

**THE TENTATIVE STATEWIDE PLAN FOR  
HIGHER EDUCATION  
IN NEW YORK STATE  
2004-2012**



The University of the State of New York  
The State Education Department

January 28, 2005

# THE UNIVERSITY OF THE STATE OF NEW YORK

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Chancellor's Letter of Transmittal

[To be Added]

## I. THE MISSION AND COMMITMENT OF THE BOARD OF REGENTS

The mission of the Board of Regents and the Education Department is “To raise the knowledge, skills, and opportunity of all the people in New York.” With respect to higher education, the Board of Regents is responsible for planning and coordination, evaluating quality, and promoting equity and access. It also charters (incorporates) independent colleges and universities and authorizes proprietary colleges to operate in New York State. It approves major changes in the missions of public, independent, and proprietary colleges and universities through master plan amendments and authorizes out-of-state colleges seeking to offer instruction in New York State.

On behalf of the Board of Regents, the Department must register every curriculum creditable toward a degree at any degree-granting institution in the State (public, independent, or proprietary) according to the quality standards in the Regulations of the Commissioner of Education before the institution may offer that program. The Department also reviews existing curricula periodically. These reviews are concerned solely with the quality of curricula, not with need or duplication. More than 26,000 programs of study are registered at New York's 268 colleges and universities. The U.S. Secretary of Education recognizes the Board of Regents as a Nationally Recognized Accrediting Agency for degree-granting institutions in New York State voluntarily choosing the Regents as their accreditor.

On behalf of the Regents, the Department administers State and federal grants and scholarships that promote equity in higher education, increase collaboration between schools and colleges to improve learning, address past under-representation in higher education and the professions, and contribute to the development of a well-educated populace. It certifies teachers and school leaders for the State's public schools and licenses practitioners of 44 learned professions. It also administers the Higher Education Opportunity Program, which serves students at independent institutions, and coordinates policy for the opportunity programs in all sectors, in order to provide services for economically and educationally disadvantaged students to assist them in succeeding in college. The Department administers the Carl D. Perkins Vocational and Technical Education Act.

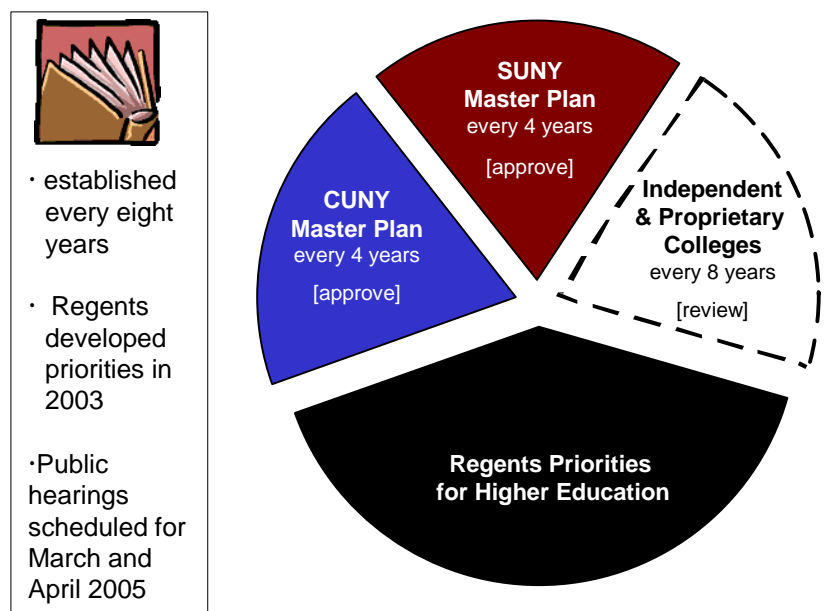
The Regents are also responsible for the development of the Statewide Plan for Higher Education every eight years, in coordination with New York's higher education community. For the 2004 Statewide Plan for Higher Education, the Regents adopted the following commitment:

**New York State is a world leader in education. Working together in a highly effective higher education system, the State's colleges and universities – public, independent and proprietary – will demonstrate even greater leadership during the first decades of the 21<sup>st</sup> Century to continue to advance the educational and economic needs of the State and its people.**

## II. SUMMARY

New York has a highly effective higher education system of public, independent, and proprietary colleges and universities. To coordinate that system, every eight years, the Board of Regents, in collaboration with the higher education community, develops and adopts the Statewide Plan for Higher Education, setting system goals and objectives. The Plan focuses on major issues affecting the role of higher education in the State and its service to the State's residents, workforce, and community. Regents priorities for higher education serve as the foundation for the Plan, which includes the long-range master plans of State University of New York (SUNY), The City University of New York (CUNY), and New York's independent and proprietary institutions.

### Regents Statewide Plan for Higher Education



*The Statewide Plan for Higher Education, 2004 - 2012* includes:

- description of key demographic indicators for New York State;
- an overview of higher education in New York State and the role of the Regents in higher education;
- statements of the Regents mission and commitment and of elements of a highly effective higher education system;

**Regents Priorities for Higher Education.** The core of the Plan are the statements of the needs, problems, societal conditions, and interests of the people of New York to which programs of higher education may most appropriately be addressed, in the form of the 13 Regents Priorities, grouped in **five** categories. Each priority includes:

- a description of the priority issue;
- initiatives or programs proposed by the institutions and sectors, and by the Regents, to be carried out during 2004-2012 to address the priority issue; and
- indicators of progress on the priorities. The Department will work with the institutions and sectors to identify the measures to be used in studying statewide progress under each indicator. Reviewing indicators may include examining data collected by the State or federal governments, reviewing Department records and records of other public and private agencies, requesting information from institutions, and tracking the implementation of initiatives, or a national student-level system to track postsecondary student programs and completion across institutions and states if enacted by the Reauthorization of the Higher Education Act. Measuring some of the indicators may depend on, or be eased by, the development of a national system.

**Master Plans (Appendix A).** The Plan concludes with summaries and reviews of the master plans of The City University of New York (CUNY) and the State University of New York (SUNY) and of the consolidated master plans of the independent and proprietary sectors. As required by law, the reviews of the CUNY and SUNY plans conclude with formal Regents actions on the plans, which are incorporated into this Plan to the extent approved by the Regents (and subsequently by the Governor).

**Enrollment Projections (Appendix B).** Projections of college and university enrollments, by region and sector, through 2012. Enrollments are projected to grow from 1.112 million in the fall of 2003 to 1.121 million in the fall of 2012.

### III. NEW YORK STATE

New York State had a population of 19.2 million in 2004, according to the Census Bureau's estimate. The 2000 Census found nearly 60 percent of the population between the ages of 20 and 64; more than 27 percent were below 20. About 32 percent were Non-White. In 2003, the median household income, statewide, was \$43,318. Over the 2001-2003 period, 14 percent of New Yorkers lived below the poverty line. Between 1995 and 2000, about 874,000 New Yorkers moved to other states, but more than 720,000 persons came from other countries; overall the population grew by 5.5 percent.

New York had a \$799.2 billion Gross State Product in 2000. In 2003, it had 9,381,000 jobs. That year, the population included more than 670,000 practitioners of 38 licensed professions and more than 220,000 persons certified for employment in the public schools. According to Empire State Development, in 2001, nearly 365,000 New Yorkers worked in high technology industries, the third highest number in the nation. New York had the largest number of workers in photonics manufacturing in the nation that year and the second largest number in consumer electronics and in defense electronics. Overall, however, manufacturing employment in the State declined by 38.8

percent between 1983 and 2002, according to the Buffalo Branch of the Federal Reserve Bank of New York. The loss was similar to, but somewhat greater than, the loss of manufacturing jobs in the Middle Atlantic region overall. However, New York's loss of "low-skill" manufacturing jobs was nearly three times its loss of "high skill" jobs.

The State Department of Labor estimates that the five *fastest growing* occupations in the State between 2000 and 2010 are:

- Computer Support Specialists
- Computer Software Engineers, Systems Software
- Network and Computer System Administrators
- Computer Software Engineers, Applications
- Medical Assistants (not Physician Assistants)

The Labor Department's list of occupations projected to have the *largest* number of annual openings includes Registered Nurses among the top five.

The 2000 Census found that a majority of New York's residents 25 years of age and older had some postsecondary education; more than one-third had an associate or higher degree; more than 27 percent had a baccalaureate degree; nearly 12 percent held a post-baccalaureate degree. In 2002-03, 143,818 persons earned high school diplomas in New York State. The State Education Department projects the number to peak at 184,931 in 2008-09 (a 28.6 percent growth over six years), then decline to 179,021 in 2011-12 (3.2 percent below the peak but 24.5 percent above 2002-03).

#### **IV. HIGHER EDUCATION IN NEW YORK STATE**

The University of the State of New York. All colleges and universities in New York -- public, non-profit independent, and for-profit proprietary -- are members of The University of the State of New York, an entity established in the New York State Constitution that embraces all education in New York, public and private, from prekindergarten through postdoctoral. The University was created in 1784. It is governed by the Board of Regents of The University of the State of New York, an unpaid lay board of 16 members elected by the Legislature to five-year terms.

The higher education portion of The University consists of 268 public, independent, and proprietary degree-granting institutions, 6.5 percent of the nation's 4,121 colleges and universities. The degree-granting institutions comprise two public university systems: the State University of New York with 64 campuses and The City University of New York with 19 colleges, 144 independent (not-for-profit) colleges and universities, and 41 proprietary (for-profit) colleges. In 2003-04, these institutions expended approximately \$30 billion in operating expenditures and sponsored research. In 2004, the University also has more than 7,000 registered public and nonpublic elementary and secondary schools; 400 licensed non-degree business, trade, and



technical schools (most of them proprietary, for-profit institutions); nearly 7,000 public libraries; 750 museums; and seven public television stations.

New York's 268 colleges and universities operate at 335 main and branch campuses and about 1,200 other locations (including many of the State's high schools). In the fall of 2004, they had a total headcount enrollment of 1,124,734 students, including 905,048 undergraduates, 189,452 graduate students, and 30,234 first-professional degree students. This Plan projects that 1,155,606 students will enroll in 2013, if no changes occur in economic conditions, student aid funding, institutional fiscal resources, admissions policies, cultural, socioeconomic, or other factors.

In 2002-03, New York colleges and universities awarded 225,522 degrees:

**Table 1**

**Degrees Awarded in New York State,  
2002-03**

Associate	54,359
Baccalaureate	102,532
Master's	56,451
First Professional	8,582
Doctoral	3,598
Total	225,522

Source: NYSED, Research and Information Systems, 2004.

**V. ELEMENTS OF A HIGHLY EFFECTIVE HIGHER EDUCATION SYSTEM**

Consistent with their missions, all higher education institutions in New York State:

- avidly **pursue knowledge** related to their missions, through research where appropriate, and share that knowledge with other institutions and individuals wishing to learn;
- give students the ability, through quality education, to **develop ethical, intellectual, and social values**; effectively **contribute to society** and the workplace; and engage in lifelong learning;
- admit all qualified applicants within the institution's resource capability to offer them a quality education, provide adequate financial assistance to help increase **access and affordability** for those applicants, and assist them to succeed in their studies;
- **cooperate** with other higher education institutions, individually and in consortia and networks, in **sharing resources** for an efficient and cost-effective system, and to avoid unnecessary duplication of effort by students in their progress toward degrees;

- **collaborate with elementary and secondary schools** to assist, where possible, in preparing pupils **to enter and succeed in higher education** and, if teacher education is their mission, to prepare quality teachers to meet the State's need for certified teachers;
- **collaborate with government and community organizations** to identify those pressing and emerging societal needs that can be addressed by higher education, and devise effective ways to address those needs;
- **collaborate with the licensed professions and the people they serve** to identify related needs that can be addressed by higher education, through new research initiatives or preparation of professionals with new knowledge and skills, and to devise effective ways to address those needs;
- **collaborate with businesses and other organizations** to identify issues that higher education can address through new research initiatives or preparation of a workforce with new knowledge and skills, and to devise effective ways to address those needs individually and in networks, thus advancing development of intellectual capital, the economy, and related needs of New York;
- provide New Yorkers with **opportunities** to learn using **technological resources, quality distance education** and other means; and
- seek **excellence** through ongoing self-study and study of the environment in which they operate for the purpose of continual improvement.

## VI. STRUCTURE OF THE STATEWIDE PLAN

The Regents priorities for New York's higher education system for 2004-2012 are directed at making the system even more effective at meeting the needs of New Yorkers. These 13 priorities are organized under five categories, as follows:

### A. Maximizing Success for all Higher Education Students

1. High Educational Quality
2. Articulation
3. Affordability
4. Closing Performance Gaps
5. Students with Disabilities

### B. Smooth Student Transition from PreK-12 to Higher Education

6. Preparation for College
7. Information and Assistance in Preparing for College

C. Meeting New York's Needs through Graduate Programs and through Research

8. Strong Graduate Programs to Meet the State's Needs
9. Creation of New Knowledge through Research

D. Qualified Professionals for Every Community throughout the State

10. An Adequate Supply of Qualified Professionals
11. An Adequate Supply of Qualified Teachers, School Leaders, and other School Professionals

E. A Balanced and Flexible Regulatory Environment to Support Excellence

11. Encouraging a Highly Effective System
12. Funding a Highly Effective System

Within each of the five categories, the 13 priorities are discussed separately, in the following order:

- *Statement of the issue*: a description of the issue and what are the critical factors to be addressed.
- *Sector Initiatives from Master Plans*: a description of what each of the sectors advanced to help attain the Regents Priorities for Higher Education.
  - The City University of New York
  - Independent Colleges and Universities
  - Proprietary Colleges
  - State University of New York
- *Regents Initiatives*: activities that the Department will undertake to help attain the Regents Priorities.
- *Indicators of Progress*: indicators that will help policymakers see the progress being made to attain the Regents Priorities.

**For example:**

***Regents Priority: Preparation for College***

Possible Initiatives:

CUNY	→	College Now
SUNY	→	GEAR UP
SED	→	Liberty Partnership
	→	STEP Program

- SED → Urban Initiative
- SED → Transition Services

Possible Indicators of Progress:

- change over time in New York high school pupils' scores on standardized tests (e.g., ACT; SAT).
- change over time in the number of pupils passing Regents exams with 65 or greater.
- college participation rates for young adults measured as the percent of 18 to 24 year olds enrolled in college (compared to other states and the U.S.).

Each sector may have more or fewer initiatives for a specific Regents Priority. The degree of response to a Regents Priority may depend on the mission of institutions, specific emphases within sector master plans, and/or the role of the sector in implementing a particular Priority. For example, the proprietary sector does not have a significant involvement in teacher preparation but does have a significant involvement in workforce preparation and closing the performance gaps for college degree attainment. The same is true for the different Education Department offices that contributed initiatives towards meeting the Regents Priorities. The Department will work with the sectors to identify the precise measures to be used in studying statewide progress under each Indicator of Progress.

## VII. PRIORITIES FOR THE HIGHER EDUCATION SYSTEM

### *A. Maximizing Success for all Higher Education Students*

**1. Regents Priority: High Educational Quality.** *The Regents ask institutions to describe in their master plans how the results of their ongoing self-study processes improve the quality of students' education.*

Undergraduate education helps assure academic, civic, and cultural success. It is the entry-level door to opportunity for effective participation in and contribution to society and prepares students to succeed in postgraduate study. New York has a highly effective higher education system in which institutions give students the ability to develop ethical, intellectual, and social values; contribute to society; succeed in the workplace; and engage in lifelong learning. Within the context of diverse institutional missions and individual aspirations and talents, New York's higher education community helps all students to attain the knowledge, skills, and ethical grounding to contribute to society and succeed in the workplace in responsible ways.

All students will attain progressively advanced levels of knowledge and the ability to apply that knowledge effectively to problems in the field of study and to new areas of study. Students will learn from experts, printed and electronic documents, collaboration with peers, and their own observations and reasoning. They will learn independently,

integrating and synthesizing different aspects of knowledge, extending and creating knowledge, thinking critically, and engaging in reflective self-critical thought. They will listen, speak, and write clearly and effectively. They will develop global consciousness and an adaptability to changing environments and conditions. They will become self-directed, life-long learners capable of self-renewal.

Institutions of higher education are communities of disciplined learning and reflection in which competent professionals actively and cooperatively engage in creating, providing, and improving educational offerings and services to achieve high quality outcomes. This relates to the element of a highly effective system that calls on institutions to seek excellence through ongoing self-study.

*Accreditation of Institutions by the Board of Regents.* The U.S. Secretary of Education recognizes the Regents as a Nationally Recognized Accrediting Agency for degree-granting institutions in New York State. Twenty-six colleges and universities have voluntarily applied for accreditation by the Regents. Overall, the accreditation process has helped those institutions to focus on elements essential to high quality education and achievement. As a result of reviews conducted since 2001, a number of the accredited institutions took steps to strengthen their academic programs, faculty, student support services, library resources and student learning. The Regents expect that their institutional accreditation standards and procedures will continue to be a significant element in reviewing the quality of education and related services available to students.

*Distance Learning.* Distance learning has the potential to address this priority as well as other Regents priorities. It has the capability to:

- provide access to virtually anyone in this State;
- enable residents to pursue educational opportunities within their family and workforce obligations;
- provide specialized study and training to professionals and communities where experts are not readily available; and
- assist licensed professionals to fulfill mandatory continuing education and competency requirements to better serve the public.

The Department does not regulate the mode of delivery of individual courses offered by colleges and universities. An institution may offer up to one-half of a program of study by distance education methods before triggering the need for approval. Consequently, the Inventory of Registered Programs identifies only 477 of the 26,656 registered programs of study as ones in which half or more of the coursework is offered by distance education methods.

To give greater flexibility to institutions with significant capability to offer distance education, several years ago the Department developed an Institutional Capability Review approach. In cooperation with experts in distance higher education, Principles and Operational Criteria for Good Practice in Distance Education were developed.

Institutions were invited to apply voluntarily for assessment by expert peer reviewers of their capability to plan, deliver, and evaluate distance education programs. Institutions found to meet the criteria for good practice are eligible to use a streamlined procedure for registering existing classroom programs in a distance education format. (Programs with significant clinical elements are not included.) At this time, 20 of New York's 268 colleges and universities have undergone Institutional Capability Reviews successfully.

The Department convened a review committee from the four higher education sectors to review its policies and procedures in the area of distance education and to make recommendations about them. The committee reviewed the Department's "Principles of Good Practice for Distance Higher Education" and the criteria and procedures for the review of distance education capability and programs, and their interactive effectiveness. It has identified strengths and weaknesses and improvements to the principles, criteria, and procedures. Over the next several years, the Department will continue to monitor distance learning programs in the State, offer technical assistance when needed and identify best practices that can be shared with all of the State's colleges and universities.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of High Educational Quality.

### ***Sector Initiatives in Response to Priority for High Educational Quality***

#### The City University of New York.

- Ensure and enhance the quality of undergraduate and graduate programs as well as post-doctoral training and adult and continuing education.
  - Provide community college students with significant additional full-time faculty, strengthened programs, and enhanced support services.
  - The University's Coordinated Undergraduate Education Initiative will consolidate those university projects that have been developed over the past several years to provide students with opportunities to maximize their success in college.
  - Build a solid infrastructure to support ongoing review and development of sound general education programs to provide a quality general education experience to students.
  - Through a U.S. History Initiative, assure that all undergraduates are offered the opportunity to study American history with the best faculty.
  - The Honors College will continue to strive to provide the best aspects of a small liberal arts college.
  - Each college will undergo an accreditation process for its teacher education programs.
- Continue to build the libraries' collections in print, digital, and other formats to support the teaching and research programs of the University. Create and explore opportunities to collaborate on the purchase of electronic databases. Develop an

interlibrary lending capability within CUNY to leverage investment in print collections. Promote information literacy as an institutional-wide issue and develop tools to assess the information literacy capabilities of our students.

- The performance management process adopted in 2000 has been a key force in the transformation of leadership at CUNY. It ensures that the Trustees' long-term vision for the University forms the scaffolding for annual planning at each of the colleges, and that CUNY and college executives are held accountable for results. Accountability is achieved by measuring colleges' annual progress towards key performance targets - many tied directly to student outcomes - and rewarding performance by presidents and their leadership teams commensurate with those results. Over the next four years, the University will continue to monitor three broad sets of objectives: raising academic quality, improving student success, and enhancing financial and management effectiveness.
- Adopt a performance-based method to monitor program success.
  - Data from the Pathway to Teaching study and other studies will be used to examine program success.
  - A survey of graduating students to determine their future educational and career plans to prepare students for a competitive market place.
- CUNY will continue towards its goal of assuring that full-time faculty offer 70 percent of courses.
- CUNY has constructed a database of student information that the colleges can access electronically to track their progress on many of the indicators related to the academic performance of students. Over the next four years, these data structures will be expanded with three goals in mind:
  - Deliver data that guide faculty and administrators at the colleges in their efforts to design and deliver improved services for students;
  - Organize information to support the assessment of learning and administrative services at the colleges; and
  - Organize information to allow the central administration and the colleges to more fully measure progress toward the University's objectives and to guide policy.
- Improve the quality of support services (e.g., career services, health services, and day care centers) and recreational activities to students.
- *The CUNY Proficiency Examination.* The CUNY Proficiency Examination (CPE) is designed to assure that CUNY students have developed, by the time they are ready to leave lower-division study, the academic writing, reading, and critical thinking skills consistent with the receipt of an associate degree and to begin upper-division study. Since the first administration of the exam in the fall of 2001, 78,571 students had taken it by the end of the spring 2004 term. Of that number, 88.7 percent

passed the exam, including 77.6 percent on their first attempt, an additional 9.3 percent on their second attempt, and a further 1.7 percent after three or more attempts. CUNY states that institution of the CPE has resulted in active discussions on and across colleges on general education and Writing Across the Curriculum and is proving to be an overall incentive to curricular reform at the colleges.

#### Independent Colleges and Universities.

- The independent sector will continue to direct the educational process to focus on a learning environment by building on the inherent strengths of an individual college or university and recognizing its unique mission. These strengths are evident in numerous ways: One hundred thirty-two independent college and university faculty members and alumni have won Nobel prizes; New York State is a leading destination for first-time freshmen; 14 independent colleges and universities are recognized among the *U.S. News and World Report* Best National Universities and Liberal Arts Colleges, more than any other state; and independent colleges and universities attract more than \$1 billion in National Institutes of Health funding each year.
- The average faculty-to-student ratio in the independent sector is 1:12.
- The independent sector will continue to integrate appropriate technology into the curriculum to improve student learning.
- The independent sector will continue to use a variety of assessment strategies involving college leaders and faculty to inform and help guide continuous improvement of student learning.
- Assessment as implemented at independent colleges and universities is a dynamic process. It includes a variety of assessment strategies, including tracking the progress of cohorts of students, collecting examples of student performance, and using the same instrument semester after semester.
- As implemented at independent colleges and universities, the point of assessment is not to gather data and return “results”; it is a process that starts with the questions of decision makers and involves college leaders and faculty in gathering and interpreting data. It informs and helps guide continuous improvement.
- Independent colleges define their constituencies as both the students they serve and the people of New York as a whole. Individual colleges’ assessment practices involve students and residents of the State to gain feedback on how well the college is meeting the public perception of its mission and sharing its knowledge and expertise.
- At independent universities and colleges, faculty play a central role in gathering and interpreting data.



### Proprietary Colleges.

- The tools nearly universally used within the sector for pursuing ever-increasing institutional quality include ongoing and frequent review of academic programs, ongoing evaluation of institutional effectiveness, ongoing planning, keeping abreast of changing knowledge and technology through the use of outside advisory groups as well as faculty and management personnel, and constant attention to faculty quality through such devices as faculty teaching portfolios, professional development activities, and tuition reimbursement plans.
- Student-related initiatives reported by proprietary colleges include:
  - arranging internships
  - offering a wide range of student services
  - creating on-line offerings
  - aggressive student advisement

### State University of New York.

- Since 1998, Mission Review (SUNY's ongoing academic strategic planning process) has included all SUNY institutions, both individually and as part of geographic regions and campus type groups. With its second cycle launched in February 2004, Mission Review attempts to:
  - ensure the highest level of academic quality across SUNY;
  - focus on the fundamental aspects of campus missions;
  - encourage campuses to think strategically about their roles within SUNY, New York State, and the nation;
  - enhance campus distinctiveness and differentiation;
  - enhance the reputation of each campus relative to regional and national peers;
  - increase opportunities for and support of inter-campus cooperation; and
  - identify goals and benchmarks to monitor success.
- During Mission Review II (2005-2010), campuses will be encouraged to focus on their strengths and sharpen and build on institutional differentiation in setting academic program direction, including development of new programs, revision of existing programs, and elimination of outdated programs. At the same time, the SUNY program review policies and procedures, focusing on mission, market, and quality, will continue to provide ways to monitor and prevent unwarranted duplication of programs and to maintain each campus' distinctive academic mission. Changes to the SUNY graduate program proposal review process, including new guidelines, are planned for introduction in 2004-05.

- As part of Mission Review II, each campus will develop an updated Memorandum of Understanding (MOU) with SUNY System Administration. The MOUs will identify how each campus will implement many of the elements described in the SUNY master plan and, where appropriate, identify performance targets.
- *Assessment of Student Learning Outcomes.* Mission Review has emphasized the importance of comprehensive assessment in enhancing academic quality. In Mission Review II, campuses will describe how they use the results of campus-based assessment (of the major and general education) to improve program quality, teaching effectiveness, and student learning, and share their plans going forward.
- SUNY plans to continue to increase the number of programs that are nationally recognized and, where appropriate, ensure that programs are nationally accredited.
- While campuses update curricula to meet changing demographics, Mission Review II will include focused discussion of campus academic plans and priorities for addressing the State's aging population, consistent with SUNY's participation in Project 2015 (a Gubernatorial initiative to meet the needs of an aging New York). In particular, SUNY will explore plans for relevant new and/or expanded programs and to use technology-mediated learning, including online learning.
- *Academic Technology.* SUNY will continue to strengthen technology-based learning environments, including online course delivery, through the SUNY Learning Network, as well as ensure that faculty have access to a full range of tools to continue to integrate technology in teaching and learning; particularly through its newly enhanced platform, CourseSpace. SUNY also will work to promote the potential that online learning holds for inter-campus academic collaboration in developing degrees and programs, in teaching, and in research, which it is just beginning to explore. SUNY seeks to identify where System Administration's role can most add value and quality and support campus efforts without unnecessarily duplicating infrastructure. A shared commitment to academic technology is a key component of each institution's Memorandum of Understanding; Mission Review II will explore future plans and goals to be described in those MOUs.
- *Libraries.* By 2005, all campuses will be operating a common electronic library management system as part of the University's SUNYConnect initiative. This effort gives every student and faculty member on every campus full access to SUNY's entire holdings (over 18 million volumes). In Mission Review II, SUNY will explore opportunities to enhance library resources further and to generate additional long-term cost savings through such mechanisms as unified subscriptions to electronic databases and regional storage facilities. SUNY has also been instrumental in the establishment of the New York State Higher Education Initiative (NYSHEI), a membership organization of New York academic institutions and their libraries. Among its primary goals is to leverage members' considerable individual investments in academic libraries for the benefit of all through collaborative action and resource development, cooperative acquisition of materials, shared programs,

and coordinated services. Full NYSHEI membership currently exceeds 125, including all SUNY and CUNY libraries and the New York State Library.

- *Plans for Ensuring Technology Infrastructure Supports Academic Quality.* During Mission Review II, SUNY will give added attention to plans to ensure robust technology infrastructure and explore opportunities to expand collaborative activity.
- *Plans for Ensuring that Facilities Support Academic Quality.* Mission Review II will emphasize both short- and long-term plans to ensure that SUNY's facilities support academic quality and enhance prospects for favorable student experiences. SUNY will seek consistency between academic plans and priorities and facilities planning. In addition to academic, clinical, and residential facilities, plans will be discussed to develop and equip research facilities essential to attracting federal funding; as these areas are explored, implications will emerge for SUNY policy and procedures that put the University in the strongest position possible to attract competitive funding.
- *Plans for Administrative Structure and Resource Support to Ensure Academic Quality.* Mission Review II will seek to ensure that timely and accurate institutional data are available to support decision-making at both the campus and system level.
- *New Programs of Study.* The plan identifies 311 programs of study tentatively planned for introduction, 2004 – 2008, by 50 State-operated campuses and community colleges.

### ***Regents Initiatives in Response to Priority for High Educational Quality***

Institutional Accreditation. During the period of the Plan, the Regents will continue to use institutional accreditation, for colleges and universities voluntarily seeking accreditation, to assess and strengthen their education and services. In doing so:

- By 2005, the Department will complete a multi-year program, required by the U.S. Department of Education, to assess, in cooperation with the institutions accredited by the Board of Regents, other New York colleges and universities, and other interested parties, the adequacy of the Regents institutional accreditation standards to evaluate the quality of the education provided by accredited institutions. At that time, the Regents will determine whether to make any revisions to those standards. The Department then will begin a second multi-year assessment of the adequacy of the institutional accreditation standards.
- In 2006-07, the Department will submit to the U.S. Department of Education an application for renewal of the Secretary of Education's recognition of the Board of Regents and the Commissioner of Education as a Nationally Recognized Accrediting Agency.

- By 2012, the Department will have made accreditation visits by teams of peer reviewers to all institutions accredited by the Regents as of 2003 as well as visits to three additional applicants.

New Century Libraries. NOVEL, New York's Online Virtual Electronic Library, gives New Yorkers statewide access to information online, including thousands of full text journals. NOVEL is freely available to all New York libraries, including academic and research libraries. It gives all of New York's students and faculty, from the smallest college to the largest university, access to scholarly publications. Faculty and students enjoy access to this reservoir of information free of charge via their campus library. NOVEL is supported temporarily by federal grant money, but the New Century Libraries legislative initiative would provide \$14 million annually to continue and expand it.

Core Academic Collections for Higher Education (CACHE). New York's students and faculty need access to a basic core collection of Information Age research materials. New Century Libraries would invest \$15.1 million annually to increase access to the State's academic, special and research libraries. This core collection of research materials will be accessible to students in colleges and universities across the state through NOVEL. CACHE will provide expanded opportunities for grants and matching funds for programs like the New York State Higher Education Initiative, Reference and Research Library Resources Systems, and others that support collaborative purchasing of collections and cooperative resource-sharing among the State's college and university libraries, and that promote the use of emerging technologies at reduced costs. It will enable college and university libraries statewide to improve, update, and strengthen existing collections and technology.

Digital Television provides an opportunity to enhance learning services, increase accessibility to underserved audiences and persons with disabilities, and provide professional development through New York's public broadcasting stations. The stations are developing a statewide educational channel called the Empire Channel. One promising initiative, made possible by a \$2.5 million grant from the Oishei Foundation, is the WNED Lifelong Learning Partnership to develop a digital learning channel and online learning services. Once WNED transitions to digital television, it will be able to "multi-cast" and give local residents up to four public television programs at the same time. It will dedicate a channel to expand lifelong learning offerings, emphasizing the needs of teachers, families, children, and working adults. Partners include Buffalo-area higher education institutions, local school districts and BOCES, the public libraries and other cultural institutions, and other community or public agencies.

Good Practices in Distance Education. The Department has gathered examples of good practice in distance education from colleges and universities that have undergone Institutional Capability Reviews. The examples fall into the areas of:

- organizational commitment;
- learning design;
- learner support;

- outcomes and assessment; and
- program evaluation.

The examples can be found on the Department's Web site at <http://web1.nysed.gov/ocue/distance/examples.html>. The Regents will continue to urge institutions to review these examples for possible use in their own distance education initiatives.

Promoting the Infusion of Technology into Teacher Preparation Programs. See Regents Priority E(11).

### ***Indicators of Progress: High Educational Quality***

- Institutional self-assessment of progress and achievement on its master plan.
- Change over time in the persistence of first-time students to the next fall.
- Graduation rates for all matriculated entering students (not just first-time, full-time students).
- Pass rates on required examinations for professional licensure or teacher certification.
- For occupational programs at institutions receiving federal Perkins Act funding and other institutions agreeing to provide that information, change in the rate of placement of graduates in jobs in, or closely related to, the field of study, or in further education, within six months of graduation.
- Findings in final reports of Regents institutional accreditation and similar Department visits to colleges and universities (including Institutional Capability Reviews).
- Findings of polls and surveys commissioned by other organizations of employers, students, other groups, and the general public regarding the knowledge and skills needed by, and their satisfaction with, college graduates at different degree levels.
- Ongoing review of CUNY's College Proficiency Examination (CPE) results and SUNY's sector-based General Education Assessment Review (GEAR) results.

#### ***A. Maximizing Success for all Higher Education Students***

***2. Regents Priority: Articulation.*** *The Regents ask institutions to describe in their master plans how they will improve articulation between two- and four-year colleges, among public, independent, and proprietary colleges and universities, and between undergraduate and graduate programs and institutions to assist students at every level in their progress towards a degree.*

**Table 2**

<b>Full-Time Undergraduates Enrolled at New York Four-Year Institutions who Transferred from New York Two-Year Institutions</b>			
	Lower Division	Upper Division	Total
1999 with Associate Degree	2,020	6,242	8,262
1999 without a Degree	7,315	3,017	10,332
1999 Total	9,335	9,259	18,594
2001 with Associate Degree	2,221	6,044	8,265
2001 without a Degree	7,825	3,309	11,134
2001 Total	10,046	9,353	19,399
2003 with Associate Degree	2,311	5,332	7,643
2003 without a Degree	7,916	3,690	11,606
2003 Total	10,227	9,022	19,249

Source: NYSED, Office of Research and Information Systems, 2004.

Between the fall of 1999 and the fall of 2001, the number of full-time undergraduates at New York's four-year colleges and universities who transferred from New York two-year colleges grew by 4.3 percent (from 18,594 to 19,399). Between 2001 and 2003, the number remained virtually unchanged, declining by 0.8 percent to 19,249. However, many of those students entered the lower division of the four-year institution reflecting the large number of students who transferred without first attaining an associate degree. The proportion entering the upper division was 49.8 percent in 1999, 48.2 percent in 2001, and 46.9 percent in 2003.

The share of all full-time undergraduates at New York four-year institutions who had transferred from New York two-year colleges remained virtually unchanged between 1999 and 2003. In both 1999 and 2001, it was 4.2 percent. In 2003, it had declined to 4.0 percent.

Of particular concern is the declining number and percent of students with associate degrees from New York two-year colleges who transfer to New York four-year colleges and enter the upper division, together with the growing number of associate degree holders transferring into the lower division of four-year colleges. Between 1999 and 2003, the number entering the upper division declined by 14.6 percent, from 6,242 to 5,332. In 1999, 75.6 percent of all full-time students transferring to a New York four-year institution with an associate degree from a New York two-year institution entered the upper division. In 2001, the proportion declined to 73.1 percent. In 2003, it was only 69.8 percent. The data indicate that more effort needs to be made to improve the transfer of students from two-year to four-year colleges in New York State.

Cooperation among institutions, individually and in consortia, is one of the elements of a highly effective higher education system. Where appropriate to their institutional missions, improved educational offerings and services and improved time to degree

completion for students may be accomplished by improving articulation between two- and four-year colleges, among all public, independent, and proprietary colleges and universities that are members of The University of the State of New York, rather than only regionally accredited institutions, and between undergraduate and graduate programs and institutions.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Articulation.

### ***Sector Initiatives in Response to Priority for Articulation***

#### The City University of New York.

- Develop additional articulation agreements among and between community and senior colleges to enhance transfer options, including the area of teacher education.
- Develop articulation between the school of professional studies and master's degree programs.
- Complete the implementation of the Internet accessible Transfer Information and Program Planning System (TIPPS) database that details equivalencies between courses at different colleges within CUNY, and extend the database to include courses from non-CUNY institutions.
- Continue to implement the DegreeWorks degree audit system along with the TreQ transfer articulation system at most colleges. These systems will provide CUNY students with the ability to audit progress towards completing their degrees at their current institutions, as well as to determine the effect of current course and program choices on programs they may be considering at other institutions.

#### Independent Colleges and Universities.

- Many articulation agreements operate within the independent sector at all levels.
- To make sure that transfer works the way it should, it must not only include the admission of transfer students, but that their college credits earned in academic course are applied to graduation requirements.
- Independent colleges and universities support institution-to-institution agreements because they provide the flexibility to broker and ensure effective articulation.
- The relationships that two-year institutions have with four-year institutions are an essential element in expanding students' horizons to pursue four-year study.

- The baccalaureate degree is becoming the entry point to the workforce for the majority of students, making it increasingly important that two-year to four-year transfer works well.
- To account for academic freedom and institutional diversity, and to maximize access, articulation agreements must be multi-dimensional and specifically tailored to the institutions and programs involved.

### Proprietary Colleges.

- Proprietary colleges view articulation from two perspectives, depending in part on the level of their own offerings and the offerings of other colleges. One institution offering both baccalaureate and master's degrees concentrates on pursuing articulation agreements with SUNY and CUNY community colleges to facilitate students' movement to the institution with minimal loss of credit and time. Its admissions counselors do significant outreach with students, informing them about things that will facilitate a successful move to a higher degree program. The goal of one baccalaureate institution with respect to articulation is to have agreements with all community colleges in the State. Another has 34 such agreements. At least two others have or are pursuing articulation agreements with institutions offering M.B.A.s.
- Nearly all associate degree institutions in the sector have or are seeking articulation agreements with four-year colleges. Some offer transfer counseling to students considering pursuit of a baccalaureate degree. At least one maintains a "transfer resource room" where students can research information on four-year institutions.
- The most common concern of proprietary colleges accredited by agencies other than Middle States is that many institutions in the other sectors do not recognize credit from institutions that do not have regional accreditation, despite Department urging to the contrary. To deal with that problem, several two-year colleges are developing courses and reviewing existing courses to meet local public four-year colleges' requirements. A proprietary baccalaureate and master's-level institution, with many articulation agreements with two-year colleges, has observed a local community college redesign its fine arts curriculum to coincide with its requirements.

### State University of New York.

- SUNY indicates that they plan to continue to encourage the best possible communication between associate and baccalaureate institutions, with strong articulation and seamless transfer the desired outcome. Many campuses have worked particularly hard over the last two or three years to strengthen articulation agreements and, more generally, communication with other campuses. SUNY will continue to enhance campus-to-campus relationships and ensure that students wishing to transfer receive excellent advisement and are well prepared for academic work at the receiving institution.



- SUNY will continue implementation of the Intra-SUNY Transfer Action Plan, designed to provide seamless and successful transfer for every SUNY A.A./A.S. graduate to earn a baccalaureate degree with two additional years of full-time study.
- SUNY's largest transfer initiative, the Teacher Education Transfer Template (TETT) project, has fostered development of a universal transfer template in teacher education that has been adopted by 33 associate-degree campuses and 12 baccalaureate campuses. Working templates - accessible via the Web - will serve as valuable resources, for students and faculty alike, supporting advisement and curricular/program development, thereby facilitating transfer and articulation.
- SUNY will implement phase II of the Community College Strategic Plan, which is designed to serve as a guide and resource for action as well as provide measurable outcomes to monitor effectiveness.

### ***Regents Initiatives in Response to Priority for Articulation***

Recognition of Transfer Credits. The Department will continue to encourage all institutions to have articulation arrangements based on course equivalency that are consistent with their educational missions and that recognize transfer credit fairly and in students' interest.

Jointly Registered Programs. During the period of this Plan, the Department will encourage two-year and four-year colleges to submit applications for registration of joint associate degree-baccalaureate degree programs that provide for a seamless move from the lower to the upper division by students making satisfactory academic progress.

Strengthen the Transferability of Coursework Offered by Two-Year Colleges. Through institutional accreditation and other means, during the period of this Plan the Department will seek to assure that learning objectives for each course are of a level and rigor that warrants acceptance in transfer by other institutions of higher education.

Professional Education Opportunities. See Regents Priority E(10).

Jointly Registered and Articulated Teacher Education Programs between Two- and Four-Year Institutions. See Regents Priority E(11).

### ***Indicators of Progress: Articulation***

- Change over time in numbers of students transferring from two- to four-year colleges in New York State.
- Change over time in the ratio of full-time undergraduate transfers to the number of full-time undergraduates enrolled at two-year colleges in the preceding year.
- Change over time in the number of students transferring from associate degree to baccalaureate teacher education programs under the teacher education template.

- Change over time in the number of associate degree-baccalaureate degree programs registered jointly by two-year and four-year colleges.
- Growth in the number of institutions accepting transfer credit from all institutions accredited by nationally recognized accrediting agencies rather than only from those that are regionally accredited.

### ***A. Maximizing Success for all Higher Education Students***

**3. Regents Priority: Affordability.** *The Regents will continue to collaborate with higher education institutions to advocate with State and Federal elected officials for an effective fiscal strategy to ensure access and an affordable higher education for all students.*

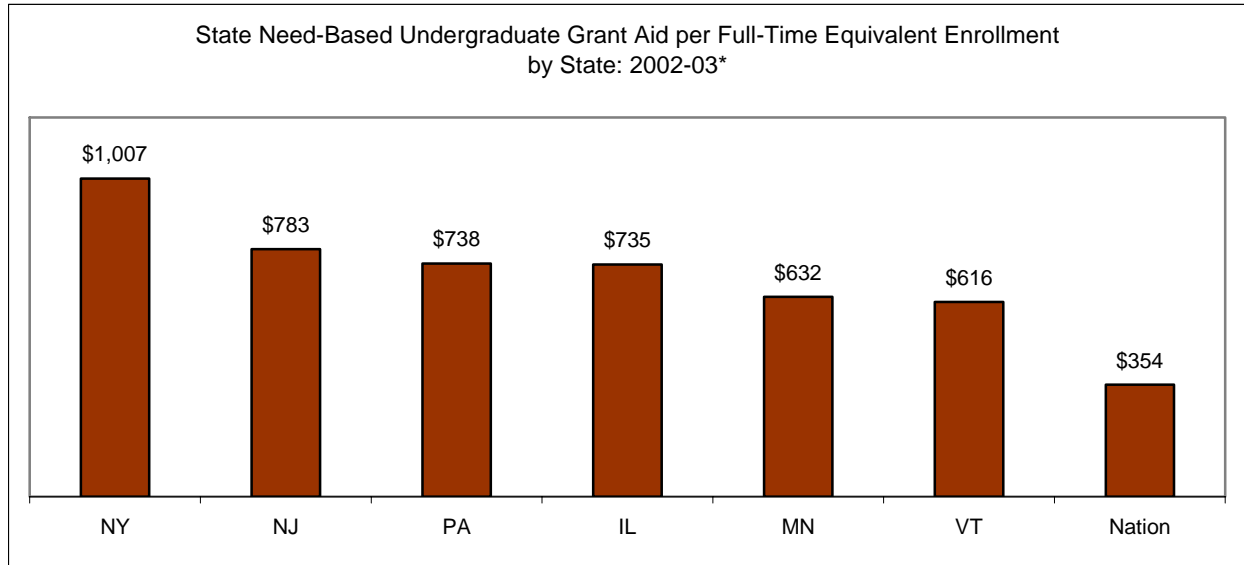
To help students and their families afford higher education, New York funds more student grant aid per student than any other state. For 2000-01 (the most recent year for which all financial aid data are available), New York State provided students \$648 million in grants, mostly through the Tuition Assistance Program (TAP). That same year, institutions provided \$1.7 billion in institutional grant aid. Including federal grants, grants to students in New York colleges totaled \$3.38 billion. However, there also has been a strong reliance on loans to support students' college education. In 2000-01, students at New York colleges received \$3.75 billion in loans -- more than 1.1 times the amount of grants. A disproportionate share of loans is made to low- and moderate-income students, an ill-advised approach for a population least able to repay.

New York's student aid programs awarded \$687 million in need-based aid to eligible undergraduate and graduate students in 2001-02, and \$740 million in 2002-03, according to the National Association of State Student Grant and Aid Programs' (NASSGAP) annual survey of states. This was a one-year increase of 7.7 percent, compared to a nationwide increase of less than four percent. The programs provided 18 percent of all the need-based aid in the nation administered by states in 2002-03. The average need-based aid per undergraduate from New York State was more than 2.8 times the national average of need-based state student aid that year.

The data indicate that, since the mid-1970s, New York has been a "high price – high aid" state where relatively high public sector tuition charges for State residents are offset by generous need-based grants to students. (This plan assumes that this will continue.) New York residents from the lowest income category who attend SUNY or CUNY as full-time undergraduates do not pay tuition out-of-pocket. The TAP award meets that cost. As income rises, the amount of the TAP grant decreases, reaching zero at a family income level of \$50,000. That level is slightly above the median household income, statewide, which is slightly more than \$43,300. Consequently, full-time undergraduate students from most New York families are able to receive some aid from TAP. In 2002-03, the number of annual average undergraduate TAP recipients was 305,300, according to the 2002-03 Annual Report of the New York State Higher Education Assistance Program. That estimate represented 58.1 percent of all full-time undergraduates, statewide, that year who were New York State residents.

As Chart 1 indicates, according to the National Association of State Student Grant and Aid Programs (NASSGAP), in 2002-2003, New York State ranked first in the need-based undergraduate grant aid program per full-time equivalent student.

Chart 1



The value of this aid is demonstrated in an analysis conducted by Postsecondary Education Opportunity of the college participation rate for dependent undergraduates from low income families for 2002-2003. In that analysis, New York State ranked fourth in the nation in the percent of low income students participating in higher education.

In the 2003 study “Standards for What?: The Economic Roots of K-16 Reform, Carnevale and Desrochers state:

But there is also bad news: The absolute levels of bachelor’s degree attainment among low-income youth remain low, and the gap in educational performance and access to college have not narrowed in spite of those same policies. Only 36 percent of students from the lowest SES quartile attended a postsecondary institution, while among students in the second and third quartiles, the shares were 53 and 71 percent, respectively. In the top SES quartile, fully 89 percent of the students continued their formal education past high school (Carnevale and Kimmel, forthcoming).

College completion rates for low-income students also are persistently low relative to the completion rates of more affluent students. By age 25, about 42 percent of 16-year-olds from affluent families had earned bachelor’s degrees in the mid-1990’s, compared to about 13 percent from low-income families. The odds against bachelor’s degree completion for low-income youth are 7-to-1, as opposed to 1.4-to-1 for affluent families (Carnevale, Fry, and Turner, forthcoming).

Affordability appears to be a very important factor in degree attainment.

Between 2000-01 and 2003-04, average tuition and fees for full-time undergraduates at four-year colleges rose by more than 26 percent at SUNY and CUNY (for residents), by 16.5 percent in the independent sector, and by 24.1 percent in the proprietary sector. At two-year colleges, the comparable increases averaged 4.6 percent at SUNY, 22.3 percent at CUNY, 16.0 percent in the independent sector, and 18.6 percent in the proprietary sector. Before the recent public system increases, CUNY's tuition had not changed since 1995.

At SUNY and CUNY four-year and two-year campuses, the maximum TAP award has continued to equal the full-time tuition charged to New York State residents. In 1974, the maximum TAP award covered 60 percent of tuition costs at an independent college. However, the maximum TAP award for students from the lowest income categories (tuition up to \$5,000) has not increased since the current award level was phased in for first-time students in 2000-01. At four-year independent institutions the maximum award equaled 30.8 percent of average full-time tuition and fees in 2000-01 and only 26.4 percent in 2003-04. At independent two-year colleges it equaled 61.7 percent of average tuition and fees in 2000-01 and 53.2 percent in 2003-04. At four-year proprietary colleges, the maximum TAP award equaled 44.6 percent of average tuition and fees in 2000-01 and 35.9 percent. At two-year proprietary colleges, the maximum award equaled 54.2 percent of average tuition and fees in 2000-01 and 45.7 percent in 2003-04.

It is essential that colleges and universities remain affordable for low- and moderate-income students. More needs to be done to reduce student reliance on loans, especially for students in the lowest economic quartile. A top priority for both State and federal agendas should be reaffirming that access to college is a vital component to help ensure success for all.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Affordability.

### ***Sector Initiatives in Response to Priority for Affordability***

#### The City University of New York

- Streamline the financial aid process.
- Provide students with easily accessible information through a number of innovations: CUNY portal, degree audit software, and the Enterprise Resource Plan.

#### Independent Colleges and Universities.

- clcu supports the Regents call for State funding to ensure access and an affordable higher education for all students.
- The independent sector has indicated that it will continue to make full funding of the Tuition Assistance Program (TAP) a top priority, as it is crucial to providing access.

In 1974, the maximum TAP award covered 60 percent of tuition costs at an independent college or university; today, it meets less than one-quarter (24 percent) of the independent sector's average weighted tuition.

- The independent sector has been forced to increase institutional aid, currently at \$1.9 billion, to continue its long tradition of providing access for low- and moderate-income students. Institutional grants have grown faster than TAP.
- Student borrowing also is increasing as federal and State grant aid levels remain stagnant. In 2002, the average undergraduate borrowed \$18,900, and the average graduate student \$31,700, to fund their college education, according to Nellie Mae. The increased debt load discourages many students from attending college and delays post-graduation decision-making such as home ownership and business start-ups for others.

### Proprietary Colleges.

- Access at an affordable cost is a major objective of proprietary institutions. With many students coming from lower and middle income families, the availability and adequacy of federal and State student financial assistance, together with scholarship aid, are key factors affecting access. However, three other strategies are crucial in the sector:
  - maintain student charges at the lowest level consistent with institutional viability;
  - offer education and related services that place graduates in jobs paying enough so that student loans can be repaid in a timely way;
  - make available institutional financial assistance. Examples of the levels and variety of institutional financial aid made available by proprietary institutions are:
    - \$12 million by one institution during 2002-03;
    - \$2.5 million in scholarships and \$400,000+ in student wages by another;
    - 2.8 percent of tuition revenue by a third;
    - a program of one, \$1,000 per year merit scholarship at each high school in another college's catchment area;
    - policies of not increasing tuition for continuously enrolled students;
    - institutional scholarships for veterans and military personnel;
    - scholarships for students in the top 25 percent of their high school graduating classes; and
    - consideration of student community involvement in awarding scholarships.
- Other techniques are:
  - zero to moderate annual tuition increases;
  - encouraging employer-sponsored tuition reimbursement plans;
  - encouraging high schools to offer programs for which college credit can be given, thus reducing students' time in college;

- pre-enrollment financial advice and financial assistance information; and
- creating non-profit foundations to raise scholarship funds.

State University of New York.

- SUNY is committed to ensuring access and opportunity to the full range of populations served; in meeting its access mission, it is concerned about economic barriers that may prevent a student from attaining a quality higher education in New York. SUNY will continue to seek adequate levels of financial support from federal, State, local, and private sources so that students can stay in school and graduate in a timely manner, consistent with individual educational goals. Mission Review II will see focused attention on the economic diversity of students enrolled.

***Regents Initiatives in Response to Priority for Affordability***

Student Aid Programs in Title IV of the Federal Higher Education Act. The Regents will advocate with the federal government to:

- strengthen Pell grants, increasing the maximum grant significantly over the next six years to help low-income students keep up with rising costs of attendance, and making other improvements to increase students' access to higher education;
- maintain both Family Education Loans and Direct Student Loans and increase the annual and aggregate limits for subsidized loans for all students;
- raise authorizations for the Leveraging Educational Assistance Program (LEAP). In New York, LEAP helps fund TAP.
- authorize higher funding levels for the Supplemental Educational Opportunity Grant program, Perkins Loans, and College Work Study to give institutions more resources to use in assisting students to meet the cost of attendance.

Temporary Assistance for Needy Families. The Regents will advocate with the federal government an expanded definition of vocational education to include postsecondary education and to enable recipients of Temporary Assistance for Needy Families to receive more than 12 months of support while enrolled in a higher education program.

Advocacy Plan. The Department will take a leadership role in developing a joint advocacy plan for higher education funding that all sectors can support.

***Indicators of Progress: Affordability***

- For low- and middle-income students, change over time in the average undergraduate tuition and fees net of TAP entitlement, by institutional type.

- For low- and middle-income students, change over time in the total price of attending college (i.e., tuition, fees, room and board) net of TAP and Pell entitlements, by institutional type.
- Change over time in total grant dollars per student, institutional grant dollars per student, and loan dollars per student, by institutional type.
- Affordability indicators from the New York State component of the 2004 National Postsecondary Student Aid Study, which will represent undergraduates at New York's public and independent institutions (compared to the U.S. and selected other states).
- Comparison of the amount of New York need-based undergraduate grants to the amount of state-funded, need-based undergraduate grants offered by key states and nationwide.
- Comparison of the amount of New York need-based undergraduate grants per full-time equivalent undergraduate to the amount of state-funded, need-based undergraduate grants per full-time equivalent undergraduate offered by key states.

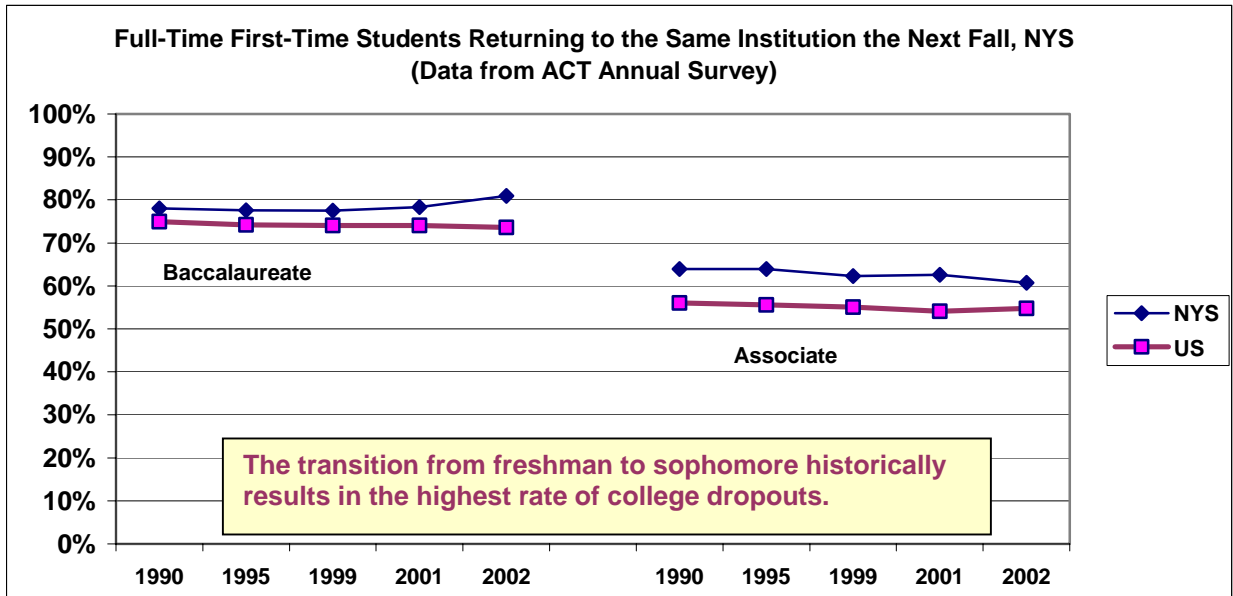
#### **A. Maximizing Success for all Higher Education Students**

**4. Regents Priority: Closing Performance Gaps.** *The Regents ask institutions to focus in their master plans on student retention and on activities to help close performance gaps based on students' economic status, ethnicity, race, or gender.*

Graduation rates have traditionally been important performance measures for higher education. A growing body of research indicates that there are many complex and interrelated factors associated with the completion of a college degree. In this plan, we provide information on completion rates specific to New York State and examine some of the factors that may impact on completion rates.

As colleges develop initiatives to improve their graduation rates, a key indicator that they monitor is the return of full-time students from their freshman to sophomore year. This rate is referred to as the persistence rate. As Chart 2 indicates, New York State students have consistently returned to college from their freshman to sophomore year at a higher rate than the national average (in 2002, 7.3 percent higher for baccalaureate students and 5.9 percent for associate degree students). New York does follow the national trend where persistence for baccalaureate programs is greater than for associate programs.

**Chart 2**



As Chart 3 indicates, the six-year graduation rate for baccalaureate students in New York State is higher for both students graduating from their initial institution and also for transfer students. Although not depicted on Chart 3, the Department has projected graduation rates for students beyond six years. It is projected that 74.8 percent of the 1997 cohort of students entering baccalaureate programs will eventually complete an associate or baccalaureate degree.

**Chart 3**

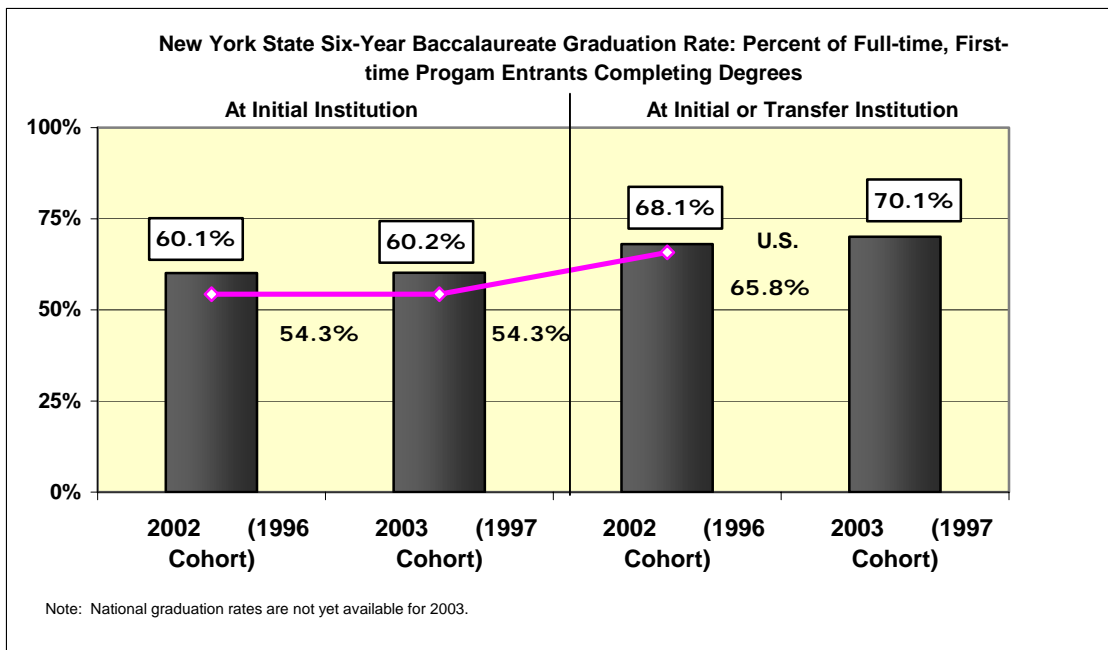
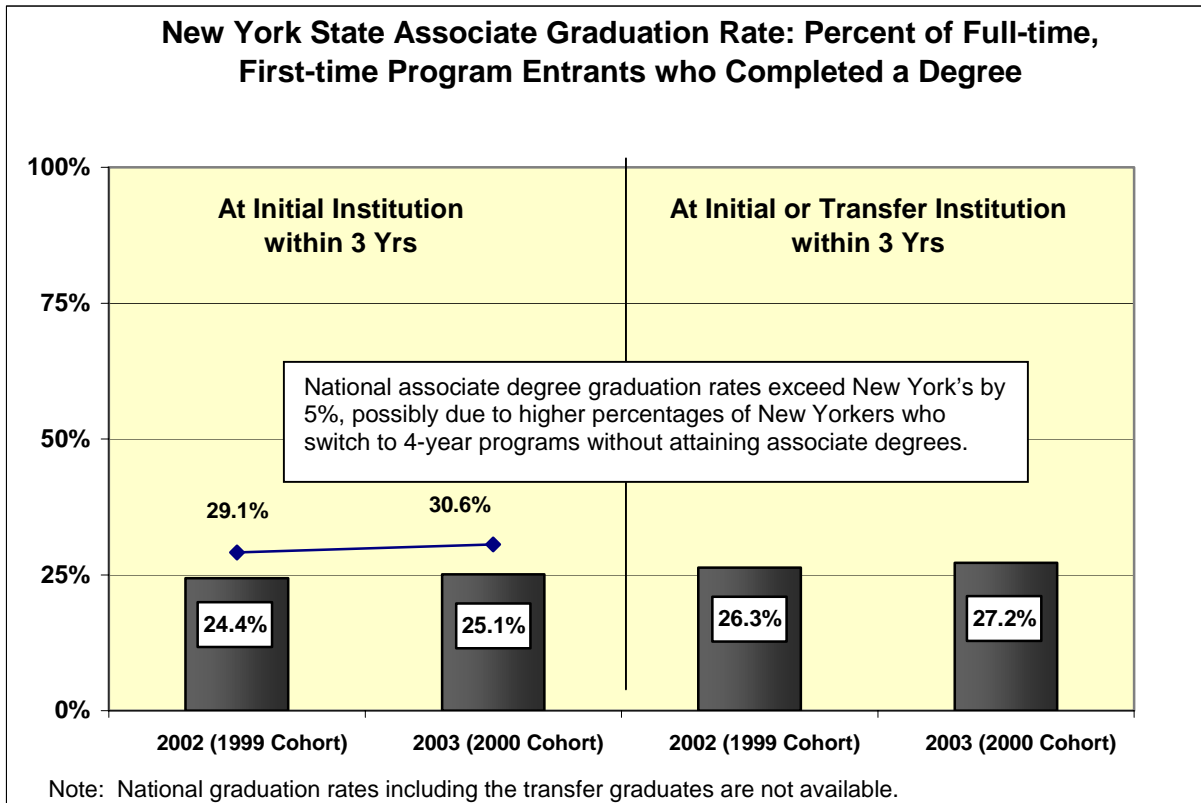




Chart 4 depicts the performance of associate degree students in New York State and the United States. New York's associate degree graduation rate is lower than the national average of 5.5 percent in 2003. Again, extending the time period six years and beyond and including students that transfer into baccalaureate programs without completing an associate degree, it is projected that over 49 percent of students first entering an associate degree program will eventually obtain either an associate or baccalaureate degree.

**Chart 4**



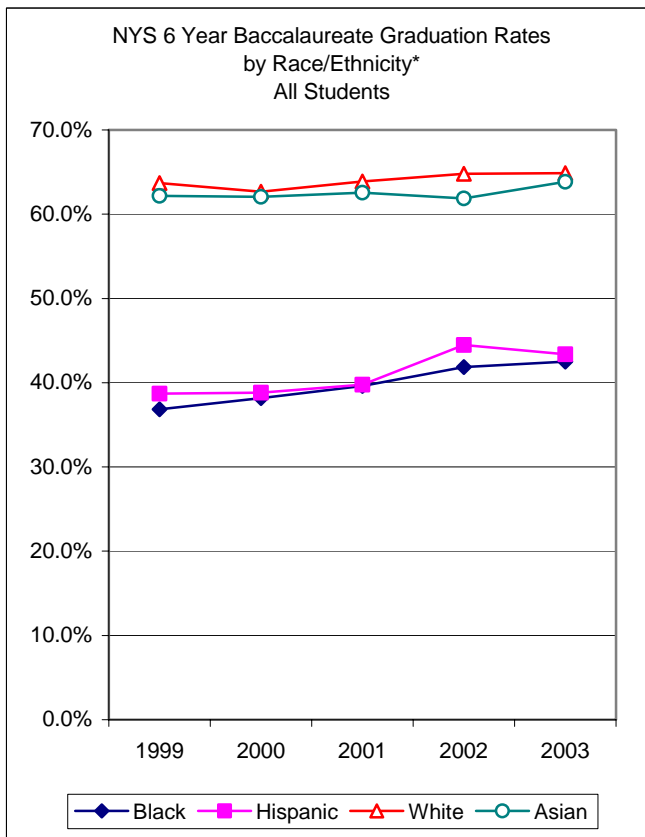
A national concern relates to the disparity of the graduation rate by race and ethnicity. A 2005 report from the Education Trust examines the six-year graduation rates at four-year institutions for students entering in 1997. The study finds significant gaps in the national graduation rate of black (40.5%) and Hispanic (47%) students as compared to Asian (65.4%) and White (59.5%) students.

Chart 5 provides a longitudinal view of the six-year graduation rate for baccalaureate students by race and ethnicity. New York's data mirrors the national data with a performance gap by ethnicity. In 2002, White (64.9%) and Asian (63.8%) students graduated at significantly higher rates than Black (42.5%) and Hispanic (43.4%) students.

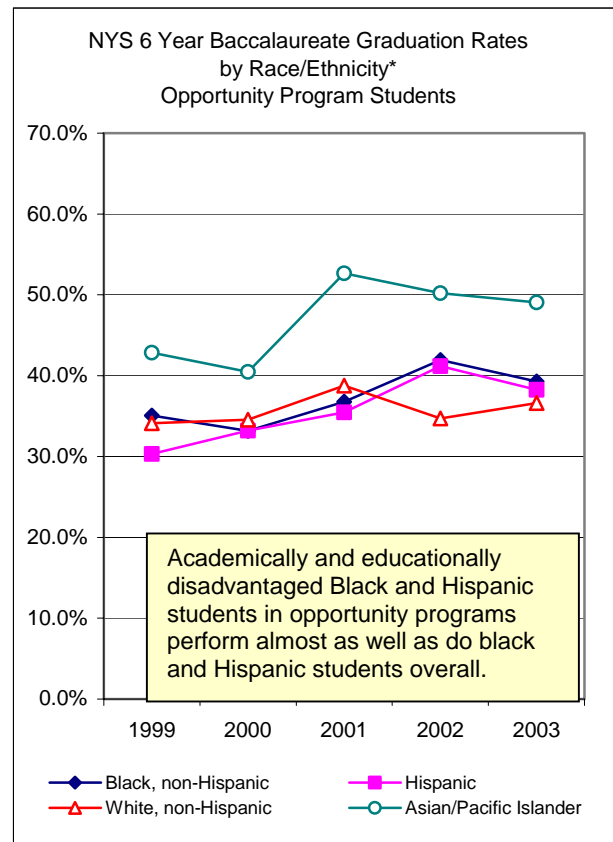
Chart 6 provides comparable graduation rate data for baccalaureate students enrolled in one of the State's opportunity programs (i.e., HEOP, SEEK or EOP). Students in the State's opportunity programs are educationally and economically disadvantaged and many would not otherwise attend college. While the annual graduation rate for opportunity students is lower than for all students, there are some important highlights:

- As Chart 6 indicates, for students in opportunity programs, there are similar graduation rates for Black (39.3%), Hispanic (38.2%) and White (36.6%) students and a higher graduation rate for Asian students (49.1%).
- Comparing Charts 5 and 6, it shows that Black (39.3%) and Hispanic (38.2%) students in opportunity programs graduate at similar rates as all Black (42.5%) and Hispanic (43.4%) students.

**Chart 5**

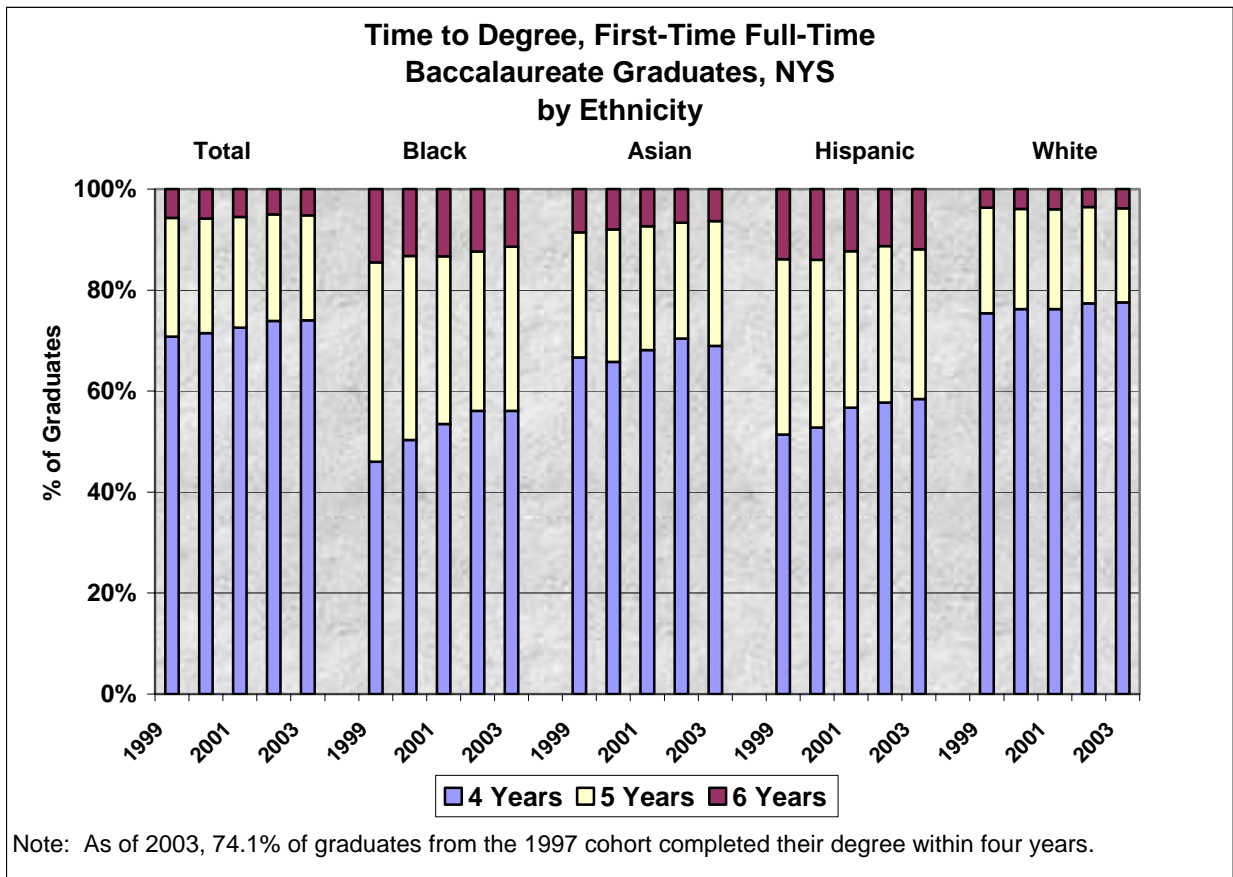


**Chart 6**



Finally, a student's time to complete a baccalaureate degree is a concern for all students. As indicated on Chart 3, 60.1 percent of New York State students first entering a baccalaureate program in 1997 graduated in six years. Of those students (1997 cohort) who graduated, 74.1 percent graduated within four years. Chart 7 examines the four, five and six year graduation rate by race and ethnicity. The chart illustrates that more White and Asian students graduated in four years than Black and Hispanic students. Performance gaps must, therefore, be viewed both in terms of graduation rate and the number of years it takes to graduate.

**Chart 7**



This Plan identifies an eight-year approach to address these gaps across all sectors to continue to improve the performance of the higher education system, including:

- continuing to improve the preparation of all K-12 students to meet higher learning needs to ensure they are adequately prepared for postsecondary education;
- focusing on the need to improve the retention of students from the freshman to sophomore year;
- supporting initiatives to continue to close performance gaps in degree attainment based on ethnicity, race, gender, or disability; and
- devising programs, initiatives and services to help all students complete their degree programs in a timely manner.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Closing Performance Gaps.

## ***Sector Initiatives in Response to Priority for Closing Performance Gaps***

### The City University of New York.

- CUNY is seeking to identify critical junctures where students are most likely to falter, including entry to college, move from general education to a major or specialization, and transfer between institutions. It sees these as interlocking issues; for example, transfer often entails choosing a new major. It is encouraging both University-wide and college-level strategic planning to take into account these juncture points in students' careers.
- CUNY will provide support to retain students:
  - continue the University Summer Immersion Programs to build students' college preparation in reading, writing, and math;
  - continue the summer programs (e.g. ESL, orientation sessions, math and science bridge courses) to address particular student needs;
  - continue the SEEK and CD programs to provide academic and counseling support to students;
  - offer academic support (i.e., advising and tutoring programs) to students;
  - identify and apply effective instructional strategies to help under-prepared students realize their academic potential.
- Implement programs to help close performance gaps.
  - Implement the Chancellor's Initiative on the Black Male in Education, which seeks to enhance the retention and graduation of Black men by removing barriers affecting their academic performance, development of positive relationships, identification of career goals, employment, and health maintenance. Orientation courses/seminars will address such issues as course requirements and career planning as well as social issues relating to race, gender, and sexuality.
  - Continue the English as a Second Language programs to offer support to English language learners.
  - Provide counseling services to special needs students, disadvantaged students, and students from special programs.
  - Develop academic literacy across the curriculum for students through the University-wide Writing Across the Curriculum initiative.
- Other services:
  - maintain a unified central office for international student services.
  - serve veterans.

### Independent Colleges and Universities.

- The independent sector will continue to develop programs to enhance the information skills of all incoming students based on assessment data results.
- The independent sector also will continue to assess the learning levels of first-time students to identify individual students and provide supplemental program to those who need assistance in academic or study skills.
- Institutions will make efforts to reach out to non-traditional students with special programs help in the overall retention rate of students.
- clcu and its member institutions will continue to participate in and advocate for expanded collaborations between secondary schools and independent colleges, such as GEAR UP and clcu's Outreach Programs (Affording College, Your College Search), clcu periodic Financial Aid Bulletins, and other programs and activities such as "Camp College," an early awareness experiential activity hosted on various campuses for traditionally underrepresented secondary students, and other programs and publications designed to acquaint secondary students with the preparation needed for and the opportunities available in higher education.

### Proprietary Colleges.

- Techniques to close performance gaps are understood and used by most colleges. Of particular interest is the extent to which they have created mechanisms for identifying the recipients of those techniques, and for overseeing, integrating, coordinating and applying them. Techniques reported include such structural arrangements as:
  - creating a Retention Committee of institution staff;
  - designating a Student Services Coordinator;
  - creating an Office of Campus Life;
  - having a "diversity expert" on staff; and
  - designating an Enrollment Management Committee.
- Programmatic approaches include developing a Student Success Pilot Program and creating a Student Success Management Plan.
- Techniques used by colleges with formal structural and/or articulated programmatic approaches include:
  - new student orientation
  - assignment of academic advisors to new students
  - new faculty orientation
  - faculty development
  - mandatory first-year classes in study techniques and resources

- tutorial assistance
  - remedial courses and programs
  - monitoring student attendance
  - student services and organizations
  - techniques to identify students in difficulty
- Other widely used techniques include:
    - maximizing scheduling effectiveness to increase student satisfaction and persistence
    - matching students to programs
    - using the Noel-Levitz Retention Management System
    - scheduled one-on-one faculty assistance for students in academic difficulty
    - ESL programs
    - significant use of minority faculty
    - bilingual tutoring
    - use of computerized “learning centers”
    - small class size
    - on-line tutoring
    - regular meetings of each student with campus directors and deans.
  - Since 2001, the Association of Proprietary Colleges (APC) has been the recipient of GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs) grants to help at-risk youths, beginning in the eighth grade, to get ready for college. It has developed workshops targeting parents, teachers, and guidance counselors as well as students. Activities also have included career fairs, financial aid information sessions, admissions conferences, campus visits, computer camps, and remedial math and English classes. APC expects the program to continue at least until 2005, when the original cohort of eighth graders will be applying for college admission.

State University of New York.

- SUNY views retention and graduation as important indicators of academic quality. During the first cycle of Mission Review, campuses set three- and five-year retention and graduation rate goals. In Mission Review II, campuses will update goals and reaffirm commitments to enhance student success; SUNY will continue to benchmark student outcome data, including retention and graduation rates, against appropriate peer institutions.
- Through its Educational Opportunity Program efforts, SUNY will continue to support students who have the potential to succeed in higher education despite economic and academic disadvantages, by providing financial assistance, academic development skills workshops, advisement, and counseling.

- SUNY works cooperatively with educational sectors throughout the State to ensure student success at the postsecondary level; it is an active participant in the statewide GEAR UP project and works jointly with the Search for Education, Elevation, and Knowledge (SEEK) program in CUNY.
- *Plans for Enhancing Student Outcomes/Success.* Successful student outcomes depend on several factors, including the quality of instruction, students, and faculty and the quality and availability of student support services and co-curricular activities. During Mission Review II, SUNY will seek to better understand the relationship between these factors and student success at each campus and to facilitate sharing of best practices. National and system-wide surveys may be useful in elucidating this relationship. System Administration also will work with campuses to measure, track, and benchmark postgraduate success and identify best practices.

### ***Regents Initiatives in Response to Priority for Closing Performance Gaps***

Higher Education Opportunity Program (HEOP). The Department will seek to expand HEOP to increase the academic support and supplemental financial assistance for 6,250 FTE students at independent institutions.

Collegiate Science and Technology Entry Program (CSTEP). By 2008, the Department plans to:

- expand the number of persons served by STEP and CSTEP from 9,000 to 12,100;
- increase by 148 the number of students from historically underrepresented minority groups annually enrolling in mathematics, science, and technology programs;
- increase by 334 the number of baccalaureate degrees in mathematics, science, and technology fields earned annually by members of historically underrepresented minority groups.

Coordination of Efforts. The Department will seek to:

- enhance coordination of efforts by Liberty Partnerships, STEP, CSTEP, the Empire Promise Nurse Opportunity Corps, and opportunity programs to maximize the benefit to middle and high school pupils and to undergraduates.
- encourage coordination in New York City between STEP programs and CUNY's College Now programs to maximize their benefits to pupils.

Dissemination of Information on Good Practices. During the period of this Plan, the Department will collect information on good practices supporting student retention and timely completion of programs and disseminate it to all undergraduate institutions. Dissemination may employ such methods as Web pages, publications, conferences, technical assistance, and exchange of information among institutions.

Minimizing Students' Administrative Burdens. A recent study (Person, Rosenbaum, and Gordon-McKeon) identified three institutional elements that seem to raise two-year college students' graduation rates:

- “one-stop shopping” for enrollment, registration, and student financial aid;
- predictable and streamlined curricula composed of courses offered in regular sequence; and
- low ratios of counselors to students, enabling counselors to monitor student progress closely.

The Regents urge colleges and universities to take steps to minimize administrative requirements or procedures that may impede student progress and graduation, especially those identified in the Person, Rosenbaum, and Gordon-McKeon study.

Structure of Undergraduate Programs. During the period of this Plan, through accreditation site visits and other regular evaluations of institutions or programs, the Department will review the frequency with which institutions offer the courses in their registered undergraduate programs in order to determine that “courses will be offered with sufficient frequency to enable students to complete the program within the minimum time for completion,” as required in §52.2 of the Commissioner’s Regulations.

Plans to Improve Retention and Completion. Following review of updated information on retention and completion and the dissemination of information on good practices, the Department will ask undergraduate institutions needing to improve retention, completion, or both to prepare plans to do so and file them with the Department.

Opportunities in Nursing. See Regents Priority E(10).

### **Indicators of Progress: Closing Performance Gaps**

- Persistence rates from first to second year, statewide, for all undergraduates, by racial/ethnic category, and by regular and opportunity program admission.
- Graduation rates, statewide, for all undergraduates, by racial/ethnic category, and by regular and opportunity program admission.
- Length of time to degree, statewide, for all undergraduates, by racial/ethnic category, and by regular and opportunity program admission.

### **A. Maximizing Success for all Higher Education Students**

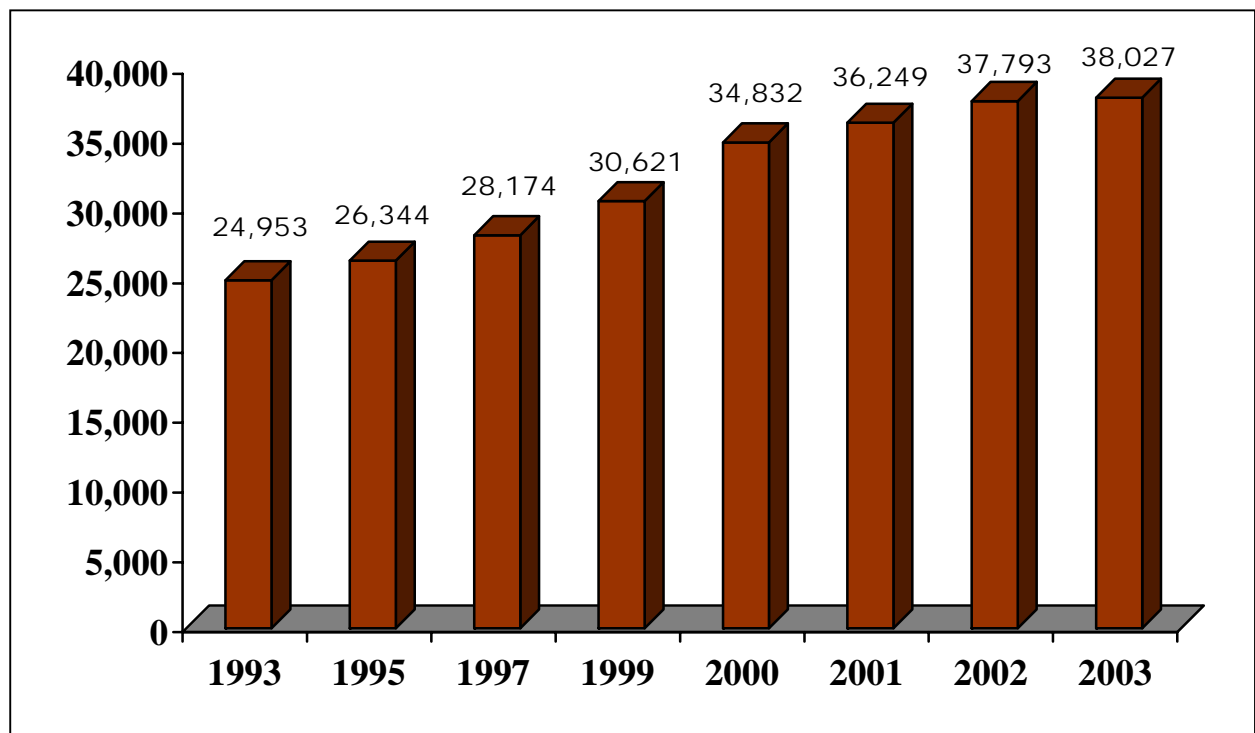
**5. Regents Priority: Students with Disabilities.** *The Regents ask institutions to focus in their master plans on access and success for their students who have disabilities. The Regents will work with the higher education community to assure that institutions have adequate financial support to maintain and initiate appropriate programs and services for these students.*



According to data from the high school graduating Class of 2001, one year after school exit, the 38 percent rate of transition to two- or four-year colleges for former special education pupils is dramatically higher than was the 17 percent rate for the Class of 1996. However, gaps continue to exist between the college participation of general and special education pupils (80.5 percent compared to 37.8 percent). Significantly more pupils with disabilities planned to attend college in 2003 (49 percent).

Chart 8

**New York State  
Enrollment of Students with Disabilities  
in Postsecondary Education**



Over the last ten years, the number of persons with self-identified disabilities attending college grew by 52.4 percent, from 24,953 in 1993 to 38,027 in 2003, when they were 3.4 percent of all students enrolled. Increasing numbers of students with disabilities will be graduating from high school with the desire to pursue higher education. These students offer special challenges for higher education. Faculty training, assistive technology, counseling, and appropriate support personnel are some of the factors being addressed by colleges and universities. Accessibility and success for students with disabilities in higher education will depend on an understanding of how to provide needed services effectively to these students and the ability to provide them. When given appropriate support, students with disabilities perform at rates equivalent to all students. For example, 60.2 percent of all full-time, first-time students matriculating in baccalaureate programs in the fall of 1997 earned baccalaureate degrees from the

same institution by August 31, 2003; the rate for students with self-identified disabilities was 62.9 percent.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Students with Disabilities.

### ***Sector Initiatives in Response to Priority for Students with Disabilities***

#### **The City University of New York.**

- CUNY's current enrollment of over 8,000 self-identified students with disabilities reflects a significant increase in this rapidly growing CUNY population. Meeting their diverse academic and social needs by providing and maintaining high quality innovative programs, technical assistance in the classroom, transportation to classes and extracurricular activities, and CUNY-wide campus access gives students with disabilities an equal opportunity to receive a high quality, affordable college education based on individual scholastic achievements and merit.
- The University intends to implement, to the degree possible, the following recommendations of a University Faculty Senate focus group:
  - using the CUNY Portal, establish a disability Web site that includes a disability handbook to serve as a resource guide for faculty/staff and provide access to pertinent information for all students;
  - assess the feasibility of establishing regional resource centers for learning disabilities and identify cost-effective strategies for their implementation;
  - during CUNY disability month, conduct a University-wide conference for faculty, campus administrators, staff, and security personnel on appropriate techniques for teaching and providing assistance to students with disabilities;
  - develop a marketing video in conjunction with CUNY TV for use by disability coordinators and admissions offices;
  - augment the availability of College Now programs and opportunities for high school students with disabilities;
  - expand the provisions of the New York Community Trust Transportation Grant to facilitate the participation of students with disabilities in campus student life;
  - develop a plan to provide centralized coordination for interpreter services, to reduce costs and provide expertise in selecting and maintaining quality service;
  - enhance academic accommodations for students with disabilities by providing faculty training in handling sensitivity issues and providing technical assistance in the classroom when administering exams and in teacher/student conferences;
  - ensure that all CUNY standardized examinations are fully accessible;
  - train faculty and instructors in making online instruction accessible to students with disabilities;
  - ensure that students with disabilities are represented on committees that develop technology plans on campuses and that college technology fees accommodate needs to purchase technology for students with disabilities;

- ensure integration of disabled students into positions outside campus disability offices, including student aides and assistants;
- develop an education program on ADA compliance modeled on CUNY's sexual harassment education program.

### Independent Colleges and Universities.

- So that disabilities do not hinder students from achieving their academic goals, the independent sector supports programs of planning, insight, self-advocacy, and accommodation.
- To assist students with learning disabilities, independent colleges and universities sponsor programs to maximize students' potential. These programs focus on planning, insight, and advocacy and accommodation. Institutional strategic plans differentiate between modifications (i.e., lowering standards and expectations) and accommodations that equalize the playing field through sensitivity to time and environmental constraints.
- Because college students with disabilities have diverse needs, unique modifications are often needed, what may work as an accommodation for one person may not be useful for another, but may prove to be a barrier to learning. Thus, to truly assist students with learning disabilities, independent colleges and universities sponsor programs to maximize students' potential in the college setting.
- To accomplish its goal for students with disabilities, the independent sector reaffirms its ongoing commitment to quality improvement and high performance for all students.
- The independent sector recommends that the Regents and the State Education Department continue to endorse their priority of securing additional State and federal funding to enhance campus efforts for students with disabilities.

### Proprietary Colleges.

Most colleges use a variety of initiatives to assist students with disabilities that go well beyond reasonable accommodation. They range from:

- encouraging students to disclose disabilities to facilitate maximum support through:
  - employment of learning disabilities specialists
  - faculty and staff training that addresses common perceptions and misperceptions about individuals with disabilities
  - training faculty to identify learning disabilities and encouraging them to bring to the attention of a designated staff member any student appearing to have a disability
  - outreach programs for high school students with disabilities

- peer mentoring
- special tutoring
- the use of study aides
- school-supervised internships.

to such structural arrangements as:

- designation of a Disabled Student Coordinator;
- formation of an internal Committee on Disabilities;
- provision of Learning Centers; and
- working closely with VESID.

Every college provides equipment to accommodate physical disabilities and special materials, equipment, and software needed by students with disabilities; and assures accessibility to the campus.

### State University of New York.

SUNY's enrollment of students with disabilities (18,027 in 2003-04) has increased nearly fourfold over the last two decades, and is up 30 percent since 1995. The SUNY Master Plan indicates that the enrollment of students with disabilities will continue to be a priority during Mission Review II.

- In conjunction with the ongoing work of SUNY's Office of Disabilities and Information and local campus support services, assuring compliance with the Rehabilitation Act of 1973, Section 504 and the Americans with Disabilities Act of 1990, a systemwide committee has been established to address ongoing issues and plans related to students with disabilities.
- SUNY will continue to work with SED and the sectors on the statewide initiatives of postsecondary education and students with disabilities.

### ***Regents Initiatives in Response to Priority for Students with Disabilities***

#### *Transition Activities*

Data inform the decision making process and support local, regional and statewide plans for improvement. To further increase participation in career planning, in the coming year school report cards will report data on Career Plan participation for general and special education pupils in grades 4-12. The Career Plan serves as a document for learners to record their development in the areas of self-knowledge, career exploration, career and life goals, classroom learning application, and foundation skill awareness.

Technical assistance around the transition to the postsecondary setting is provided to students, families, schools, and postsecondary institutions.

- In an effort to focus on system changes and continue to improve postsecondary outcomes for pupils with disabilities, the Department will continue to fund the Transition Coordination Sites (TCS), a regionally based technical assistance network of seven sites supporting local and statewide implementation of the Regents long-term goal of preparing pupils with disabilities for living, learning, and working in the community as adults. Each site works closely with schools, pupils, families, and higher education institutions to facilitate a smooth transition to college.
- With the release of a new Request for Proposal for continuation of the TCS network, the Department is committed to providing technical assistance around transition issues for the next five years.
- The Department's Transition Website provides much information about the transition to postsecondary education for students with disabilities. Effective practices are in the process of being collected, as are resources for a transition toolbox. Both will be posted to the Web in the coming year.

Transition Needs Assessment. To increase the consistency of school district implementation of planning and services, a transition needs assessment rubric is being designed. The goal is to develop a skill-based tool to assist in building pupil capacity for transition to employment, postsecondary education, and community living.

#### *Postsecondary Activities*

Higher Education Faculty Development. The Department is developing a "Higher Education Faculty Development" Request for Proposal. It will allow for the establishment of a statewide demonstration project to (1) provide knowledge and training for college faculty in the use of assistive technology and modification of existing or new curricula to be more universally adaptable; (2) develop a model mentoring program involving college and secondary students, faculty, and staff; and (3) provide professional development and training to other higher education institutions for the purpose of replication of the model.

Chapter 219 of the Laws of 2003 was enacted to improve access to instructional materials for college students with a print disability. Publishers and manufacturers of instructional material essential to a student's success in a college course will make material available in alternate format in a timely manner. The Department engaged an advisory group, including publishers, college disability service coordinators, students with disabilities, representatives from Recordings for the Blind & Dyslexic, the Commission for the Blind and Visually Handicapped, and the American Association of Publishers, to assist in developing a field memo for implementation of Chapter 219.

Readers Aid Program. New Yorkers who are deaf, deaf and blind, or blind, and who are matriculated in a degree-granting institution, may apply for funds to help pay the costs of readers, notetakers, and interpreters to provide access to information vital to their studies. The Department is working with the Commission for the Blind and Visually

Handicapped and institutions of higher education to analyze data for justification to increase the funding for this program.

#### Disability Services.

- The Department has been increasing efforts to involve the college disability service coordinators in activities that impact higher education (i.e. Chapter 219, vocational rehabilitation college policy, legislative funding proposal).
- The Department will develop a Web-based statewide Disability Service Directory that will enable a student or parent to learn what services are available for students with disabilities at any college in the State and be provided with contact information.
- The Department is finalizing an RFP for eligible candidates to provide sign language interpreting services to VESID consumers as part of their reasonable accommodations in a postsecondary training experience.

Regents Priority Legislation. In collaboration with SUNY, CUNY, independent institutions, and proprietary colleges, the Department has submitted a legislative proposal requesting \$15 million to assist public, independent, and proprietary colleges and universities in meeting the needs of students with self-identified disabilities by:

- providing base support for capacity building by individual institutions;
- supporting the development of institutional programmatic activities; and
- supporting programs that establish targets for recruiting students with disabilities.

#### ***Indicators of Progress: Students with Disabilities***

- Change over time in enrollment, statewide and by sector, of students self-reporting disabilities.
- Students with self-reported disabilities transferring from two-year to four-year institutions, statewide.
- Graduation rates of students with self-reported disabilities, statewide and by sector.
- Availability of college textbooks and related material in alternate formats for students with disabilities.
- Implementation of the “Higher Education Faculty Development” Request for Proposal.
- New York State Longitudinal Post School Indicator Study results.
- Change over time in the number of high school pupils with disabilities served, statewide, by the Transition Coordination Sites.
- Success of Regents Priority legislative proposal to provide funds to colleges to improve services for students with disabilities.

## ***B. Smooth Student Transition from PreK-12 to Higher Education***

**6. Regents Priority: Preparation for College.** *The Regents will strive to eliminate gaps in student performance (PreK-12) based on economic status, race, ethnicity, or gender.*

In a spring 2004 nationwide poll conducted for *The Chronicle of Higher Education*, 94 percent of respondents believed that “every high school student who wants a four-year college degree should have the opportunity to earn one.” However, a fall 2003 nationwide poll found that “most Americans believe high schools are failing to prepare students for college.” For example, American College Testing (ACT)’s 2003 National Curriculum Survey found that college instructors ranked Grammar and Usage as the most important writing skills while high school teachers ranked them least important.

In 2002-03, 143,818 persons earned high school diplomas in New York State. The Department projects the number to peak at 184,931 in 2008-09 (a 28.6 percent growth over six years), then decline to 179,021 in 2011-12 (3.2 percent below the peak but 24.5 percent above 2002-03).

Of the 199,312 New York public school pupils entering the ninth grade in 2000-01, 67 percent earned high school diplomas by the end of the 2003-04 school year. A further 17 percent were still in school, leading the Department to project that 74 percent of the entering class will have earned diplomas by the end of 2004-05. Twelve percent of the entering ninth grade pupils dropped out of school. Those still enrolled were unprepared by middle schools for their high school courses, did not pass their courses, and may have been held back as a result. The majority of those who dropped out did not take Regents exams at all. The Department’s new Statewide Student Data System made this information possible for the first time ever.

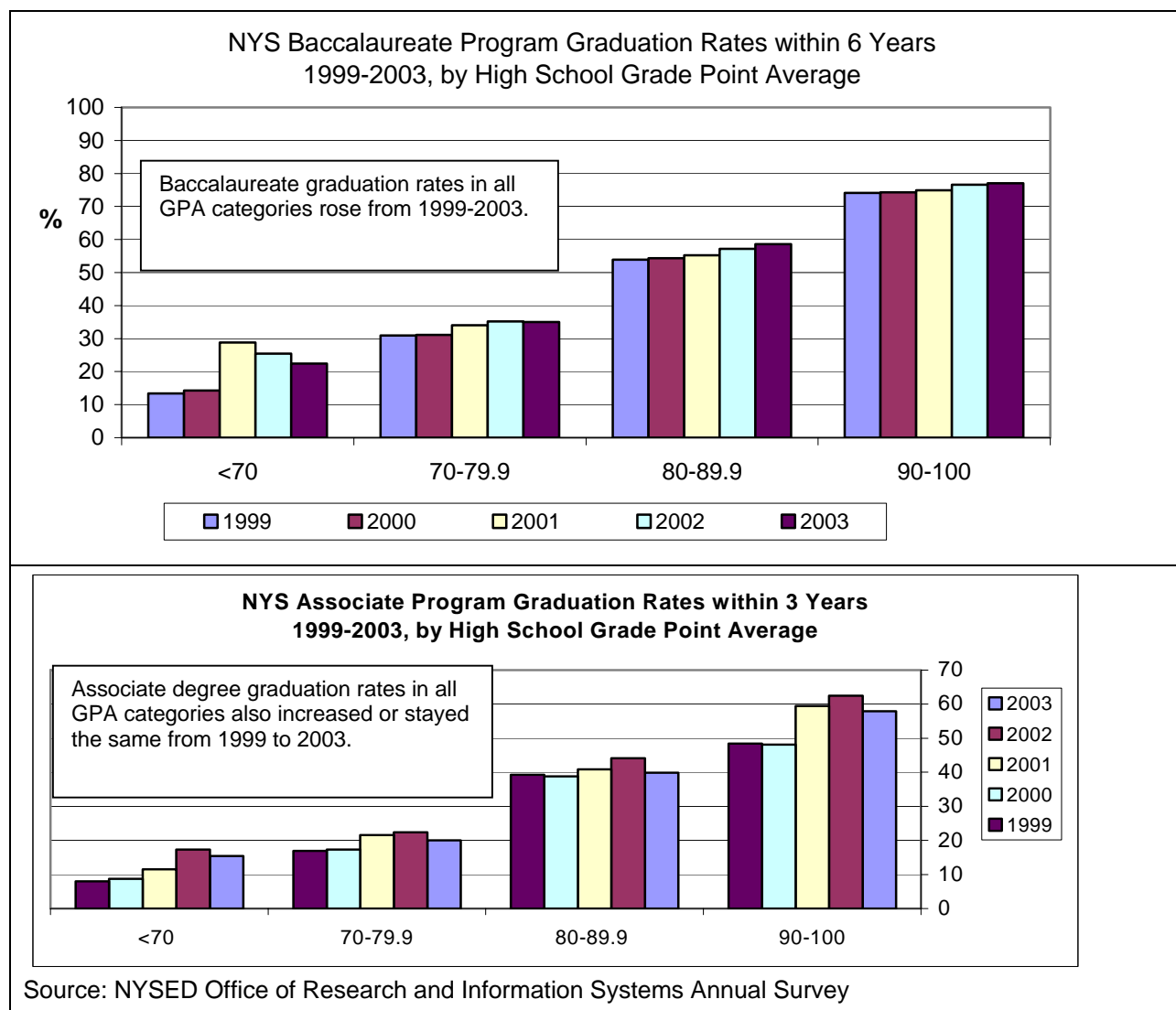
“Standards for What?” a national study (Carnevale and Desrochers, 2003) found a strong correlation between family income and college enrollment. It indicated that “About 68 percent of students who are in the top quartile of test scores nationwide but come from the bottom socioeconomic quartile go to college. But 72 percent of students from the highest socioeconomic quartile with test scores in the nation’s bottom quartile go to college.”

New York has a long-standing commitment to provide access to higher education to its residents. More than 80 percent of New York high school seniors plan to go on to higher education. As discussed above under Priority A(4), success in higher education is directly attributable to the academic preparation of pupils in elementary, middle, and secondary education. Building on the Learning Standards and more rigorous graduation requirements, the Regents are committed to ensuring that all pupils receive a quality PreK-12 education program to prepare them for higher education. In addition to raising standards for all students, the Regents have developed a comprehensive

urban initiative strategy to ensure that all students can attain the higher learning standards and have the opportunity to pursue a postsecondary education.

The performance of New York State students in high school and on the SAT/ACT examinations clearly shows a strong relationship between preparation for college and college graduation rates. Chart 9 examines the relationship between a student's high school grade point average and college graduation rate for both baccalaureate and associate degree students. Chart 10 examines the relationship between a student's score on the SAT/ACT examinations and college graduation rates. This data demonstrates the value of the K-12 academic program in determining future academic success.

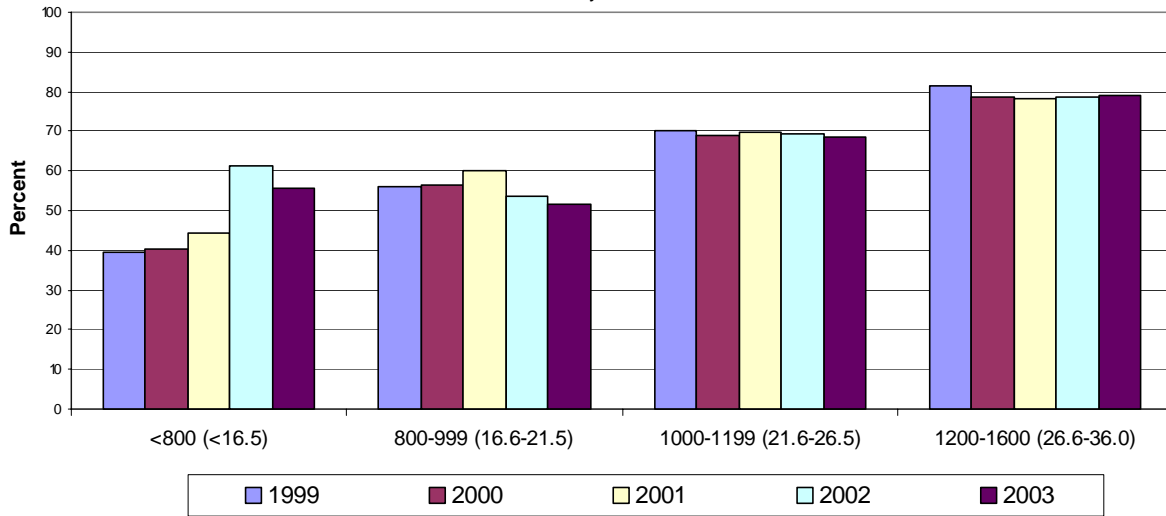
**Chart 9**





**Chart 10**

NYS Baccalaureate Program Graduation Rates within 6 Years  
1999-2003, by SAT/ACT Score

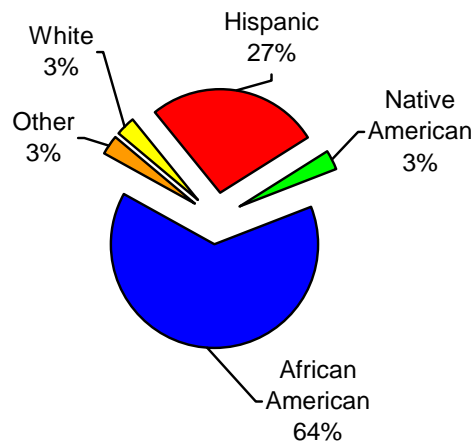


While the standards and the urban initiative strategy are critical elements of the Regents policy to prepare all students for college, there are important opportunity programs designed to help students in need of additional assistance to prepare for college.

Science and Technology Entry Program (STEP). A State program funded through the Department, STEP operates at 57 public and independent colleges and universities, annually serving about 5,600 pupils from historically underrepresented groups. Over the past 18 years, it has helped to prepare 9,300 such pupils to enter college. As a result, in 2004, the National Science Foundation awarded the Department the Presidential Award for Excellence in Science, Mathematics, and Engineering Mentoring. Figure 1 shows the racial/ethnic composition of the pupils STEP served in 2002-03.

**Figure 1**

Racial/Ethnic Distribution of 2002-03  
STEP Students



STEP programs give pupils a myriad of activities to help them achieve in high school and give them tools to apply for college. They do not operate in a vacuum; instead they depend on collaborations among secondary schools, the higher education community, business, industry, parents, and other partners that support STEP's efforts. Services constituting the core of STEP projects include the following:

- Tutoring is provided to STEP pupils in primarily mathematics and science courses. Peers, colleges, and professionals conduct individual and group tutoring.
- Academic and career counseling informs pupils about the coursework necessary to take in high school in order to pursue college and STEP-related careers. The college/career component exposes pupils to various opportunities in higher education and careers.
- Standardized test preparation assists pupils to prepare for standardized examinations ranging from Regents exams to the PSAT/SAT. Instructors use a variety of media to help pupils study for these examinations.
- Internship/research opportunities give pupils a platform to experience "real" work environments and to test theories developed in the classroom.
- Enrichment courses are available to STEP pupils. In some programs they can take credit-bearing college courses through the program during the summer or academic year.
- Professional development is available through training workshops and conferences. Pupils also present their research at these meetings.
- A parental component provides a mechanism for parents to be involved in the program by supporting the efforts of their children, providing professional experience, having fundraisers, and so forth.

Liberty Partnerships. Through 57 collaborative endeavors among colleges, K-12 schools, and other stakeholders, the Liberty Partnerships program provides services to improve the ability of at-risk pupils in grades 5-12 to graduate from high school and enter postsecondary education and the workforce. Its key strategies are to:

- establish statewide and local public/private partnerships to advance educational opportunities for at-risk pupils.
- provide and broker resources that support:
  - the education needs and plans of local schools and school districts
  - local capacity-building and resource development
  - ensuring that meaningful high quality programs and services are available to all Liberty Partnerships pupils

- improvement of the abilities of at-risk pupils to graduate from high school and enter postsecondary education and the workforce.
- inform stakeholders and the general public about the program.
- provide statewide and national advocacy for youth.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Preparation for College.

### ***Sector Initiatives in Response to Regents Priority for Preparation for College***

#### The City University of New York.

- CUNY has made college-sponsored learning opportunities for high school students an essential aspect of its efforts to better prepare students for success in college. The centerpiece of those efforts is College Now, which provides the opportunity for qualified students to take, for free, college credit courses while still in high school.
- For those students not yet ready to take college-credit courses, College Now provides opportunities to develop the essential academic skills necessary for high school graduation and college preparedness.
- There is evidence that College Now is making a difference:
  - More than 28 percent of public high school graduates entering CUNY in the fall of 2002 had been in College Now, and more than 32 percent in the fall of 2003.
  - While CUNY's community colleges serve the majority of College Now students, most of those students enter baccalaureate programs after they graduate. This means that those students met the more stringent requirements for admission to those programs.
  - Preliminary research indicates that College Now alumni are more likely to persist in their pursuit of a degree than other New York City public school graduates, as measured by their rates of re-enrollment for a third semester.
- CUNY has been a co-developer and a home to public high schools for a generation. These high schools provide opportunities to many different kinds of students - English-language learners, academic high achievers, and struggling students. College faculty members frequently work with their high school counterparts on matters of mutual professional development and students are able to take advantage of a wide variety of campus resources.
- Working with the Office of New Schools Development at the Department of Education and with funding from the Bill & Melinda Gates Foundation, CUNY has

launched an initiative to create ten innovative early-college secondary schools across the City.

- CUNY also has embarked on a pilot effort, in cooperation with the Department of Education and with funding from the New York City Department of Youth and Community Development, to reach out to those who have left school and bring them back. CUNY Prep, in the Bronx, offers a full-time program of college preparatory study for out-of-school youth between the ages of 16 and 18. Students prepare to re-enter high school or begin college with a high school equivalency diploma.
- CUNY has expanded and strengthened its professional development activities for public school teachers through projects such as Looking Both Ways and the Discovery Institute at the College of Staten Island.

### Independent Colleges and Universities.

- The independent sector believes that access is qualified by success – “access to success” – and that each admitted student regardless of economic status, race, ethnicity, or gender, is entitled to have, or have the opportunity to enhance, the academic skills necessary to succeed in college. The scope of initiatives in college preparation to achieve this outcome ranges from pre-collegiate preparation programs to remedial classes and to various other specialized programs, including accommodation of students with disabilities, that can lead to success in college.
- The scope of initiatives in college preparation in the independent sector ranges from pre-collegiate preparation programs to remedial classes in two-year colleges and other specialized programs to ensure success.
- The independent sector will continue to maintain and develop local outreach activities and early awareness events at elementary, middle, and secondary schools to reinforce New York’s Learning Standards and to welcome new and changing populations to college opportunities.
- The independent sector is watching demographic trends and predictions for the next eight years and is preparing for even greater numbers of minority and non-traditional students. To meet the postsecondary needs of these populations, more preparatory activity, college classes, and pre-collegiate and collegiate activities are being offered in non-traditional formats and at night and on weekends.
- The independent sector has a tradition of coordinated outreach to middle and high schools, collectively and individually. Its students serve as mentors in local area schools and institutions have collaborated in ongoing and special programs with school districts.

- The independent sector is also reaching out actively to middle and high school students on their own turf by supporting and participating in their current interests, and will continue this activity.
- clcu and its member institutions will continue to participate in and advocate for expanded collaborations between secondary schools and independent colleges, such as GEAR UP and clcu's Outreach Programs (Affording College, Your College Search, clcu periodic Financial Aid Bulletins, and other programs and activities such as "Camp College," an early awareness experiential activity hosted on various campuses for traditionally underrepresented secondary students, and other programs and publications designed to acquaint secondary students with the preparation needed for and the opportunities available in higher education.

#### Proprietary Colleges.

- Pre-enrollment activities include:
  - literacy programs in local elementary schools;
  - presentations at high schools about career fields;
  - previews of the college experience in high school pupils' visits to campus;
  - providing newspapers to local high schools for current events sessions;
  - entering into articulation arrangements with high schools;
  - helping high school staff with curriculum development;
  - encouraging high schools to offer advanced placement tests;
  - offering courses to high school pupils for college credit;
  - arranging student-counselor pre-admission meetings; and
  - offering summer "bridge programs" for students with uneven college preparation, including instruction in English and math, orientation to campus resources, and workshops on study skills.

#### State University of New York.

- SUNY will give particular attention to supporting early intervention initiatives, in collaboration with middle and secondary schools that seek to increase student preparedness.
- With minority student enrollment reaching 76,392 in fall 2003, SUNY will continue to expand efforts to reach and support populations underrepresented in higher education.
- Through SUNY's statewide network of Education Opportunity Centers, supported by two Counseling and Outreach Centers, SUNY will continue to provide underprepared students academic programs leading to higher education.

## ***Regents Initiatives in Response to Priority for Preparation for College***

Teachers Prepared According to New Standards. The first graduates of the teacher education programs meeting the Regents standards adopted in 1999 began teaching in the public schools in the fall of 2004. Their number will increase throughout the period of this Plan.

Liberty Partnerships. By 2008, the Department plans to:

- increase by 1,200 the number of pupils served through the programs;
- reduce ratios of students to staff in the programs;
- strengthen professional development for the programs' staff and faculty; and
- expand use of technology to improve performance by pupils and programs.

Institutionalizing in the Public Schools Key Services Used by STEP and Liberty Partnerships. The Regents urge school districts to consider institutionalizing for all pupils the key services and techniques used by the Science and Technology Entry Program and the Liberty Partnerships program.

Initiatives in Elementary, Middle, Secondary, and Continuing Education.

- To guide large scale instructional improvement in urban school districts, the Department will:
  - explain the purpose of educational reform efforts, including outreach to parents, students, business leaders, members of the Legislature, and the community;
  - enlist new allies, especially from business and higher education, to advocate for a consistent message of higher standards for student success in postsecondary education and the workplace;
  - set district and school performance targets and monitor results through the State assessment system;
  - report performance publicly through school report cards and the §655 Report; and
  - advocate for the distribution of State resources fairly through the Regents State Aid Proposal and engage in continuous legislative advocacy.
- To generate and disseminate instructional knowledge, the Department will:
  - identify effective instructional practices and tools consistent with scientifically based research (e.g., reading and mathematics centers);
  - disseminate information and provide assistance on developing grade-by-grade curricula supported by sustained professional development;
  - implement a student information/identification system and assist school administrators and teachers to use the data to change classroom practice;
  - identify best and promising practices in district and school management of instruction and create electronic dissemination systems through the

Department's Virtual Learning System, on-line data bases, public television, regional training and urban forums; and

- strengthen connections between higher education and school practitioners to ensure consistency in classroom practice for teachers in urban schools.
- To create programs and strategies focused on pupils' needs, the Department will:
  - advocate for resources to make Pre-Kindergarten universal;
  - expand the scientifically based reading program to all pupils scoring at Levels 1 and 2 on the State assessment in English language arts;
  - expand access of students with disabilities to the general education curriculum and environment using intensive research-based instructional methodologies, especially in reading and mathematics;
  - improve the structure and content of bilingual and English as a second language programs and ensure pupils receive quality and intensive English instruction;
  - develop middle-level models that give pupils time to catch up academically and still receive a strong academic program and positive youth development experiences;
  - create an instructional and student support program for 9<sup>th</sup> graders who are falling behind and cannot do 9<sup>th</sup> grade work; and
  - create partnerships with community colleges to develop alternative education programs with increased opportunities in a college setting for potential high school dropouts.
- To enhance school improvement, accountability and fiscal integrity of school districts, the Department will seek a dedicated source of funding to implement school-by-school reform accountability to provide more intensive support and assistance to low-performing schools to close student achievement gaps.

Statewide Student Data System. The Department is building a statewide student data repository system to collect individual pupil data from local school districts, manage the data at a regional level, and provide for the collection of the appropriate individual pupil data at the State level for State reporting and analysis. The system will:

- inform policy development related to programs, curriculum and instruction, and resource allocation at the federal, State, and local levels;
- provide the data needed for analysis and State and federal accountability;
- increase the capacity of the Department and school districts to examine the relationships among resource, demographic, and student performance measures;
- track public school pupils longitudinally to better determine the percentage completing high school; and

- eliminate redundant data collection by the Department.

The Department plans the new system to be operational by the summer of 2008.

***Indicators of Progress: Preparation for College***

- Change over time in New York high school pupils' scores on standardized tests (e.g. ACT; SAT).
- Change over time in the number of pupils passing Regents exams with 65 or greater.
- Change over time in the percent of 19 year-old State residents in college in New York State; comparison to other key states and the nation as a whole.
- College participation for young adults (between whites and nonwhites and between low-income and high-income individuals) based on percents of 18 to 24 year olds enrolled in college (compared to other states and the U.S.).
- College participation rates for recent high school graduates measured as the ratio of State residents enrolled in college in the U.S. to recent high school graduates in the State (compared to other states and the U.S.).
- Change over time in the number, statewide, of recent New York high school graduates taking remedial college courses.
- Change over time in associate and baccalaureate degree graduation rates by high school grade point average and by SAT/ACT score.
- Illustrative examples of institutional efforts to improve public school student achievement and evidence of the efforts' success.

***B. Smooth Student Transition from PreK-12 to Higher Education***

***7. Regents Priority: Information and Assistance in Preparing for College.***  
*Beginning with pupils in the middle school grades, the Regents encourage collaborative efforts among the Department, colleges, and school districts to publicize the variety of services and information available to help K-12 pupils and their families access and prepare for success in future college study and to assure that information is clear and understandable by potential students and their families.*

Collaboration between colleges and the schools to assist pupils to enter and succeed in higher education is one of the elements of a highly effective higher education system. In 2002-03, 81 percent of New York State high school seniors planned to go on to higher education; however, only about 66 percent planned to do so in New York.

To prepare for admission to and success in college, K-12 pupils and their families need information about the academic demands of college and the courses they need to take in middle and high school to prepare for those demands. They also need accurate information about the cost of attendance and the ways to meet that cost, including federal, State, and institutional grant, work, and loan programs. It is not clear that New York's pupils and their families are receiving this information in clear and



understandable ways. Table 3 shows that only 14 percent of general education pupils in public high school graduating class of 2001 first received information at school about postsecondary education while in the middle school grades; 39 percent first received such information in grades 9 or 10, 33 percent in grades 11 or 12, and that seven percent never received such information. Special education pupils fared even less, receiving such information later than their peers, if at all. In general, 40 percent of the general education students received information about postsecondary education too late (i.e., in grades 11 or 12) and for students with disabilities, the percentage increased to 54 percent.

**Table 3**

<b>School Level at which Members of the Public High School Class of 2001 First Received Information at School about Postsecondary Education</b>		
<b>School Level</b>	<b>General Education Pupils</b>	<b>Special Education Pupils</b>
Elementary School	3%	2%
Middle School	14%	11%
Grades 9-10	39%	23%
Grades 11-12	33%	42%
Never	7%	12%

Source: NYSED, Office of Vocational and Educational Services for Individuals with Disabilities.

A 2004 report by the American Council on Education found that, in 1999-00, about 8 million undergraduates, nationwide, enrolled for credit at institutions participating in federal Title IV student aid programs, did not submit a Free Application for Federal Student Aid (FAFSA). This was 49.8 percent of all such undergraduates that year. Of the 8 million, 1.7 million were low- and moderate-income students. The study estimated that 850,000 of them would have been eligible for a Pell Grant.

Of the undergraduates who did not submit a FAFSA, nationwide, 13.7 percent were full-time students financially dependent on their families and with incomes of less than \$20,000. The study did not provide state-by-state information, so the number of non-applicants from New York is not known; however, a FAFSA is the normal application for a TAP award as well as for federal student aid. If New York undergraduates reflect the national picture, a significant number of low-income, dependent, full-time undergraduates may be failing to apply for State and federal need-based grants to which they are entitled. It is essential that schools assist college-bound pupils to apply for student financial aid to which they may be entitled.

The Regents support the role that higher education institutions are playing to ensure that pupils have the knowledge and skills to make a smooth transition from PreK-12 to higher education through such programs as the State's Liberty Partnership and STEP programs. These and other comprehensive programs and strategies will improve the ability of all youth to graduate from high school and prepare for competitive entry into higher education and the workforce.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Information and Assistance in Preparing for College.

### ***Sector Initiatives in Response to Priority for Information and Assistance in Preparing for College***

#### The City University of New York.

- In addition to including the provision of information and assistance in preparing for college to students in all of its pre-college programs, CUNY has used its involvement in GEAR UP to refine and enhance its services in this area.
- Getting ready for college involves a lot, and the sooner students can start, the better prepared they will be. GEAR UP is a federal initiative to promote college readiness and awareness among students in grades 6-12 from communities with traditionally low levels of participation in higher education. CUNY has responded to the initiative in a major way by establishing a systemwide consortium coordinated by the University's Office of Academic Affairs. The consortium and CUNY's overall efforts have been funded by the New York State Higher Education Services Corporation.
- In addition, five colleges (Borough of Manhattan Community College, Bronx Community College, LaGuardia Community College, Medgar Evers College, and the College of Staten Island) have received direct grants from the U.S. Department of Education. More than 2,300 high school students from 23 high schools participate.
- GEAR UP provides services in concert with teachers and families to engage students more fully in their high school experiences with a focus on future college success. In-class and after-school tutoring and mentoring; college awareness programs for students and their families; college visits and residential summer programs; project-based learning; and opportunities to participate in college-credit courses through College Now are among the GEAR UP offerings.
- In 2004, CUNY GEAR UP staff took the lead role in producing a Web-based financial aid tutorial -- *College \$ense: How to Pay for College* -- for distribution to high school students and their parents.

#### Independent Colleges and Universities.

- The independent sector has for more than 25 years engaged in various projects and activities to build and strengthen the bridge between secondary and higher education, producing a number of informative, free publications for school guidance counselors, students, and parents about college opportunities (see Priority B(6)).

- clcu’s outreach programs, which can be found at [www.nycolleges.org](http://www.nycolleges.org), provides information on the independent sector and preparing for and selecting a college or university in New York State.
- Through its close relationship with professional admissions and financial aid organizations, as well as guidance counselors, the independent sector has drawn on this expertise to organize college fairs, financial aid nights, workshops, and other activities, including “Camp College” (described under Priority B(6)).

### Proprietary Colleges.

- Post-admission initiatives include:
  - required “college success skills” courses
  - regular meetings with advisors
  - faculty “open door” policies
  - placement examinations
  - early remedial courses in college
  - designation of a “student success coordinator”

### State University of New York.

- Through the statewide GEAR UP project, SUNY provides support and exposure to higher education options in the public sector for thousands of high school students across the State.
- SUNY has an enrollment management program at the System and campus level that includes outreach to all New York State high schools and high school students.

### ***Regents Initiatives in Response to Priority for Information and Assistance in Preparing for College***

Free Application for Federal Student Aid (FAFSA). More than 80 percent of New York high school seniors plan to go to college. The FAFSA is the basic tool used to determine eligibility for both federal and State student aid. Every potentially eligible student should complete that application. Therefore, the Regents urge:

- Every school district to assist 12<sup>th</sup> grade pupils to complete and submit a FAFSA.
- Every college that enrolls undergraduates to assist entering students to complete and submit a FAFSA if they have not done so already.

Parent Involvement in the Schools. By 2008, the Department intends to develop a parent involvement program that will enable it to:

- give technical assistance and support to school districts enabling them to implement effective parent involvement activities to support pupil achievement;
- ensure that parents receive timely information, in a language they understand, on pupil and school improvement;
- disseminate information on effective parent involvement strategies/programs; and
- give parents the information and skills they need to support and advocate effectively on behalf of their children and build capacity in schools to increase parental involvement in activities designed to improve pupil achievement.

Other Initiatives in Elementary, Middle, Secondary, and Continuing Education.

- To provide greater access to information about State assessments and Regents examinations and the requirements for high school graduation, the Department will implement a new Web page for parents.
- To implement the Regents Policy Statement on Middle-Level Education, a strategy will be developed to better prepare pupils academically and personally for the transition to high school and for preparation for future college study and entrance into the workforce.

Liberty Partnerships. See Regents Priority B(6).

Opportunities in Nursing. See Regents Priority E(10).

Transition Activities for pupils with disabilities. See Regents Priority A(5).

### ***Indicators of Progress: Information and Assistance in Preparing for College***

- Change over time in the grade in which information about postsecondary education is first provided to elementary, middle, and high school pupils and their families.
- Change over time in parent involvement in schools.

## ***C. Meeting New York's Needs through Graduate Programs and through Research***

**8. Regents Priority: Strong Graduate Programs to Meet the State's Needs.** *The Regents will advocate that our colleges and universities, and the State and Federal governments, strengthen graduate study and State and Federal support for graduate students. Institutions are asked to identify the emerging areas of scholarship for which they will need faculty, their needs for new faculty to replace those departing or retiring, and the extent of their need for faculty reflecting the diversity of New York's student body.*

*Faculty.* Full-time faculty at New York colleges and universities include:

- Nobel laureates
- Pulitzer Prize winners
- Academy Award (Emmy and Oscar) winners
- holders of the National Medal of Science
- winners of MacArthur awards
- members of the National Academies of Science and Engineering and the National Institute of Medicine.

In 1995-96, New York's colleges and universities had 91,557 faculty, 52.1 percent of whom (47,716) had been full-time and 47.9 percent (43,841), part-time. In the fall of 2001, they had 91,254 faculty members of whom 45,040 (49.4 percent) were full-time and 46,214 (50.6 percent) were part-time. A majority of the campuses reported having more part-time than full-time faculty. Between the two dates, the total number of faculty was almost unchanged. The number of full-time faculty, university-wide, declined by 5.6 percent (2,676); the number of part-time faculty increased by 5.4 percent (2,373).

The U.S. Department of Labor's Bureau of Labor Statistics projects an average of nearly 95,980 openings for full- or part-time faculty at colleges, universities, and other postsecondary institutions (including non-degree institutions) nationwide each year from 2002 through 2012. In comparison, the number of new doctoral degrees awarded in the United States peaked in 1998 at 42,652 and has declined since then to 39,955 in 2001-02, the lowest level since 1993, according to the 2002 Summary Report, *Doctorate Recipients from United States Universities* (National Opinion Research Center).

Academe needs new scholars in all areas. Large numbers of faculty are expected to retire in the next decade, as nearly one-third of full-time faculty, nationwide, is 55 or older. The lack of scholars can seriously jeopardize New York's ability to conduct needed research; teach future leaders of business; prepare teachers in such critical areas as mathematics, the sciences, special education, and bilingual education; prepare professionals; and contribute to national security.

A gap exists between the representation of members of racial/ethnic groups among faculty and their representation among students. Nearly 25 percent of the student body in New York is Black, Hispanic, or Native American; however, only 8.4 percent of full-time faculty is from those racial/ethnic groups. A gap also exists by gender; while nearly 60 percent of all college students are women, more than 60 percent of all full-time faculty are men.

*Other Employment Requiring Graduate Study.* Data show that educational attainment is related positively to median earnings and related negatively to unemployment. Table 4 shows:

**Table 4**

<b>Educational Attainment, 2002 Median Earnings, and 2003 Unemployment Rate, Nationwide</b>		
<b>Educational Attainment</b>	<b>2002 Median Earnings</b>	<b>2003 Unemployment Rate</b>
Less than High School	\$22,584	8.4%
High School Graduate	\$29,800	5.5%
Some College, No Degree	\$35,505	5.2%
Associate Degree	\$36,784	4.0%
Baccalaureate Degree	\$48,896	3.3%
Master's Degree	\$56,494	2.9%
Doctorate	\$77,216	2.1%
Professional Degree	\$85,921	1.7%

Source: Postsecondary Education Opportunity, Oskaloosa, Iowa.

The Bureau of Labor Statistics lists the following eight occupations requiring education at the master's degree or doctoral level as being among both the fastest growing occupations and those with the largest number of job openings, 2002—2012:

Doctorate

- Postsecondary faculty
- Research scientists in computer and information sciences
- Medical scientists, except epidemiologists
- Clinical, counseling, and school psychologists
- Biochemists and biophysicists

Master's Degree

- Physical Therapists
- Mental health and substance abuse social workers
- Rehabilitation counselors

*Graduate Programs, Students, and Degrees.* Graduate programs help prepare scholars to conduct research and educate other professionals. Of New York's 268 colleges and universities, 134 (50.0 percent) offer 8,171 programs leading to masters' and doctoral degrees or advanced certificates. This year, they are preparing 189,452 full- and part-time graduate students (16.8 percent of all New York college and university students). This was a 2.1 percent increase over the 185,509 enrolled in the fall of 2002.

Of the \$760 million in need-based and merit-based aid that the State provided to students through the Higher Education Services Corporation in 2002-03, \$4.7 million (0.6 percent) was awarded to graduate students (the same as in 2001-02), according to the annual NASSGAP survey.

Between 1995-96 and 2001-02, the number of doctorates conferred in New York declined by 8.4 percent. Statewide, New York's colleges and universities offer 1,146 programs leading to doctoral degrees, of which 911 are research-oriented Ph.D. programs. In 2001-02, the institutions conferred 3,459 doctorates on their students, who participate in a national and international employment market. They were 8.7 percent of the doctoral degrees conferred nationwide that year.

In both 2000-01 and 2001-02, nearly 60 percent of the doctorates awarded in New York were in only five program areas:

- Biological Sciences/Life Sciences
- Education
- Engineering
- Psychology
- Social Sciences and History

In comparison, the fields in which more than 60 percent of doctoral degrees, nationwide, were conferred in 2001-02 were:

- Life Sciences
- Social Sciences
- Education
- Physical Sciences

The most notable difference is that in New York engineering is a more significant field for doctoral degrees than it is nationwide.

There is a gap between the rates at which students of different racial/ethnic groups earn undergraduate and graduate degrees. In 2000-01, Black, Hispanic, and Native American students earned 27.3 percent of all baccalaureates conferred in New York; however, they received only 10.2 percent of the doctorates.

*Foreign Graduate Students.* In 2003-04, the number of foreign students enrolling at American institutions of higher education, nationwide, declined for the first time since 1971-72, according to the Institute for International Education (IIE). The decline was 13,814 students (2.4 percent), from 586,323 in 2002-03 to 572,509 in 2003-04. That drop may be compared to the 27.3 percent growth in foreign enrollments at American colleges and universities since 1971-72.

Worldwide, about 2 million students each year attend higher education institutions outside their home countries. In 2002-03, the majority were enrolled in only three countries: 586,323 in the U.S., about 270,000 in Britain, and about 227,000 in Germany. Some project that the number of students leaving their home countries to study will quadruple by 2025.

About half of the foreign students in the U.S. are enrolled in graduate programs. The Council of Graduate Schools (CGS) surveyed member institutions regarding applications, acceptance, and enrollment of graduate students. The number of foreign applications to the major graduate institutions for fall 2004 admission to graduate programs declined by 28 percent from the fall 2003 admission. That decline affected more than 90 percent of the 126 responding institutions. The number of foreign applicants accepted declined by only 18 percent, however, and the number of foreign graduate students actually enrolling was only six percent lower than the preceding fall. The six percent decrease between fall 2003 and fall 2004 in actual enrollment was a shallower decline than the ten percent decrease reported between fall 2002 and fall 2003. The largest declines were reported to be among applicants from China, India, and South Korea, the three countries sending the largest number of foreign students in recent years. The Educational Testing Service reported that the number of students from India and China taking the Graduate Record Examination declined last year by 50 percent from previous levels.

Institutions and higher education associations tend to agree that a principal cause of the decline is the stricter visa requirements imposed since 9/11, and especially the time it takes to have a mandatory interview by a U.S. consular official as part of the application process. In the spring of 2003, it took an average of 67 days to complete the security checks associated with visa applications. The wait for an interview generally was two to three weeks. In July 2004, the Secretary of State instructed U.S. consulates to handle student visa requests "in the most expeditious way," however.

The growth and maturation of higher education in countries that have sent large numbers of their citizens for graduate study in the U.S. also is believed to have contributed to the decline, together with a perceived increase in recruitment by Australian, British, Canadian, Irish, and New Zealand universities, countries whose visa procedures are not so involved.

CGS reported that many of the respondents to its surveys have taken steps to reduce impediments to enrollment by foreign students. Principal among these has been requiring that applications be submitted at earlier dates, enabling earlier admission decisions that leave successful applicants more time to receive visas. Nearly half of CGS respondents reported that they provide guidance and advice on the application and visa process to foreign applicants for graduate study. Some reported making greater use of technology to speed applications and notification of acceptance.

Some believe that the decline is temporary and that the numbers will increase again as a result of the directive to treat student visa applicants more expeditiously and the steps institutions have taken to assist foreign applicants. Others believe that this is the beginning of a long-term downturn because "the word is out on the street" in many countries that visas to enter the U.S. are not available, because of concerns about safety in the U.S., and because of the increased competition from other countries. At this time, there is little information to indicate whether either view is correct.



The picture in New York is mixed. The most recent year for which the Department has data on enrollment of non-resident aliens as graduate students is 2002. Between fall 2000 and fall 2002, the number of non-resident aliens enrolled as full-time graduate students grew by 16.2 percent, statewide, from 19,855 to 23,079. The Department has no information at this time about non-resident alien enrollment in graduate study for 2003 or 2004. According to IIE, however, three New York institutions are among the 25 institutions with the largest number of foreign students (undergraduate, graduate, and first-professional degree), nationwide: Columbia University, New York University, and the State University of New York at Buffalo. Columbia reported a 4.2 percent increase in foreign students between 2003 and 2004 and Buffalo reported a 1.0 percent increase; NYU reported a 7.0 percent decline.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Strong Graduate Programs to Meet the State's Needs.

### ***Sector Initiatives in Response to Priority for Strong Graduate Programs to Meet the State's Needs***

#### The City University of New York.

- Recruit qualified, diversified, and sufficient faculty to ensure the quality of education.
  - Cluster hiring initiative to meet the goal of ensuring that 70 percent of course sections are taught by full-time faculty. The disciplines targeted include several in or related to the liberal arts and sciences: foreign languages, the biosciences, and physical, behavioral, and social sciences related to the urban environment.
  - Recruit diverse students into Ph.D. programs to ensure a diverse professoriate in years to come.
- Enhance curriculum by promoting integration of instructional technology.
- Implement or continue special or exemplary programs to foster academic excellence.
  - Governors Island Simulation Center (GISC) will train future science and math teachers in using computer simulation technology to enhance teaching and learning in the classroom.
  - The Honors College continues to strive to provide the best aspects of a small liberal arts college.
  - Maintain the level of scholarship and pedagogy in U.S. History.
- CUNY has committed to devote \$2 million per year toward providing tuition remission to doctoral students. Additionally, the University has implemented a system that will allow doctoral students at an appropriate level to be assured of teaching at its various colleges.

- Under the University's Community College Investment Program, 250 new faculty have been hired to teach at the six community colleges.
- As part of the University-wide Performance Management Program, colleges are required to demonstrate the steps taken to recruit and hire a diverse faculty.

### Independent Colleges and Universities.

- Full-time faculty members in the independent sector include Nobel Prize winners in medicine, physics, chemistry, and economics; Pulitzer Prize winners; recipients of the National Medal of Science; MacArthur awards; and Academy Awards, as well as members of the National Academy of Science, National Academy of Engineering, and National Institute of Medicine.
- The independent sector will continue to adopt institutional strategies for graduate programs unique to each institution's position, circumstances that will achieve maximum impact and enhance the institution's reputation in academe, industry, government, and the public perception.
- The independent sector also will continue to ensure graduate programs' success through state-of-the-art capital infrastructure. In 2004, the Governor introduced a new, first-of-its-kind \$350 million capital program to invest in economic development, high technology, critical academic facilities, and urban renewal/historic preservation projects. For every \$1 in State support an eligible independent college must raise \$3. The Legislature offered a similar plan and clcu hopes that, when differences are ironed out, New York State will stimulate over \$2 billion in capital projects to help communities around the State.
- The independent sector will continue to enhance graduate and postdoctoral programs in scope and quality. In reviewing the plans submitted by clcu's member institutions, eight graduate-level programs were given priority because of their relevance and opportunities for research:
  1. Cancer and genetics;
  2. Developments in biotechnology, particularly at the interface of medicine and nanoscience;
  3. Environmental quality systems;
  4. Ecology and environment;
  5. Interdisciplinary programs in information technology and innovation;
  6. Digital literacy;
  7. Social and medical problems associated with aging; and
  8. Learning behavior of children.

- The independent sector will continue to encourage and support expressions of diversity across the college communities, especially those that are characterized by faculty, students, and staff working together to create an inclusive learning environment in both curriculum and co-curricular activities.
- The diversity of the independent sector's faculty has grown. Over the last 15 years, the proportion of faculty identifying themselves as Asian, Black, or Hispanic increased from nine percent to 15 percent. The increased faculty diversity has enhanced the educational experience of independent sector students. In the coming years, the sector will continue to encourage such diversity on its campuses.
- The independent sector also will continue to support professional development for faculty and professional staff related to the achievement of individual institutions' strategic goals.

Proprietary Colleges. Because only three institutions in the sector offer post-baccalaureate programs, the sector plan did not address this priority.

#### State University of New York.

- SUNY will continue to attract, engage, and support a diverse faculty of leading teachers and scholars, while advancing the frontiers of knowledge and practice appropriate to each SUNY campus type. Its campuses will remain places where leading faculty can create outstanding programs of instruction and research and serve effectively.
- Academic programs are being launched and/or strengthened in conjunction with cutting-edge research conducted on SUNY's campuses, including its three Centers of Excellence and numerous other research centers and incubator programs. Such facilities are essential to attracting leading faculty researchers and top-notch graduate students.
- Mission Review II will see greater emphasis on faculty development, including recruitment and retention plans (consistent with academic program development plans), strengthening promotion and tenure processes, and ensuring that the work of the faculty is supported and recognized appropriately. Campus goals for faculty teaching, research, and scholarship productivity will be set in the context of national peer performance. Plans to support those goals with adequate infrastructure, resources, and facilities also will be discussed. Implications for SUNY policy will emerge during the dialogue with campuses and there will be broader participation from System Administration during Mission Review II to explore such implications.
- SUNY will give particular attention to increasing access to and support for graduate study and to developing greater levels of diversity among faculty, staff, and students, particularly in positions affecting governance and policy.

## ***Regents Initiatives in Response to Priority for Strong Graduate Programs to Meet the State's Needs***

Closing the Gender Gap. A recent survey was made of the perceptions of work and family demands by male and female full-time tenure-track faculty members who had at least one child below the age of 16 (O'Laughlin and Bischoff, 2005). It found that women "reported greater academic and family stress and perceptions of less institutional support for the balance of work and family" than did men. To help close the gap between the proportion of students and the proportion of faculty who are women, the Regents will continue to urge colleges and universities to consider implementing the good practices in the July 2004 Government Accountability Office (GAO) report, "Gender Issues." These include stopping the tenure clock and reducing teaching loads for faculty members who give birth and making on-site child care available to faculty members.

Nursing Faculty. Eighty-five New York colleges and universities offer programs to prepare Registered Nurses. In 2002, ten percent of New York's programs to educate nurses turned qualified applicants away because they lacked nursing faculty. In 2003-04, the nation's 88 doctoral nursing programs conferred only 419 degrees. This was ten percent fewer than the year before. To address this problem, the Department will seek establishment of a program of 200 fellowships of \$15,000 per year for up to five years of study in a master's degree program in nursing or in a doctoral program, in exchange for service in nursing education when the recipients earn their degrees. Recipients would be State residents who demonstrate academic merit, have previous nursing experience, and meet admission criteria.

### Graduate Fellowships.

- At the State level, the Department will seek increased funding for graduate fellowships (\$12 million for five years) to accomplish the following:
  - Establish the New York State Doctoral Fellowship Program: 30 four-year fellowships to be awarded annually, distributed competitively among New York colleges and universities and matched by college and university awards of tuition scholarships.
  - Establish the International Exchange Post-doctoral Fellowship Program to develop closer links between the higher education system in New York and the global scholarly community: ten four-year fellowships awarded annually and distributed competitively among New York colleges and universities.
- At the federal level, the Department will advocate for increased support for graduate fellowships in the Higher Education Act.

Admission to Graduate Study. During the period of this Plan, the Department will engage institutions offering graduate programs in discussions of admission requirements, given the standards in §52.2(d) of the Commissioner's Regulations:

- (1) The admission of students shall be determined through an orderly process using published criteria which shall be uniformly applied. Among other considerations, the admissions process shall encourage the increased participation in collegiate programs at all levels of persons from groups historically underrepresented in such programs.
- (2) Admissions shall take into account the capacity of the student to undertake a course of study and the capacity of the institution to provide the instructional and other support the student needs to complete the program.

**Indicators of Progress: Strong Graduate Programs to Meet the State's Needs**

- Change over time in the number of full-time and part-time faculty, statewide.
- Final reports of Regents accreditation and Department site visits.
- Labor market trends and institutional projections of needs for new faculty.
- Projections of faculty shortages by discipline.
- Change over time in faculty distribution by gender and racial/ethnic characteristics, statewide.
- Change over time in the number of master's and doctoral degrees conferred, by level, discipline, gender, and ethnicity.
- Change over time in aggregate financial support for graduate and first-professional-degree students, statewide.
- Change over time in the relationship of education to employment and earnings.

**C. Meeting New York's Needs through Graduate Programs and through Research**

**9. Regents Priority: Creation of New Knowledge through Research.** *The Regents encourage institutional initiatives, consistent with their educational missions, and ask institutions to describe in their master plans their research priorities and their recommendations to New York State relating to the discovery and dissemination of new knowledge, including knowledge to inform and support the development of policies to help meet the State's economic and social needs.*

New York's higher education system continues to need high research capabilities. Knowledge continues to grow exponentially. New York's higher education institutions compete with the rest of the world for the necessary resources to support research initiatives. In 2001-02, they spent more than \$2.7 billion on research, according to the National Science Foundation, of which more than 63 percent was funded by the federal government, about 16 percent by the institutions themselves, about five percent by industry, and about 15 percent by all other sources. The total expenditure on research

placed New York's colleges and universities second in the nation, after California's institutions. The top three federal sources of research support that year were, in order:

- Department of Health and Human Services
- National Science Foundation
- Department of Defense

Together, they provided almost 91 percent of all federal research funding at New York colleges and universities.

Collaboration with businesses and other organizations and with the professions and the people they serve through research is an important element of a highly effective higher education system. In fiscal 2002, according to the Association of University Technology Managers, Columbia University led all institutions of higher education in the nation in revenues earned from commercialization of faculty inventions. New York University was third in the nation (after the University of California system).

In the last decade, technology has changed how the world conducts business. The economic health of New York, the nation, and the world depends on creating new knowledge to help meet present and future needs and pressing and emerging challenges. Research at colleges and universities in such areas as health care, technology, and energy sources will contribute significantly to this end. In February 2003, Massachusetts Institute of Technology's *Technology Review* identified ten emerging technologies as among those likely to be highly influential in the near future:

- glycomics
- grid computing
- injectable tissue engineering
- mechatronics
- molecular imaging
- nano solar cells
- nanoimprint lithography
- quantum cryptography
- software assurance
- wireless sensor networks

*Informing and supporting the development of policies to help meet the State's economic and social needs.* Collaboration with government and community organizations to identify pressing and emerging needs of society also is one of the elements of a highly effective higher education system. New York State needs research in a broad range of disciplines to help inform the development and support of policies to meet the State's economic and social needs. The Department will convene meetings of producers, consumers, and funders of research to identify these research needs and to publicize the results. For example, New York State Museum scientists conduct basic and applied research in the earth sciences, biology, and human history. They advance their disciplines through publications and presentations at professional conferences and often work with colleagues in higher education. The Museum sponsors a Natural History Conference every two years, drawing scientists from universities across the U.S. and Canada.

Another element of a highly effective higher education system is that **every** institution avidly pursues knowledge relating to its mission and shares that knowledge with others. Every institution is encouraged to consider the role research plays in its mission. Those that focus on technical or professional fields may engage faculty and students in applied research. Many baccalaureate institutions include undergraduate research projects in their programs of study.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Creation of New Knowledge through Research.

### ***Sector Initiatives in Response to Priority for Creation of New Knowledge through Research***

The City University of New York.

- Continue the mission to enhance research activity and the research character of the entire University:
  - foster an environment conducive to research by sustaining and enhancing campus based research facilities and opportunities;
  - plan for a new Advanced Science Research Center to provide facilities at which faculty from all CUNY campuses may conduct advanced research; and
  - continue the interdisciplinary research on urban environment.
- Provide greater institutional support for post-doctoral research students.
- Move toward full tuition remission for doctoral students to enhance CUNY's competitiveness in attracting research oriented students.
- Expand academic research areas that contribute to economic development. Economic development interests are most directly served by attention to applied research which in itself is based on the results of basic research. Academic institutions traditionally provide assistance in solving problems as well as in developing new knowledge. It is important that CUNY continue to develop these functions.
- Further develop Flagship initiatives in structural biology and photonics (expanding into biophotonics and nanoscience). The CUNY Center for Advanced Technology (CAT) in Photonics Applications works collaboratively with industry (in particular with New York State businesses), universities, other CATs, and other institutions to advance its scientific and economic development goals. Through such collaborative efforts, the CAT, together with its CUNY partner, the Institute for Ultrafast Spectroscopy and Lasers, will increase opportunities for federal and private research dollars that further extend the research capabilities and services offered to New York State companies.

- Develop and expand the role of Postdoctoral Fellows performing research at the University. These scholars are essential to the productivity of the scientific enterprise; as their numbers continue to increase at CUNY, their academic presence will be integrated into the research mission.

### Independent Colleges and Universities.

- The independent sector will continue to sustain excellence in cutting edge research programs important to the State of New York and the nation.
- Each year, independent colleges and universities attract over \$1 billion in National Institutes of Health (NIH) funding, and rank among the top 100 in NIH funding nationally.
- The independent sector will also continue to expand substantially the intensity and scope of research programs. Much of an enhanced research effort could be funded from federal and corporate contracts and grants. Equally valuable to New York's research enterprise are private gifts and grants. While federal grants are targeted for specific purposes, private gifts provide the means to finance additional creative and innovative endeavors. Independent institutions are pursuing these sources aggressively.
- The independent sector will continue to support research that can use undergraduates as research assistants and co-investigators as part of the undergraduate learning experience.
- The independent sector will continue to share information through journals, conferences, and the Internet.
- A theme underlying the independent sector's master plan is the value that postdoctoral scholars and fellows pursuing research add to the vigor of the academic experience. Not only do these individuals add to the general academic milieu, attracting talented undergraduates, they are important partners in developing research programs on campus.
- The independent sector will continue to use faculty expertise and introducing academic programs to target New York's greatest needs, thereby promoting program quality and institutional effectiveness to assist in the establishment, development, and growth of New York firms, including small businesses.
- The independent sector will also continue to develop technological advancement and technology transfer to the marketplace that support New York's industries' ability to compete in a global economy and to focus research on areas that capitalize on current strengths that are essential for success in that competition.



### Proprietary Colleges.

- Although no institution professes to have a research component, several rely on external industry professionals to help them to keep current on advances in their fields affecting the curricula of supplying the new people whose collegiate training is state of the art. One institution offering only post-baccalaureate management programs requires all students to conduct applied research in areas they are likely to encounter in the workplace. Most institutions regularly canvass employers to determine what course revisions or new courses may be needed to meet workplace needs and what skills are most lacking in the business community.

### State University of New York.

- Promoting research is vital to enhancing SUNY's academic quality and stature, and in increasing the University's contribution to the economic health of New York State and beyond. SUNY's success in attracting millions of dollars of research support in areas important to New York's future is made possible by the research and discoveries of its outstanding faculty.
- Mission Review's first cycle set a system-wide goal to reach \$ 1 billion in externally sponsored research activity per year. Mission Review II will articulate a new goal, consistent with campus missions and aggregate plans, to increase research and other sponsored activity beyond the \$ 1 billion mark. To ensure campus success in reaching research goals, SUNY will continue to provide support for research.
- Academic programs are being launched or strengthened in conjunction with the research activity at the Centers of Excellence in bioinformatics at SUNY Buffalo, nanotechnology at Albany, and wireless communications at Stony Brook. Together with SUNY's Centers of Excellence, incubator programs such as the Center for Environmental Science and Technology Management (CESTM) at the University at Albany and the Long Island High Technology Incubator (LIHTI) at Stony Brook will continue to serve as catalysts in attracting businesses and generating new research and scientific breakthroughs, providing important educational resources for training scientists, engineers and researchers in diverse areas such as atmospheric chemistry, nanoelectronics, wireless communication, and artificial intelligence.

### ***Regents Initiatives in Response to Priority for Creation of New Knowledge through Research***

- Support the development of policies to help meet the State's economic and social needs. During the period of this Plan, the Department will help convene meetings of producers, consumers, and funders of research to identify research in disciplines to help inform the development and support of policies to meet the State's economic and social needs, and to publicize the results.

- Undergraduates and Research. The Regents encourage baccalaureate institutions to consider ways to provide opportunities for undergraduates to participate in research and similar scholarly endeavors, where appropriate.

**Indicators of Progress: Creation of New Knowledge through Research**

- Comparison of research expenditures at New York doctoral degree institutions with those in key other states and their change over time.
- Increases in aggregate and per capita college and university research and development expenditures in New York compared to competing states, as reported by the National Science Foundation.
- Increases in university-related licensing income, licenses generating income, U.S. patents issued, U.S. patent applications filed, and start-up companies formed in New York compared to competing states, or comparable indicators from surveys published by the Association of University Technology Managers.

**D. Qualified Professionals for Every Community throughout the State**

*10. **Regents Priority: An Adequate Supply of Qualified Professionals.** The Regents and the Department will continue to monitor supply, demand, and changing conditions of all licensed professions and will strengthen efforts to:*

- *Communicate to the institutions of higher education the results of their monitoring activities;*
- *Seek input on changes in the licensed professions from the institutions with professional preparation programs, based on their research and experience; and*
- *Encourage and enable institutions to respond to existing and emerging needs by keeping pace with technology, supporting the continuing education of licensed professionals, ensuring a close link between preparation and practice, and working to improve access to the professions and to provide an adequate supply of professionals throughout the State.*

In 2004, 674,468 practitioners of 40 licensed professions served New Yorkers, a number that had grown by 12.3 percent from the 600,558 registered in 1997. One element of a highly effective higher education system is that its institutions collaborate with professional practitioners and the people they serve to identify emerging needs and devise ways to meet those needs.

Over the seven-year period, 14 professions grew at a slower rate than the 12.3 percent growth of all professions, including two of the four design professions, ten of the 34 health professions and two of the 13 other professions. In four of them, the number of registered licensees actually declined, including three health professions and one other profession. The professions with slower than average or negative growth are listed below:

<u>Design Professions</u>	Registered Professional Nursing
Architecture	Ophthalmic Dispensing
Land Surveying	Podiatry
	Respiratory Therapy
<u>Health Professions</u>	Respiratory Therapist Technician (decline)
Dentistry	
Dental Hygiene	<u>Other Professions</u>
Dietetics-Nutrition (decline)	Certified Public Accountancy
Medicine	Certified Shorthand Reporting (decline)
Licensed Practical Nursing (decline)	

*Implementation of Four New Mental Health Professions and Coordination with Undergraduate and Graduate Programs.* Legislation enacted in December 2002 created four new mental health professions effective January 1, 2005:

- Creative Arts Therapy
- Marriage and Family Therapy
- Mental Health Counseling
- Psychoanalysis

The Department has begun implementation of the new statute for the licensure for Mental Health Counselors, Marriage and Family Therapists, Psychoanalysts, and Creative Arts Therapists. This entails coordination of the requirements with existing programs and program expansions contemplated by institutions. While grandparenting provisions allow some current practitioners to seek licensure under the new law, colleges, universities, and psychotherapy institutes will need to work with the Department to develop and register new licensure-qualifying programs, once implementing regulations are approved. There also may be a need to address individuals who must make up certain academic coursework or clinical training, rather than complete an entire program. This can be particularly problematic when classroom instruction is separated from clinical experience.

*Professional Workforce Issues.* Nationwide, six professions are among both the fastest growing occupations and those with the largest number of job openings, 2002 – 2012, according to the Bureau of Labor Statistics:

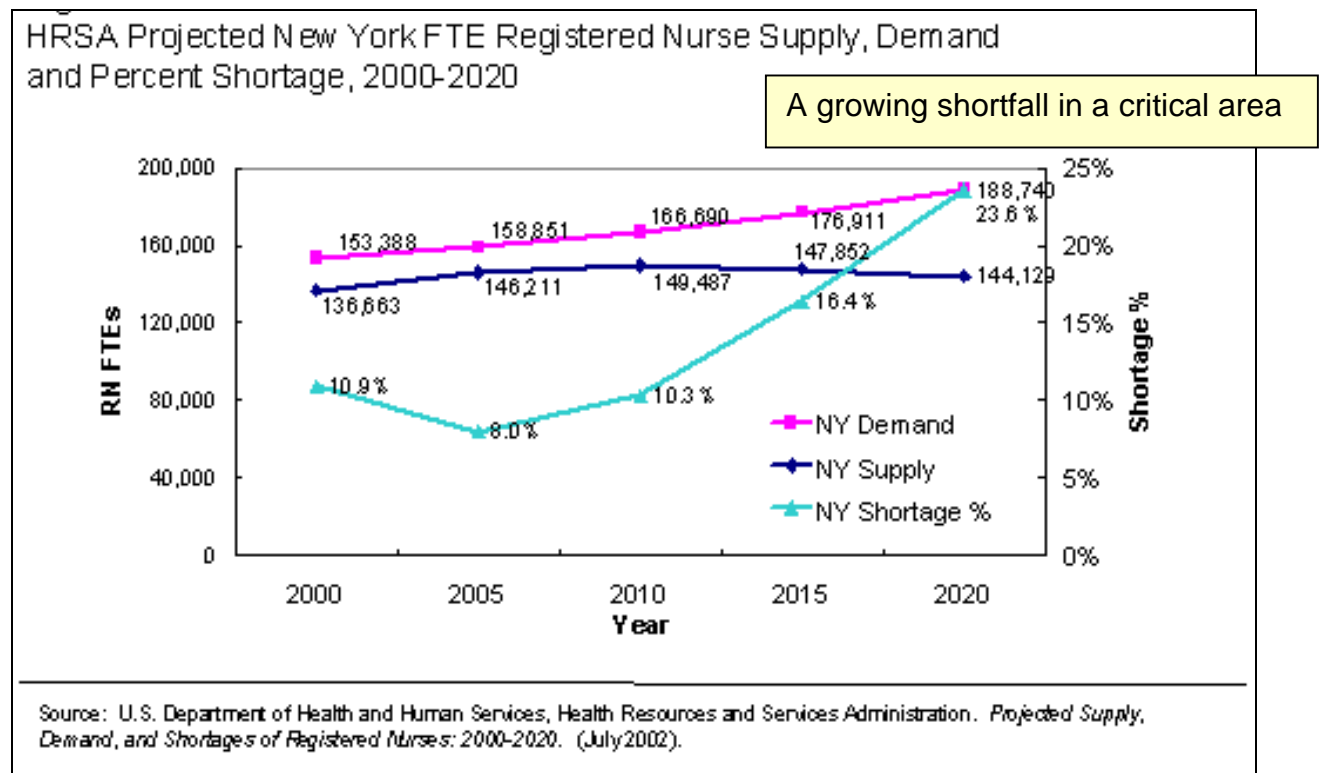
- Pharmacists
- Veterinarians
- Physicians
- Physical therapists
- Dental hygienists
- Mental health and substance abuse social workers

Large workforce shortages among the licensed professions are drawing the attention of professionals, legislators, educators, administrators, regulators, and employers. The Regents have initiated a comprehensive strategy to address the existing shortage in the State's nursing workforce (estimated to be 17,000 nurses by 2005 and to rise thereafter). The State's residents rely on these professionals for their health and safety.

The Board of Regents also has begun to discuss and identify strategies for shortages of other professionals, such as pharmacists, engineers, and librarians. This has been the subject of the Regents legislative forums and the impetus for manpower surveys in nursing and pharmacy. Initiatives such as those outlined under “Maximizing Success for all Higher Education Students” and “Smooth Student Transition from PreK-12 to Higher Education” will help address shortages by increasing the number and diversity of students attracted to professional education.

The Nursing Shortage. A recent national survey found over 2.6 million registered nurses (RNs), nationwide, a 5.4 percent increase since 1996. This was the lowest increase reported since these surveys were first conducted. Just over 2.2 million RNs work in nursing; about 1.5 million (71 percent) practice full time. This year, the National Sample Survey of Registered Nurses projects that 2.6 million full-time practicing RNs will be needed nationally by 2005. The Bureau of Labor Statistics projects that employment for RNs will grow faster than the average for all occupations through 2008. In New York State, with 238,192 RNs and 66,746 licensed practical nurses (LPNs) registered to practice in April 2004, the trend is similar. The number of registered LPNs grew by six percent between 1997 and 1999 (to 74,198), then declined by 10 percent by 2004. The number of registered RNs grew by 6.3 percent between 1997 and 2004 (to 238,192).

**Chart 11**



As Chart 11 indicates, the U.S. Department of Health and Human Services, Health Resources and Services Administration has projected a growing shortage in registered nurses in New York State through 2020.

According to the National Sample Survey of Registered Nurses, New York ranks next to last among the New England and Middle Atlantic states in the number of RNs employed per 100,000 people, with just 843 per 100,000. In Massachusetts, the first state to declare a statewide nursing crisis, 1,194 RNs are employed per 100,000 people.

On the basis of its fall 2002 survey of nurses, the Department estimates that 165,640 RNs were working in the State, about one-half of the number registered to practice. The survey found that the average RN was 47 years old and that 22.9 percent of those in practice would be leaving the profession over the next 4.9 years.

Statewide, in the fall of 2000, 92 percent of hospitals reported vacant RN positions and 71 percent reported vacant LPN positions. By 2005, the demand for registered nurses in New York is projected to exceed supply by over 17,000 nurses. By 2015, the gap is expected to almost double. However, the existing nurse supply is distributed unevenly; some practice settings are experiencing shortages now. These include hospital emergency departments, critical care units, and peri-operative units (units associated with pre-surgery, surgery, and recovery). These settings are the most physically demanding and require the highest level of specialized education and experience. In February 1999, 30 percent of hospitals in the Greater New York metropolitan area reported taking three months or more to fill RN positions in these units.

The traditional response to personnel shortages has been to increase wages and benefits. In some areas of the State, such incentives are being offered now. While this strategy may have some short-term effect, it will not produce the future supply of nurses needed for adequate patient care. This shortage is different than those in the past. It is defined by several new variables, including an aging workforce, increased career opportunities for women, the profession's image, managed care and other cost containment measures, a shortage of nursing faculty, and a decreasing population overall. Some variables are unique to nursing; others also drive projected declines in other licensed professions and occupations. Combined, they make this nursing shortage uniquely challenging, demanding new strategies for its solution.

All New York licensed professionals, including nurses, are charged by the Regents to maintain high standards of professional practice identified in Education Law, Regents Rules, and the Regulations of the Commissioner of Education. During a staffing crisis, professionals sometimes face increased pressures that could challenge their ability to provide safe, quality care. The Regents call on others involved directly in providing education, health care delivery, and employment to join them in examining new ways to address the challenges associated with the nursing shortage while upholding standards of practice to ensure public protection.

As the State's population becomes increasingly diverse, the nursing workforce should reflect that diversity in race, ethnicity, and gender. The nursing shortage reflects both a general shortfall in the number of nurses needed and in their diversity. While nursing has a higher proportion of minority representation than most other licensed professions, minorities are underrepresented among nurses, particularly RNs. Only 13 percent of New York RNs are minority group members, compared to 28 percent of the State's population.

The Department will work to generate additional opportunities for students to learn about the nursing profession. Members of the State Board for Nursing, who understand the need to inform students early in their education about the diverse opportunities that nursing can provide, are developing a nurse speakers' bureau that will provide a pool of qualified nurses to speak to student groups about nursing as a career.

Eighty-five New York colleges and universities offer programs that prepare registered nurses. Nursing school administrators have indicated a need for additional financial and academic support systems to increase the pool of potential associate degree and baccalaureate graduates. Many individuals would be interested in pursuing and advancing in the health care field if they could obtain additional assistance to graduate from nursing programs and pass the licensure exam. Assistance might include pre-nursing school remediation (English as a second language, science, and math) as well as financial support for day care and scholarships. Nurses' assistants or LPNs interested in moving up the career ladder to an RN also would benefit from financial assistance, enabling them to attend school while continuing to support their families.

Employers, researchers, and legislators and other policy makers need accurate data to determine the future need for nurses in the workforce. As the agency responsible for the professional licensure and regulation of nurses, the Department can help meet that demand. It last surveyed nurses in 1995. A comprehensive nursing survey is needed now so that broad-based data on New York's supply of nurses may be disseminated to inform public and private discussions and decisions about the nursing profession.

More than ten different bills focusing on the nursing shortage were introduced into the Legislature in 2004; several others are under development. Their scope ranged from improving working conditions, such as eliminating mandatory overtime and restricting the consecutive hours of work that may be required of a nurse, to offering financial incentives, such as scholarships, loan forgiveness for current and potential nurses, and grants to hospitals, schools, and other entities to enhance the recruitment of nursing students and the education and retention of nurses. As New York identifies solutions to this anticipated crisis, it is helpful to learn what other states are doing to address the problem. Examples include the following:

- California's Strategic Planning Commission Nursing Summit led to a law providing greater financial support for state institutions and increased financial aid for nursing students enrolled in private institutions;

- North Carolina established a separate agency for nursing workforce planning to monitor the current nursing workforce status in the state and to focus on recruitment and retention activities; and
- Maryland created a commission on the nursing crisis to make legislative recommendations.

The Department is examining whether some of its responses to teacher shortages might be adapted for nursing. A number of proposals may be useful to address this situation.

Demand for Pharmacists. A National Association of Chain Drug Stores Foundation pharmacist employment survey found 5,499 vacant chain pharmacy positions, nationwide, as of January 2003. It estimated that retail pharmacies expected to fill four billion prescriptions by 2006, up from three billion in 2001.

A new report from the U.S. Department of Health and Human Services' Health Resources and Services Administration, "The Pharmacist Workforce: A Study of the Supply and Demand for Pharmacists," estimates that the demand for pharmacists is increasing sharply. The report found that unfilled full- and part-time drug store pharmacist positions across the United States rose from about 2,700 vacancies in February 1998 to nearly 7,000 by February 2000. It estimates that the number will grow. The report estimates that there are 196,000 licensed pharmacists in the United States. It expects the number of active pharmacists to grow by only 28,500 over the coming decade, 800 less than the 29,300 growth over the past decade. Pharmacy school applications also fell, nationwide, with the number of 1999 applicants 33 percent lower than the number in 1994 (the high point of the last decade).

The cause of an anticipated shortage of practitioners is widely regarded to be related to the changing nature of the profession and the increased workload and other demands on pharmacists. In New York, the number of pharmacists registered to practice grew by one percent, from 18,851 to 19,036, between April 1997 and April 2004. The mean age of pharmacists responding to the Department's 2001 survey was 46. Approximately 25 percent planned to leave the workforce over the next five years.

The Department continues to collaborate with school districts and the professional programs in New York's colleges and universities to identify shortages in both instructional personnel and those professionals who provide related services to students (i.e., physical therapists, occupational therapists), and to provide incentives for individuals to enter programs leading to licensure and/or certification in these areas.

It also is important to increase efforts at encouraging students enrolled in New York State programs leading to professional licensure to choose to practice in New York after graduation. Recently, 38 percent of the pharmacy graduates at the University at Buffalo have opted to not practice in New York. This suggests an opportunity to close the workforce shortage gap by attracting these qualified candidates to New York professional employment opportunities.

*Continuing Professional Education.* The pace of change for professionals themselves has quickened. Technology offers new practice opportunities in all fields, particularly in business, design, engineering, health, and information. The ongoing development of knowledge and skills is critical in today's dynamic practice environments. With the addition of a law requiring continuing education of professional engineers and land surveyors, 156,000 active practitioners in 16 business, design, and health professions have a continuing education mandate. The preparation and continuing education that future professionals receive must reflect technological and other developments in the professional environment, consider the needs of New York's diverse communities, and communicate effectively the need to uphold ethical values and practices. The demand for culturally competent practitioners has resulted in some distribution problems for licensed professionals, such as physical therapists, who may not be willing to work in economically disenfranchised communities.

Continuing education opportunities must meet the demanding needs of present day practice. Educational opportunities must be focused upon the full range of activities necessary to ensure continued competency. Current technology allows the use of a variety of mechanisms for licensed professionals to participate in relevant educational activities that are appropriate to enhancing professional practice. In a number of professions, such as physical therapy, pharmacy, and physician assisting, the education programs now provide a higher level of education than required in the law. This raises issues that could be considered in regard to providing appropriate opportunities for practitioners, within the definition of professional practice established in Education Law.

The reasons for professional workforce shortages are complex, as are the dynamics of change in the professional environment. The Regents believe that one key element in addressing both challenges is a strong link between higher education institutions and the needs of the diverse communities served by these institutions and the professionals they prepare.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of An Adequate Supply of Qualified Professionals.

### ***Sector Initiatives in Response to Priority for An Adequate Supply of Qualified Professionals***

#### **The City University of New York.**

- The CUNY School of Professional Studies will continue to respond to the educational needs of New York City regional workforce demands.
- The University plans to inaugurate new programs (e.g., Graduate School of Journalism, Educational Leadership programs) to meet workforce demands and challenges of the current professions.



- CUNY estimates that its addition of 28 faculty lines in nursing over the last two years may result over time in an increase of 200 to 250 additional nursing graduates per year. Resources permitting, CUNY intends to continue to add capacity to its nursing programs during the period of its master plan.
- CUNY will work closely with other agencies to coordinate University-wide workforce development efforts in health, education, and the human services.

#### Independent Colleges and Universities.

- The independent sector will continue to play a key role in the development of New York's economy and global competitiveness by meeting emerging workforce needs. It also will continue to develop a workforce that can adapt to state-of-the-art technologies, learn new skills on the job, and find solutions as problems emerge in a changing and highly competitive workplace.
- The independent sector will continue to produce citizens who are knowledgeable about and proficient in the global dimensions of their professions and can communicate in foreign cultures. This may be measured by evidence of international issues integrated into programs to provide academic and cultural exposure to the world in which they will study, work, and live.
- The independent sector also will continue to respond to existing shortages in the nursing, pharmaceutical, library science, and other professional workforces. Independent colleges are developing new programs of study in pharmaceutical science, pharmacy management, biomedical technology, clinical trials management, and joint medical-law programs.
- clcu supports a nursing faculty initiative to increase the number of academic nurses and reverse the alarming trend of rejecting qualified nursing applicants.

#### Proprietary Colleges.

- Few proprietary colleges offer programs leading to professional licensure. Exceptions are in court reporting and accounting. One that offers a degree in court reporting is moving strongly into the areas of captioning and communication access real-time translation (CART); another offers a degree in Ophthalmic Dispensing.

#### State University of New York.

- SUNY will continue to develop programs important to New York's future. Recent program development activity suggests that campuses are sensitive to that mandate, with new programs in areas such as materials science and materials engineering, bioinformatics and computational biology, forensic biology, nursing (accelerated), and cybersecurity. The plan identifies 40 new professional licensure-

qualifying programs tentatively scheduled for introduction in 2004-2008 in areas that include nursing, dental hygiene, engineering, social work and accounting.

- SUNY plans to give particular attention to increasing diversity among graduates in fields corresponding to State needs.
- Consistent with the community college strategic plan goal to ensure responsiveness to statewide needs, there is ongoing attention being given to expansion of training opportunities for nurses throughout the State.

### ***Regents Initiatives in Response to Priority for An Adequate Supply of Qualified Professionals***

#### *Initiatives Addressing the Supply of Practitioners*

Opportunities in Nursing. The Department has established the Empire Promise Nurse Opportunity Corps through the State Board for Nursing and the Liberty Partnerships Program in collaboration with the Foundation of the New York State Nurses Association, six colleges and universities, and area health education centers. It prepares pupils from groups historically underrepresented in nursing who have just completed the ninth grade to become world class nurses and perhaps future nursing faculty dedicated to investing their talents in New York State. It provides three summer residential “immersion into nursing” experiences on campuses with a baccalaureate nursing program, followed by support, RN mentoring, and tutoring in pupils’ home communities.

Professional Education Opportunities. The majority of Title VIII professions require a baccalaureate or higher degree for admission to licensure; however, many students find it practical to begin professional studies at a two-year college. In cooperation with two- and four-year institutions as well as professional associations, the Department will develop outreach programs aimed at students in associate degree programs in an effort to streamline their continued education at the baccalaureate level. Additionally, the coordination of joint programs between two- and four-year institutions is essential. The Department is able to facilitate the relationships among secondary schools, colleges and universities, professional associations, and students to insure that two-year programs become an important source of professionals in New York.

Attracting and Maintaining a Culturally Diverse Population of Licensed Professionals. Many of New York’s ethnic populations have been underrepresented in many professional disciplines. As the Department confronts shortages in several professions, it is important to tap the resources that have not yet been explored in many of New York’s diverse cultures. With the assistance of professional and cultural associations as well as secondary and higher education institutions, the Department has engaged in outreach programs aimed at these underrepresented students. Additionally, in a first step, all registered professional programs in psychology require all students to take a course in ethnic and cultural diversity. That requirement will be assessed as the Department reviews the remaining registered programs leading to licensure.

Recruitment of Librarians. New Century Libraries would invest \$2 million to attract and teach new librarians, including school library media specialists, through recruitment, training, and retention programs at libraries and graduate schools. This initiative would generate cooperative training programs and partnerships with library systems and library schools, support development of a statewide recruitment program to help increase diversity among New York’s professional librarians, create scholarship programs, and develop statewide and regional training programs.

The New York State Library’s plan, “Making it REAL! Recruitment, Education, and Learning: A Proposal to Create a New Generation of Librarians to Serve ALL New Yorkers,” will change recruitment and education of librarians and cultivate a diverse new workforce to serve the needs of diverse groups and special populations. The Library, partnering with 13 library systems and six library schools, applied to the U.S. Institute for Museum and Library Services for a three-year grant of nearly \$3 million to implement the plan. The partners will create model Teaching Libraries and scholarships to recruit and educate professional librarians. The grant will provide financial support to 48 master’s degree students in library and information science. It will build statewide resources to enhance workforce recruitment, including a career Website, an initiative to reach out to diverse populations and raise awareness of the project, annual meetings of recruits and project participants, and publication of outcomes.

Evaluating Licensing Requirements. The Department now licenses over 670,000 licensed professionals in 44 professions. That number is expected to rise to over 700,000 as the number of licensees in the four new mental health professions increases. The requirements for entry into a licensed profession are set forth in Education Law, as are the limits on a licensee’s scope of practice. Licensed professionals increasingly choose to practice in other states where licensure requirements and scope of practice limitations are more attractive. The Department must track the national trends in both licensure laws and relocation of licensees to assess whether New York’s licensing laws are satisfactorily maintaining an adequate supply of the most qualified professionals. This will inform the Department and the higher education institutions as they advise the Legislature and will provide guidance as the Department regulates the program requirements of the various professions.

Nursing Faculty. See Regents Priority C(8).

### *Initiative to Address Continuing Professional Competency*

Continuing Professional Education. While mandatory continuing education requirements reach approximately one-quarter of our licensed professions, all professionals need to be competent to provide the services they offer. The Department has developed partnerships with professional associations as well as private sector groups to ensure that an adequate supply of professional education opportunities is available. Such opportunities include use of distance learning technology as well as inclusion of non-traditional learning opportunities such as mentoring, developing patents, and participation in study groups.

Similarly, the Department will continue to provide key information to licensed professionals to keep them current, to learn important practice information and to prevent instances of misconduct. This information will be provided on the Web site in various formats, including practice alerts, practice guidelines and general practice information regarding scope of practice, new professions and other key information.

### ***Indicators of Progress: An Adequate Supply of Qualified Professionals***

- Change over time in the number of newly licensed practitioners of key professions.
- Change over time in the number of nursing faculty, pharmacists, and librarians, statewide.
- Change over time in the number of graduates of licensure-qualifying programs and the number choosing to practice in New York State.
- Change over time in the number of higher education institutions, statewide, offering continuing professional education to practitioners of one or more licensed professions.

#### ***D. Qualified Professionals for Every Community throughout the State***

***11. Regents Priority: An Adequate Supply of Qualified Teachers, School Leaders, and other School Professionals.*** *To provide all pupils with the high-quality education to which they are entitled, the Regents will work with the State's higher education institutions and K-12 educational community to meet the needs of our schools for decades to come by:*

- *Recruiting, preparing, and retaining an adequate supply of qualified teachers for all subject matter areas and for all geographic locations throughout the State; and*
- *Recruiting, preparing, and retaining outstanding school leaders.*

Improving instruction in the PreK-12 schools depends on teachers who have the requisite knowledge and skills to assist **all** children to meet the Regents Learning Standards and on school administrators and other school personnel to serve as effective leaders for the State's schools and districts. Collaboration with the schools to assist in preparing their pupils to enter and succeed in higher education is one of the elements of a highly effective higher education system.

In 2002-03, New York's public schools enrolled 2,823,146 pupils from kindergarten through high school. By racial/ethnic origin, 54.3 percent were White; 19.9 percent, Black; 18.9 percent, Hispanic; and 6.8 percent other minorities. The challenge is to provide an adequate supply of teachers who reflect and are prepared to teach diverse pupil populations, including the gifted and talented, non-native speakers, pupils with disabilities, pupils of all racial/ethnic backgrounds, and pupils from socioeconomic backgrounds ranging from those eligible for free or reduced-price lunches to those with family incomes in the highest brackets. To ensure that every pupil in our richly diverse American mix achieves the knowledge and skills specified in the Regents Learning Standards, colleges must prepare quality teachers and further improve collaboration

between education faculties and liberal arts faculties. School districts must identify the instructional needs of their teachers and prepare professional development plans to meet those needs. Effective instructional leaders must guide our schools and districts.

In 1996, the Regents Task Force on Teaching identified four gaps between the condition of the educational system and the goal of a system with qualified teachers for all students:

Gap 1. Recruitment and retention: New York does not attract and keep enough of the best teachers where they are needed most.

Gap 2. Higher education/pre-service: Not enough teachers leave college prepared to ensure that New York's pupils reach higher standards.

Gap 3. Professional development for existing classroom teachers. Not enough teachers maintain the knowledge and skills needed to teach to high standards throughout their careers.

Gap 4. Environment. Many school environments actively work against effective teaching and learning.

This Plan attempts to address these gaps insofar as higher education programs and services may address them.

*Demand for Teachers and Leaders.* In 2002-03, 217,935 classroom teachers were employed in New York State's public schools and Boards of Cooperative Educational Services (BOCES). More than three percent either were not certified for the subjects or levels they were teaching or held temporary licenses. Of teachers reporting their age, more than nine percent are at or near retirement age. Nearly 75 percent of schools, statewide, lack a certified library media specialist; 30 percent of elementary schools upstate, and more than 90 percent in New York City, lack full-time certified school librarians.

Current and projected shortages of qualified teachers exist in certain geographic areas of our State and in several instructional fields, including:

- Bilingual education
- career and technical education
- English
- languages other than English
- library media specialist
- Mathematics
- science
- social studies
- special education

Table 5 shows the degree of difficulty in recruiting certified teachers reported by school districts seeking such teachers in identified hard-to-fill disciplines.

**Table 5**

<b>Difficulty of Recruiting Certified Teachers</b>	
<b>Subject Area</b>	<b>Somewhat Difficult or Very Difficult</b>
Foreign Language	96.0%
Science	89.7%
Mathematics	89.3%
Vocational	81.3%
English as a Second Language	73.1%
Computer Science	63.7%
Music or Art	52.9%
Special Education	45.3%

Source: Dana Balter and William Duncombe, *Staffing Classrooms: How New York's School Districts Find Their Teachers*, Syracuse University, 2004.

With respect to geography, research on the teacher labor market in New York State (Wyckoff et al., 2003) found that 85 percent of public school teachers accepted their first teaching positions within 40 miles of their hometowns. This provides strong evidence of the value for communities and schools to increase their effort to “grow” their own teachers through such efforts like Future Teachers of America.

The Bureau of Labor Statistics projects an average of 69,058 openings for elementary and secondary teachers annually, nationwide, from 2002 to 2012.

Over the coming decade, new school leaders will also be needed to replace retiring principals and superintendents. New York’s public schools employed 4,108 school principals and 763 school superintendents in 2001-02. Almost 16 percent of the principals and 30 percent of the superintendents were nearing retirement.

When the Regents enacted their teaching policy in 1998, they directed the Department to closely monitor the supply and demand of teachers. Over the past six years, the Regents have responded to shortage issues by enacting a number of new pathways, including:

- The conditional provisional certificate to allow school districts to more effectively recruit teachers from other states;
- The alternative teacher education program to provide access for “second career teachers” to enter the profession;
- Continuation of the transcript evaluation route which many school districts with teacher shortages rely on to employ new teachers;

- A alternative pathway for licensed speech language pathologists to secure a license as a teacher of speech and language disabilities (a comparable pathway is being developed for licensed bilingual psychologists to become certified bilingual school psychologists); and
- A supplemental certificate allowing a certified teacher to effectively transition to another subject area while completing the academic preparation in that area.

*Supply of Teachers and Leaders.* As of the fall of 2004, 113 of New York's 268 colleges and universities prepare school personnel. In 2001-02, the colleges recommended 15,541 new candidates for certification. In 2002-03, they recommended 16,333 candidates, a 5.1 percent increase over the preceding year. However, candidates recommended by colleges made up only 69.9 percent of all new candidates for certification in 2001-02 and 63.4 percent in 2002-03. The other 30 to 37 percent of the candidates applied directly to the Department to evaluate their credentials. The regulations authorizing individual evaluation will sunset in 2007 for childhood education certification and in 2009 for all other certification areas.

In several fields with teacher shortages, significantly higher proportions of candidates for certification apply individually to the Department through the transcript evaluation route to teacher certification. In 2002-03, 44.9 percent of all new teachers of mathematics 7-12 and 64.1 percent of all new teachers of biology and general science 7-12 had individual evaluations.

Eighteen colleges and universities have registered Alternative Teacher Preparation (ATP) programs. Twelve of the 18 are in New York City. The number of ATP candidates beginning teaching grew from 385 in 2000-01 to 2,833 in 2003-04. Over the four years, ATP programs have enabled 6,321 candidates to become certified teachers. Anecdotally, principals have reported high levels of satisfaction with teachers prepared by ATP programs.

Agreement on the academic requirements of two- and four-year colleges through articulation agreements will contribute to the smooth transition of students seeking to become teachers. Registration by two- and four-year colleges of joint teacher education programs, where appropriate, will assist students to enter the field without duplicating coursework, contributing to the size and diversity of the pool of teachers needed to alleviate shortages. At this time, eight community colleges and five four-year colleges have registered such programs.

Community colleges, two-year independent and proprietary colleges, and the SUNY Colleges of Technology are important resources for increasing the number of teachers prepared to enter classrooms. The sectors collaboratively addressed the obstacles students face when transferring to baccalaureate teacher education programs. The collaboration resulted in a generic template for development of teacher education programs providing a seamless curriculum leading to certification. Two- and four-year colleges may use the template to develop A.A. or A.S. teacher education transfer

programs with colleges and universities from the four higher education sectors and with multiple institutions to give students maximum flexibility.

A current research study (Wyckoff, et al.) seeks to determine the influences on teachers' career choices and paths. It hopes to learn (1) how attributes of different preparation pathways affect teacher retention and student recruitment; and (2) how pathways, such as traditional preparation, alternative preparation, and transcript evaluation, can be improved to meet New York City's teaching needs. The study runs through 2006; it may lead to recommendations for action by institutions or the Department.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of An Adequate Supply of Qualified Teachers and School Leaders.

### ***Sector Initiatives in Response to Priority for An Adequate Supply of Qualified Teachers and School Leaders***

#### The City University of New York.

Teacher education will continue to be a CUNY flagship program to meet New York City's needs.

- Continue to allocate cluster lines to hire outstanding faculty in teacher education.
- Expand programs to prepare future educators. CUNY will focus on expanding the number of educators prepared in shortage areas, including special education, mathematics, science, Spanish and bilingual education. New efforts include CUNY's \$12.5 million NSF-funded Math/Science partnership that will increase the supply of math and science teachers and a Teachers Academy to attract outstanding undergraduates to teaching.
- Implement newly revised certificate programs for school leaders that will strengthen their preparation.
- Continue to collaborate with the New York City Department of Education on two alternative teacher preparation programs, the New York City Teaching Fellows and the Teaching Opportunity Program, that bring career changers and recent college graduates into teaching in New York City, especially in such shortage areas as mathematics, science, Spanish, bilingual education, and special education.
- Streamline and strengthen recruitment and articulation into the senior colleges for students who begin their teacher preparation at the community college level. Develop new joint programs between community colleges and senior colleges focused on the preparation of teachers for shortage areas.



- Support and participate in the Pathways to Teaching study, which is examining the different routes into teaching in New York City. CUNY will use results of the study to improve teacher education programs throughout the university.

#### Independent Colleges and Universities.

- The independent sector has 2,583 registered traditional teacher education programs at 85 institutions across the State; 11 of them also offer 101 Alternative Teacher Preparation programs, both downstate and upstate.
- Independent colleges and universities have strong articulation agreements with two- and four-year institutions, outlining academic requirements necessary to assure programmatic transition in teacher education.
- New York's emphasis on strengthened liberal arts integration in teacher preparation programs has a strong effect on articulation agreements in the independent sector.
- The independent sector will continue to develop and enhance its working partnerships with local school districts to recruit teacher candidates and to provide authentic and challenging field experiences for prospective teachers.
- The independent sector offers professional development seminars and workshops for New York's teacher and administrative corps, including paraprofessionals.
- The independent sector will continue to develop innovative academic programs to prepare school librarians and media specialists, particularly in the schools operating in New York City.
- Independent sector institutions with teacher education programs will continue to work with the State Education Department and the New York City Department of Education to develop avenues to provide an adequate supply of teachers to New York City schools and will continue efforts to address teacher shortages in hard-to-staff disciplines around the State.
- The independent sector's goals reach beyond developing an adequate supply of qualified teachers to contributing to build a new culture – one that values educators – through the continued commitment of time and resources to quality teacher education programs around the State.

#### Proprietary Colleges.

- Only two proprietary institutions offer programs leading to teacher certification; a third is considering a move in that direction within the period of this Plan.

## State University of New York.

- SUNY will continue to implement *A New Vision in Teacher Education*, its action agenda for the enhancement of the University's teacher preparation programs. *A New Vision* set the following goals:
  - to improve the preparation of new teachers, in part by establishing new, more rigorous content standards and requirements for clinical preparation;
  - to address New York State's needs for K-12 schools; and
  - to assure continuing excellence and improvement of teacher preparation.

*New Vision* has:

- fostered development of a universal transfer template in teacher education that has been adopted by 33 associate-degree campuses and 12 baccalaureate campuses;
- resulted in the establishment of SUNY's Urban Teacher Education Center in New York City; and
- supported a number of campus developments, including the Alternative Teacher Preparation program at Empire State College.

The initiatives begun through *New Vision* will continue. In addition, many of the initiatives proposed under *Plans for Strengthening the Quality and Reputation of Academic Programs* apply to teacher education programs equally with other programs of study. The master plan lists 46 new programs leading to certification of classroom teachers, school leaders, or pupil personnel service providers, including 19 programs leading to certification of mathematics and science teachers, which SUNY plans to introduce at 10 campuses between 2004 and 2008. The Department has already registered 44 of the programs.

- SUNY will also be considering the recommendations of the Provost's Mathematics Education Task Force for improving the preparation of teachers and the teachers of mathematics in the K-12 schools.

### ***Regents Initiatives in Response to Priority for An Adequate Supply of Qualified Teachers and School Leaders***

#### *Initiatives Addressing the Supply of Teachers and Leaders*

Increasing the Supply of Teachers in Subject Areas of Shortage. The Regents urge all institutions that prepare teachers to give the highest priority to expanding the number of well-prepared graduates of programs leading to certification in bilingual education, mathematics, the sciences, and special education.

Articulated Teacher Education Programs between Two- and Four-Year Institutions. The Regents encourage two- and four-year colleges and universities to embrace cooperative teacher education programs to eliminate duplication and ease student

transfer, especially in the certification fields in which there are shortages of qualified teachers. They anticipate that these programs will provide earlier access to the teacher education pipeline for two-year college students. With an increased number of such programs, the higher education system will maximize its use of resources and increase the pool of qualified teachers.

Alternative Teacher Preparation (ATP) Programs. During the period of this Plan, the Department will continue to support and evaluate existing ATP programs and seek to encourage the development of additional programs as sources of well-prepared teachers.

Future Teachers of America. To help increase the number of persons interested in teaching careers, the Department will encourage establishment or revitalization of Future Teachers of America chapters at high schools in the State, encourage colleges to support their activities, and seek financial support for their efforts to increase the number of potential teacher education candidates.

Teachers of Tomorrow. To increase teacher retention and effectiveness, the Department will seek to expand the Teachers of Tomorrow program to fund hard-to-staff school districts that develop partnerships with teacher preparation institutions to:

- recruit, prepare, support, and retain teachers through alternative programs;
- allow participation by paraprofessionals and candidates with Transitional-B certificates; and
- encourage entry-level teacher support programs.

Teacher Opportunity Corps. The Teacher Opportunity Corps (TOC) enhances the preparation of teachers to address at-risk pupils' learning needs. It also encourages persons from historically underrepresented groups to enter teaching. Since its inception in 1987, 1,972 TOC participants have graduated from the cooperating institutions' teacher preparation programs. The Department plans to increase the number of students served annually to 1,900 by 2008 in order to increase the number of students from such groups earning baccalaureate and master's degrees and becoming teachers. Last year, the program served 477 teacher candidates.

Special Education Shortage Areas in New York City. The New York City Department of Education (NYCDOE) is experiencing an ongoing shortage of licensed professionals and certified teachers to meet the needs of pupils with disabilities, especially bilingual children. To help address this problem, the Department is creating an ongoing information network with the teacher preparation institutions, and the NYCDOE. The objectives are:

- to share regularly the number of certified and/or licensed personnel produced quarterly for the purpose of:

- direct recruiting from NYCDOE to newly certified/licensed personnel; and
  - assisting colleges and the State to gauge the supply and demand for personnel in these shortage areas.
- to create timely information on the number of candidates enrolled in each of these programs. This pipeline data will be provided to NYCDOE so it can target campuses for recruitment where needed personnel are being prepared. These data will be critical to the recruiting efforts of the NYCDOE. This information will also allow the City and the State to better target financial resources to support the preparation of personnel in areas that are lagging.

Bilingual Higher Education Support Center. The Center, at the State University College at Buffalo, assists colleges and universities to establish and improve training programs in the bilingual special education shortage areas. It provides technical assistance to institutions seeking to establish or update programs leading to certification in bilingual special education, bilingual school psychology, bilingual speech services, and English as a Second Language. It surveys institutions annually to establish program enrollment and capacity figures to inform the Department on future training needs.

Bilingual Special Education -- Intensive Teacher Institute (BSE-ITI). BSE-ITI is funded at Eastern Suffolk BOCES to coordinate VESID's tuition assistance to candidates in bilingual special education categories. The program provides tuition assistance to colleges and universities for candidates employed under modified temporary licenses and limited certificate categories working in bilingual special education and related service areas. Candidates nominated by school districts to join the BSE-ITI pursue a registered program leading to certification in the bilingual special education and related service categories.

Speech-Language Pathology Upstate Consortium. The Consortium is designed to address the critical need for speech-language pathologists through a series of training and recruitment activities. In its first phase, the project includes all institutions outside the NYC/Long Island/Westchester areas with programs leading to licensure in speech-language pathology and certification as a teacher of speech language disabilities. The project, which is expected to be funded in January 2005, will be managed by the State University College at Buffalo; its second phase will be expanded to institutions with similar programs downstate.

Intensive Teacher Institute (ITI) for Teachers of the Blind/Visually Impaired. ITI provides tuition assistance to eligible students at designated higher education institutions, culminating in the issuance of either an initial or a professional certificate as a teacher of the blind/visually impaired within three semesters or the equivalent. An Orientation and Mobility Specialist program, which qualifies participants for national certification, was included under the ITI program in 2002.

## *Other Initiatives to Improve the Supply of Teachers and Leaders*

Accreditation of Teacher Preparation Programs. During the period of this Plan, the Department will:

- conclude the initial round of accreditation peer review site visits through the Regents Accreditation of Teacher Education (RATE) and begin the second cycle of visits;
- continue to participate in accreditation visits made by the National Council for the Accreditation of Teacher Education (NCATE) and the Teacher Education Accreditation Council (TEAC); and
- develop RATE standards for accreditation of school leadership programs and begin the accreditation review of such programs at RATE institutions.

Cooperation between Teacher Education Institutions and Public Schools. Over the past four years, cooperation between colleges that prepare teachers and the districts that hire them has undergone a major improvement with the development of collaborative projects and professional development schools as a result of more rigorous Regents standards for teacher preparation programs. The Regents urge the colleges and districts to continue to increase this collaboration in order to improve the preparation of teachers even further.

Promoting the Infusion of Technology into Teacher Preparation Programs. The Department will promote teacher education programs' awareness and implementation of the tools and information developed through New York State's "Preparing Tomorrow's Teachers to Use Technology" (PT3) Catalyst Grant, funded by the U.S. Department of Education. A host of helps developed through this catalyst grant, including standards, promising practices, literature reviews, related links and resources, and tools to analyze and promote an institution's incorporation of technology into teaching and learning, are available on the Web at [www.pt3ny.org](http://www.pt3ny.org).

Video on Demand gives students and teachers access to over 20,000 video clips through the Internet. Video clips are aligned to the State Learning Standards and accompanied by print materials, including teacher guides and student worksheets. Video on Demand is a valuable tool for teacher candidates as they learn to create lesson plans aligned to the Learning Standards.

Meeting Teachers' Professional Development Needs. The Regents urge colleges and universities that prepare school personnel to reach out to address the needs of teachers for professional development.

Higher Education Support Center for Systems Change. The Center was established at Syracuse University to develop and sustain high quality inclusive teacher preparation programs and engage in and support professional development efforts of selected

schools throughout the State. Initiatives promote inclusive education in high need schools and prepare future teachers as inclusive educators. The Center has:

- created a statewide network of teacher preparation programs committed to Inclusive Education
- garnered written commitments from the education deans and chairs at nearly 70 higher education institutional members of the Task Force on Quality Inclusive Schooling to plan and implement quality inclusive teacher preparation programs, or to enhance the quality of those already implemented, and to engage in and support the professional development efforts of selected high need schools.
- created and maintained opportunities for Task Force members to enhance and advance their own professional development.
- served as an avenue for communicating issues between the Department and higher education institutions.

***Indicators of Progress: An Adequate Supply of Qualified Teachers and School Leaders***

- Numbers of teachers and school leaders certified, by certification area, gender, race/ethnicity, and geographic location, compared to the demand.
- Retention in the schools of graduates of current teacher and school leader preparation programs.
- Evidence of the classroom effectiveness of graduates of current teacher preparation programs as found in RATE, NCATE, and TEAC accreditation site visit final reports.
- Other pertinent findings of final reports of accreditation visits to programs preparing teachers and school leaders.
- Changes over time in pass rates on teacher certification exams, statewide.
- Changes over time in the number, statewide, of joint programs between two- and four-year institutions leading to certification.
- Changes over time in the number, statewide, of two- and four-year programs articulated under the teacher education articulation template.
- Certification rates of graduates of articulated two- and four-year teacher education template programs, statewide.
- Changes over time in the graduation rates of alternative teacher preparation program students, statewide.
- Provision of information about careers in school service to elementary and secondary pupils and their families.

## **E. A Balanced and Flexible Regulatory Environment to Support Excellence**

**12. Regents Priority: Encouraging a Highly Effective System.** *The Regents and the Department will maintain avenues of communication to assure that colleges and universities are aware of regulations and their application and have an opportunity for input. The Regents priority will remain to ensure a regulatory environment that helps to sustain and support a highly effective system of higher education.*

A search for excellence by colleges and universities through ongoing self-study is one of the elements of a highly effective higher education system. The Regents are committed to an ongoing dialogue with higher education institutions concerning the regulatory environment and standards that affect them. The Regents and the Department will seek to assure that regulatory requirements are consistent with and supportive of this Plan. They will demonstrate awareness of changes in higher education by working cooperatively with all constituencies in the review of existing regulations and policies. The goal will be to assure high academic standards and accountability through regulations that make sense and that do not present unreasonable academic and financial burdens to institutions.

In response to a fall 2003 survey, postsecondary institutions sought to have the Department's commitment to:

- provide regular, timely, and relevant communications;
- seek input from the field before taking final actions;
- align Department initiatives with the priorities and needs of the field; and
- make continuous customer service improvements.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Encouraging a Highly Effective System.

### ***Sector Initiatives in Response to Priority for Encouraging a Highly Effective System***

#### **The City University of New York.**

- Implement a centralized planning function in the Office of Institutional Research and Assessment.
- Expand data structures of the performance management process to guide instruction and administration.

- Reform administrative practices and implement productivity measures to lower administrative costs.
- Develop and implement a new model for enrollment management (creation of an enrollment management committee to bring together a wide range of student services/departments) to offer improved service to students.
- Consolidate core research facilities across the University.
- Improve library services, including online research resources
- Promote environmental health and safety.
- Promote community outreach.

#### Independent Colleges and Universities.

- The independent sector requests that regulations, where needed, be flexible enough to accommodate diversity in institutions and missions and should include options to encourage institutions to take advantage of emerging opportunities to serve the people of New York.
- clcu will work with the State Education Department to assist in the development of regulations, where needed, so that they make sense for the non-profit sector and do not present unreasonable academic or financial burdens to institutions.
- An expedited degree approval process would help the colleges in their efforts to anticipate, not just react to, New York's workforce needs.

#### Proprietary Colleges.

- The sector's universal commitment to self-study is consistent with the objectives of the regulatory environment over which the Regents preside. The sector has consistently advocated even-handed but firm insistence by regulators on adherence by each institution to the standards expected of all higher education institutions in the State. That approach must not be compromised by budgetary constraints, the rapid growth of new institutions, distance learning initiatives, and the growing proliferation of extension centers and sites. The Association of Proprietary Colleges repeats its willingness to assist the Department in reviewing institutions and programs in the sector.



## State University of New York.

SUNY appreciates the efforts of the Regents and the Department to maintain open communication about current regulations and thoughts for proposed change; certainly supporting its goal of a highly effective system of higher education. In the same way, SUNY has made several specific efforts to further enhance System effectiveness:

- *Improving Administrative Systems.* In 2002, SUNY initiated a five-year effort to transition system-wide administrative computer systems to modern technology in support of campus business requirements and to take advantage of the efficiencies inherent in a common effort. The project's objectives included standardization of business processes, data terminology, and technology while meeting the campuses' local needs; streamlining of business functions; greater reliance on electronic versus paper processes; greater functionality for campus user departments; improved reporting and access to information; enhanced security of systems and information; and less expensive and easier maintenance of systems. This initiative will be completed in 2007.
- *Managing Energy Consumption and Cost Effectively.* Over the next five years, SUNY will improve and expand its electricity and natural gas procurement efforts to provide campuses reliable energy supplies at the lowest cost, creating greater efficiency within the operation of the university system.
- *Strengthening Campus-Related Entities* (foundations, auxiliary services corporations, and alumni associations). Recognizing that these organizations play an important role in the overall operation of a campus, SUNY takes seriously its accountability and oversight responsibilities in ensuring that organizations' activities are focused on the University's mission, goals, and objectives. In that regard, in April 2003, SUNY issued guidelines that strengthen its oversight of campus-related organizations while providing campuses with the operating flexibility they need to achieve their missions. These guidelines became effective on July 1, 2003.

### ***Regents Initiatives in Response to Priority for Encouraging a Highly Effective System***

Winning Compliance. Winning compliance means building support by aligning the standards in regulation with community norms and reporting compliance information to increase awareness; making regulations performance-based whenever possible; and making it clear to institutions what the standards are and how to comply with them. During the period of this Plan, the Department will continue to put this philosophy into action, including:

- providing regular, timely, and relevant communications;
- seeking input from the field before taking final actions;

- aligning Department initiatives with the priorities and needs of the field; and
- making continuous customer service improvements.

Review of Regulations. During the period of this Plan, the Department will review the Commissioner's Regulations in consultation with the sectors to identify requirements that are not mandated by statute and that may be burdensome for institutions and to determine the extent to which they may be necessary for the assurance of educational activities that are needed and of high quality or are unnecessary and, therefore, should be repealed. For example, the Department surveyed higher education institutions about specific regulations for teacher preparation programs, namely the requirements for the time period in which a master's degree must be completed, and the requirements for a fixed ratio of full-time faculty and their workload. In addition, as the Department receives data from the Wyckoff study of teacher preparation programs; these findings will be examined within the context of the regulatory requirements.

Off-Campus Instruction. During 2003-04, a task force of persons from institutions in the four sectors and sector central office staff members reviewed the requirements of Part 54 of the Regulations of the Commissioner of Education, "Off-Campus Instruction," and the Department's guidelines and procedures for administering the Part's provisions and requirements. It concluded that

- Instruction and services can and should be of high quality whenever and wherever they are provided.
- The economic and educational backgrounds of students and their goals and expectations are of key importance in determining the curricula and academic and support structures needed at off-campus locations in order to assure student success regardless of location.
- The Department's current mechanisms for monitoring off-campus instruction do not require significant modification; however, some changes in protocols could contribute to assurance of student success at off-campus locations. In addition, easing restrictions on some off-campus certificate programs would help institutions better meet labor market needs.

In response, during the period of this Plan, the Department will:

- attempt to secure the necessary resources to develop a Web site providing advice, answers to Frequently Asked Questions, and examples of good practices in off-campus instruction.
- grant exemptions from the branch campus requirements of Part 54 for two types of certificate programs:

1. those available exclusively to employees of a business or industry and
  2. those containing fewer than 24 semester hours of credit.
- enhance the use of the Department’s Directory of Off-Campus Instructional Locations form (NYSED 8) to monitor unauthorized off-campus activities or unusual increases in activities.

Review of Statutory Requirements. The Regents urge the Legislature to examine statutory requirements on colleges and universities for the purpose of identifying those that may be burdensome for institutions and that are not needed, and to consider repealing such mandates. The Department will work with the sectors in the review of statutory requirements.

Shared Services. During the period of this Plan, the Department will promote sharing of services among institutions within and across sectors, including on-line library resources.

Master Plans of CUNY and SUNY. In 1995, the Legislature made the Statewide Plan an eight-year rather than a four-year plan. This change has enabled the Regents to take a longer view than formerly in planning for the development of higher education. However, the length of the CUNY and SUNY plans was not increased to match. As a result, CUNY and SUNY must prepare two four-year plans while independent and proprietary colleges prepare only one eight-year plan. CUNY and SUNY are also required to prepare progress reports on their plans after two years – a period that often is too short to show measurable progress – while the Regents prepare the Progress Report on the Statewide Plan after four years. This difference in planning and reporting cycles reduces the effectiveness of coordinated long-range planning for all of higher education. Consequently, the Regents urge the Legislature to change the length of the CUNY and SUNY plans to eight years, matching the Statewide Plan, with progress reports due four years after their plans are adopted.

***Indicators of Progress: Encouraging a Highly Effective System***

- Evidence, statewide, that the higher education part of The University of the State of New York has the Elements of a Highly Effective Higher Education System identified in this Plan.

***E. A Balanced and Flexible Regulatory Environment to Support Excellence***

13. ***Regents Priority: Funding a Highly Effective System.*** *The Regents will advocate for increased State funding for higher education in New York. New York State ranks 30<sup>th</sup> among states in per capita state expenditures for higher education.*

In *The Chronicle of Higher Education’s* spring 2004 nationwide poll, 93 percent of the respondents agreed or strongly agreed that “Colleges and universities are among the most valuable resources in the U.S.” In the fall of 2004, the National Association of

Legislative Fiscal Officers ranked adequate public funding for higher education third in a list of the top ten critical issues facing state legislatures over the next five years, following only “health care containment” and “funding for K-12 education.”

In 2003-04, New York’s colleges and universities spent \$30 billion on operations and sponsored research. That total included \$26.6 billion in direct operating expenditures by public and independent institutions. State appropriations supported 14 percent of those expenditures, as described below. The other 86 percent came from private sources (including tuition and fees), local governments, and the federal government.

As reported by the Center for the Study of Education Policy at Illinois State University, in 2003-04, State support for operating expenses at New York colleges and universities was \$3.8 billion. Direct general fund appropriations for operating expenses at SUNY’s State-operated campuses were \$1.6 billion. Appropriations for CUNY’s senior colleges were \$606 million. Aid to SUNY and CUNY community colleges was \$499 million. Bundy Aid to independent institutions amounted to \$44.3 million. TAP, scholarships, and fellowships amounted to nearly \$1 billion. The State investment in higher education was further increased by Capital Investment Program expenditures.

However, in recent years, State financial support for higher education has barely sustained New York’s highly effective higher education system; it has not enabled the system to develop further. The data suggest that, in 2003-04, higher education had a somewhat lower priority for State funding than it did the year before. Between 2002-03 and 2003-04, New York’s general fund revenues grew by 2.9 percent and its total general fund expenditures grew by 2.6 percent; its financial support for higher education operation (excluding capital construction) declined by 4.5 percent according to the Center for the Study of Education Policy.

For 2004-05, however, the Center estimates State funding for higher education as \$4 billion, a 7.9 percent increase over 2003-04. In comparison, total appropriations by all states increased by only 3.8 percent between the two years. Direct general fund appropriations for operating expenses at SUNY’s State-operated campuses are \$1.8 billion, a 13.8 percent increase that includes funding for salary increases in the latest faculty contract. Appropriations for CUNY’s senior colleges are \$625 million, a 3.2 percent increase. Aid to SUNY and CUNY community colleges is \$513 million, a 3.0 percent increase. TAP, scholarships, and fellowships are \$1 billion, a 5.2 percent increase. Table 6 compares New York to selected other states in terms of 2004-05 appropriations for higher education per capita, per \$1,000 of personal income, and total.

**Table 6**

<b>Selected States Ranked by 2004-05 Appropriations for Higher Education Per Capita, with Appropriations per \$1,000 Personal Income and Total Appropriations</b>					
State	Appropriations per Capita		Appropriations\ \$1,000 Personal Income		Total 2004-05 Appropriations (in \$1,000s)
	\$	National Rank	\$	National Rank	
North Carolina	\$312.65	6	\$5.54	39	\$2,628,507
California	\$256.21	14	\$7.50	19	\$9,091,424
Texas	\$220.73	24	\$7.23	21	\$4,882,239
<b>New York</b>	\$210.99	30	\$5.54	39	\$4,948,921
Illinois	\$209.77	31	\$6.08	32	\$2,654,340
Michigan	\$196.16	34	\$6.15	30	\$1,977,258
Ohio	\$183.97	37	\$5.95	34	\$2,103,892
Florida	\$183.40	39	\$5.81	36	\$3,121,315
Pennsylvania	\$162.72	43	\$4.94	44	\$2,012,046

Sources of Data: Personal income data, 4<sup>th</sup> quarter, 2004: preliminary estimate from Bureau of Economic Analysis, U.S. Department of Commerce, December 4, 2004. Population data: July 2003 estimate from U.S. Census Bureau, December 4, 2004. The Center for the Study of Education Policy at Illinois State University.

However, as Table 7 indicates, when viewed in terms of instructional appropriations for public education per full-time equivalent student, New York State ranks fourth, providing \$8,461 per student in public colleges in 2002. This high level of support coupled with relatively lower tax effort is possible due to a large portion of the State's enrollment in private colleges (who receive a small portion of the funding for higher education).

**Table 7**

<b>State and Local Public Higher Education Appropriations Per Full-Time Equivalent Student - 2002</b>		
	Adjusted (Instructional) Appropriations for Public Higher Education Per FTE - APP/FTE - (\$)	
State	\$	Rank
New York	8,461	4
Illinois	7,984	5
North Carolina	6,986	10
Michigan	6,660	17
California	6,557	19
Pennsylvania	6,091	25
Texas	5,762	28
Ohio	5,535	31
Florida	5,169	37
Nation	6,262	

Source: State Higher Education Executive Officers (SHEEO). Financing Public Higher Education Rankings, Kent Halstead.

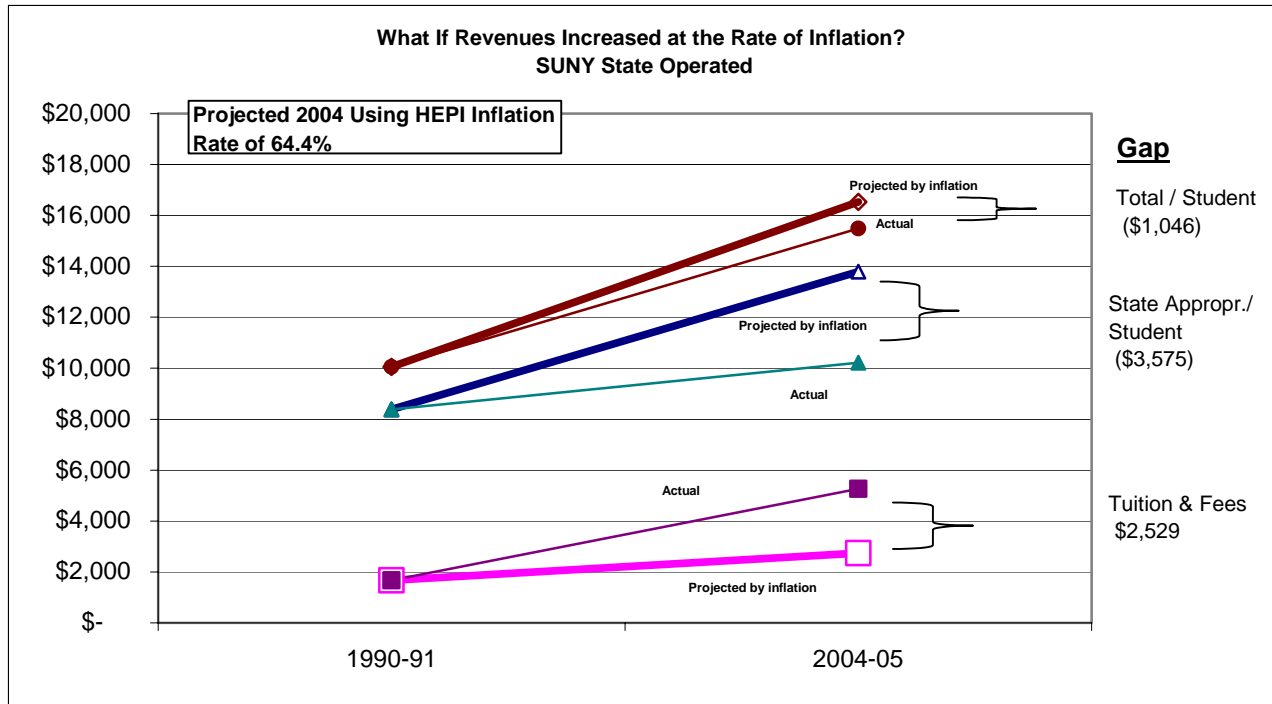
It has been well documented that collegiate tuition and fees often are increased above the rate of inflation. As policymakers examine these rising costs, attention must be given to operating aid provided to colleges in New York State. In Chart 11 we provide a longitudinal analysis of tuition and fees, and State appropriation per full-time equivalent (FTE) student for the SUNY State-operated campuses in comparison to inflation. To measure inflation, we have used the higher education price index (HEPI). HEPI is an inflation index designed specifically for higher education. It tracks price changes in the goods and services on which colleges traditionally rely.

The data in Chart 11 reveals that, since 1990-91, tuition and fees increased by 216 percent. This is greater than the increase in inflation as measured by HEPI of 64.4 percent for that time period. However, the State appropriation per FTE student for this time period increased by only 22 percent, well below the inflation rate of 64.4 percent. When combining tuition and fees and State appropriation per FTE student, the State-operated campuses in 2004-2005 had total revenue available to educate students (tuition and fees and State appropriation per FTE student) less than what would have been available if both the tuition and fees and the State appropriation per FTE student had increased each year only by the HEPI inflation factor. Chart 12 is a comparable analysis for the CUNY senior colleges.

Also, Chart 13 provides a longitudinal analysis of Bundy Aid for the independent colleges comparing actual appropriations to the statutory entitlement and the HEPI inflationary factor.

Therefore, policymakers need to pay close attention to the many facets of analyzing support for higher education. While strong support for need-based grant aid makes higher education in New York State more affordable for low income students, middle income students must rely more on loans and bear a larger percentage of the cost of higher education as State support does not keep up with inflation.

**Chart 11**



Source: NYSED Office of Research and Information Systems

If both State appropriations per FTE for SUNY State-operated campuses and the tuition and fee charges increased each year by the rate of inflation, then the 2004 revenues available per student from these sources would have been:

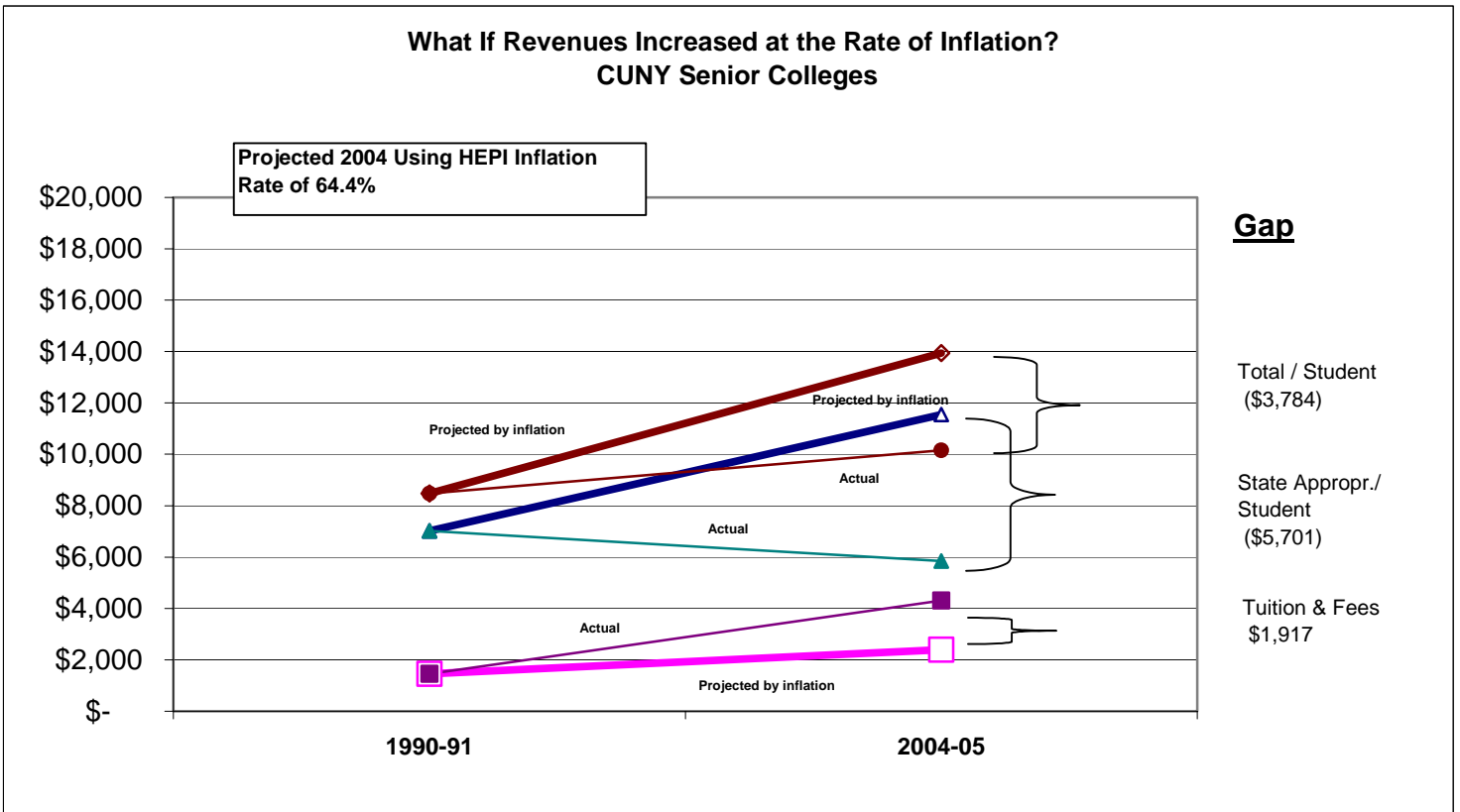
State Appropriation: \$ 13,796      Tuition & Fees: \$ 2,739      Total: \$ 16,535

Since the actual state appropriation available in 2004 was an increase of only 22%, tuition and fees would have to increase a much higher percent (279%) to provide a total funding level consistent with inflation. Since tuition and fees only increased by 216% over this time period, there was less money available to SUNY State-operated campuses than would have been available if both tuition and fees and operating aid per student increased only by inflation. The actual funding levels available in 2004 are:

State Appropriation: \$ 10,221      Tuition & Fees: \$ 5,268      Total: \$ 15,489

Overall, total support from these sources would have had to be \$1,046 higher per FTE to provide support equivalent to the 1990 level if both State appropriation and tuition and fees increased by the rate of inflation since 1990.

**Chart 12**



If both state appropriations per FTE student for CUNY Senior colleges and the tuition and fee charges increased each year by the rate of inflation, then the 2004 revenues available per student from these sources would have been:

State Appropriation: \$11,547      Tuition & Fees: \$2,394      Total: \$13,941

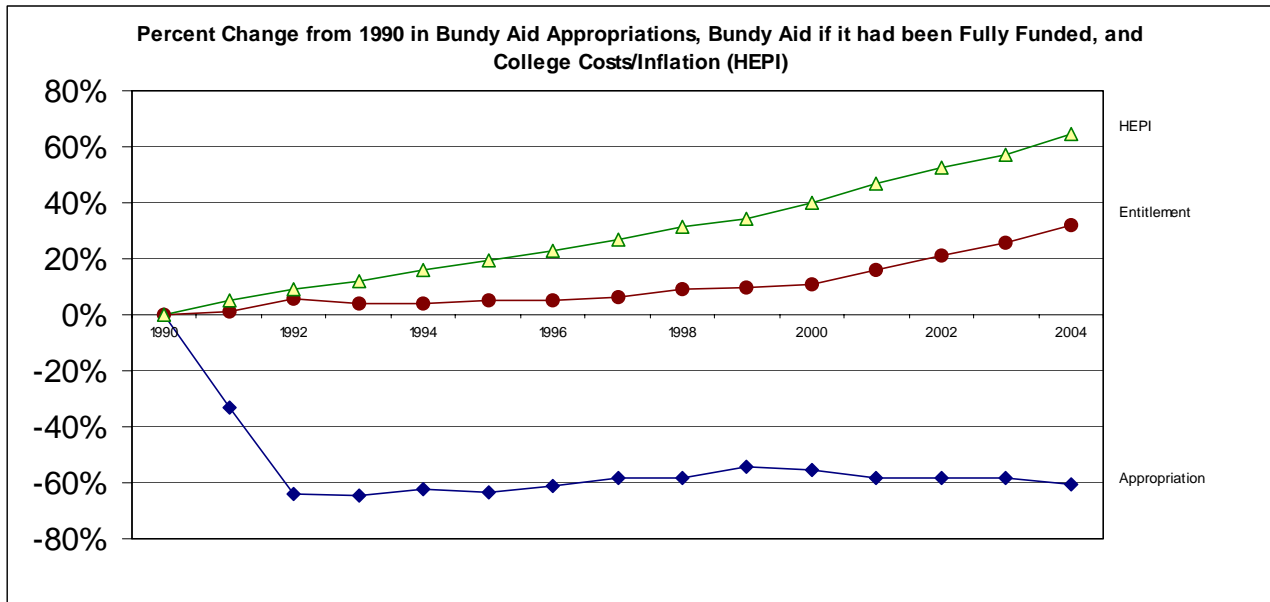
Since the actual state appropriation available in 2004 was a decrease of 16.8% from 1990, tuition and fees would have to increase a much higher percent (456%) to provide a total funding level consistent with inflation. Since tuition and fees only increased by 196% over this time period, there was less money available to CUNY senior colleges than would have been if both tuition and fees and operating aid per FTE student increased only by inflation. The actual funding levels available in 2004 are:

State Appropriation: \$ 5,846      Tuition & Fees: \$4,311      Total: \$10,157

Overall, total support from these sources would have had to be \$3,785 higher per student to provide support equivalent to the 1990 level.



**Chart 13**



As the Regents work cooperatively with the higher education community to assure a balanced regulatory environment, they also will work with sector leaders to advocate for adequate and carefully budgeted financial support for (1) colleges and universities as they endeavor to fulfill their missions and comply with quality standards set forth in regulations; and (2) student financial aid.

The following describes planning elements that the four sectors, the Board of Regents and the Department will undertake to support the priority of Funding a Highly Effective System.

### ***Sector Initiatives in Response to Priority for Funding a Highly Effective System***

#### **The City University of New York.**

- As a result of commitments toward the betterment of CUNY made by the State and City governments, the CUNY Board of Trustees and executive leadership, faculty, and students, CUNY is poised at the threshold of complete transformation. The movement toward an integrated university continues to engender synergies unparalleled in an urban institution of CUNY's size.
- CUNY projects that achievement of the goals and objectives in the CUNY 2004-2008 Master Plan will require \$201.7 million in additional programmatic support and \$140.9 million in mandatory cost support, exclusive of future collective bargaining obligations. As it is necessary that, to become a highly effective higher education institution, there must be a commitment to maximizing the percentage of education delivered by full-time faculty, CUNY has dedicated 25 percent of the \$201.7 million programmatic need to the hiring of 800 full-time faculty over the next four years. Another 28 percent will go toward critical academic and student support needs.

- CUNY continues to emphasize that the State and City must provide the maximum support available to allow CUNY to meet its objectives. So dedicated, however, is CUNY to the goals and objectives identified in the Master Plan as critical to improving CUNY's stature, that it proposes formation of a funding partnership whereby CUNY would seek to maximize its available resources and employ revenue enhancement strategies to augment State and City support in the face of State and City budget constraints.
- *Redeployment of Existing Resources.* Some of the initiatives in the Master Plan are being accomplished in part with existing resources. For example, the cost estimates for full-time faculty assume that funding for 20 percent of the cost of new hires will come from existing resources currently devoted to adjunct teaching. College fundraising initiatives and economic development initiatives are also expected to generate revenues in support of new and ongoing projects. The effective use of technology will generate savings and foster further productivity improvements, enabling redeployment of resources to high-priority areas.
- *Productivity Initiatives.* CUNY has initiated an effort to reform administrative practices and implement productivity measures that result in lower administrative costs. Administrative savings will be invested in teaching and learning enhancements. Efforts include the introduction of new information technologies, collaborative purchasing networks among the campuses, and the establishment of annual "productivity targets" designed to localize at the campuses planned levels of savings that will be redirected to areas related to student instruction.
- As part of the preparation for implementing an Enterprise Resource Planning solution at CUNY, the necessary review of almost all of the University's business functions and procedures will take place. University-wide, over the next three years, increasing efficiencies and implementing successful techniques from processes at the various CUNY units will generate \$26 million in productivity savings. Savings will be transferred from administration to academic and student service areas.
- *New Resource Allocation Methodologies.* Over the past several years, the CUNY Office of Budget and Finance developed new resource allocation systems designed to link the master planning and budget allocation processes and to efficiently deploy resources. Last year, CUNY introduced a new model for the allocation of full-time faculty. It is committed to full implementation of the new instructional resource model and to employing the new model in the allocation of the 800 new faculty positions envisioned in the Master Plan. It will continue to develop new systems for allocation of non-instructional resources.
- *Fundraising.* CUNY recognizes that, in order to fast-forward its transformation as envisioned in the Master Plan, the University must attract substantial private investments and gifts in the coming years. In 2004-05, CUNY will launch its first unified fundraising campaign encompassing all 19 CUNY colleges and graduate schools. The campaign's planned timetable will allow individual colleges to enter the

campaign as their development infrastructure permits and as their foundation boards feel ready. While plans for spending the new funds will vary, common themes include the provision of scholarships, the recruitment and retention of world-class faculty members, and the enhancement academic program quality through support for special programs and facilities.

- A \$2.6 billion “Invest in CUNY/Invest in New York” Campaign for the Colleges of The City University of New York, of which \$1.2 billion is expected to come from private sources. \$1.4 billion represents the capital facilities investment approved by the State and City, providing new opportunities for matching grants.
- *Facilities.* CUNY is comprised of 19 campuses on over 691 acres. It occupies 294 buildings and encompasses approximately 26.9 million gross square feet of space. The objective of the University’s capital program is to provide safe and functionally adequate facilities that encourage teaching and learning, are well-designed, well-built, and operated in a cost-effective manner. Under the Trustees’ guidance, it incorporates these considerations along with established academic objectives.
- *Capital Budget Program and Priority Guidelines.* CUNY’s capital program addresses the needs of its colleges for major new construction, rehabilitation, and capital equipment, and is developed in accordance with the University’s established priority system. The capital program ensures that capital projects contribute to the achievement of CUNY’s academic, research, and administrative goals, conform to University design and construction standards, and make the best use of resources.
- Funding for CUNY’s capital program is requested according to established University priorities approved by the Board of Trustees which, beginning with the highest, are assigned to projects that:
  - correct life-safety, security and code violations;
  - preserve facilities and assets;
  - address technology needs;
  - are ongoing and require the next phase of funding to bring them to completion;
  - provide greater utilization of campus space and academic program delivery;
  - meet energy conservation/performance objectives;
  - encourage economic growth for the City of New York; and
  - seek development of public/private partnerships to maximize the value of the University’s underdeveloped assets.
- CUNY is engaged in ongoing efforts to update and revise the colleges’ facility master plans in order to address more efficiently academic and student-related priorities and request the capital projects necessary to advance the college’s missions. Facility master plans, which are developed in close consultation with the college communities, are revised in conformance with space standards approved by the Trustees, ensuring efficient use of existing and planned space.

## Independent Colleges and Universities.

- The independent sector's objective is for clcu to lend its support to the Regents and the Department as New York debates the critical financial issues facing our State's higher education system, namely increasing the level of financial aid and building a cost-effective non-duplicative infrastructure. Whether higher education leadership is planning for the future, solving a problem, improving a process, resolving conflict, or deciding a course of action, clcu will actively participate in the debate.
- clcu, in partnership with the Education Department, will continue to deliver compelling messages to the State Legislature and Congress. It advocates strongly for programs and policies that benefit students and expand access (e.g., TAP, Direct ["Bundy"] Aid, the Higher Education Opportunity Program, STEP/C-STEP, and Liberty Partnerships). These programs are under constant attack, repeatedly cut in an attempt to balance the State budget. The buying power of TAP has eroded from 60 percent of independent sector weighted average tuition in 1974 to 24 percent in 2003. The Direct Aid program that funds financial aid for the neediest students and supports the operating budgets of some colleges and universities has been underfunded.
- clcu advocates increased capital construction funding to help campuses manage the increased student enrollment and growth in costly program areas. The independent sector proposes that the State invest \$250 million in capital support at its independent colleges and universities. For every \$1 in State support, an eligible college or university must raise \$3. Through this State investment, clcu anticipates its institutions spending \$2 billion on capital construction over the next five years.
- The latest Grapevine reports that New York State ranks 42<sup>nd</sup> on higher education spending contributing only \$5.75 per \$1,000 in New York State personal income.
- As the Business Council reported in its "Budget Watch 2003" series, "taxpayers are getting a bargain – in large part because of our system of private and independent colleges (which enroll about 40 percent of New York's higher education students, compared to a national average of 23 percent)." With independent higher education enrolling two-fifths of all students attending college in the State, New York is able to save in excess of \$1 billion in appropriations annually. This explains how New York can educate more than one million students, maintain high quality, and still rank just 42<sup>nd</sup> among the states in funding.
- New York State invests less than \$1,000 per full-time equivalent student at an independent college or university. This amount has been flat since 1995.
- Funding for programs such as the Higher Education Opportunity Program (HEOP), Science and Technology Entry Program (STEP), Collegiate Science and Technology Entry Program (CSTEP), and other opportunity programs has remained stagnant,

and should be increased to reflect the success and access potential of these programs.

- The independent sector's campuses are developing productive partnerships with institutions, with other educational institutions, business and industry, and government, especially for the purpose of consolidating purchasing power.

#### Proprietary Colleges.

- Proprietary colleges are unique in New York's higher education community in receiving no governmental financial assistance. That means that their students must be especially reliant on student financial aid, with TAP constituting the major source. The sector believes that TAP should be viewed as a highly productive investment of State funds in the future of citizens as workers and taxpayers. Apart from student financial assistance, the sector believes that adequate financial support of the State Education Department's role in monitoring the quality of New York's higher education offerings is likewise an investment that will yield valuable dividends. Substantive areas deserving careful State funding attention include students with disabilities and students for whom English is a second language.

#### State University of New York.

- In recent years, SUNY has made gains in attracting revenues from sponsored research and philanthropy. A key element of its plans will be to strengthen efforts to secure additional funding from these and all other sources.
- *Linking Budgets to Campus Mission and Performance.* Since 1997-98, SUNY has used an allocation of operating budget support model that allows campuses to retain the tuition revenue they generate and that allocates State support according to a formula that recognizes enrollment, program costs, faculty workload among discipline groups, sponsored research, campus missions, and other factors. When the model was implemented, SUNY expected that discrete, additional funding would be distributed to campuses in recognition of academic performance. No additional funding was forthcoming. The model has been used for six years. During this time, SUNY has experienced periods when resources were made available to fund the formula fully, periods when no new funding was available to fund growing budgets, and a period when tuition was increased to offset reduced State support. This experience has prompted SUNY to review the budget allocation process and identify ways to revise it to reflect emerging fiscal realities more appropriately and tie funding levels more directly to campus missions and performance. This effort will be linked closely to the Mission Review II process being undertaken over the same period.
- *Strengthening Hospital Finances and Operations.* In 2003-04, the Governor the Legislature enacted capital financing authorizations totaling \$350 million to enable SUNY's three hospitals to upgrade and expand their facilities and infrastructure.

These initiatives will be implemented over the 2004-05 through 2009-10 period and will enable the hospitals to meet new service needs and maintain economic viability.

- *Enhancing Residence Halls.* Over the next five years, SUNY will continue implementation of its 2004 through 2008 capital plan for residence halls. It consists of \$338.7 million in new construction and improvements, of which \$227 million will be funded with bond proceeds. Among the priorities for this and the subsequent five-year capital planning periods will be upgrading fire safety systems at existing residence halls in accordance with the Governor's Task Force on Campus Fire Safety's recommendations and requirements. They require all newly constructed residential facilities to be equipped with a fire sprinkler system protecting all areas of the building, as well as a completely integrated fire/smoke detection and alarm system, and that existing residential facilities be equipped with completely integrated fire/smoke detection and alarm systems by the summer of 2010.

### ***Regents Initiatives in Response to Priority for Funding a Highly Effective System***

Advocacy Plan. The Department will take a leadership role in developing a joint advocacy plan for higher education funding that all sectors can support:

- Ensure that TAP and the State's opportunity programs continue to make higher education affordable for New Yorkers with economic or educational needs;
- Ensure adequate operating revenues for New York institutions of higher education through support for CUNY and SUNY operating aid (including the community colleges) and for Bundy Aid to independent institutions;
- Support the proposal for New Century Libraries to assist in the sharing of expensive academic resources across all colleges and universities in the State; and
- Invest in the physical facilities of public and independent higher education institutions for the long-term benefit of all New Yorkers.

### ***Indicators of Progress: Funding a Highly Effective System***

- Funding trends in terms of:
  - Annual State expenditures for higher education as a percentage of annual general State revenues and of total general fund expenditures.
  - Annual State expenditures for higher education as a percentage of higher education operating expenditures (from all revenue sources).
  - Annual State expenditures for higher education per capita and per \$1,000 of personal income, and comparison to key states.
  - State and local appropriations for public higher education institutions per full-time equivalent student.

- Comparison of the share of funding for public higher education from net tuition revenues in New York to key states and the nation.
- Relative share of higher education operating expenditures supported from State appropriations, federal funds, local government appropriations, tuition and fee revenues, and other private sources.

## **VIII. CONCLUSION:**

The Statewide Plan for Higher Education 2004-2012 delineates priorities, initiatives, and indicators for the higher education community to focus on over the next eight years. The diversity of the State's higher education system necessitates such an approach. The efforts of the State's 268 colleges will be needed to adequately address the Regents Priorities. Each institution will find within the Statewide Plan specific initiatives that it can address through its institutional mission to help attain the Regents Priorities for Higher Education.

Tracking the State's progress across hundreds of initiatives for 268 institutions will be a daunting task, however, it is not impossible. With all the complexities of the Plan, our focus can be summarized as follows:

- Student Needs
  - Access to quality and affordable education
  - Less reliance on loans, especially high interest loans
  - Close the performance gap in higher education by ethnicity
  - Support services are made available to help students be successful, especially students who have traditionally been underrepresented in higher education
- State Needs
  - Qualified teachers, school leaders and licensed professionals
  - More citizens having access to higher education to meet future economic and workforce needs
  - Research
- Institutional Needs
  - Capacity (human and fiscal resources) to assist in meeting student needs along with the State's workforce, economic and societal needs

What follows are the appendices to the Statewide Plan which include summaries of each of the sector's master plans and enrollment projections.

## SUMMARIES AND REVIEWS OF SECTOR MASTER PLANS

### The City University of New York (CUNY)

CUNY is located in New York City. It was created in 1961. CUNY has 13 senior colleges (one offering study through the doctorate, eight offering undergraduate and master's degree programs, three offering programs to the baccalaureate level, and a school of law) and six community colleges. In the fall of 2004, CUNY's senior colleges had a total headcount of 146,050 students, and its community colleges 72,973 students. This Plan projects that enrollment will total 216,607 in the fall of 2013. CUNY is governed by a 17-member Board of Trustees: ten members appointed by the Governor, with the consent of the State Senate; five appointed by the Mayor of New York City, also with the consent of the State Senate, a representative of the student body, and a representative of the faculty. Nearly 60 percent of the funding of CUNY's senior colleges is provided by State appropriations; the balance is from tuition and fees and federal and local funds. CUNY's community colleges are funded under the same system that applies to State University of New York's community colleges. They derive almost 35 percent of their operating income from direct State appropriations. The community colleges do not have separate boards of trustees.

Mission of CUNY. The following provisions of §6201 of the Education Law constitute its mission, according to CUNY:

1 . . . .

2. The legislature intends that the city university of New York should be maintained as an independent system of higher education governed by its own board of trustees responsible for the governance, maintenance and development of both senior and community college units of the city university. The university must remain responsive to the needs of its urban setting and maintain its close articulation between senior and community college units. Where possible, governance and operation of senior and community colleges should be jointly conducted by similar procedures to maintain the university as an integrated system and to facilitate articulation between units.

3. The legislature's intent is that the city university be supported as an independent and integrated system of higher education on the assumption that the university will continue to maintain and expand its commitment to academic excellence and to the provision of equal access and opportunity for students, faculty and staff from all ethnic and racial groups and from both sexes.

4 . . . .



5. Only the strongest commitment to the special needs of an urban community justifies the legislature's support of an independent and unique structure for the university. Activities at the city university campuses must be undertaken in the spirit which recognizes and responds to the imperative need for affirmative action and the positive desire to have city university personnel reflect the diverse communities which comprise the people of the city and state of New York. In its urban environment this commitment should be evident in all the guidelines established by the board of trustees for the university's operation, from admissions and hiring to contracting for the provision of goods, services, new construction and facilities rehabilitation.

CUNY Master Plan. Section 6206 of the Education Law governs the development of CUNY's long-range master plan. It requires that the plan include:

- a. plans for new curricula;
- b. plans for new facilities;
- c. plans for changes in policies with respect to student admissions;
- d. potential student enrollments;
- e. comments upon its relationship to other colleges and universities, public and private, within the State; and
- f. for informational purposes only, projection standards and overall expenditure projections of capital and operating costs.

A review of the Master Plan indicates that it appears to meet the requirements of §6206. Following are the initiatives proposed in the Master Plan that respond to the Priorities for the Statewide Plan.

#### *Statewide Plan Priorities*

#### A. Maximizing Success for all Higher Education Students

##### ***High Educational Quality***

- Ensure and enhance the quality of undergraduate and graduate programs as well as post-doctoral training and adult and continuing education.
  - Provide community college students with significant additional full-time faculty, strengthened programs, and enhanced support services.
  - The University's Coordinated Undergraduate Education Initiative will consolidate those university projects that have been developed over the past several years to provide students with opportunities to maximize their success in college.
  - Build a solid infrastructure to support ongoing review and development of sound general education programs to provide a quality general education experience to students.

- The Honor College will continue to strive to provide the best aspects of a small liberal arts college.
  - Each college will undergo an accreditation process for its teacher education programs.
  - Capitalizing on the strength of its faculty in American history, offer all undergraduates the opportunity to study U.S. history with the best faculty. Colleges will participate in the current U.S. history curriculum development project.
- CUNY will continue towards its goal of ensuring that full-time faculty offer 70 percent of courses.
  - CUNY will continue to build the libraries' collections in print, digital, and other formats to support the teaching and research programs of the University. Create and explore opportunities to collaborate on the purchase of electronic databases. Develop an interlibrary lending capability within CUNY to leverage investment in print collections. Promote information literacy as an institutional-wide issue and develop tools to assess the information literacy capabilities of students.
  - The performance management process adopted in 2000 has been a key force in the transformation of leadership at CUNY. It ensures that the Trustees' long-term vision for the University forms the scaffolding for annual planning at each of the colleges, and that CUNY and college executives are held accountable for results. Accountability is achieved by measuring colleges' annual progress towards key performance targets - many tied directly to student outcomes - and rewarding performance by presidents and their leadership teams commensurate with those results. Over the next four years, the University will continue to monitor three broad sets of objectives: raising academic quality, improving student success, and enhancing financial and management effectiveness.
- Adopt a performance-based method to monitor program success.
    - Data from the Pathway to Teaching study and other studies will be used to examine program success.
    - A survey of graduating students to determine their future educational and career plans to prepare students for a competitive market place.
- CUNY has constructed a database of student information that the colleges can access electronically to track their progress on many of the indicators related to the academic performance of students. Over the next four years, these data structures will be expanded with three goals in mind:
    - Deliver data that guide faculty and administrators at the colleges in their efforts to design and deliver improved services for students.
    - Organize information to support the assessment of learning and administrative services at the colleges.

- Organize information to allow the central administration and the colleges to more fully measure progress toward the University's objectives and to guide policy.
- Improve the quality of support services (e.g., career services, health services, and day care centers) and recreational activities to students.

### ***Articulation***

- Further develop articulation agreements among and between community and senior colleges to enhance transfer options.
- Develop articulation between the school of professional studies and master's degree programs.
- Complete the implementation of the Internet accessible TIPPS database that details equivalencies between courses at different colleges within CUNY, and extend the database to include courses from non-CUNY institutions.
- Continue to implement the DegreeWorks degree audit system along with the TreQ transfer articulation system at most colleges. These systems will provide CUNY students with the ability to audit progress towards completing their degrees at their current institutions, as well as to determine the effect of current course and program choices on programs they may be considering at other institutions.

### ***Affordability***

- Streamline the financial aid process.
- Provide students with easily accessible information through a number of innovations: CUNY portal; degree audit software; and the Enterprise Resource Plan.

### ***Closing Performance Gaps***

- CUNY is seeking to identify critical junctures where students are most likely to falter, including entry to college, move from general education to a major or specialization, and transfer between institutions. It sees these as interlocking issues; for example, transfer often entails choosing a new major. It is encouraging both University-wide and college-level strategic planning to take into account these juncture points in students' careers.
- CUNY will provide support to retain students:
  - Continue the University Summer Immersion Programs (USIP) to build students' college preparation in reading, writing, and math.
  - Continue the summer programs (e.g., ESL, orientation sessions, math and science bridge courses) to address particular student needs.

- Continue the SEEK (Search for Education, Elevation, and Knowledge) and CD (College Discovery) programs to provide academic and counseling support to students.
  - Offer academic support (i.e., advising and tutoring programs) to students.
  - Identify and apply the effective instructional strategies to help under-prepared students realize their academic potential.
- Implement programs to help close performance gaps.
    - Implement the Chancellor's Initiative on the Black Male in Education, which seeks to enhance the retention and graduation of Black men by removing barriers affecting their academic performance, development of positive relationships, identification of career goals, employment, and health maintenance. Orientation courses/seminars will address such issues as course requirements and career planning as well as social issues relating to race, gender, and sexuality.
    - Continue the English as a Second Language (ESL) programs to offer support to ESL students.
    - Provide counseling services to special needs students, disadvantaged students, and students from special programs.
    - Develop academic literacy across the curriculum for students through the university-wide WAC (Writing-Across-the-Curriculum) initiative.
  - Other services:
    - Maintain a unified central office for international student services.
    - Serve Veterans.

### ***Students with Disabilities***

- CUNY's current enrollment of over 8,000 self-identified students with disabilities reflects a significant increase in this rapidly growing CUNY population. Meeting their diverse academic and social needs by providing and maintaining high quality innovative programs, technical assistance in the classroom, transportation to classes and extracurricular activities, and CUNY-wide campus access gives students with disabilities an equal opportunity to receive a high quality, affordable college education based on individual scholastic achievements and merit.
- The University intends to implement, to the degree possible, the following recommendations of a University Faculty Senate focus group:
  - using the CUNY Portal, establish a disability Web site that includes a disability handbook to serve as a resource guide for faculty/staff and provide access to pertinent information for all students;
  - assess the feasibility of establishing regional resource centers for learning disabilities and identify cost-effective strategies for their implementation;

- during CUNY disability month, conduct a University-wide conference for faculty, campus administrators, staff, and security personnel on appropriate techniques for teaching and providing assistance to students with disabilities;
- develop a marketing video in conjunction with CUNY TV for use by disability coordinators and admissions offices;
- augment the availability of College Now programs and opportunities for high school students with disabilities;
- expand the provisions of the New York Community Trust Transportation Grant to facilitate the participation of students with disabilities in campus student life;
- develop a plan to provide centralized coordination for interpreter services, to reduce costs and provide expertise in selecting and maintaining quality service;
- enhance academic accommodations for students with disabilities by providing faculty training in handling sensitivity issues and providing technical assistance in the classroom when administering exams and in teacher/student conferences;
- ensure that all CUNY standardized examinations are fully accessible;
- train faculty and instructors in making online instruction accessible to students with disabilities;
- ensure that students with disabilities are represented on committees that develop technology plans on campuses and that college Technology Fees accommodate needs to purchase technology for students with disabilities;
- ensure integration of disabled students into positions outside campus disability offices, including student aides and assistants;
- develop an education program on ADA compliance modeled on CUNY's sexual harassment education program.

B. Smooth Student Transition from PreK-12 to Higher Education

***Preparation for College***

- CUNY has made college-sponsored learning opportunities for high school students an essential aspect of its efforts to better prepare students for success in college. The centerpiece of those efforts is College Now, which provides the opportunity for qualified students to take, for free, college credit courses while still in high school.
- For those students not yet ready to take college-credit courses, College Now provides opportunities to develop the essential academic skills necessary for high school graduation and college preparedness.
- There is evidence that College Now is making a difference:
  - More than 28 percent of public high school graduates entering CUNY in the fall of 2002 had been in College Now, and more than 32 percent in the fall of 2003.
  - While CUNY's community colleges serve the majority of College Now students, most of those students enter baccalaureate programs after they graduate. This

means that those students met the more stringent requirements for admission to those programs.

- Preliminary research indicates that College Now alumni are more likely to persist in their pursuit of a degree than other New York City public school graduates, as measured by their rates of re-enrollment for a third semester.
- CUNY has been a co-developer and a home to public high schools for a generation. These high schools provide opportunities to many different kinds of students: English-language learners, academic high achievers, and struggling students. College faculty members frequently work with their high school counterparts on matters of mutual professional development and students are able to take advantage of a wide variety of campus resources.
- Working with the Office of New Schools Development at the Department of Education and with funding from the Bill & Melinda Gates Foundation, CUNY has launched an initiative to create ten innovative early-college secondary schools across the City.
- CUNY also has embarked on a pilot effort, in cooperation with the Department of Education and with funding from the New York City Department of Youth and Community Development, to reach out to those who have left school and bring them back. CUNY Prep, in the Bronx, offers a full-time program of college preparatory study for out-of-school youth between the ages of 16 and 18. Students prepare to re-enter high school or begin college with a high school equivalency diploma.

CUNY has expanded and strengthened its professional development activities for public school teachers through projects such as Looking Both Ways and the Discovery Institute at the College of Staten Island.

### ***Information and Assistance in Preparing for College***

- In addition to including the provision of information and assistance in preparing for college to students in all of its pre-college programs, CUNY has used its involvement in GEAR UP to refine and enhance its services in this area.
- Getting ready for college involves a lot, and the sooner students can start, the better prepared they will be. GEAR UP is a federal initiative to promote college readiness and awareness among students in grades 6-12 from communities with traditionally low levels of participation in higher education. CUNY has responded to the initiative in a major way by establishing a systemwide consortium coordinated by the University's Office of Academic Affairs. The consortium and CUNY's overall efforts have been funded by the New York State Higher Education Services Corporation.
- In addition, five colleges (Borough of Manhattan Community College, Bronx Community College, LaGuardia Community College, Medgar Evers College, and the

College of Staten Island) have received direct grants from the U.S. Department of Education. More than 2,300 high school students from 23 high schools participate.

- GEAR UP provides services in concert with teachers and families to engage students more fully in their high school experiences with a focus on future college success. In-class and after-school tutoring and mentoring; college awareness programs for students and their families; college visits and residential summer programs; project-based learning; and opportunities to participate in college-credit courses through College Now are among the GEAR UP offerings.
- In 2004, CUNY GEAR UP staff took the lead role in producing a Web-based financial aid tutorial -- *College \$ense: How to Pay for College* -- for distribution to high school students and their parents.

C. Meeting New York's Needs through Graduate Programs and through Research

**Strong Graduate Programs to Meet the State's Needs**

- Recruit qualified, diversified, and sufficient faculty to ensure the quality of education.
  - Cluster hiring initiative to meet the goal of ensuring that 70 percent of course sections are taught by full-time faculty.
  - Recruit diverse students into Ph.D. programs to ensure diverse professoriate in years to come.
- Enhance curriculum by promoting integration of instructional technology.
- Implement or continue special or exemplary programs to foster academic excellence.
  - Governors Island Simulation Center (GISC) will train future science and math teachers in using computer simulation technology to enhance teaching and learning in the classroom.
  - Emerging Student Leadership Program will continue to offer workshops to campus student leaders.
  - Each college will undergo an accreditation process for its teacher education programs.
- CUNY has committed to devote \$2 million per year toward providing tuition remission to doctoral students. Additionally, the University implemented a system that will allow doctoral students at an appropriate level to be assured of teaching at its various colleges.
- Under the University's Community College Investment Program, 250 new faculty have been hired to teach at the six community colleges.

- As part of the University-wide Performance Management Program, colleges are required to demonstrate the steps taken to recruit and hire a diverse faculty.

### **Creation of New Knowledge through Research**

- Continue the mission to enhance research activity and the research character of the entire University.
  - Foster an environment conducive to research by sustaining and enhancing campus based research facilities and opportunities.
  - Plan for a new Advanced Science Research Center to provide facilities at which faculty from all CUNY campuses may conduct advanced research.
  - Continue the interdisciplinary research on urban environment.
  - Initiate a research program on developmental education to identify and apply the effective instructional strategies to help under-prepared students realize their
- Provide greater institutional support for post-doctoral research students.
- Move toward full tuition remission for doctoral students to enhance CUNY's competitiveness in attracting research oriented students.
- Expand academic research areas that contribute to economic development. Economic development interests are most directly served by attention to applied research which itself is based on the results of basic research. Academic institutions traditionally provide assistance in solving problems as well as in developing new knowledge. It is important that CUNY continue to develop these functions.
- Further develop Flagship initiatives in structural biology and photonics (expanding into biophotonics and nanoscience). The CUNY Center for Advanced Technology (CAT) in Photonics Applications works collaboratively with industry (in particular with New York State businesses), universities, other CATs, and other institutions to advance its scientific and economic development goals. Through such collaborative efforts, the CAT, together with its CUNY partner the Institute for Ultrafast Spectroscopy and Lasers, will increase opportunities for federal and private research dollars that further extend the research capabilities and services offered to New York State companies.
- Develop and expand the role of Postdoctoral Fellows performing research at the University. These scholars are essential to the productivity of the scientific enterprise; as their numbers continue to increase at CUNY, their academic presence will be integrated into the research mission.



D. Qualified Professionals for Every Community throughout the State

***An Adequate Supply of Qualified Professionals***

- CUNY's School of Professional Studies will continue to respond to the educational needs of New York City regional workforce demands.
- The University plans to inaugurate new programs (e.g., Graduate School of Journalism, Educational Leadership programs) to meet workforce demands and challenges of the current professions.
- CUNY will work closely with other agencies to coordinate university-wide workforce development efforts in health, education, and human services areas.

***An Adequate Supply of Qualified Teachers, School Leaders, and other School Professionals***

Teacher education will continue to be a CUNY flagship program to meet New York City's needs.

- Continue to allocate cluster lines to hire outstanding faculty in teacher education.
- Expand programs to prepare future educators. CUNY will focus on expanding the number of educators prepared in shortage areas including special education, mathematics, science, Spanish and bilingual education. New efforts include CUNY's \$12.5 million NSF-funded Math/Science partnership that will increase the supply of math and science teachers and a Teachers Academy to attract outstanding undergraduates to teaching.
- Implement newly revised certificate programs for school leaders that will strengthen their preparation.
- Continue to collaborate with the New York City Department of Education on two alternative teacher preparation programs, the New York City Teaching Fellows and the Teaching Opportunity Program, that bring career changers and recent college graduates into teaching in New York City, especially in such shortage areas as mathematics, science, Spanish, bilingual education, and special education.
- Streamline and strengthen recruitment and articulation into senior colleges for students who begin their teacher preparation at the community college level. Develop new joint programs between community colleges and senior colleges focused on the preparation of teachers for shortage areas.
- Support and participate in the Pathways to Teaching study, which is examining the different routes into teaching in New York City. CUNY will use results of the study to improve teacher education programs throughout the university.

E. A Balanced and Flexible Regulatory Environment to Support Excellence

***Encouraging a Highly Effective System***

- Implement a centralized planning function in the Office of Institutional Research and Assessment.
- Expand data structures of the performance management process to guide instruction and administration.
- Reform administrative practices and implement productivity measures to lower administrative costs.
- Develop and implement a new model for enrollment management (creation of an enrollment management committee to bring together a wide range of students services/departments) to offer improved service to students.
- Consolidate core research facilities across the University.
- Improve library services, including online research resources.
- Promote environmental health and safety.
- Promote community outreach.

***Funding a Highly Effective System***

- As a result of commitments toward the betterment of CUNY made by the State and City government, the CUNY Board of Trustees and executive leadership, faculty, and students, CUNY is poised at the threshold of complete transformation. The movement toward an integrated university continues to engender synergies unparalleled in an urban institution of CUNY's size.
- CUNY projects that achievement of the goals and objectives in the CUNY 2004-2008 Master Plan will require \$201.7 million in additional programmatic support and \$140.9 million in mandatory cost support, exclusive of future collective bargaining obligations. As it is necessary that, to become a highly effective higher education institution, there must be a commitment made toward maximizing the percentage of education delivered by full-time faculty, CUNY has dedicated 25 percent of the \$201.7 million programmatic need to the hiring of 800 full-time faculty over the next four years. Another 28 percent of the programmatic funding will go toward critical academic and student support needs.
- CUNY continues to emphasize that the State and City must provide the maximum support available to allow CUNY to meet its objectives. So dedicated, however, is CUNY to the goals and objectives identified in the Master Plan as critical to improving CUNY's stature, that it has proposed the formation of a funding partnership whereby CUNY would seek to maximize its available resources and employ revenue enhancement strategies to augment State and City support in the face of State and City budget constraints.

- *Redeployment of Existing Resources.* Some of the initiatives in the Master Plan are being accomplished in part with existing resources. For example, the cost estimates for full-time faculty assume that funding for 20 percent of the cost of the new hires will come from existing resources currently devoted to adjunct teaching. College fundraising initiatives and economic development initiatives also are expected to generate revenues in support of new and ongoing projects. The effective use of technology will generate savings and foster further productivity improvements, enabling redeployment of resources to high-priority areas.
- *Productivity Initiatives.* CUNY has initiated an effort to reform administrative practices and implement productivity measures that result in lower administrative costs. Administrative savings then will be invested in teaching and learning enhancements. Efforts in this area include the introduction of new information technologies, collaborative purchasing networks among the college campuses, and the establishment of annual “productivity targets” designed to localize at the campuses planned levels of savings that will be redirected to areas related to student instruction.
- As part of the preparation for implementing an Enterprise Resource Planning solution at CUNY, the necessary review of almost all of the University’s business functions and procedures will take place. University-wide, over the next three years, increasing efficiencies and implementing successful techniques from processes at the various CUNY units will generate \$26 million in productivity savings. Savings will be transferred from administration to academic and student service areas.
- *New Resource Allocation Methodologies.* Over the past several years, the CUNY Office of Budget and Finance has developed new resource allocation systems designed to link the master planning and budget allocation processes and to efficiently deploy resources. Last year, CUNY introduced a new model for the allocation of full-time faculty. It is committed to full implementation of the new instructional resource model and to employing the new model in the allocation of the 800 new faculty positions envisioned in the Master Plan. It will continue to develop new systems for allocation of non-instructional resources.
- *Fundraising.* CUNY recognizes that, in order to fast-forward its transformation as envisioned in the Master Plan, the University must attract substantial private investments and gifts in the coming years. In 2004-05, CUNY will launch its first unified fundraising campaign encompassing all 19 CUNY colleges and graduate schools. The campaign’s planned timetable will allow individual colleges to enter the campaign as their development infrastructure permits and as their foundation boards feel ready. While plans for spending the new funds will vary, common themes include the provision of scholarships, the recruitment and retention of world-class faculty members, and the enhancement academic program quality through support for special programs and facilities.

- A \$2.6 billion “Invest in CUNY/Invest in New York” Campaign for the Colleges of the City University of New York, of which \$1.2 billion is expected to come from private sources. \$1.4 billion represents the capital facilities investment approved by the State and City, which provides new opportunities for matching grants from donors and other sources.
- *Facilities.* CUNY is comprised of 19 campuses on over 691 acres. It occupies 294 buildings and encompasses approximately 26.9 million gross square feet of space. The objective of the University’s capital program is to provide safe and functionally adequate facilities that encourage teaching and learning, are well-designed, well-built, and operated in a cost-effective manner. Under the guidance of the Board of Trustees, the capital program incorporates these considerations along with established academic objectives.
- *Capital Budget Program and Priority Guidelines.* CUNY’s capital program addresses the needs of its Colleges for major new construction, rehabilitation, and capital equipment, and is developed in accordance with the University’s established priority system. The capital program ensures that capital projects contribute to the achievement of CUNY’s academic, research, and administrative goals, conform to University design and construction standards, and make the best use of resources.
- Funding for CUNY's capital program is requested according to established University priorities approved by the Board of Trustees which, beginning with the highest, are assigned to projects that:
  - correct life-safety, security and code violations;
  - preserve facilities and assets;
  - address technology needs;
  - are ongoing and require the next phase of funding to bring them to completion;
  - provide greater utilization of campus space and academic program delivery;
  - meet energy conservation/performance objectives;
  - encourage economic growth for the City of New York;
  - seek development of public/private partnerships to maximize the value of the University’s underdeveloped assets.
- CUNY is engaged in ongoing efforts to update and revise the Colleges’ facility master plans in order to address more efficiently academic and student-related priorities and request the capital projects necessary to advance the College’s missions. Facility master plans, which are developed in close consultation with the college communities, are revised in conformance with space standards approved by the Trustees, ensuring efficient use of existing and planned space.

## Independent Colleges and Universities

There are 144 independent colleges and universities; most are chartered (incorporated) by the Regents or by special acts of the State Legislature and have their own boards of trustees. All are operated on a not-for-profit basis. They operate on 188 main and branch campuses. Thirty-seven offer study through the doctorate (including 12 comprehensive universities) and 84 through the baccalaureate and/or master's degree level; 23 are two-year colleges. Most of the independent institutions are members of an organization called the Commission on Independent Colleges and Universities of the State of New York (clcu) that was incorporated by the Board of Regents under the Education Law as an Education Corporation. The independent colleges derive less than one-half of one percent of their income from direct State aid. In the fall of 2004, they had a total headcount enrollment of 442,743 students. This Plan projects that they will enroll 460,291 students in 2013.

### Consolidated Master Plan of the Independent Sector

#### *Statewide Plan Priorities*

##### A. Maximizing Success for all Higher Education Students

**Sector Goal:** Reaffirm its commitment to quality improvement and high performance.

#### ***High Educational Quality***

Independent colleges and universities use the results of their ongoing self-study processes to continually improve the quality of their students' education. With the Middle States Characteristics of excellence in Higher education standards for accreditation the predominant self-study process, the assessment practices are guided by the American Association of Higher Education's nine Principles of Good Practice for Assessing Student Learning.

Objective: Redirect the educational process to focus on a learning environment by building on the inherent strengths of an individual college or university and recognizing its unique mission.

Objective: Assess learning outcomes continuously, and use results to improve the learning process and experience of students.

Objective: Ensure that co-curricular activities and programs support learning objectives.

Objective: Integrate appropriate technology into the curriculum to improve student learning.

- The independent sector's strengths are evident in numerous ways: One hundred thirty-two independent college and university faculty members and alumni have won Nobel prizes; New York State is a leading destination for first-time freshmen; 14 independent colleges and universities are recognized among the *U.S. News and World Report* Best National Universities and Liberal Arts Colleges, more than any other state; and independent colleges and universities attract more than \$1 billion in National Institutes of Health funding each year.
- The average faculty-to-student ratio in the independent sector is 1:12.
- The independent sector will continue to use a variety of assessment strategies involving college leaders and faculty to inform and help guide continuous improvement of student learning.
- Assessment as implemented at independent colleges and universities is a dynamic process. It includes a variety of assessment strategies, including tracking the progress of cohorts of students, collecting examples of student performance, and using the same instrument semester after semester.
- As implemented at independent colleges and universities, the point of assessment is not to gather data and return "results"; it is a process that starts with the questions of decision makers and involves college leaders and faculty in gathering and interpreting data. It informs and helps guide continuous improvement.
- Independent colleges define their constituencies as both the students they serve and the people of New York as a whole. Individual colleges' assessment practices involve students and residents of the State to gain feedback on how well the college meets the public perception of its mission and shares its knowledge and expertise.
- At independent universities and colleges, faculty play a central role in gathering and interpreting data.

### ***Articulation***

Objective: Make sure that transfer works the way it should, not just that transfer students are admitted but that their college credits earned in academic course are applied to graduation requirements.

- Many articulation agreements operate within the independent sector at all levels.
- Independent colleges and universities support institution-to-institution agreements because they provide the flexibility to broker and ensure effective articulation.
- The relationships that two-year institutions have with four-year institutions are an essential element in expanding students' horizons to pursue four-year study.

- The baccalaureate degree is becoming the entry point to the workforce for the majority of students, making it increasingly important that two-year to four-year transfer works well.
- To account for academic freedom and institutional diversity, and to maximize access, articulation agreements must be multi-dimensional and specifically tailored to the institutions and programs involved.

### ***Affordability***

- clcu supports the Regents call for State funding to ensure access and an affordable higher education for all students.
- The independent sector will continue to make full funding of the Tuition Assistance Program (TAP) a top priority, as it is crucial to providing access. In 1974, the TAP maximum covered 60 percent of tuition costs at an independent college or university; today, it meets less than one-quarter (24 percent) of the independent sector's average weighted tuition.
- The independent sector has been forced to increase institutional aid, currently at \$1.9 billion, to continue its long tradition of providing access for low- and moderate-income students. Institutional grants have grown faster than TAP.
- Student borrowing also is increasing as federal and State grant aid levels remain stagnant. In 2002, the average undergraduate borrowed \$18,900, and the average graduate student \$31,700, to fund their college education, according to Nellie Mae. The increased debt load discourages many students from attending college and delays post-graduation decision-making such as home ownership and business start-ups for others.

### ***Closing Performance Gaps***

Assessment data from several responding campuses indicate that retention and completion are affected significantly by the students' participation in freshman seminar programs. Most colleges offer a variety of programs providing general help with terminology, campus locations, coordinating course requirements with book purchases, registration, financial aid, and more recently, credit card debt.

Objective: Develop programs to enhance the information skills of all incoming students based on assessment data results.

Objective: Assess the learning levels of first-time students to identify individual students and provide supplemental program to those who need assistance in academic or study skills.

- Institutions will make efforts to reach out to non-traditional students with special programs help in the overall retention rate of students.
- clcu and its member institutions will continue to participate in and advocate for expanded collaborations between secondary schools and independent colleges, such as GEAR UP and clcu's Outreach Programs (Affording College, Your College Search, clcu periodic Financial Aid Bulletins, and other programs and activities such as "Camp College," an early awareness experiential activity hosted on various campuses for traditionally under-represented secondary students, and other programs and publications designed to acquaint secondary students with the preparation needed for and the opportunities available in higher education.

### ***Students With Disabilities***

**Objective:** Ensure that disabilities do not hinder students from achieving their academic goals by supporting programs of planning, insight, self-advocacy, and accommodation.

- To assist students with learning disabilities, independent colleges and universities sponsor programs to maximize students' potential. These programs focus on planning, insight, and advocacy and accommodation. Institutional strategic plans differentiate between modifications (i.e., lowering standards and expectations) and accommodations that equalize the playing field through sensitivity to time and environmental constraints.
- Because college students with disabilities are not homogeneous and unique modifications are often needed, what may work as an accommodation for one person may not be useful for another, but may prove to be a barrier to learning. Thus, to truly assist students with learning disabilities, independent colleges and universities sponsor programs to maximize students' potential in the college setting.
- To accomplish its goal for students with disabilities, the independent sector reaffirms its ongoing commitment to quality improvement and high performance for all students.
- The independent sector recommends that the Regents and the State Education Department continue to endorse their priority of securing additional State and federal funding to enhance campus efforts for students with disabilities.

### **B. Smooth Student Transition from PreK-12 to Higher Education**

**Sector Goal:** Develop a learner-centered environment that integrates instruction, research, economic development, and community service. It is student learning that lies at the core of each independent college and university's mission. The students are the future – New York's future researchers, teachers, businessmen and women. Providing each student with knowledge and skills is inherent to an independent colleges



or university's mission, whether it is a research university, specialty school, or liberal arts college.

### ***Preparation for College***

Objective: Develop local outreach activities with elementary, middle, and secondary schools to reinforce New York's Learning Standards.

Objective: Reach out actively to middle and high school students on their own turf by supporting and participating in their current interests.

- The independent sector believes that access is qualified by success – “access to success” – and that each admitted student regardless of economic status, race, ethnicity, or gender, is entitled to have, or have the opportunity to enhance, the academic skills necessary to succeed in college. The scope of initiatives in college preparation to achieve this outcome ranges from pre-collegiate preparation programs to remedial classes and to various other specialized programs, including accommodation of students with disabilities, that can lead to success in college.
- The scope of initiatives in college preparation in the independent sector ranges from pre-collegiate preparation programs to remedial classes in two-year colleges and other specialized programs to ensure success.
- The independent sector is watching demographic trends and predictions for the next eight years and is preparing for even greater numbers of minority and non-traditional students. To meet the postsecondary needs of these populations, more preparatory activity, college classes, and pre-collegiate and collegiate activities are being offered in non-traditional formats and at night and on weekends.
- The independent sector has a tradition of coordinated outreach to middle and high schools, collectively and individually; its students serve as mentors in local area schools and institutions have collaborated in on-going and special programs with school districts.
- clcu and its member institutions will continue to participate in and advocate for expanded collaborations between secondary schools and independent colleges, such as GEAR UP and clcu's Outreach Programs (Affording College, Your College Search, clcu periodic Financial Aid Bulletins, and other programs and activities such as “Camp College,” an early awareness experiential activity hosted on various campuses for traditionally under-represented secondary students, and other programs and publications designed to acquaint secondary students with the preparation needed for and the opportunities available in higher education.

## ***Information and Assistance in Preparing for College***

Objective: Respond to the educational needs of the changing demographics in New York State.

- The independent sector, through clcu, has for more than 25 years engaged in various projects and activities to build and strengthen the bridge between secondary and higher education, producing a number of informative, free, publications for school guidance counselors, students, and parents about college opportunities.
- clcu's outreach programs, which can be found at [www.nycolleges.org](http://www.nycolleges.org), provides information on the independent sector and preparing for and selecting a college or university in New York State.
- Through its close relationship with professional admissions and financial aid organizations, as well as guidance counselors, the independent sector has drawn on this expertise to organize college fairs, financial aid nights, workshops, and other activities, including "Camp College."

### C. Meeting New York's Needs through Graduate Programs and through Research

#### ***Strong Graduate Programs to Meet the State's Needs***

Objective: Adopt institutional strategies for graduate programs unique to each institution's position, circumstances that will achieve maximum impact and enhance the institution's reputation in academe, industry, government, and the public perception.

Objective: Ensure graduate programs' success through state-of-the-art capital infrastructure.

- The independent sector also will continue to ensure graduate programs' success through state-of-the-art capital infrastructure. In 2004, the Governor introduced a new, first-of-its-kind \$350 million capital program to invest in economic development, high technology, critical academic facilities, and urban renewal/historic preservation projects. For every \$1 in State support and eligible independent college must raise \$3. The Legislature offered a similar plan and clcu hopes that, when differences are ironed out, New York State will stimulate over \$2 billion in capital projects to help communities around the State.

Objective: Enhancement of graduate and postdoctoral programs in scope and quality.

- In reviewing the plans submitted by clcu's member institutions, eight graduate-level programs were given priority because of their relevance and opportunities for research:

1. Cancer and genetics;
2. Developments in biotechnology, particularly at the interface of medicine and nanoscience;
3. Environmental quality systems;
4. Ecology and environment;
5. Interdisciplinary programs in information technology and innovation;
6. Digital literacy;
7. Social and medical problems associated with aging; and
8. Learning behavior of children.

**Objective:** Encourage and support expressions of diversity across the college communities, especially those that are characterized by faculty, students, and staff working together to create an inclusive learning environment in both curriculum and co-curricular activities.

- The diversity of the independent sector’s faculty has grown; over the last 15 years the proportion of faculty identifying themselves as Asian, Black, or Hispanic increased from nine percent to 15 percent. The increased faculty diversity has enhanced the educational experience of independent sector students. In the coming years, the sector will continue to encourage such diversity on its campuses.

**Objective:** Support professional development for faculty and professional staff related to the achievement of individual institutions’ strategic goals.

- Full-time faculty members in the independent sector include Nobel Prize winners in medicine, physics, chemistry, and economics; Pulitzer Prize winners; recipients of the National Medal of Science; MacArthur awards; and Academy Awards, as well as members of the National Academy of Science, National Academy of Engineering, and National Institute of Medicine.
- The independent sector will continue to adopt institutional strategies for graduate programs unique to each institution’s position, circumstances that will achieve maximum impact and enhance the institution’s reputation in academe, industry, government, and the public perception.

### ***Creation of New Knowledge through Research***

**Sector Goal:** Sustain excellence in cutting edge research programs important to the State of New York and the nation.

**Sector Goal:** Support the independent sector’s commitment to research that promotes the achievement of each campus’ mission.

**Objective:** Substantially expand the intensity and scope of research programs. Much of an enhanced research effort could be funded from federal and corporate contracts and grants. Equally valuable to New York’s research enterprise are private gifts and grants.

While federal grants are targeted for specific purposes, private gifts provide the means to finance additional creative and innovative endeavors. Independent colleges and universities are pursuing these sources aggressively.

Objective: Support research that can use undergraduates as research assistants and co-investigators as part of the undergraduate learning experience.

Objective: Share information through journals, conferences, and the Internet.

Objective: Using faculty expertise and introducing academic programs to target New York's greatest needs, thereby promoting program quality and institutional effectiveness to assist in the establishment, development, and growth of New York firms, including small businesses.

Objective: Develop technological advancement and technology transfer to the marketplace that support New York's industries' ability to compete in a global economy and to focus research on areas that capitalize on current strengths that are essential for success in that competition.

- A theme underlying the independent sector's master plan is the value that postdoctoral scholars and fellows pursuing research add to the vigor of the academic experience. Not only do these individuals add to the general academic milieu, attracting talented undergraduates, they are important partners in developing research programs on campus.
- Each year, independent colleges and universities attract over \$1 billion in National Institutes of Health (NIH) funding, and rank among the top 100 in NIH funding nationally.

#### D. Qualified Professionals for Every Community throughout the State

**Sector Goal:** Play a key role in the development of New York's economy and global competitiveness by meeting emerging workforce needs. Its objective is to develop a workforce that can adapt to state-of-the-art technologies, learn new skills on the job, and find solutions as problems emerge in a changing and highly competitive workplace.

**Sector Goal:** Produce citizens who are knowledgeable about and proficient in the global dimensions of their professions and can communicate in foreign cultures. This may be measured by evidence of international issues integrated into programs to provide academic and cultural exposure to the world in which they will study, work, and live.

**Sector Goal:** Respond to existing shortages in the nursing, pharmaceutical, library science, and other professional workforces.

### ***An Adequate Supply of Qualified Professionals***

- Independent colleges are developing new programs of study in pharmaceutical science, pharmacy management, biomedical technology, clinical trials management, and joint medical-law programs.
- clcu supports a nursing faculty initiative to increase the number of academic nurses and reverse the alarming trend of rejecting qualified nursing applicants.

### ***An Adequate Supply of Qualified Teachers, School Leaders, and other School Professionals***

Objective: Create working partnerships with local school districts to recruit teacher candidates and to provide authentic and challenging field experiences for prospective teachers.

Objective: Offer professional development seminars and workshops for New York's teacher and administrative corps.

Objective: Develop innovative academic programs to prepare school librarians and media specialists, particularly in the schools operating in New York City.

- The independent sector has 2,583 registered traditional teacher education programs at 85 institutions across the State; 11 of them also offer 101 Alternative Teacher Preparation programs, both downstate and upstate.
- Independent colleges and universities have strong articulation agreements with two- and four-year institutions, outlining academic requirements necessary to assure programmatic transition in teacher education.
- New York's emphasis on strengthened liberal arts integration in teacher preparation programs has a strong effect on articulation agreements in the independent sector.
- Independent sector institutions with teacher education programs will continue to work with the State Education Department and the New York City Department of Education to develop avenues to provide an adequate supply of teachers to the New York City schools and will continue efforts to address teacher shortages in hard-to-staff disciplines around the State.

## **E. A Balanced and Flexible Regulatory Environment to Support Excellence**

### ***Encouraging a Highly Effective System***

- The independent sector requests that regulations, where needed, be flexible enough to accommodate diversity in institutions and missions and should include options to

encourage institutions to take advantage of emerging opportunities to serve the people of New York.

- clcu will work with the State Education Department to assist in the development of regulations, where needed, so that they make sense for the non-profit sector and do not present unreasonable academic or financial burdens to institutions.
- An expedited degree approval process would help the colleges in their efforts to anticipate, not just react to, New York's workforce needs.

### ***Funding a Highly Effective System***

Objective: clcu will lend its support to the Regents and the State Education Department as New York debates the critical financial issues facing our State's higher education system, namely increasing the level of financial aid and building a cost-effective non-duplicative infrastructure. Whether higher education leadership is planning for the future, solving a problem, improving a process, resolving conflict, or deciding a course of action, clcu will actively participate in the debate. The state education Department projects that the number of high school graduates will increase until 2009 . . . . New York's higher education system will have to absorb a portion of these 19,000 graduates. The cost to enroll these students in the State University system is over \$11,000 per student today. This would mean nearly \$200 million in additional State taxpayer financing if all these students were to enroll in the public system. A balanced public policy would encourage some of these students to enroll in the independent sector . . . .

Objective: clcu, in partnership with the State Education Department, delivers compelling messages to the State Legislature and the United States Congress. It advocates strongly for programs and policies that benefit students and expand access (e.g., TAP, Direct ["Bundy"] Aid, the Higher Education Opportunity Program, STEP/C-STEP, and Liberty Partnerships). These programs are under constant attack, repeatedly cut in an attempt to balance the State budget. The buying power of TAP has eroded from 60 percent of independent sector weighted average tuition in 1974 to 24 percent in 2003. The Direct Aid program that funds financial aid for the neediest students and supports the operating budgets of some colleges and universities has been underfunded . . . , leaving many to believe the partnership between the independent sector and the State has all but disappeared. The Higher education opportunity Program (HEOP), in its 35 year history, has helped more than 27,000 disadvantaged students graduate. The State program once required 15 cents in institutional support for every \$1 in State funding is now supported by three institutional dollars for every \$1 in State support . . . . The funding imbalance and cumbersome reporting requirements have forced some institutions to drop out of the program and discourage others from participating. It is shortsighted to discourage participation of all citizens, particularly students from modest financial backgrounds, in postsecondary education.

Objective: New York's independent sector proposes that the State invest \$250 million in capital support at its independent colleges and universities. For every \$1 in State support, an eligible college or university must raise \$3. Through this State investment, clcu anticipates its institutions spending \$2 billion during the next five years on capital construction projects.

- The latest Grapevine reports that New York State ranks 42<sup>nd</sup> on higher education spending contributing only \$5.75 per \$1,000 in New York State personal income.
- As the Business Council reported in its "Budget Watch 2003" series, "taxpayers are getting a bargain – in large part because of our system of private and independent colleges (which enroll about 40 percent of New York's higher education students, compared to a national average of 23 percent)." With independent higher education enrolling two-fifths of all students attending college in the State, New York is able to save in excess of \$1 billion in appropriations annually. This explains how New York can educate more than one million students, maintain high quality, and still rank just 42<sup>nd</sup> among the states in funding.
- New York State invests less than \$1,000 per full-time equivalent student at an independent college or university. This amount has been flat since 1995.
- Funding for programs such as the Higher Education Opportunity Program (HEOP), Science and Technology Entry Program (STEP), Collegiate Science and Technology Entry Program (CSTEP), and other opportunity programs has remained stagnant, and should be increased to reflect the success and access potential of these programs.
- clcu advocates increased capital construction funding to help campuses manage the increased student enrollment and growth in costly program areas.

Objective: The independent sector's campuses are developing productive partnerships with institutions, with other educational institutions, business and industry, and government, especially for the purpose of consolidating purchasing power.

- In 2003, clcu established the Member Services program designed to consolidate the buying power of the independent sector and maximize savings for all our member colleges and universities. clcu signed its first agreement with IBM in May 2004 and offers \$400 to \$600 off list pricing on standard IBM laptop and desktop computers. In addition to this program, clcu is negotiating a software and student health insurance program. Where beneficial, clcu uses State contract pricing and encourages its members to do the same. The New York State Office of General Services Procurement Division spoke at clcu's first group purchasing conference in November 2003. Since that time, clcu has employed UPS and AT&T State contract pricing and estimates it will annually save nearly \$9,000 through these programs. . . .

### ***Recommendations by the Independent Sector***

- I. Between 2004 and 2012, the Regents and the Education Department should advance policies that promote and enhance all sectors of higher education in New York State.

More specifically, the Regents should address the following priorities:

- Increase TAP funding so that it will once again cover 60 percent of the weighted average undergraduate tuition of independent institutions.
- Restore Direct Institutional “Bundy” Aid to its statutory level. Currently, the program receives less than one-third of its authorized level per degree conferred.
- Support regular increases in the Higher Education Opportunity Program (HEOP) and other opportunity programs such as the Science and Technology Entry Program (STEP), the Collegiate Science and Technology Entry Program (C-STEP), and the Liberty Partnerships Program that promote underrepresented participation in science, technology, and health professions.
- Support a capital matching program for all colleges and universities.
- Create a nursing faculty scholarship program to address the current shortage of qualified nursing professionals.
- Create a scholarship program for Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) students.
- Secure college and university funding to enhance campus efforts for students with disabilities.
- Expand the State Education Department’s Office of Research and Information Systems (ORIS) to enable the Regents and other higher education advocates to make a compelling case in support of New York State’s higher education system (the ORIS staff has been reduced from 15 employees to five since the early 1990s).
- Support the development of an Internet-accessible portal to disseminate new knowledge and connect New York’s businesses to higher education institutions.
- Support a change in State law to allow non-State organizations, including independent colleges and universities, to receive the guaranteed pricing on service contracts under the New York State Office of General Services procurement program. Currently, non-State organizations using State contract purchasing may receive guaranteed prices on commodity goods only. Service contracts that include technology are not guaranteed.



- II. Advance regulatory action based on outcomes rather than inputs, and encourage voluntary and innovative action by colleges and universities whenever possible.

More specifically, from a regulatory perspective, the Regents should:

- Emphasizing quality outcomes is particularly important in teacher education and school leadership programs. The Regents and the Education Department should encourage and reward programs that are achieving or exceeding State standards through accreditation and an 80 percent pass rate on the State's teacher certification examinations. Removing current mandates on teacher education faculty workloads and the ratio of teacher education courses that must be taught by full-time faculty will recognize quality outcomes and provide flexibility based on performance. This will also help to maximize our higher education system's ability to provide sufficient numbers of trained, high quality teachers and school leaders to address critical State shortages in these disciplines.
- Standards for articulation among the State's colleges and universities, whether within or across sectors or degree levels, should remain the province of the individual institutions involved to preserve academic integrity and institutional autonomy based on diverse programs and missions. At the same time recognizing the independent sector seeks to increase the number of qualified transfer students at its institutions over the next eight years.
- Revitalize HEOP by making it more flexible (in accounting, reporting, and record-keeping) and more streamlined in its application process.

- III. At the federal level, the Regents should urge Congress during debate on the Higher Education Act to:

- Increase the current Pell grant award from \$4,050 to \$11,000 over the next five years and consider additional grant funds for the poorest Pell families (those with negative Expected Family Contributions).
- Make access to a college education the primary focus; protect the effectiveness of Pell grants; and enhance campus-based aid programs under the Leveraging Educational Assistance Program (LEAP) top priorities.
- Expand loan limits to assist students in meeting their college expenses and consider a "line of credit" so that students who graduate in four years have access to the same amount of federal money as those who take five or more years.
- Take a reasonable approach to disclosure and reporting requirements and other regulations.

- Protect institutional autonomy so that the United States can maintain a broadly diverse set of colleges and universities.
- Support the private accreditation process (peer review and self-study) as a means of ensuring and promoting quality.
- Support student privacy rights under the Family Educational Rights and Privacy Act.

### **Proprietary Colleges**

The 41 proprietary colleges are profit making, private entities. Most specialize in the fields of business and commerce. They operate on 50 main and branch campuses. All but 12 are two-year institutions; four offer baccalaureate programs, three offer baccalaureate and graduate programs; three offer only graduate programs. Most of these institutions are members of a corporation called the Association of Proprietary Colleges (APC). The proprietary colleges receive no direct State aid. In the fall of 2004, the proprietary colleges had a total headcount enrollment of 49,750 students. This Plan projects that they will enroll 46,300 students in 2013.

Consolidated Master Plan of the Proprietary Sector. The Association of Proprietary Colleges received copies of the master plan of each institution in the sector, and developed from them a consolidated master plan for the sector. Following brief introductory sections on the sector, on the planning process used, and on an overview of the sector, the plan focuses on the 13 priorities for the Statewide Plan. The consolidated plan identifies initiatives from the proprietary colleges and concludes with five recommendations to the Regents, the Governor, and the Legislature.

#### *Statewide Plan Priorities*

##### A. Maximizing Success for all Higher Education Students

###### ***High Educational Quality.***

- A perception that emerges clearly from the institution plans within the sector is that high education quality is in large part a direct function of high institutional quality. The tools nearly universally used within the sector for pursuing ever-increasing institutional quality include ongoing and frequent review of academic programs, ongoing evaluation of institutional effectiveness, ongoing planning, keeping abreast of changing knowledge and technology through the use of outside advisory groups as well as faculty and management personnel, and constant attention to faculty quality through such devices as faculty teaching portfolios, professional development activities, and tuition reimbursement plans.

- Student-related initiatives reported by proprietary colleges include arranging internships, offering a wide range of student services, creating on-line offerings, and aggressive student advisement.

### ***Articulation.***

- Proprietary colleges view articulation with the offerings of other colleges from two perspectives, depending in part on the level of their own offerings. One institution offering both baccalaureate and master's degrees concentrates on pursuing articulation agreements with SUNY and CUNY community colleges to facilitate movement of students to the institution with minimal loss of credit and time. Its admissions counselors do significant outreach with students, informing them about things that will facilitate a successful move to a higher degree program. The goal of one baccalaureate institution with respect to articulation is to have agreements with all community colleges in the State. Another has 34 such agreements. Two others have or are pursuing articulation agreements with M.B.A.-granting institutions.
- Nearly all associate degree institutions in the sector have or are seeking articulation agreements with four-year colleges. Some offer transfer counseling to students considering pursuit of a baccalaureate. At least one maintains a "transfer resource room" where students can research information on four-year institutions.
- The most common concern of proprietary colleges accredited by agencies other than Middle States is that many institutions in the other sectors do not recognize credit from institutions that do not have regional accreditation, despite State Education Department urging to the contrary. To deal with that problem, several two-year colleges are developing courses and reviewing existing courses to meet local public four-year colleges' requirements. A proprietary baccalaureate and master's-level institution, with many articulation agreements with two-year colleges, has observed a local community college redesign its fine arts curriculum to coincide with the requirements of the proprietary institution.

### ***Affordability.***

- Access at an affordable cost is a major objective of proprietary institutions. With many students coming from lower and middle income families, the availability and adequacy of federal and State student financial assistance, together with scholarship aid, are key factors affecting access. However, three other strategies are crucial in the sector:
  - One is to maintain student charges at the lowest level consistent with institutional viability.
  - A second is to offer education and related services that place graduates in jobs paying enough so that student loans can be repaid in a timely way.
  - The third is to make available institutional financial assistance.

The first two strategies are universal. The third varies.

- The levels and variety of institutional financial aid made available by proprietary institutions is impressive: \$12 million by one institution during 2002-03; \$2.5 million in scholarships and \$400,000+ in student wages by another; 2.8 percent of tuition revenue by a third; a program of one \$1,000 per year merit scholarship at each high school in another college's catchment area; a policy at several institutions of not increasing tuition for continuously enrolled students; institutional scholarships for veterans and active duty military personnel; automatic scholarships for students in the top 25 percent of their high school graduating class; and consideration of student community involvement in awarding aid. Other techniques reported are zero to moderate annual tuition increases; encouraging employer-sponsored tuition reimbursement plans; encouraging high schools to offer programs for which college credit can be given, thus reducing the student's time in college; programs of pre-enrollment financial advice and financial assistance information; and creation of non-profit foundations to raise scholarship funds.

### ***Closing Performance Gaps.***

- Most of the techniques to close performance gaps are understood and used by most colleges. Of particular interest is the extent to which they have created mechanisms for identifying the recipients of those techniques and for overseeing, integrating, coordinating and applying them. Techniques reported include such structural arrangements as creating a Retention Committee of institution staff; designating a Student Services Coordinator; creating an Office of Campus Life; having a "diversity expert" on staff; and designating an Enrollment Management Committee.
- Programmatic approaches reported include developing a Student Success Pilot Program and creating a Student Success Management Plan. Techniques used by colleges with formal structural and/or articulated programmatic approaches include new student orientation, assignment of academic advisors to new students, new faculty orientation, faculty development, mandatory first-year classes in study techniques and resources, tutorial assistance, remedial courses and programs, monitoring student attendance, student services and organizations, and techniques to identify students in difficulty. Other widely used techniques include maximizing scheduling effectiveness to increase student satisfaction and persistence, matching students to programs, use of the Noel-Levitz Retention Management System, scheduled times for one-on-one faculty assistance for students experiencing academic difficulty, English as a second language programs, significant use of minority faculty, bilingual tutoring, extensive use of computerized "learning centers," small class size, on-line tutoring, and regular meetings of each student with campus directors and deans.
- Since 2001, the Association of Proprietary Colleges (APC) has been the recipient of GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs) grants to help at-risk youths, beginning in the eighth grade, to get ready for college.

It has developed workshops targeting parents, teachers, and guidance counselors, as well as students. Activities also have included career fairs, financial aid information sessions, admissions conferences, campus visits, computer camps, and remedial math and English classes. APC expects the program to continue at least until 2005, when the original cohort of eighth graders will be applying for college admission.

### ***Students with Disabilities.***

- Most colleges use a variety of initiatives to assist students with disabilities that go well beyond reasonable accommodation. They range from encouraging students to disclose known disabilities to facilitate maximum institutional support, through employment of learning disabilities specialists, faculty and staff training that addresses common perceptions and misperceptions about individuals with disabilities, training faculty to identify learning disabilities, encouraging faculty to bring to the attention of a dean or other designated staff member any student who appears to have a disability, outreach programs for high school students with disabilities, peer mentoring, special tutoring, the use of study aides, school-supervised internships, to such structural arrangements as designation of a Disabled Student Coordinator, formation of an internal Committee on Disabilities, provision of Learning Centers, and working closely with VESID. Every college provides equipment to accommodate physical disabilities and special materials, equipment, and software needed by students with disabilities; and assures accessibility to the campus.

### B. Smooth Student Transition from PreK-12 to Higher Education

***Preparation for College.*** The Plan combined this with the next priority.

#### ***Information and Assistance in Preparing for College.***

- Initiatives include pre-enrollment activities and some significant post-enrollment efforts. The former include literacy programs in local elementary schools, presentations at high schools about career fields, previews of the college experience, arranging high school pupils' visits to the college campus, providing newspapers to local high schools for current events sessions, entering into articulation arrangements with high schools, assisting high school staff with curriculum development, encouraging high schools to offer Advanced Placement tests, offering courses to high school pupils for college credit, arranging student-counselor meetings pre-admission, and offering a summer "bridge program" for students with uneven college preparation, including instruction in English and math, orientation to campus resources, and study skills workshops. Post-admission techniques include required "college success skills" courses, regular meetings with advisors, faculty "open door" policies, placement examinations, early remedial courses in college, and designation of a "student success coordinator."

C. Meeting New York's Needs through Graduate Programs and through Research

**Strong Graduate Programs to Meet the State's Needs.** Because only three institutions in the sector offer post-baccalaureate programs, the sector plan did not address this priority.

***Creation of New Knowledge through Research***

- Although no institution professes to have a research component, several rely on external industry professionals to assist them to keep current on advances in their fields that affect the curricula of supplying the new people whose collegiate training is state of the art. One institution offering only post-baccalaureate courses in management requires all students to conduct applied research in areas they are likely to encounter in the workplace. Most institutions regularly canvass employers to determine what course revisions or new courses may be needed to meet workplace needs and what skills are most lacking in the business community.

D. Qualified Professionals for Every Community throughout the State

***An Adequate Supply of Qualified Professionals.***

- Few proprietary colleges offer programs leading to professional licensure. Exceptions are in court reporting and accounting. One institution that offers a degree in court reporting is moving strongly into the areas of captioning and communication access real-time translation (CART).

***An Adequate Supply of Qualified Teachers, School Leaders, and other School Professionals.***

- Only two proprietary institutions (Five Towns College and the School of Visual Arts) offer programs leading to teacher certification; one is giving consideration to moving in that direction within the period of this Plan.

E. A Balanced and Flexible Regulatory Environment to Support Excellence

***Encouraging a Highly Effective System.***

- The sector's universal commitment to self-study is consistent with the objectives of the regulatory environment over which the Regents preside. The sector has consistently advocated even-handed but firm insistence by regulators on adherence by each institution to the standards expected of all higher education institutions in the State. That approach must not be compromised by budgetary constraints, the rapid growth of new institutions, distance learning initiatives, and the growing proliferation of extension centers and sites. The Association of Proprietary Colleges repeats its willingness to assist the Department in reviewing institutions and programs in the sector.

### ***Funding a Highly Effective System.***

- Proprietary colleges are unique in New York's higher education community in receiving no governmental financial assistance. That means that their students must be especially reliant on student financial aid, with TAP constituting the major source. The sector believes that TAP should be viewed as a highly productive investment of State funds in the future of citizens as workers and taxpayers. Apart from student financial assistance, the sector believes that adequate financial support of the State Education Department's role in monitoring the quality of New York's higher education offerings is likewise an investment that will yield valuable dividends. Substantive areas deserving careful State funding attention include students with disabilities and students for whom English is a second language.

### ***Priorities of the Proprietary Colleges***

- The single most often expressed objective is the nurturing of an academic community that appreciates diversity and the provision of additional programs and activities geared to students from diverse backgrounds. One college has been ranked 17<sup>th</sup> in the nation in awarding associate degrees to minority students.
- A close second is increasing articulation arrangements both with high schools and with other higher education institutions.
- In the areas of institutional self-evaluation and planning, many colleges plan enhanced and more aggressive activities. Many look toward and plan for enrollment growth, with a need for improved and additional plant and equipment, including increased library, learning center, and computer laboratory space and equipment.
- In the academic area, many colleges plan to expand curricula significantly, including offering graduate programs in at least one case at the doctoral level. One college is looking toward such emerging fields as sports marketing, network/wireless security, medical insurance coding and billing, and homeland security. A number of colleges are looking at moving to the next degree level or to seek regional accreditation. Others seek to integrate distance education with traditional teaching modes.

### ***Recommendations by the Proprietary Sector***

- The Regents should encourage all institutions in the other three sectors of higher education to have articulation arrangements that recognize transfer credit fairly and in the best interests of the student.
- The Legislature and the Governor should maintain and, when fiscally feasible, enhance the level of TAP aid.
- The Legislature and the Governor should provide for the timely release of TAP aid to institutions.

- The Department should standardize quantitative outcomes measurements for all institutions in all sectors.
- The Legislature and the Governor should consistently provide the State Education Department with sufficient resources to ensure an effective regulatory presence in higher education.

### **State University of New York (SUNY)**

Created in 1948, SUNY has 64 campuses across the State. Thirty-four are fully State-operated; 13 of them offer study through the doctorate level (including four comprehensive universities); 14 offer undergraduate and master's degree study; seven offer programs to the baccalaureate level. The other 30 are community colleges, sponsored by local governments (usually counties) under SUNY's supervision. One community college offers baccalaureate and master's degree programs; the other 29 are two-year colleges. In the fall of 2004, SUNY had a total headcount enrollment of 413,218 students, with 204,205 students at state-operated campuses and 209,013 at community colleges. This Plan projects that SUNY's State-operated and community colleges will enroll 432,267 students in 2013. In its plan, SUNY expects total headcount enrollment to reach approximately 435,000 students in 2008-09; its enrollment projection does not extend to 2013.

A 16-member Board of Trustees governs SUNY. The Governor appoints 15 members, with the consent of the Senate, and the student body chooses one student. SUNY's State-operated campuses derive almost 40 percent of their income from direct State appropriations; the balance is from tuition and fees, federal funds, and other sources. Its community colleges are funded under a system that shares expenditures among the State, the local government sponsor, and tuition and fees. Under that system, they derive almost 30 percent of their operating income from direct State appropriations. Normally, State aid may not exceed about 40 percent of operating income and tuition revenue may not exceed one-third of operating income; the local sponsor provides the remainder. Each community college has its own nine-member board of trustees. The local sponsor appoints five members and the Governor, four.

Mission of SUNY. SUNY's mission is set in §351 of the Education Law:

**§ 351. State university mission.** The mission of the state university system shall be to provide to the people of New York educational services of the highest quality, with the broadest possible access, fully representative of all segments of the population in a complete range of academic, professional and vocational postsecondary programs including such additional activities in pursuit of these objectives as are necessary or customary. These services and activities shall be offered through a geographically distributed comprehensive system of diverse campuses which shall have differentiated and designated missions designed to provide a comprehensive program of higher education, to meet the needs of both traditional and non-traditional students and to



address local, regional and state goals. In fulfilling this mission, the state university shall exercise care to develop and maintain a balance of its human and physical resources that:

- a. recognizes the fundamental role of its responsibilities in undergraduate education and provides a full range of graduate and professional education that reflects the opportunity for individual choice and the needs of society;
- b. establishes tuition which most effectively promotes the university's access goals;
- c. encourages and facilitates basic and applied research for the purpose of the creation and dissemination of knowledge vital for continued human, scientific, technological and economic advancement;
- d. strengthens its educational and research programs in the health sciences through the provision of high quality general comprehensive and specialty health care, broadly accessible at reasonable cost, in its hospitals, clinics and related programs and through networks and joint and cooperative relationships with other health care providers and institutions, including those on a regional basis;
- e. shares the expertise of the state university with the business, agricultural, governmental, labor and nonprofit sectors of the state through a program of public service for the purpose of enhancing the well-being of the people of the state of New York and in protecting our environmental and marine resources;
- f. promotes appropriate program articulation between its state-operated institutions and its community colleges as well as encourages regional networks and cooperative relationships with other educational and cultural institutions for the purpose of better fulfilling its mission of education, research and service.

SUNY Master Plan. §354 of the Education Law governs the development of SUNY's master plan. It requires that the plan include:

- a. plans for new curricula;
- b. plans for new facilities;
- c. plans for changes in policies with respect to student admissions;
- d. projected student enrollments;
- e. comments on its relationship to other colleges and universities, public, independent and proprietary, within the State; and
- f. for informational purposes only, projection standards and overall expenditure projections of capital and operating costs.

## **I. SUNY's Strategic Planning Efforts – A Commitment to Excellence**

SUNY has begun an on-going strategic planning process that will set goals for the system to move it to the forefront of higher education and give each campus a framework to specify how it can contribute to them. The current draft goals of this process include:

- access and success for students;
- academic programs that are recognized for quality, accredited, and responsive to local, State, and national needs, including enhancement of international activities;
- increasing numbers of outstanding faculty to carry out teaching, research, and service;
- state-of-the-art technology, infrastructure, and facilities to support mission;
- a sufficient and growing resource base to support excellence;
- administrative effectiveness to ensure efficiency, productivity, and quality;
- optimal system-ness while ensuring campus distinctiveness and excellence;
- strong partnerships with business and industry, communities, and the State;
- accountability to stakeholders; and
- State, national, and international reputation for excellence.

This master plan generally addresses these goals as part of this strategic planning process.

## **II. Mission Review II (2005-2010): Building an Expectation of Excellence**

Since 1998, Mission Review (SUNY's academic strategic planning process) has included all SUNY institutions, both individually and as part of geographic regions and campus type groups. With its second cycle launched in February 2004, Mission Review attempts to:

- ensure the highest level of academic quality across SUNY;
- focus on the fundamental aspects of campus missions;
- encourage campuses to think strategically about their roles within SUNY, New York State, and the nation;
- enhance campus distinctiveness and differentiation;
- enhance the reputation of each campus relative to regional and national peers;
- increase opportunities for and support of inter-campus cooperation; and
- identify goals and benchmarks to monitor success.

Mission Review's theme will continue to be academic quality. In collaboration between campuses and the System Administration, Mission Review II (2005-2010) will continue to focus on institutional improvement and accountability and to emphasize campus-based planning. It will pay greater attention than the first cycle to the physical facilities, resource, and infrastructure implications of campus plans. Efforts to measure student

outcomes will be of central importance. An explicit goal will be to measure SUNY's economic impact, as a whole, by sector and region, and at each constituent campus, so that its power as an economic engine is fully demonstrated.

Within the context of Mission Review II, SUNY will undertake:

A. Plans for Strengthening the Quality and Diversity of the Student Body

SUNY will continue to seek to attract and educate a stronger, more diverse student body. Explicit campus-driven selectivity goals, informed by State and national peer comparison data, will be updated in Mission Review II.

*SUNY Enrollment.* Projections for 2008-09 are for 182,842 annual average full-time equivalent (AAFTE) students at State-operated campuses (a 7.5 percent increase over 2004-05) and 170,421 full-time equivalent (FTE) students at community colleges (a 5.5 percent increase over 2004-05), for a total of 353,263 FTE students (a 6.5 percent increase over planned enrollment for 2004-05 and a 16.4 percent increase over 2000-01). With a current total headcount of about 410,000 students, enrollment has grown by more than 35,000 since 2000-01. SUNY expects total headcount to reach some 435,000 students in 2008-09, roughly 25,000 more than are now enrolled.

*Access and Opportunity.* SUNY will give particular attention to:

- building on existing programs that ensure access;
- expanding efforts to reach and support populations under-represented in higher education;
- supporting early intervention initiatives, in collaboration with middle and secondary schools, that seek to increase student preparedness;
- increasing diversity among graduates in fields of State needs (e.g., teaching);
- increasing access to and support for graduate level study;
- developing greater levels of diversity among faculty, staff, and students, particularly in positions affecting governance and policy; and
- identifying factors that support or diminish successful student outcomes among various populations and promoting greater levels of success in all sectors of SUNY.

B. Plans for Strengthening the Quality, Diversity, and Reputation of Faculty

SUNY will continue to attract, engage, and support a diverse faculty of leading teachers and scholars, while advancing the frontiers of knowledge and practice appropriate to each SUNY campus type. Its campuses will remain places where leading faculty can create outstanding programs of instruction and research and serve effectively. Mission Review II will see greater emphasis on faculty development, including recruitment and retention plans (consistent with academic program development plans), strengthening promotion and tenure processes, and ensuring that the work of the faculty is supported and recognized appropriately. Campus goals for faculty teaching, research, and scholarship productivity will be set in the context of national peer performance; plans to

support those goals with adequate infrastructure, resources, and facilities also will be discussed. Implications for SUNY policy will emerge during the dialogue with campuses; there will be broader participation from System Administration during Mission Review II to explore such implications.

During Mission Review's first cycle a system-wide goal was set to reach \$ 1 billion in externally sponsored research activity per year. Mission Review II will articulate a new goal, consistent with campus missions and aggregate plans, to increase research and other sponsored activity beyond the \$ 1 billion mark.

### C. Plans for Strengthening the Quality and Reputation of Academic Programs

During Mission Review II campuses will be encouraged, once again, to focus on their strengths and sharpen and build on institutional differentiation in setting academic program direction, including development of new programs, revision of existing programs, and elimination of outdated/moribund programs. At the same time, the SUNY program review policies and procedures, focusing on mission, market, and quality, will continue to provide ways to monitor and prevent unwarranted duplication of programs and to maintain each campus' distinctive academic mission. Changes to the SUNY graduate program proposal review process, including new guidelines, are planned for introduction in 2004-05. To strengthen the reputation of individual campuses and SUNY as a whole, SUNY also plans to continue to increase the number of programs that are nationally recognized and, where appropriate, ensure that programs are nationally accredited.

Academic programs are being launched or strengthened in conjunction with the research activity at the Centers of Excellence in bioinformatics at SUNY Buffalo, nanotechnology at Albany, and wireless communication at Stony Brook.

While campuses update curricula to meet changing demographics, Mission Review II will include focused discussion of campus academic plans and priorities for addressing the State's aging population, consistent with SUNY's participation in Project 2015 (a Gubernatorial initiative to meet the needs of an aging New York). In particular, it will explore plans for relevant new or expanded programs and to use technology-mediated learning.

*General Education.* During Mission Review II, SUNY will explore with campuses the results of Campus-based Assessments of General Education, with attention on how they use assessment results to improve programs student learning.

*Teacher Education.* The plan notes that SUNY's 2001 teacher education reform initiative, *A New Vision in Teacher Education*, set the following goals:

- to improve the preparation of new teachers;
- to address New York State's needs for K-12 schools; and
- to assure continuing excellence and improvement of teacher preparation.

*New Vision* has:

- fostered development of a universal transfer template in teacher education that has been adopted by 33 associate-degree campuses and 12 baccalaureate campuses;
- resulted in the establishment of SUNY's Urban Teacher Education Center in New York City; and
- supported a number of campus developments, including the Alternative Teacher Preparation program at Empire State College.

The initiatives begun through *New Vision* will continue. In addition, many of the initiatives proposed in other sections of this chapter of the plan apply to teacher education programs equally with other programs of study.

*Academic Technology.* System Administration will continue to work with campuses to strengthen technology-based learning environments, including online course delivery, and ensure that SUNY faculty have access to the full range of tools and practices to achieve excellence in teaching and learning. SUNY also will work to promote the potential that online learning holds for inter-campus academic collaboration in developing degrees and programs, in teaching, and in research, which it is just beginning to explore. SUNY seeks to identify where System Administration's role can most add value and quality and support campus efforts without unnecessarily duplicating infrastructure. A shared commitment to academic technology is a key component of each institution's Mission Review Memorandum of Understanding (MOU); Mission Review II will explore future plans and goals to be described in updated MOUs.

*Libraries.* During Mission Review's first cycle, campuses made commitments to participate in *SUNYConnect*, electronically linking all SUNY libraries. By 2005, all campuses will be operating the common library management system, giving every student and faculty member on every campus full access to SUNY's entire holdings (over 18 million volumes). In Mission Review II, SUNY will explore opportunities to enhance library resources further and to generate additional long-term cost savings through such mechanisms as unified subscriptions to electronic databases and regional storage facilities.

*Assessment of Student Learning Outcomes.* In Mission Review II, campuses will describe how they use assessment results to improve program quality, teaching effectiveness, and student learning, and will share their plans.

*New Programs of Study.* In an appendix, the plan identifies 311 programs of study tentatively planned for introduction, 2004 – 2008, by 50 State-operated campuses and community colleges.

#### D. Plans for Enhancing Student Outcomes/Success

Successful student outcomes depend on several factors, including the quality of instruction, students, and faculty and the quality and availability of student support services and co-curricular activities. During Mission Review II, SUNY will seek to better understand the relationship between these factors and student success at each campus and to facilitate sharing of good practices. National and system-wide surveys may be useful in elucidating this relationship. System Administration will work with campuses to measure, track, and benchmark postgraduate success and identify good practices.

*Retention and Graduation.* SUNY views retention and graduation as important indicators of academic quality. During the first cycle of Mission Review, campuses set three- and five-year retention and graduation rate goals. In Mission Review II, campuses will update goals and reaffirm commitments to enhance student success; SUNY will continue to benchmark student outcome data, including retention and graduation rates, against appropriate peer institutions. SUNY will continue to seek adequate levels of financial support from federal, State, local, and private sources so that students can stay in school and graduate in a timely manner, consistent with individual educational goals. Mission Review II will pay attention to ethnic, geographic (in-state, out-of-state, international), economic, age, gender, and disability status of students. Mission Review II also will see more focused attention on students' economic diversity.

*Transfer and Articulation.* SUNY continues to encourage the best possible communication between associate and baccalaureate institutions, with strong articulation and seamless transfer the desired outcome. Many campuses have worked particularly hard over the last two or three years to strengthen articulation agreements and communication with other SUNY campuses. SUNY seeks to enhance campus-to-campus relationships further and to ensure that students wishing to transfer receive excellent advisement and are well prepared for academic work at the receiving institution.

#### E. Plans for Ensuring Technology Infrastructure Supports Academic Quality

During Mission Review II, SUNY will give added attention to plans to ensure robust technology infrastructure and explore opportunities to expand collaborative activity.

#### F. Plans for Ensuring Facilities Support Academic Quality

Mission Review II will emphasize both short- and long-term plans to ensure that SUNY's facilities support academic quality and enhance prospects for favorable student experiences. SUNY will seek consistency between academic plans and priorities and facilities planning. In addition to academic, clinical, and residential facilities, plans will be discussed to develop and equip research facilities essential to attracting federal funding; as these areas are explored, implications will emerge for SUNY policy and procedures that put it in the strongest position possible to attract competitive funding.

G. Plans for Administrative Structure and Resource Support to Ensure Academic Quality

SUNY is committed to distributing its resources efficiently and effectively, ensuring its resource allocation is closely linked to and supportive of campus mission, with appropriate performance measures defined and applied. SUNY's budget allocation process is currently under review to determine how best to support the University's academic priorities. SUNY is committed to developing a resource allocation model that encourages excellence and rewards quality.

A goal of Mission Review II will be to ensure that timely and accurate institutional data are available to support decision-making, at both the campus and system level.

H. Contributions to Community Ensuring a Vibrant Environment to Support Academic Quality

As an outgrowth of SUNY's commitment to service, all campuses endeavor to build strong and productive partnerships with their communities, to the benefit of students, faculty, and programs. SUNY campuses make significant contributions to the communities they serve — as cultural centers where art, theater, athletic and other such activities occur regularly; as educational centers where credit and noncredit instruction, and continuing education is offered; and in public service, where faculty, staff, and students share knowledge and expertise.

In Mission Review II, SUNY will expand the description of these activities and, to the extent that service and other contributions can be quantified, for example by describing the economic impact of the campus and/or system, SUNY will capture the data and clearly demonstrate the value of such contributions.

I. SUNY and Higher Education in New York – The Larger Context

Coordinated inter-institutional activities have long had a place in SUNY; it seeks opportunities to expand them. Mission Review II will explore such opportunities further.

Mission Review II and the strategic planning process will address the initiatives identified above, campus by campus, and will hold campuses accountable to meet their targeted goals. SUNY expects that Mission Review II Memoranda of Understanding will be completed and signed by the end of 2005. SUNY will be asked to include an update on Mission Review II in its 2006 progress report on this Plan.

### **III. Service to Local Regions, the State, and the Nation**

This chapter addresses research; business, industry, and economic support; community college workforce development; and charter schools. It includes current information and reviews the services of the New York State Small Business Development Center and of the Strategic Partnership for Industrial Resurgence developed by SUNY's schools of

engineering. During Mission Review II SUNY will set a new five-year goal for total sponsored activity based on campus-specific goals found in MOUs. To ensure campus success in reaching research goals, SUNY will continue to provide support for research.

#### **IV. A Stronger Financial Foundation for the State University – Providing and Managing the Resources to Support Excellence**

##### **A. Securing SUNY's Financial Future**

In recent years, SUNY has made gains in attracting revenues from sponsored research and philanthropy. Accordingly, a key element of SUNY's plans will be to strengthen efforts to secure additional funding from these and all other sources.

##### **B. Linking Budgets to Campus Mission and Performance**

Since 1997-98, SUNY has used an allocation of operating budget support model that allows campuses to retain the tuition revenue they generate and that allocates State support according to a formula that recognizes enrollment, program costs, faculty workload among discipline groups, sponsored research, campus missions, and other factors. When the model was implemented, SUNY expected that discrete, additional funding would be distributed to campuses in recognition of academic performance. No additional funding was forthcoming. The model has been used for six years. During this time, SUNY has experienced periods when resources were made available to fund the formula fully, periods when no new funding was available to fund growing budgets, and a period when tuition was increased to offset reduced State support. This experience has prompted SUNY to review the budget allocation process and identify ways to revise it to reflect emerging fiscal realities more appropriately and tie funding levels more directly to campus missions and performance. This effort will be linked closely to the Mission Review II process being undertaken over the same period.

##### **C. Improving Administrative Systems**

In 2002, SUNY initiated a five-year effort to transition system-wide administrative computer systems to modern technology in support of campus business requirements and to take advantage of the efficiencies inherent in such a common effort. The project's objectives included standardization of business processes, data terminology, and technology while meeting the local needs of the campuses; streamlining of business functions; greater reliance on electronic versus paper processes; greater functionality for campus user departments; improved reporting and access to information; enhanced security of systems and information; and less expensive and easier maintenance of systems. This initiative will be complete in 2007.

##### **D. Strengthening Hospital Finances and Operations**

In 2003-04, the Governor the Legislature enacted capital financing authorizations totaling \$350 million to enable SUNY's three hospitals to upgrade and expand their



facilities and infrastructure. These initiatives will be implemented over the 2004-05 through 2009-10 period and will enable the hospitals to meet new service needs and maintain economic viability.

E. Managing Energy Consumption and Cost Effectively

Over the next five years, SUNY will improve and expand its electricity and natural gas procurement efforts to provide campuses reliable energy supplies at the lowest cost.

F. Enhancing Residence Halls

Over the next five years, SUNY will continue implementation of its 2004 through 2008 capital plan for residence halls. It consists of \$338.7 million in new construction and improvements, of which \$227 million will be funded with bond proceeds. Among the priorities for this and the subsequent five-year capital planning periods will be upgrading fire safety systems at existing residence halls in accordance with the Governor's Task Force on Campus Fire Safety's recommendations and requirements. They require all newly constructed residential facilities to be equipped with a fire sprinkler system protecting all areas of the building, as well as a completely integrated fire/smoke detection and alarm system, and that existing residential facilities be equipped with completely integrated fire/smoke detection and alarm systems by the summer of 2010.

G. Strengthening Campus-Related Entities

SUNY will monitor the strength and operations of these entities to ensure their continued alignment with, and support of campus and system mission and direction.

H. Historical Financial Results

This section refers to SUNY's Annual Financial Report (2003) and does not identify specific initiatives to be taken during the period of the Master Plan.

## **V. State University of New York Capital Facilities and Capital Plan**

This chapter provides a summary of the current SUNY Five-Year Capital Plan; two related appendices, one for the community colleges and another for the state-operated campuses, provide campus-specific detail.

As SUNY capitalizes on investments made to date and embarks on new multi-year programs for funding projects to improve facilities, the demands of the University's aging infrastructure require a continued policy emphasis on critical maintenance.

The capital program for SUNY's hospitals (\$350 million) for fiscal year 2003-04 through 2007-08 supports initiatives contained in the University hospitals' five-year strategic plans to ensure continuation of core education, research, and patient care missions, including capital projects for basic facility modernization, utility upgrades, technology

advancements and redesign of service delivery configurations to meet evolving quality requirements. Examples of major capital initiatives include construction of a new facility to house the Cancer Treatment and Cardiology Surgical Units of the Downstate Medical Center at Brooklyn; major modernization of hospital facilities at Stony Brook, with renovations to support expanded Neonatal Care, and Labor and Delivery operations; and the vertical expansion of the main hospital building of the Upstate Medical Center in Syracuse by nearly 25 percent.

The Community College capital plan (\$420 million) will be allocated to campuses on the basis of student enrollment, measured by Annual Average Full Time Equivalents (AAFTE). More than half of the campus-identified outstanding needs are critical maintenance in nature. Student AAFTE and corresponding campus allocations are detailed in an appendix. While the multi-year community college capital plan continues the pace of progress established in 1998, SUNY continues to survey its community colleges and examine additional capital investment needs and opportunities in support of the University's long-term goals.

SUNY's multi-year capital plan for its State-operated campuses (\$1.8 billion) focuses on critical maintenance, with more than 80 percent of new State funding allocated for this purpose. Plans for campus-specific critical maintenance funding allocations reflect the gross square footage (GSF) of academic space at each campus. Campus GSF figures and corresponding funding allocations are detailed in an appendix.

All projects, including critical maintenance, are targeted to the highest priority campus requirements. Specific project examples include \$15 million for a new biotechnology building at the College of Environmental Science and Forestry, \$5.5 million to rehabilitate the power plant at the University at Albany, \$25 million to replace Martha Van Rensselaer Hall at Cornell, and nearly \$5.5 million to rehabilitate the utility tunnel at the University at Buffalo.

## **VI. Task Force on Efficiency and Effectiveness – Findings and Recommendations**

In 2003, SUNY's Board of Trustees charged the Task Force on Efficiency and Effectiveness with determining how well the System had responded to the reforms recommended in *Rethinking SUNY* (1995). The yearlong study culminated in a report of findings and recommendations to the Board in January 2004.

In order to accommodate demographic trends and the increasing demand for a SUNY education in an efficient and effective way, the Task Force recommended that closer attention be given to long-range strategic planning. SUNY has created a chief of staff/vice chancellor position to lead system-wide strategic planning now underway (as described in Part I, *SUNY's Strategic Planning Efforts – A Commitment to Excellence*).

The Task Force conducted a preliminary survey of best practices on SUNY campuses that yielded more than 130 innovative, cost-effective programs, producing over \$7.5 million in annual savings. Best practices across the system are being made available via a continuously updated directory and website.

To further enhance recognition of SUNY and its potential to serve New York State, the Task Force recommended development of a system-wide faculty and staff database (now underway) and completion of a SUNY-wide economic impact study, which is a major component of Mission Review II.

While the Task Force concluded that SUNY has made excellent progress in the area of efficiency and effectiveness since *Rethinking SUNY* began in 1995, SUNY will continue to strive to enhance its performance.

## COLLEGE AND UNIVERSITY ENROLLMENT PROJECTIONS

These projections assume that institutions, sectors, the Regents, and other participants in higher education in New York take no steps that would change them.

### Findings.

- The projections of New York State high school graduates show increased graduates until 2009. However, full-time undergraduate enrollments increase until 2012.
- In most years, there was a projected year-to-year increase of both part-time and full-time undergraduates in every sector (Table B1).
- Except for part-time graduate students at SUNY, an increase in graduate students is projected in every sector (Table B2).
- Full-time undergraduate enrollment will grow fastest at SUNY. The independent sector will have the second fastest growth, followed by proprietary institutions and CUNY (Table B2).

**Table B1**

**Projected Total Enrollment Growth by Sector  
(Not Full-Time Equivalents), 2003- 2013**

Sector	2003	2013	Change 2003 to 2013	% Change 2003 to 2013
State University of New York	409,886	432,267	23,381	5.5%
The City University of New York	212,711	216,607	3,896	1.8%
Independent Institutions	443,398	460,291	16,893	3.8%
Proprietary Colleges	46,394	46,300	-94	-0.2%
<b>Statewide Total</b>	<b>1,112,389</b>	<b>1,155,465</b>	<b>43,076</b>	<b>3.9%</b>

Source: NYSED, Office of Research and Information Systems, 2004.

**Table B2**

**Statewide Projected Percentage Changes in Enrollment, 2003-2013**

Sector	Full-Time Undergraduate	Part-Time Undergraduate	Full-Time Graduate	Part-Time Graduate
State University of New York	10.7%	0.1%	3.3%	<b>-0.3%</b>
The City University of New York	4.9%	2.7%	1.9%	2.0%
Independent Institutions	8.1%	0.6%	2.9%	2.1%
Proprietary Colleges	5.7%	1.7%	1.9%	1.0%
<b>Statewide Total</b>	<b>8.4%</b>	<b>1.0%</b>	<b>2.9%</b>	<b>1.6%</b>

Source: NYSED, Office of Research and Information Systems, 2003.

**Table B3**

**Projected Percent Change in Enrollment by Regents Region, 2003 – 2013**

Regents Region	Full-Time Undergraduate	Part-Time Undergraduate	Full-Time Graduate	Part-Time Graduates
Western	3.3%	-4.3%	2.2%	-2.8%
Genesee Valley	3.6%	-2.3%	3.0%	-0.7%
Central	7.5%	-2.8%	3.0%	-1.4%
Northern	-0.4%	1.1%	5.2%	1.3%
Northeast	6.2%	-2.2%	3.2%	2.3%
Mid-Hudson	14.8%	3.5%	4.3%	4.6%
New York City	6.7%	2.5%	2.4%	2.4%
Long Island	20.5%	3.1%	4.4%	1.5%
<b>Statewide</b>	8.2%	1.0%	2.9%	1.6%

Source: NYSED, Office of Research and Information Systems, 2003.

Conclusions

- Overall, undergraduate and graduate enrollment will grow until 2012, statewide. After 2012, enrollments will decline slightly (Figure B1).
- Institutions drawing full-time undergraduates substantially from three downstate regions (Mid-Hudson, Long Island, and New York City) will have the fastest growth in full-time undergraduate enrollment. These three regions will account for 78 percent of the projected growth in total enrollments, yet they have only 68 percent of the total State population (New York State Statistical Year Book, 2001). This results from projected different rates of population growth by region (Tables B1 and B3 and Figure B1). As a result of the projected growth patterns, all the upstate regions will see their share of the higher education market drop, or grow at a much slower rate than downstate regions. The upstate regions are not necessarily losing population; their population growth may be slower than the three downstate regions' growth.
- Changes in enrollment are not constant across sectors, types of students, and regions of enrollment. (Tables B1, B2, and B3). The growth rate of part-time graduate students enrolled in the Western region will decline by 2.8 percentage points, while full-time undergraduate enrollment in the region will grow by 3.3 percent.

Assumptions and Caveats. This model highlights the effects of general demographic changes on future enrollment at colleges and universities. Such variables as participation rates, survival rates, and market shares of individual colleges and universities were held constant for the projection period. No attempt was made to assess and incorporate the effects of possible changes in economic conditions, student aid funding, institutional fiscal resources, admissions policies, cultural or socioeconomic changes in the population, or other factors. Since these variables were held constant, the model does not predict significant shifts in sector or institutional market shares.

The model does not address certain shifts in population characteristics/elements. For example, while members of minority groups constitute an increasing share of the State's population, at present we are not able to identify specific changes in minority enrollment in colleges and universities. Fundamental demographic shifts of this nature may be addressed at a later time. The model does address the nature of overall changes in the number and distribution of prospective students in the State. For example, we can identify in some detail the consequences of relatively greater population growth downstate. It means that the Mid-Hudson, New York City, and Long Island regions will contribute more of the population enrolled in colleges and universities than they have in the past (Table B4). For example, Table B4 projects the number of part-time undergraduates from New York City to more than double by 2013.

**Table B4**

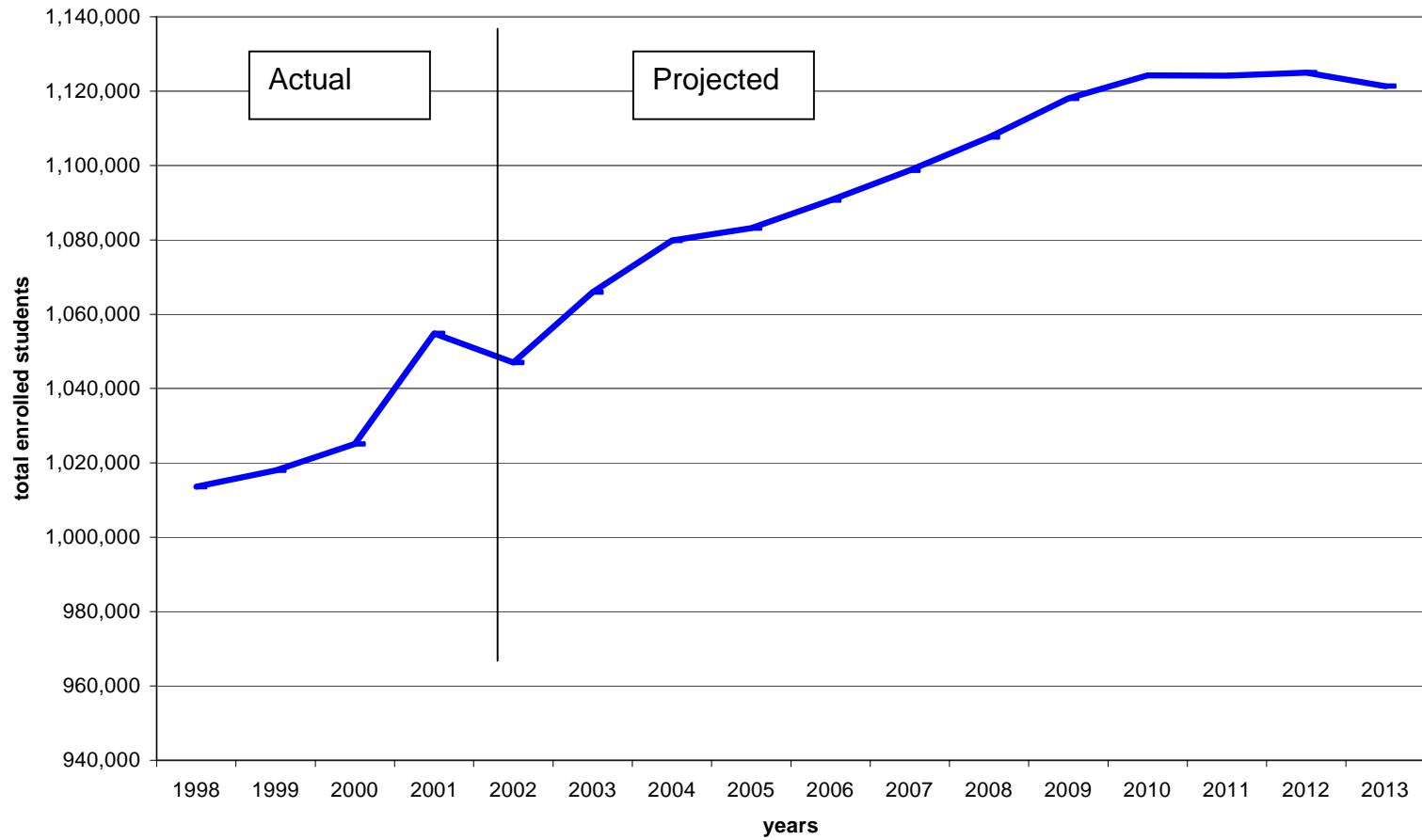
**Proportion of Growth by Region, 2003 – 2013  
(Contribution by region to overall projected growth by type of student)**

Regents Region	Full-Time Undergraduate		Part-Time Undergraduate		Full-Time Graduate		Part-Time Graduate		Headcount Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Western	2,086	3.8	<b>-603</b>	<b>-26.9</b>	166	7.4	<b>-217</b>	<b>-12.6</b>	1,432	2.4
Genesee Valley	1,856	3.4	<b>-455</b>	<b>-20.3</b>	133	5.9	<b>-44</b>	<b>-2.5</b>	1,490	2.5
Central	6,587	12.1	<b>-412</b>	<b>-18.4</b>	316	14.0	<b>-110</b>	<b>-6.4</b>	6,381	10.5
Northern	<b>-49</b>	<b>-0.1</b>	29	1.3	47	2.1	8	0.5	35	0.1
Northeast	4,035	7.4	<b>-557</b>	<b>-24.8</b>	157	7.0	177	10.2	3,812	6.3
Mid-Hudson	8,812	16.2	953	42.5	125	5.5	390	22.6	10,280	16.9
New York City	15,584	28.6	2,317	103.3	929	41.2	1,248	72.2	20,078	33.0
Long Island	15,635	28.7	972	43.3	384	17.0	277	16.0	17,268	28.4
<b>Statewide</b>	54,546	100.0	2,244	100.0	2,257	100.0	1,729	100.0	60,776	100.0

Source: NYSED, Office of Research and Information Systems, 2003.

**Figure B1**  
**ENROLLMENT PROJECTION METHODS AND DEFINITION OF TERMS**

**Total Enrolled Students by All Types (Not FTE)**



Methods. The method this model uses involves six major steps repeated in varying ways for each enrollment group: full- or part-time undergraduates, graduate students, and first-professional degree students. The steps were:

1. Collating historical enrollment and gathering or developing high school graduate and population projections;
2. Calculating historical and projected participation rates;
3. Calculating projected pools of students in each of the eight Regents Higher Education Regions;
4. Calculating projected market shares of each institution for each regional pool;
5. Distributing projected student pools to each institution; and
6. Using cohort survival data from each degree-granting institution to estimate the total enrollment of full-time undergraduates.

#### Definition of Terms.

- **Enrollment data.** The model used four years of historical enrollment data by institution for the projection. It also included two years of enrollments by institution with student region of origin. Numbers of high school graduates by county were projected for the years 2003 to 2013. This projection involved obtaining enrollment figures for first grade through 12<sup>th</sup> grade for the school years 1998-2002. Grade progression rates were calculated for each of the four historical years and used to develop projected grade progression ratios by county. Finally, the latest Census projections from Cornell Statistical Services for each county by age group to the year 2013 were used in conjunction with predicted high school graduates.
- **Participation rates** refer to the proportion of a population that attends colleges and universities in New York State. Rates are calculated for specific age groups, student levels, and attendance levels in each geographical/regional pool.
- **Projection of student pools.** Multiplying a projected age group's population by its projected participation rate resulted in projection of a total enrolled student pool. For full-time, first-time undergraduates (incoming freshmen), the age groups were recent high school graduates, 20 through 24 year olds, and 25 through 29 year olds. Those used in projecting the part-time undergraduate and graduate student pools were 15 through 19, 20 through 24, 25 through 34, 35 through 49, and 50+.
- **Institutional market share** was calculated by dividing each institution's actual enrollments by the total statewide enrollment for students from each regional pool. Each college had market shares calculated for each type of student it enrolls. Therefore, a market share was assigned to every institution for every age group and geographic pool of students.
- **Distribution of the projected student pools.** Projected student pools were distributed by multiplying each institution's projected share of each type of enrolled student by the projected pool of that type of student.



- **Cohort survival.** The use of cohort techniques for full-time, first-time undergraduates (incoming freshmen) involved calculating a survival rate unique to each institution. This rate was applied to incoming freshmen to generate the numbers of continuing full-time undergraduates.