3.1 Introduction

To promote more effective use of resources: SUNY Plattsburgh will develop a budget process to better align resource allocation with strategic goals and objectives, explore new lines of revenue production, and establish a comprehensive plan to improve administrative workflow and operational efficiencies and to expand our facilities, keeping in mind our responsibility to environmental sustainability, campus safety, and open communication (Strategic Plan 2009-2012).

For example, the college has accomplished the following:

- Formation of the Planning Integration Task Force (fall 2011);
- Initiated a new series of college-wide academic program review to ensure that our current programs are delivered effectively and make the best use of the college's resources;
- Created a Facilities Master Plan to better identify, prioritize, and coordinate capital funding, critical and operational maintenance, facilities management, and space utilization;
- Generated revenue by increasing enrollments at the Branch Campus;
- Successfully completed “Bright With Promise,” a $15 million capital campaign;
- Restructured financial aid packages offered to incoming students to make more efficient use of institutional resources;
- Lowered expenditures in personnel, fuel, travel, and other supply and service areas; (Strategic Plan (2009-2012) Accomplishments)

3.2 College Leadership

Governing bodies at SUNY Plattsburgh with administrative and leadership responsibilities include the College Council, College President, President’s Cabinet, Executive Council, Deans’ Cabinet, Faculty Senate, Employee Union Leadership, and Student Association. As part of the State University of New York system, the college is also governed by the SUNY Board of Trustees and the SUNY Chancellor.

The College President is charged with oversight of the entire institution and is ultimately responsible for maintaining an administration that works effectively to achieve our mission through the efficient allocation of resources. The College President is appointed by and accountable to the SUNY Chancellor and Board of Trustees and serves as the liaison to the SUNY Chancellor and Board of Trustees. The President’s primary responsibility is to “administer the college for which he or she serves, and . . . promote its development and effectiveness” (SUNY Board of Trustees Policies) (President Ettling’s Web Page).

SUNY college presidents are periodically evaluated by the SUNY Chancellor. Most recently, college presidents were asked to submit a report to the Chancellor by July 15, 2011, including statements describing how each college will contribute to the “Power of SUNY,” the “Six Big Ideas” of SUNY’s Strategic Plan, and how the college will support the plan within five years. The SUNY Chancellor met with each college president during fall 2011. Standard 4-L

During the March 10, 2011 Middle States Working Group interview, President Ettling made it clear that he values interactions with college constituencies and incorporates their input into his decision-making. Further evidence for this can be found in the regularity and collaborative nature of his participation in meetings of the Executive Council, the President’s Cabinet, the College Council, the Faculty Senate, and all-college “town meetings.” In addition to the President’s annual Welcome Session at the beginning of the fall semesters, three “town meetings” are held each academic year with faculty, staff and students to present information on recent developments of college-wide importance and to answer questions. Agendas for these meetings are available in the Provost’s Office. The President regularly calls for suggestions from faculty, staff, and students and responds promptly to phone calls and e-mail messages. Standard 2-B

The President’s Cabinet consists of the President, the President’s Executive Assistant, and the vice presidents of Academic Affairs, Business Affairs, Institutional Advancement, and Student Affairs. The President’s Cabinet meets weekly.

The Executive Council consists of the President, vice presidents, and deans. The Executive Council meets monthly (and as an Expanded Executive Council including a number of directors, twice a semester). The responsibilities of the vice presidents, deans and their respective offices are outlined in the Campus Handbook.
which is available to faculty, staff, and the general public on the college’s Web site (Campus Handbook).

Standards 4-A, 4-B, 5-F

The Deans’ Cabinet, whose role is defined in chapter two, is comprised of academic deans, Provost and Vice President for Academic Affairs, Associate Vice President for Academic Affairs, and the Assistant Provost. The Deans’ Cabinet meets weekly.

Faculty Bylaws provide for evaluation of deans by the faculty every third year of the appointment, but this provision of the bylaws has rarely been implemented. The Provost evaluates deans every year through annual reports. Deans serve at the pleasure of the President, and the President has the authority to remove Deans at any time. The President evaluates the performance of Vice Presidents every year through annual reports. Likewise, the President has the authority to remove Vice Presidents at any time. Standards 4-B, 4-J, 4-L

The College Council is a group of recognized community leaders from New York, nine of whom are appointed by the Governor of New York for seven-year terms, beginning on July 1 of the appointment year, or until a successor is appointed. The Governor also appoints one of the nine as chair of the College Council. The tenth member is the president of the Student Association who serves concurrent with his/her presidency (usually one year).

Newly appointed members of College Council meet with the Chair of the College Council, College President and the President’s Cabinet to become introduced to the many aspects of the college community (SUNY Plattsburgh College Council). There is no formal evaluation of College Council members, nor is there any periodic assessment by the college of the effectiveness of the College Council, since decisions concerning membership and responsibilities of the College Council are made by others. However, meetings of the College Council are open to the public and time is provided at each meeting for public comment. Standards 4-B, 4-C, 4-D, 4-E, 4-I, 4-L

The College Council meets four times during the academic year and holds a retreat meeting during the summer months. Records of meetings are available through the President’s Office and the Special Collections Unit in Feinberg Library. Meeting records demonstrate that all members (including the student member) are actively involved and that vice presidents, deans, faculty governance leaders, and union leaders, as well as the president, routinely present reports and/or attend these meetings. The College Council provides guidance on institution-wide issues and initiatives from a broad perspective (College Council Duties). Standards 4-R, 4-S

Academic employees (faculty and professionals) are represented by United University Professions (UUP), and clerical and maintenance staff are represented by the Civil Service Employees Association (CSEA). Four other unions each have a few members among college employees. The major union contracts, negotiated on the state level, are available to faculty and staff on the college’s Web site (Campus Employee Unions) and through the Office of Human Resource Services. Leaders of the local chapters of these unions are elected by the membership. The President, the Director of Human Resource Services, and selected vice presidents meet monthly with the executive councils of each of the major unions and on an as-needed basis with individual union leaders. Standards 4-A, 4-B

The Student Association (SA) serves as the voice of the students. Leadership of the SA is vested in 21 senators and 8 executive officers elected by students annually. There are SA representatives on many standing and ad hoc college committees that provide input to the President, Vice Presidents, and Faculty Senate. Some of these committees have a broad charge, such as the Campus Safety Committee that evaluates campus activities from safety perspectives, and others are concerned with curriculum and policy (e.g., the General Education Committee). The SA President meets with President Ettling approximately twice per month to discuss college policy decisions that directly affect students (Student Association). Standards 4-C, 4-S

SA input on college planning can be decisive. For example, when the college was considering the elimination of December graduation ceremonies as a cost-saving measure, the SA leadership convinced President Ettling that this decision would have many adverse effects on students and their families, and the SA resolved to fund a substantial portion of the costs for December graduation ceremonies. Standards 4-C, 4-S

3.3 Shared Governance

The Faculty Senate is the main faculty group that provides regular guidance and feedback on academic, curricular, and other matters and recommends policy and program changes to the President. The Faculty Senate is comprised of 53 governance unit representatives (37 Academic, 7 Professional and 9 At-Large and Ex-Officio). The Faculty Bylaws which govern the Faculty Senate are easily available to faculty and staff as part of the Campus Handbook (Campus Handbook). The Faculty Senate reviews bylaws every five years and changes are approved by a majority vote of the faculty. Standards 4-A, 4-B, 4-B.1, 4-B.2, 4-B.3, 4-J

The college administration considers Faculty Senate policy statements and recommendations as essential to the college’s future. President Ettling believes that the Senate has “ultimate responsibility for the curriculum.”

Senators are elected for three-year terms from governance units containing at least three faculty members. The College President, Provost, Vice President for Administration, Vice President for Student Affairs, Student Association (SA) President, and SA Vice President attend Senate meetings in an ex-officio, non-voting capacity. Much of the work of the Faculty Senate is conducted by its standing committees: Executive Committee, Resources and Planning, General Education, Curricula and Programs, Academic Policies, and Writing Across the Curriculum. With the exception of the
Executive Committee, committee members are drawn from the entire faculty (not just faculty senators) and include ex-officio administrative representatives. While not formally written in the bylaws, when the Executive Committee makes its annual Senate committee selections, inclusion of representatives from each academic division on each of the committees is a priority (Faculty Senate Bylaws). Revised Faculty Senate Bylaws will soon be available. Standards 4-A, 4-B, 4-C, 4-D

Senate meetings are held monthly during the academic year with agendas provided to the college community, with all relevant materials, via the course and group management system, ANGEL. Senate meetings include committee business and regular reports from the College President, Provost, SA President, University Faculty Senator, and the President of the Plattsburgh Chapter of UUP. During the recent years of reduced levels of state funding for SUNY campuses, the college administration’s sharing of budgetary decision-making and consultation with the Senate has been especially important in maintaining a respectful atmosphere of shared governance. Minutes of Faculty Senate meetings are posted on ANGEL and available to the college community (Faculty Senate). Standards 4-A, 4-B, 4-C, 4-S, 4-T

