

## **INTRODUCTION AND OVERVIEW: MAJOR CHANGES IN THE LAST TEN YEARS**

The last ten years (1995-2005) have been ones of tremendous growth for the University of Connecticut, in terms of quality, reputation and physical infrastructure. Indeed, the changes at the institution have been so profound that this period is sometimes referred to as, "The Transformation." A fundamental part of this transformation has been based on a two billion dollar, twenty-year capital improvement initiative funded by the Connecticut General Assembly, the UCONN 2000 and 21st Century UCONN projects. The primary impetus for this unprecedented support for a public university was the State's desire to provide incentive for Connecticut young people to attend college in the state and to prepare an educated and technologically advanced work force to enable the state to be competitive in a globalized economy. Prior to the passage of the UCONN 2000 legislation in 1995, the fifty-three percent of high school graduates going on to college were leaving the state (1994 data). Concerned by data indicating that students tend to remain in the state where they go to college, the Legislature wanted to reverse the "brain drain" and therefore retain Connecticut young people as permanent residents. The dilapidated state of university facilities was a major cause of many Connecticut high school students electing not to attend the University of Connecticut campuses. Further, the fundamental physical and technological infrastructure of the institution needed repair and upgrading. UCONN 2000 provided the University of Connecticut with the resources to address these problems. Another goal of the building program was and remains fostering the research endeavors of the university to assist the state in remaining competitive by maintaining a high level of education and technological expertise in a globalizing economy.

The physical transformation of the University of Connecticut funded by the UCONN 2000 and 21st Century UCONN projects has been remarkable and has fulfilled the wishes of the General Assembly. As a result of the UCONN 2000 and 21st Century UCONN programs, the University of Connecticut now has new facilities including the School of Business, Information Technology (School of Engineering), Biology-Physics, Pharmacy-Biology, "CLAS building" (housing the CLAS Dean's Office and the departments of English, Statistics and Geography), and regional campus facilities at Stamford and Waterbury. Further, there have been significant remodeling or additions to the School of Nursing, Wilbur Cross Students services building, the former School of Business building which is now the Center for Undergraduate Education building, the Neag School of Education building, Avery Point campus buildings, and the Law School. Plans for future major new buildings or remodeling are on-going. In addition to academic facilities, a number of student residence facilities have been built or renovated, and all student living areas have had sprinklers installed. Very early on in this decade, the University hired consultants to design a Master Plan for physical construction at the campuses and to suggest improvements in parking and transportation. These efforts have resulted in the acceptance by the Trustees in 1997 of a core campus Master Plan, followed by an Outlying Parcels Master Plan in 2000, and a revision of the core campus Master Plan in 2006. Having a dependable source of capital money available over an extended period has enabled the University of Connecticut to obtain efficiencies and advantages in its building program that would not have been available if the same amount of money had become available in a piece-meal fashion.

The extensive building program at the University of Connecticut has allowed the state to reach its goal of retaining Connecticut's top high school talent. The institution has had eleven years of steady increases in the SAT scores of incoming freshmen and has attracted more than 100 valedictorians and salutatorians for the freshmen class in each of the last two years. The school students once viewed as a safety school now is in demand. Applications over the past 10 years have doubled for freshman slots in Storrs and the acceptance rate has gone from 70 percent in 1995 to 51 percent in 2005. UConn has also increased the number of minority students in its Storrs freshmen class by 61 percent since 1995. It has also increased its freshman retention rate from 86 percent in 1998 to 92 percent in 2004. The "brain drain" has become a "brain gain" for the state and has fulfilled the wishes of the General Assembly. To foster the education of these students, the University has overhauled its General Education requirements, strengthened its Honors program, increased its undergraduate research program, and identified Undergraduate Enrichment as one of six Areas of Emphasis in the Academic Plan. It has revamped its Office of Sponsored Programs office, which supports and oversees grant administration, and taken steps to foster research, especially of an interdisciplinary nature.

The increased status of the University of Connecticut as an outstanding asset of the state has been reflected in fundraising activities. The General Assembly provided initially, as part of the UCONN 2000 program, matching funds for donors of endowment. This matching fund program energized donors who have contributed to a successful \$300 million capital campaign, and helped grow the endowment from \$50 million in 1995 to \$299 million in 2005-06. Alumni are so generous that the University ranks, according to U.S. News & World Report, seventh in the nation among public universities for percentage of alumni giving.

The tremendous amount of change at the University of Connecticut has produced some "growing pains." A particularly important challenge has been employing enough faculty to teach the expanded student body, while at the same time maintaining a research focus. Due to some early retirement incentive programs, the overall number of

faculty has declined in the last ten years while the number of undergraduate students has climbed. In the last few years, the university administration has sought additional funding from the General Assembly to hire additional faculty. The legislature has responded by supporting recent budgets that have allowed the hiring of more than fifty faculty members and by appropriating four million dollars in fiscal year 2006 to support hiring Distinguished Faculty and Entrepreneurship programs. However, this endeavor has had limited success and it is estimated that as of the beginning of Academic Year 2006-07, there is a need for as many as 175 new faculty. Because of the magnitude and rapidity of the UCONN 2000 building program, some unfortunate mistakes occurred in the construction program, particularly regarding new student residential facilities. The University administration, in collaboration with the Trustees, has been very proactive in dealing with these problems and has hired new staff to oversee construction and administration of the building program, and established new processes, policies and procedures regarding construction and oversight.

During the last ten years, the research endeavor at the University of Connecticut has remained steady. The number of graduate students has remained fairly stable, as have research awards and expenditures. The University of Connecticut Health Center has increased its research output and externally-generated outcome. The Academic Plan has set goals for increasing research expenditures and grant applications and size. It also sets goals for increasing the ranking of doctoral programs in the National Research Council survey. The Graduate School/ Research Foundation at the Storrs campus has had five deans (including interims) in the last ten years, and a national search for a sixth conducted in academic year 2005-06 did not result in the appointment of a permanent dean. The present interim dean has been appointed for two more years. The present interim dean is working to increase the institution's goals of increased reputation in research and graduate education. The 2007 General Assembly's appropriation of two million dollars each for Entrepreneurship and Distinguished Faculty programs demonstrate the state's strong commitment to research and outreach.

The below is a summary of the contents of each standard chapter.

**Standard One: *Mission and Purposes.***

The University of Connecticut is a comprehensive Research Extensive state Land and Sea grant institution. It has two very large campuses, the main campus at Storrs and the University of Connecticut Health Center in Farmington, as well as seven other major instructional sites throughout the state. As part of the NEASC self-study effort, a faculty-staff committee reviewed the Mission Statement of the University. After a series of vettings throughout the University of Connecticut community and consideration of the Statement at several Board of Trustees meetings, a new Mission Statement was approved by the Board in 2006.

**Standard Two: *Planning and Evaluation.***

The University of Connecticut has a deeply embedded culture of planning and evaluation. It also has a successful history of carry-through on these plans, particularly regarding the development of the physical facilities. Its strategic and academic planning have been guideposts for coalescing academic developments with the building programs. Details plans have been made and implemented for a number of undertakings, including such subjects as diversity enhancement and dealing with student substance abuse.

**Standard Three: *Organization and Governance.***

As a Research Extensive State Land and Sea Grant institution, the University of Connecticut offers a wide array of degree programs, ranging from Associate of Applied Science through doctoral, primarily at the main Storrs campus and the Health Center in Farmington, but also at five regional campuses (Avery Point, Hartford, Stamford, Waterbury, Torrington), the Law School campus, and the School of Social Work campus. The 108 undergraduate majors are organized into eight schools and colleges. Because of the breadth, variety of disciplines and disparate locations of the institution's offerings, its organization and governance are complex. Its organization is a matrix structure, characterized by a high degree of shared governance between the faculty and the formal administration. The majority of the workforce at the institution, including all of the faculty at the main campus at Storrs and the regional campuses, are unionized and employment relationship is governed by collective bargaining contracts.

**Standard Four: *The Academic Program.***

Like the organizational structure, the academic structure and offerings of the University of Connecticut are complex, as would be expected of a Research Extensive flagship State Land and Sea Grant institution. Its undergraduate program has a strong underpinning in the form of the Center for Undergraduate Education. In 2004, the University completed a significant revision of its General Education Requirements, to further strengthen the undergraduate educational experience. It offers a wide variety of graduate programs, which fall mostly under the auspices of the Graduate School. Graduate degrees at the doctoral level include the Ph.D. and a number of "professional" doctorate programs, such as the M.D., D.D.S., J.D., Pharm.D. and Au.D. The university is striving to calibrate mechanisms for program review and assessment, including assessment of student learning outcomes. There are a number of program review and assessment activities occurring across the institution, but the intensity of these efforts varies widely.

**Standard Five: *Faculty.***

The University of Connecticut possesses a strong and nationally recognized faculty. A large majority of the faculty hold the terminal degree in their field. In order to gain tenure, faculty must pass through a rigorous six year review process. A large number of technological and staff resources are available to support faculty in their teaching, advising, research and outreach efforts, although there is a need for more staff. At present, due to a confluence of increased student body size and retirement-driven diminution of faculty size, the faculty to student ratio of the University of Connecticut is higher than it has been in many points in its recent history, and is higher than its identified real and aspirational peers.

**Standard Six: *Students.***

By design, the quality of the University of Connecticut undergraduate student body has increased over the past decade, as have the student retention rates. The institution has continued to recruit and graduate high quality graduate students. The Division of Student Affairs, the Graduate School, and the Law, Medical and Dental Schools offer high quality, extensive student support services.

**Standard Seven: *Library and Other Information Resources.***

The unprecedented twenty year, two billion dollar UCONN 2000 capital improvement program has greatly benefited the University of Connecticut Libraries and the Division of Information Technology Services, as well as the University Registrar's Office. Plans to upgrade and keep current a wide variety of technology have been made and implemented. The university is beginning to plan how to provide high quality information technology services (including Library services) once the UCONN 2000 program ends in 2015.

**Standard Eight: *Physical and Technological Resources.***

The University of Connecticut has been the recipient of a two billion dollar capital improvement program that has transformed the appearance at all of its locations and has supported the development and maintenance of up to date technology. Challenges for the future include synchronization of myriad planning, review, inspection and auditing processes that have become part of the physical and technological planning and construction activities, and beginning to plan for maintenance of physical and technological resources when UCONN 2000 ends in 2015.

**Standard Nine: *Financial Resources.***

The University of Connecticut has a complex operating budget of roughly \$1.5 billion dollars (including Storrs, the regional campuses and the Health Center) and is in the midst of expending monies associated with an approximately \$2 billion dollar capital expenditures plan. Sources of university operating funding include State of Connecticut appropriations, student tuition, grants and contracts, donations and auxiliary enterprise revenues. Under the direction of the Board of Trustees, the President, the Vice President/Chief Financial Officer, the Provost, and the Executive Vice President for Health Affairs, financial budgets are approved in advance, expenditures are made in accordance with these budgets, and all disbursements are monitored and audited.

**Standard Ten: *Public Disclosure.***

The University of Connecticut is a public flagship institution with a strong cohort of concerned constituencies, including the Connecticut General Assembly, alumni, students and their families, entities who participate in university outreach activities, and the citizens of the State. Therefore, there is a great deal of interest in obtaining disclosure of activities at the university, ranging from the more traditional information contained in a university catalog, to information about organizational, planning, operations, and personnel changes. While strongly committed to freedom of information, the institution must weigh the public's desire to be informed against the privacy and legal rights of individuals whom it employs or organizations that it has various types of relationships with.

**Standard Eleven: *Integrity.***

The University of Connecticut is dedicated to the highest standards of integrity. To demonstrate this commitment, in the last few years, it has expanded its traditional audit activity by the creation of the Office of Audit, Compliance and Ethics. This office, which augmented the former university audit unit, has a Chief Audit and Compliance Officer, as well as an Ethics Compliance Officer and a Privacy Officer. The Board of Trustees recently adopted a Code of Conduct and received a University Ethics statement. Faculty and staff will receive training in the Code of Conduct and will continue to receive training by the Office of Diversity and Equity.

## Standard One

### Mission and Purposes

*The University of Connecticut is dedicated to excellence demonstrated through national and international recognition. As Connecticut's public research university, through freedom of academic inquiry and expression, we create and disseminate knowledge by means of scholarly and creative achievements, graduate and professional education, and outreach. Through our focus on teaching and learning, the University helps every student grow intellectually and become a contributing member of the state, national, and world communities. Through research, teaching, service, and outreach, we embrace diversity and cultivate leadership, integrity, and engaged citizenship in our students, faculty, staff, and alumni. As our state's flagship public university, and as a land and sea grant institution, we promote the health and well being of Connecticut's citizens through enhancing the social, economic, cultural, and natural environments of the state and beyond.*

The University of Connecticut is the flagship public research University of the State of Connecticut. Enrolling some 28,000 students at its multiple campuses (located in Avery Point, Farmington, Hartford, Stamford, Storrs, Waterbury, and Torrington), it is a land and sea grant university with a wide range of graduate programs, professional schools, and research centers and institutes in addition to a comprehensive undergraduate program.

Founded as Connecticut's agricultural school in 1881, over its first five decades the institution developed engineering, home economics, education, liberal arts and science programs before the legislature chartered it as the University of Connecticut in 1939. After 1945 the state expanded the University rapidly at the main campus at Storrs and at several regional campuses, and by 1965 the University had added schools of law, social work, medicine, dental medicine, and fine arts. In 1994 the Board of Trustees adopted a new mission statement that set higher, more comprehensive goals for the University, and in the following year (1995) the state enacted UCONN 2000, a ten-year, one billion-dollar program to rebuild and expand the University's infrastructure. In 2004 the State extended that commitment with 21st Century UConn, an additional ten-year \$1.3 billion infrastructure program.

Since the drafting of the 1994 University Mission Statement and the strategic planning that laid its foundation and the foundations for UCONN 2000 and 21st Century UConn, the administration, faculty, and students have repeatedly engaged in planning, reviewing goals and objectives, assessing performance, and revising programs and the allocation of resources.

#### *Appraisal*

Because of the substantial changes in the institution and its aspirations since 1994, administration and faculty recognized that a fresh mission statement would be useful as the University of Connecticut moves through the next phase of its development. Accordingly a committee including administration, faculty, and professional staff was convened in summer 2005 to draft a mission statement. This draft was then developed and revised in collaboration with a wide range of University constituencies. The only controversy that emerged during this process concerned the statement's level of elaboration and detail—its length. In the end, all parties agreed that the concise Mission Statement above would serve effectively. The present Mission Statement, adopted in 2006, represents a shared consensus as to the University's mission.

#### *Projection*

The 2006 mission statement will be widely disseminated through all constituencies in the coming years, and will serve as a reminder and guide during the University's continuing strategic planning efforts. Directly or indirectly, it will guide implementation of every University-sponsored program and activity.

### **INSTITUTIONAL EFFECTIVENESS**

The University of Connecticut has periodically reviewed its Mission Statement and its activities to ensure that the two are in alignment. The latest revision of the Mission Statement was adopted by the Board of Trustees in 2006. This Mission Statement will serve as a guide as the transformation of the University of Connecticut into a major nationally-recognized comprehensive research institution continues.

## **Standard Two**

### **Planning and Evaluation**

The University of Connecticut has a strong commitment to planning and evaluation processes that consist of continuous loops, beginning with planning, followed by implementation and evaluation; and then repetition of the process. Our planning, based on our mission statement, has guided our actions.

The University continually collects data used for planning and evaluation. Much of these data are available from our Office of Institutional Research. This information has facilitated both short- and long-term planning efforts. Institutional decision making is usually an open process, involving senior administration, deans and department directors. Consultation occurs and reports are available to different constituencies which may include, as appropriate, faculty, staff, students, union representatives, or representatives of the state and communities. The University Senate and the University Graduate Council, both elected, regularly receive reports on and have input into, planning efforts. The institution has a long history of recognizing the concept of shared governance through each of these important constituencies. As a result, faculty, staff, students and other relevant constituencies (as befits a public institution) are a part of planning efforts.

The University regularly evaluates the different activities needed to achieve its academic objectives as defined by its mission statement. Reviews of programs, both at the university-level and within the individual units, are subject to evaluations, and the results are used to assess both educational achievements and resource allocations.

#### **PLANNING**

Our planning process has governed much of what we have done in a broad array of areas related to both our academic and support missions. Prime examples include: (1) the University's Academic Plan; (2) UCONN 2000 and its new phase, 21st Century UConn, both used for development of our campus; (3) the Information Technology Task Force; (4) the Diversity Task Force; (5) the Task Force on Substance Abuse; and (6) the development of a new "downtown Storrs" as a result of a partnership between the University of Connecticut and the Town of Mansfield. These examples are indicative of our efforts, and they have been absolutely critical to achieving our goals. Because planning and evaluation is embedded into the campus culture, it is not possible to discuss all of the planning efforts that have been undertaken. This chapter will describe the six planning exercises just identified as representative samples of how the culture of planning works at UConn. It should be noted that all of these planning efforts have involved iterative steps, in which assessment of planning outcomes took place before the next step began. Another important example of planning and evaluation includes important senior administration reorganizations that have occurred within the self-study period. This example is discussed in Chapter Three under the section on Chief Executive Officer and Administration.

#### **Academic Planning: the Academic Plan and Program Assessment**

Academic excellence demands effective planning. The University's Academic Plan, created in 2002 and accepted by the Board of Trustees in 2003, can be found in Exhibit 2.1 and at <http://www.academicplan.uconn.edu>. It provides a set of planning principles and objectives to assist trustees, administration, and faculty in choosing academic priorities over the next decade, including 21st Century UConn and capital projects and functions as a general roadmap for capital and operating expenditures.

The Plan's goal is to use selective strategic investments to bring the University into the top tier of public universities. The Academic Plan sets out six strategic Areas of Emphasis to focus the creative energies of faculty. The resource reallocation model builds on existing processes that have been concentrating University resources on selected programs through budgetary realignment and strategic hires.

Key components of planning and prioritization supporting the Academic Plan are the Provost's Annual Budget Hearings, which link academic priorities and budget allocations, and Academic Program Reviews. These budget hearings are used to evaluate resource allocations to all areas that report to the Provost, including the schools and colleges, the regional campuses and support academic units, such as the Library. As implementation of the Academic Plan has moved forward, there has been ongoing assessment of the effectiveness and changes have already occurred. Major outcomes of the assessment of Academic Plan implementation include linking the plan to the budgeting process, launching an initiative to obtain funding from the Connecticut General Assembly to hire more faculty, and conducting an administrative reorganization of schools and colleges.

#### **Program Reviews and Assessment of Student Learning Outcomes**

## **Program Reviews**

Between 1998 and 2004, Academic Program Reviews were carried out for departments and non-departmentalized schools, using a procedure developed by a faculty/ administrator Task Force in 1996. The Report of the Program Assessment Task Force, which outlines the procedure, is contained in Appendix 2.1 and is on the Provost's website at [www.provost.uconn.edu](http://www.provost.uconn.edu). The heart of the procedure was a self-study, followed by a visit by a team of outside evaluators. The outcomes of these assessments are used to revise, or even eliminate, programs as needed.

Based on an assessment of program review procedures and following the first cycle of departmental reviews in academic year 2004-05, the Provost's Office decided there should be an appraisal of the myriad centers and institutes under the purview of Academic Affairs. This assessment is taking place before revising procedures for and initiating a new round of academic departmental assessments. The decision to review centers and institutes prior to a new round of academic department program review was motivated by the Report of the President's Research Administration Committee (contained in Appendix 2.2) and a realization that the institution needed to take a look at centers and institutes that are free-standing, but usually aligned with departments or academic programs.

The review of centers and institutes has been divided into two parts. In 2005, Provost Nicholls established the Provost's Major Centers and Institutes Review Committee (MCIRC), under the leadership of the Vice Provost for Graduate Education and Research, to examine the operation of six major centers. The MCIRC examined the role, expectations, general operating principles and funding of these centers and issued a report in April of 2006, contained in Exhibit 2.2. Also in 2005-06, the Vice Provost for Academic Administration established a Committee on Centers and Institutes to create a definition of what constitutes a center or institute and develop a process and criteria for their review. This committee also issued its report including guidelines for assessment, in April of 2006 (see Exhibit 2.3 or [http://www.provost.uconn.edu/textfiles/MCIRCfinal\\_report.doc](http://www.provost.uconn.edu/textfiles/MCIRCfinal_report.doc)). These two documents, drafted by committees with overlapping memberships, will serve as the guide for the next stage of program reviews of centers and institutes. As discussed above, it is envisioned that this process will be followed by another round of academic departmental/school reviews based on revised guidelines that incorporate "lessons learned" from the first round. (2.5)

## **Assessment of Student Learning**

The University of Connecticut as a whole has an uneven record regarding the extent to which it assesses student learning. Some programs or schools, notably those whose accreditation requires it, have thorough assessment of student learning outcomes in place. Many professional programs, notably in the Schools of Law, Medicine and Dentistry and the physical therapy and accounting programs, are required to pass state or national examinations administered by professional outside evaluators. The Provost's Office has assigned the Vice Provost for Undergraduate Education and Regional Campus administration the responsibility for enhancing assessment of student learning outcomes across the curriculum at Storrs and the regional campuses. The newly revised General Education Requirements mandate that the faculty in the Gen Ed courses assess student learning outcomes. For a fuller discussion of assessment activities, see Chapter Four, Academic Programs, in the Assessment section. (2.6)

## **UConn 2000 Capital Projects Planning**

As discussed in Chapter 8, the University of Connecticut has benefited from a \$2.3 billion capital projects budget funded by the State of Connecticut. UCONN 2000 and its successor 21st Century UConn, comprising a twenty-year program in four phases, has been the centerpiece of the unprecedented transformation of the University as it strives to be recognized as one of the top public research institutions in the country.

Because of the magnitude and complexity of this undertaking, planning has been the cornerstone of the project. The planning and oversight process includes a university community advisory committee (the Capital Projects Planning Advisory Committee), which meets quarterly; the Building and Grounds Committee, an operational planning committee composed of senior administrators (including the Provost, COO & CFO) plus two deans and two representatives appointed by the University Senate Executive Committee, which meets bi-weekly; a committee of the Board of Trustees (the Building, Grounds and Environment Committee); and a Construction Management Oversight Committee, whose membership is defined in Public Act 06-134 (a list of the current members of the CMOC is contained in the NEASC reference room). The deliberations of these groups are based on the University of Connecticut Master Plans, which were developed by a Master Plan Advisory Committee consisting of over forty people from all university constituencies. The groups mentioned above are constantly monitoring and making revisions (as appropriate) to construction plans. Please see Chapter Eight for more discussion of UCONN 2000.

## **Information Technology**

In 1998, a review of our Information Technology (IT) environment led to a proposal to combine the University Computer Center (now known as University Information Technology Services or UITS) and the Library into a single operation. The initial phases of their consolidation eliminated a number of redundancies. However, subsequent evaluation demonstrated that this combination was not meeting the institution's needs. Additionally, it was not cost effective. This led to a further reorganization through bifurcation, with UITS reporting to the Chief Operating Officer, and the Library reporting to the Provost. However, these two units now have a closer working relationship than prior to the merger. This recent history, all of which occurred during this self-study period, illustrates that although the institution values and utilizes planning, it also is committed to evaluation of plan implementation and is willing change plans and go in a different direction if the outcomes seem to so warrant.

Under the auspices of the University's Chief Operating Officer, beginning in 2003, the University developed an *Information Technology Strategic Plan*, contained in Appendix 2.3, to ensure that information technology is integrated into and supports its academic mission. After being discussed in the university community and presented to various representative and decision-making bodies, this plan was finalized in January 2006. The membership of this committee included those involved in University Information Technology Services, administrators responsible for Teaching & Learning, Cooperative Extension, Student Affairs, Enrollment Management, University Libraries, Graduate Education, