGIC INITIATIVES AND GOALS

When the College adopted the Strategic Plan in 1999, it identified seven highly interrelated strategic initiatives and related goals that set the institution's agenda and major direction for the next decade. During the five year interim review of the Strategic Plan that resulted in this volume of the plan, the seven initiatives were consolidated into six, student success was explicitly highlighted, more attention was given to excellence and viability of existing academic programs, and focus was added to the initiative related to resource enhancement. While these initiatives affirm and build on the College's strengths and achievements, they also express the campus community's intentions for the future. The initiatives are ordered according to their centrality to the College's mission.

Strategic Initiative No. 1: Educational Quality, Accountability, and Distinctiveness

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

- 1a. Evaluate programs for their centrality to the mission of and vision for the College and for their current and future viability
- 1b. 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 sense of sequence; that provides common experiences; and that provides opportunities for active learning
 - ❖ Integrate liberal and professional study
 - ❖ Integrate general education with the major and minor fields of study
 - ❖ 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
- 1c. Strive for and support educational excellence in current and new programs
- 1d. Develop educational "centers of excellence" in selected programs, centers, and institutes
- 1e. Continually evaluate the quality of programs to ensure best teaching practices and most current knowledge
- 1f. Evaluate through a systematic outcomes assessment program the College's success in achieving its goals for student learning and development

- 1g. Evaluate the extent to which UC graduates develop lives and careers reflective of a quality education from a school of distinction
- 1h. Strengthen the faculty and staff evaluation process so that it supports the goals associated with excellence and accountability
- 1i. 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
- 1j. Strengthen technology and library resources and support services appropriate to the educational goals of the College
- 1k. Develop a stronger professional development program for faculty and staff, one that enables the College to achieve goals for distinction and continuing improvement of quality (see also Initiative No. 6)

Strategic Initiative No. 2: Learning Community and Student Success

Utica College will embody a student-centered learning community that offers diverse curricular and cocurricular experiences that advance the College's mission, foster its values, and promote student success. 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 succeed academically while developing their leadership skills, contributing to a diverse community, and enhancing their personal and professional growth
- 2e. Strengthen the international dimensions of the UC learning experience
- 2f. Develop and continuously evaluate the College'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 and retain 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
- 2i. Exceed the graduation rate of four-year colleges by at least 10 percentage points
 - ❖ Increase the portion of first year students who complete the first year in good academic standing to 85 percent
 - ❖ Increase the portion of first year students who declare a major by the end of their second semester to 75 percent
 - ❖ Increase the first year retention rate to 75 percent
 - ❖ Increase the second year retention rate to 68 percent

Strategic Initiative No. 3: 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...

- 3a. Develop strong undergraduate programs, complementary to our existing majors, that anticipate and respond to environmental trends and to the changing skill and knowledge requirements of an evolving society
- 3b. Develop graduate programs that are innovative, meet a unique social need, or afford entry-level credentials into a profession
- 3c. 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
- 3d. Explore the development of satellite programs and campuses and distance education programs 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
- 3e. 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
- 3f. 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

Strategic Initiative No. 4: 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...

- 4a. 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; and local, state, and federal leaders
- 4b. Test ideas for enhancing existing programs and for developing new programs to ensure that they are sensitive and responsive to changing market conditions
- 4c. Exploit emerging technology for marketing and communications as resources allow

Strategic Initiative No. 5: Financial Vitality

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

- 5a. Build enrollment through recruitment and retention to enable growth and to support a diverse educational program
- 5b. Achieve the goals of the seven-year New Dream, New Era comprehensive campaign
 - ❖ increase support from corporate, government, and foundation grants; and individual gifts
 - ❖ increase annual funds, both unrestricted and restricted
 - ❖ increase the percentage of alumni giving so that it equals at least 60 percent of the national average for institutions similar to Utica College
 - ❖ acquire new endowment funds consistent with the goals of the campaign (i.e., primarily for scholarships, restricted building funds, and selected educational programs)
- 5c. 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
- 5d. Manage the net tuition revenue rate to achieve the mission of the College
- 5e. Reduce the financial aid discount rate to achieve net revenue, enrollment, and program goals
- 5f. Seek partnerships with business, industry, government, and other higher education institutions for developing cost-effective operations and institute efficiency and effectiveness measures

Strategic Initiative No. 6: 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...

- 6a. Optimize the College's physical environment for effective teaching and learning
 - ❖ build, renovate, and expand facilities to support the mission and educational goals of the College and its new and existing programs
 - ❖ develop a campus that is attractive to prospective students, faculty, and staff and that reflects the College's commitment to quality in its educational programs
- 6b. Enhance and support initiatives directed toward student success
- 6c. 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
- 6d. Develop technology and library resources and support services appropriate to the educational goals of the College
 - ❖ develop an integrated academic and administrative technology plan
- 6e. Invest in faculty and staff by providing competitive compensation and professional development
- 6f. Strengthen relationships with city, county, state, and federal officials and with the appropriate associations (e.g., Commission on Independent Colleges and Universities) in order to advocate for the interests of the College and private higher education
- 6g. Administer the College to ensure optimum use of resources
- 6h. Advocate for increased public support for Utica College students



UTICA COLLEGE STRATEGIC INITIATIVES
ADOPTED BY THE BOARD OF TRUSTEES
DECEMBER 17, 1999
REVISED MARCH 3, 2006

TRADITION. OPPORTUNITY. TRANSFORMATION.®