Exchanges between the college administration and the Faculty Senate are the clearest examples of shared governance. Examples of these can be found in the Faculty Senate minutes posted on ANGEL. The 2010 modified CESTA survey (Cultural, Environmental, Structural, and Technical Assessment survey) indicates that faculty and staff opinion on the effectiveness of structure, procedures, and constituent involvement in the development of college policies has shown large improvements compared with the 2000 CESTA survey (Table 3-1). This improvement can be attributed to increased openness of top college administrators to faculty and staff views and more genuine consultation between affected groups. Standards 2-E, 4-M, 5-K

3.4 Organizational Structure and Qualifications of College Administrators

The organizational structure of the college is described in section I of the Campus Handbook (Campus Handbook) and illustrated in the college's organization chart (see Appendix H: Organizational Charts). Current college administrators are each well qualified by training and experience for the positions they hold. President Ettling has a Ph.D. in History and, prior to being selected as President of SUNY Plattsburgh, held the following positions: faculty member (University of Houston), Dean of Arts and Sciences (University of North Dakota), and Provost (University of North Dakota). Dr. Ettling became

Table 3-1
Comparison of CESTA survey results between 2000 and 2010 for organizational structure and governance.¹

<table>
<thead>
<tr>
<th>Question</th>
<th>2000</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extent to which the organization of the college reflects institutional priorities</td>
<td>2.61</td>
<td>3.44</td>
</tr>
<tr>
<td>The effectiveness of organizational structure</td>
<td>2.46</td>
<td>3.45</td>
</tr>
<tr>
<td>The effectiveness of organizational procedures</td>
<td>2.40</td>
<td>3.40</td>
</tr>
<tr>
<td>Communication of organizational responsibilities</td>
<td>2.44</td>
<td>3.39</td>
</tr>
<tr>
<td>Faculty involvement in policy development</td>
<td>2.63</td>
<td>3.35</td>
</tr>
<tr>
<td>Staff involvement in policy development</td>
<td>2.55</td>
<td>3.27</td>
</tr>
<tr>
<td>Student involvement in policy development</td>
<td>2.54</td>
<td>3.32</td>
</tr>
<tr>
<td>Administrative emphasis on participatory decision making</td>
<td>2.02</td>
<td>3.29</td>
</tr>
<tr>
<td>Effectiveness of information-based decision making</td>
<td>2.31</td>
<td>3.27</td>
</tr>
<tr>
<td>Communication of policies and procedures</td>
<td>2.48</td>
<td>3.49</td>
</tr>
</tbody>
</table>

¹ Values are averages for a five-point satisfaction scale ranging from very satisfied (5) to very dissatisfied (1)
the 10th president of SUNY Plattsburgh on June 15, 2004 (About President Ettling). Standards 5-B, 5-F, 5-H

The Provost and Vice President for Academic Affairs, Dr. James Liszka, has a Ph.D. in Philosophy and most recently was the Dean of Arts and Sciences at the University of Alaska, Anchorage (UAA). Prior to being Dean at UAA, Provost Liszka served as Interim Provost for Research, Interim Director of Graduate Programs, Chair of the Philosophy Department and President of the Faculty Senate. Dr. Liszka’s appointment as Provost and Vice President for Academic Affairs at SUNY Plattsburgh became effective on July 1, 2011. The other Vice Presidents do not have doctorate degrees, but they each are highly qualified and have many years of professional experience directly related to their positions. (Résumé of vice presidents are available upon request.) Standards 5-C, 5-D, 5-H

The Deans of the four academic divisions all possess the academic background and skills required to lead faculty; three have Ph.D’s and the fourth has a Masters of Library Science (MLS) which is the terminal degree in that field and all have extensive administration training and experience. The Dean and Assistant to the President for the Branch Campus also has a doctoral degree and many years of experience in both faculty and administrative positions. The Dean of Students has a M.S. degree and requisite experience to effectively hold this position. Their resumes, available upon request, demonstrate a wide breadth of administrative experiences and depth of content knowledge in their academic specialty areas. Standards 5-C, 5-D, 5-F, 5-H

One characteristic of most of our Vice Presidents and Deans is longevity at the college. The Vice President for Administration has been employed at the college for 34 years; the Vice President for Student Affairs has been employed at the college for 42 years, and the deans average 22 years of employment with the college.

3.5 Conflict of Interest Policies

New York’s 1987 Ethics in Government Act is intended to maintain public trust and confidence in government through the prevention of corruption, favoritism, undue influence and abuses of official position. Restrictions are placed on the professional and business activities of state officers and employees, and financial disclosure statements must be filed by certain New York State employees, including certain employees of the State University of New York.

As a condition of employment, state employees (including SUNY employees) must file a statement acknowledging receipt of Section 73 (Business or Professional Activities by State Officers) and Section 74 (Code of Ethics) of the Public Officers Law (NYS Ethics Law). The New York State Commission on Public Integrity fosters public trust in government by working to insure compliance with the state’s existing ethics and lobbying laws. The commission promotes transparency by requiring financial disclosures from elected officials, Executive Branch officers and employees, lobbyists, lobbying clients and public benefit corporations. The commission provides information, education and advice regarding ethics and lobbying laws and promotes compliance through audits, investigations and enforcement proceedings. College employees are required to consult with appropriate officials regarding any potential and actual conflicts of interest (Commission on Public Integrity). Standards 4-G, 6-C

3.6 Human Resources

As in most institutions of higher education, over 80 percent of SUNY Plattsburgh’s expenditures are for personnel. Because human interactions are at the heart of education, the faculty and staff of the college constitute its most important resource. Great care is taken in the allocation and filling of positions. Due to a constrained budget in recent years, since 2009, all hiring requests, whether for administrative, faculty, professional, clerical, or maintenance positions, have been reviewed by the President’s Cabinet. The only exceptions are adjunct faculty and other temporary positions, which are carefully monitored by the respective vice presidents and deans.

The college does not have a documented set of guidelines for allocating faculty and staff positions. Typically, the justifications and requests for additional or replacement faculty and staff are made in departmental annual reports. Data from course demand reports and enrollment reports are used in conjunction with the Strategic Plan by vice presidents and deans to prepare priority lists for faculty hires, while the needs of students and faculty and changes in federal, state, SUNY, and public expectations of the college are used to prioritize requests for staff hiring. Final decisions are made by the President, in consultation with the President’s Cabinet. This procedure applies whether the request is for a new position or a reallocation of positions. The Office of Human Resource Services (HRS) and the Affirmative Action Officer (AAO) provide oversight of the recruitment and hiring process to ensure that college policies are followed (Search Process Manual). Standards 3-B, 3-M, 4-G, 6-B

The creation of new academic programs, such as (in recent years) Expeditionary Studies, Global Supply Chain Management, and Health and Fitness Leadership, required new allocations of faculty resources. Currently, the college has few resources for additional positions and must often rely on reallocations of positions, the use of adjuncts, and enrollment caps to respond to shifts in enrollment. New course and program proposals follow the policies outlined in “Course and Program Change Procedures,” section III of the Campus Handbook (Campus Handbook).

The size of the instructional staff, relative to the number of students, is clearly related to the college’s ability to implement its mission and achieve key intended outcomes. Class sizes can range from as few as ten students in advanced seminars, 15 to 30 students in writing-intensive courses, to as many as 96...
in introductory General Education courses. The average 3-credit course has 19 enrolled students, while the average General Education class enrolls 30 students. Maximum class size is determined by several factors including the set of learning outcomes, appropriate pedagogical techniques, course demand, availability of qualified faculty, availability of appropriately sized classrooms, budget allocations, and whether the course is being offered in the summer or winter terms (when class sizes are traditionally lower). **Standards 3-A, 3-C, 3-S**

With the agreement of the Dean and the Provost, some programs use enrollment caps to control faculty-student ratios. These are established in consultation with the Admissions Office based on a written justification for the requested caps. The combined BA/MST programs in adolescence education admit a maximum of 60 students per year, for example, and nursing also sets an enrollment cap. Professional accreditation standards establish student-faculty ratios for some programs such as counselor education (10 to 1) and speech language pathology (12 to 1). **Standards 3-C, 8-A**

### 3.7 Technological Advances and Communication

Another very important resource of the college with significant impact on the quality of education and administrative and educational support is its technological resources. These resources also represent a significant investment and on-going expense in equipment, systems, supplies, and support personnel. SUNY Plattsburgh operates an impressive network of computer, Web, email, and telecommunication services. Most of these networks are managed by Library and Information Services (LIS) staff and by the Business Affairs Office of Telecommunication. The college’s Technology Plan provides for annual or more frequent review of resources and needs and is a means to respond to changes in the technological environment ([Technology Process Review](#)) ([Facilities Master Plan](#)) ([LIS, Major Initiatives](#)). Strategies to measure and assess the Technology Plan are presented in chapter two. Several examples follow. **Standards 2-A, 2-B, 3-A, 3-F, 3-G, 5-I**

The college has been using the ANGEL ([A New Global Environment for Learning](#)) Course Management System since 2004 and it has become fully embedded within academic and administrative functions. In 2008-2009, SUNY Plattsburgh offered over 200 fully online courses using ANGEL—an increase of 12 percent over the previous year ([LIS Annual Report for 2008-2009](#)). The ANGEL system is also used as an online resource in thousands of traditional courses offered on campus. Because ANGEL (and Webmail) allow students to forward emails to their preferred address, these have become the backbone of communication between faculty and students. ANGEL’s “community group” function is widely used for communication between members of many campus committees and organizations.

The sale of ANGEL to Blackboard and Blackboard’s decision to cease supporting ANGEL has forced the college to change platforms. ANGEL’s replacement must retain the high-quality communication system the college expects and requires. After careful review of different platforms, the college selected the Course Management System, Moodle (Modular Object-Oriented Dynamic Learning Environment), an open source program that will be housed and managed on campus and is significantly less expensive than alternatives. A plan for the transition to Moodle was developed and a series of training sessions has begun. Summer and fall 2011 courses were migrated to the new system.

In keeping with national trends in computer systems, “My Plattsburgh” was launched as the campus portal in 2008. It provides single-sign on to a variety of college systems: BANNER, ANGEL, Webmail, and Network Files. In addition, prospective students are now able to use “My Plattsburgh” to monitor the status of their applications. The portal is undergoing review, but it appears that most students, faculty and staff use “My Plattsburgh” primarily to access BANNER, the college’s program for course registration and schedule adjustments. As features are added, the system will be more broadly adopted. Features are being added for employees and a portal for parents is in the planning stage.

The college’s major Web pages are maintained by the Division of Institutional Advancement’s Office of Marketing and Public Relations. A private consultant was hired to assist with designing a new Web system for the college which was launched in early 2010. The new Web system was designed primarily for communication with alumni and prospective students ([SUNY Plattsburgh Web Content Management Policy](#)). Prospective students can use the Web to access general information about the college and more detailed information about specific programs; faculty, staff, and student accomplishments; and co-curricular and recreational opportunities in Plattsburgh. They can also use the Web to portal into Plattsburgh Facebook and Twitter groups and to track the progress of their application. Alumni can access various online resources including Calling Card, an e-newsletter featuring news about the college, and the alumni magazine. Alumni and others can also use the Web to make donations to the college. **Standards 8-B, 8-D, 8-F, 8-G**

The college hosts its own email server. College email is an official communication vehicle for faculty, staff and students. Since students often prefer their personal e-mail accounts and do not always have their Plattsburgh e-mail forwarded, college administrators mounted a campaign in 2008 to increase the use of Plattsburgh student email accounts—an initiative that was very successful. LIS employees continue to research new email systems that will provide enhanced features that are more compatible with personal email accounts ([LIS Major Initiatives](#)).

SUNY Plattsburgh has an Emergency Notification
System which routes information through the college's Emergency Coordinator and/or University Police to the college community via email and a network of building contacts. Plattsburgh also participates in NY-Alert, a program that provides critical security information via email and cell phones.

3.8 Revenue Sources and Budgeting

SUNY Plattsburgh's total 2011-12 revenue is derived from several funding sources including: General Operating Fund which includes tuition (42.0%), state appropriations (13.9%), and fees (0.3%); SUTRA (State University Tuition Reimbursable Account) from summer sessions and overseas academic program tuition and fees (4.9%); income fund reimbursable (IFR) program and user fees (19.6%); and Dormitory Income Fund Reimbursable (DIFR) monies room rental (19.3%). Additional funds come from College Auxiliary Services (CAS) rental fees, space and utility assessments, and grants; Research Foundation recovery of overhead money from funded grants; and College Foundation contributions. The SUNY Construction Fund provides additional monetary and other resources for building construction, renovation, and critical maintenance that is accounted for separately. (See 2011-12 Budget Book for financial charts and a description of the budget process).

**Standard 3-D**

SUNY as a whole competes with all other state agencies for state general funds. Funding decisions at the state level are strongly influenced by state-wide political forces. The state budget allocation for SUNY depends, to a large degree, on the success of the Chancellor, vice chancellors, college presidents, and union leadership in their roles as advocates for higher education. The state also controls tuition charges at SUNY institutions. Historically, SUNY and SUNY Plattsburgh have experienced years of flat tuition rates (unresponsive to inflation) followed by a significant tuition increase. In June 2011, undergraduate tuition for New York State residents was increased by $300 to an annual rate of $5,270 for 2011-12. One positive aspect of this legislative action was the state's approval of a five-year $300 maximum resident undergraduate annual tuition increase through fiscal year 2015-16. For the first time, students and their families will be able to closely estimate each year's tuition costs and the college will have a five-year window for tuition rates on which to plan. **Standard 3-L**

Once SUNY has received its annual allocation of the state budget, SUNY System Administration, with input from campus Business Officers, decides how to distribute funding to each campus. Since 2008-09, SUNY has experienced significant reductions, and the distribution processes have been inconsistent. For 2011-12, the method used to distribute the reduction of state funding resulted in a decrease of $2.3 million of taxpayer support for SUNY Plattsburgh.

SUNY System Administration continues to adjust how each campus is funded with state appropriations, and the process complicates budget management on campuses. Even though the New York State legislature passed its budget on time this year (March 31, 2011), SUNY had to await legislative approval of the resident undergraduate tuition increase, which didn't occur until June, 2011. As a result, SUNY Plattsburgh did not receive its Financial Plan letter until July 22, 2011, which was after the July 1 start of the college's fiscal year. This is symptomatic of the impact state-level politics has on the budget.

SUNY needs a funding model that will provide an equitable and predictable allocation of resources based on the mix of students and academic programs unique to each campus. Such a funding model will provide campuses with the information required for planning budget allocations to fulfill mission and goals in an efficient manner. SUNY recognized this need and has formed a group to develop and recommend a distribution methodology for use in the 2012-13 budget process. **Standard 3-L**

For 2011-12, a total budget of $52.4 million was approved by the college, based on budget proposals prepared by each division. The college received $48.2 million in combined state support and tuition revenue, leaving $4.23 million that needed to be funded from college sources. The college has $2.6 million in recurring sources (such as administrative and maintenance overhead revenue), which left $1.63 million that needed to be funded by temporary or one-time Plattsburgh sources. The college continues to struggle with a structural deficit that currently has a projected carry forward to FY 2012-13 of $3.05 million. In addition to using $1.63 million in temporary sources, the college also included temporary departmental reductions of $0.92 million and salary savings of $0.5 million. While this closes the budget gap for 2011-12, other sources will be needed to deal with any budget gap for 2012-13. **Standard 3-D**

Each of the college’s funding streams has its own advisory group and budget development processes. Various planning groups meet independently to make budget recommendations. The recent creation of a centralized Budget Advisory Council (BAC), described below and also in chapter two, will provide for an additional assessment process used for budgeting and planning purposes. Based on interviews with the four Vice Presidents, overall funding decisions are loosely connected, with guidance from college planning documents such as: the Strategic Plan, the Memorandum of Understanding with SUNY System Administration (MOU II), the Enrollment Management Plan, the Academic Plan, and the Capital/Facilities Plan. Given the college’s governance structure, all final decisions regarding financial and human resources are made by the President's Cabinet. **Standards 2-C, 3-D, 5-A**

Although the recent tuition increase eased the budget crisis, the college still has a challenging fiscal situation and is committed to using each of the various governing bodies and campus-wide committees to provide input and improve these decision-
making processes. The college is augmenting these improvement efforts in several ways. The President’s Cabinet will continue to utilize planning and assessment groups such as Deans’ Cabinet, College Planning Council, Strategic Plan Steering Committee, Strategic Plan Implementation Task Force, Assessment Advisory Committee, Faculty Senate Standing Committee on General Education, Faculty Senate Standing Committee on Resources and Planning, Planning Integration Task Force, and Office of Institutional Research to assist in generating ideas for more efficient use of resources (Institutional Effectiveness Plan) (Facilities Master Plan).

**Standard 2-A**

According to the Vice President for Administration, SUNY Plattsburgh has been exploring all avenues for both income generation and cost reduction, including:

- Investigating additional revenue streams (e.g., fundraising, grants, enrollment mix);
- Reducing merit-based student aid (scholarships);
- Reducing campus services;
- Offering voluntary separation, retirement incentives, and voluntary workload reduction schedules (VWRS);
- Initiating academic and non-academic program changes (e.g., deactivating low-enrollment majors; shifting more marketing to the Web, reducing overtime);
- Making temporary changes to faculty course loads (3/4 course loads for tenured faculty);
- Identifying and committing additional renewable IFR funds to campus operations;
- Monitoring utilities for potential savings (metered utilities in all buildings).

**Standards 3-J, 3-M**

### 3.9 Constraints on Leveraging Additional Funding Sources

The irregularity and erosion of state support, which represents one of the college’s largest funding sources, constitutes possibly the biggest barrier to the college achieving its institutional goals. In addition, the State University of New York is facing a difficult budgetary future, given the current national and statewide economic downturn. While the college participates in legislative advocacy and planning for regional development, there is little that can be done by the college to directly increase state support. **Standard 3-L**

In recent history, there were major barriers to effectively increasing college income from tuition revenue:

- The funding level for SUNY tuition is approved through the state budget process. In January 2010, Governor Paterson proposed the “New York State Public Higher Education Empowerment and Innovation Act,” which would have granted the president of any state-operated institution, with approval from the SUNY Board of Trustees, authority to establish local tuition rates. The act was not approved.
- The spending authority related to tuition income is at the state level. Governor Paterson recommended that New York State invest all tuition, fees and other self-generated revenues in SUNY campuses, students, and faculty, but this recommendation did not receive majority approval in the legislature.
- Enrollment data are used in tuition revenue planning. Each campus creates tuition and operating revenue targets based on planned enrollments. If the revenue targets are not met, a campus must reduce its operating expenses on a dollar-for-dollar basis or provide revenue from another source to meet the revenue shortfall.

For those funding sources based on self-supporting revenue such as State University Tuition Revenue Accounts (SUTRA), Dormitory Income Fund Reimbursable (DIFR), residence hall rehabilitation reserves, and other fees, a notable barrier to increasing resources is the budget process itself. The need to establish fees in advance of the operating year and the inability to adjust fees as costs (operating, emergency or otherwise) change are constraints. There are also restrictions on the ability to transfer funds within these accounts, limiting our flexibility as new expenses arise or planning activities occur.

SUNY Plattsburgh’s College Foundation also faces several barriers to increasing public and private support for the college. The Director of Advancement Services offers the following insights into the challenges faced by the College Foundation:

- Our major gifts program offers the greatest potential for significant, sustainable philanthropic support.
- The Teacher Education program is currently, and historically, the college’s largest academic program. As a result, a lower percentage of Plattsburgh alumni, as compared to some other colleges, have careers with opportunities for generating significant wealth, and most major gifts to any college come from accumulated wealth rather than annual income.
- The current economy is having a negative impact on charitable giving to colleges across the country. Plattsburgh may be negatively impacted more than many colleges since two-thirds of our alumni live in New York, a state that is in a severe budget crisis. **Standards 2-L, 3-L, 3-N**

Despite these constraints on institutional fundraising, the college was able to successfully conclude a $15 million “Bright with Promise” capital campaign on June 30, 2011. More than $16 million was raised over a seven-year period in the college’s first major capital campaign. There were a total of 14,664 donors, including 4,933 (34%) first-time donors. In the next few years the college will focus attention on encouraging...
those new donors to become regular donors and to involve more of our mostly young alumni to become donors. **Standards 3-O, 3-T**

### 3.10 Strategies for Efficient Use of Resources

The strategies we employ to manage the utilization of resources include budget assessment, collective discussion, critical thinking, and deliberate implementation of both short- and long-term, temporary and permanent solutions. The President’s Cabinet focuses on the most important core activities for the college based on the college’s mission, institutional goals, Strategic Plan, and other planning documents and on developments in the external environment of the college. The President’s Cabinet and the Deans’ Cabinet determine where reductions in expenditures can occur while still protecting the college’s core values and aspirations as articulated in the Mission Statement and the Strategic Plan. All faculty and staff are invited to contribute to this process through their departments, advisory committees, faculty governance groups or individually. While the President and the Vice Presidents make the final decisions regarding allocation of resources, the President has clearly communicated that he is open to meeting with campus constituents and encourages faculty, staff, and students to communicate directly with him about suggestions for maximizing use of resources. To strengthen the linkages between assessment, planning, and budgeting, a formal process is being developed through the creation of a centralized Budget Advisory Council (BAC). The BAC will be composed of representatives from major units on campus. Additional strategies for efficient use of resources are described in section 2.3 (Institutional Renewal). **Standards 2-B, 2-C, 3-A, 3-B, 5-E**

#### 3.10.1 Personnel

As noted earlier, over 80 percent of the college’s core operating budget is for personnel. Hence, efficient use of the college’s human resources is an important part of balancing the budget and fostering the institutional goal of promoting more effective use of resources. Also as noted earlier, almost all employees at the college are represented by one or another union, each with its own contract. Viewed simply in terms of efficiency, labor-management contracts can restrict labor sharing and hinder quick solutions that could help the college during tough economic times. Additionally, labor decisions are subject to the rules and regulations of the collective bargaining units, SUNY human resource policies, and New York State Civil Service laws, leaving little opportunity for adaptability during uncertain times. Despite these restrictions, the college is committed to the implementation of these contracts in spirit as well as in letter, and administrators work closely with union leadership in efforts to ensure that the contracts are fully and fairly implemented. **Standard 3-L**

The tenure system, while protecting academic freedom and contributing to the strength of shared governance, can also be seen as a barrier to more efficient use of resources, as can the continuing employment guarantees that are enjoyed by most professionals at the college and the protections from arbitrary termination of employment provided to many others. The college has worked within this system to lower the number of faculty and staff slightly, to lower personnel costs, and to create possibilities for reallocation of positions by offering two voluntary separation incentive programs over the last two years and participated in a statewide retirement incentive program.

For the first voluntary separation program, a 2009 memo to faculty and staff provided this information: “All full-time tenured faculty and all professional employees (with both permanent appointment and 10 years of service or those in who have received at least one five-year renewal) will be eligible to apply. Under the program, faculty would be granted leave with full pay for the spring 2010 semester prior to the effective date of their resignation sometime between May 19 and August 31, 2010. Professionals would be granted a six-month leave with full pay prior to their effective date of resignation, which must take place sometime between July 1 and August 31, 2010” (Memo from President Etting).

This program resulted in 18 departures from the college: Distinguished Service Professor (1); Distinguished Teaching Professor (1); Professor (7); Associate Professor (4); Lecturer (1); Professional Staff (4) (Office of Human Resource Services Data). The 2010 New York State Retirement Incentive resulted in 38 retirements from the college: Distinguished Teaching Professor (1); Professor (3); Associate Professor (1); Librarian (1); Associate Librarian (1); Professional Staff (2); Secretaries (10); with the remainder from various departments including maintenance and janitorial staff (Office of Human Resource Services Data).

The second Voluntary Separation Program (2010) was similar to the first, offering a semester or six-months leave with pay to qualifying staff who requested to participate and were approved by the President’s Cabinet. As a result the following 11 separations are underway: Distinguished Service Professor (1); Professor (3); Associate Professor (1); Librarian (1); Associate Librarian (1); Professional Staff (2); Secretaries (10); and various administrative positions (3).

It is too soon to determine how these voluntary separation and retirement incentive programs will affect the quality of academic programs. As indicated above, most of the participants in the voluntary incentive programs, as well as the retirement program, were senior faculty. In some cases, they have not been replaced. Replacements for most have been at entry-level ranks.

The college has also developed a voluntary workload reduction program. With the agreement of the supervisor, any staff member can lower his/her work obligation by any amount down to 70 percent, with
proportional compensation reduction, without losing the other benefits that come with employment and with the ability to revert to 100 percent time at a later date.  
**Standards 3-A, 3-T**

### 3.10.2 Cooperative Agreements and Contracts

SUNY Plattsburgh participates in collaborative administrative and financial arrangements with other SUNY institutions, New York State, and private entities. Examples include SUNY-wide contracts for technology products and services, master agreements for executive search services, international student hospital insurance, and media services. An even larger number of institutions are involved in sharing library resources. In addition, the college is currently exploring the use of an educational consortium for the purchase of office supplies and will participate in a consortium for the purchase of natural gas.  
**Standard 3-K**

Especially close collaborative arrangements exist between SUNY Plattsburgh and two community colleges: Clinton Community College and SUNY Adirondack. The proximity of Clinton Community College facilitates the implementation of cross-registration and articulation agreements, and there are a number of program specific collaborations that help both institutions make more efficient use of resources. SUNY Plattsburgh’s Branch Campus at Adirondack Community College (which now refers to itself as SUNY Adirondack) is based on inter-institutional collaboration and the sharing of resources.  
**Standard 3-K**

Though they may result in more efficient use of resources, contracts with outside vendors can be costly and require review through contract approval processes. Purchases and contracts in excess of $250,000 require the Attorney General (AG) and Office of the State Comptroller (OSC) approval. In addition, if a contract is for less than $250,000 but has an option to renew and there is a possibility the contract could exceed the $250,000 threshold, the contract must be submitted for approval.  
**Standards 2-L, 3-L**

### 3.11 Conclusions

In recent years the college has faced substantial reductions in state-support funding due to economic factors beyond our control. The economic downturn has had a negative impact on all resources (human, financial, facilities and technological), but some much more than others. As the college was developing its 2009-2012 Strategic Plan, we believed that a fully functioning, integrated planning and assessment cycle was the most effective way to protect, use and enhance our resources. In a time of resource decline, this continues to be true.

Financial constraints imposed by the State Legislature are beyond campus control. The college is obligated to respond to legislative decisions made in Albany. Similarly, the college participates in discussions of resource allocation within SUNY but cannot control these decisions. This environment limits the college's ability to increase its revenue.

As indicated in this chapter and in chapter two, the college has been able to make progress in promoting more efficient use of resources, including implementing many of the action plans included in the Strategic Plan 2009-2012. In addition, the college has taken other actions not anticipated in the Strategic Plan to reduce costs and make more efficient use of its resources. The latter often takes the form of reallocation of resources in appropriate ways to advance the college’s mission. Recent efforts (e.g., establishment of the Planning Integration Task Force and Budget Advisory Council) have also been undertaken to enhance our assessment, planning, and budgeting process.

The college has been able to enhance facilities resources. For the first time in the college’s history, we have two Facility Master Plans that cover academic buildings and residence halls, respectively, and we have assurance of sufficient funding to initiate the first phases of these plans. These plans for renovation and new construction projects ensure that the college will be prepared as additional funding sources become available.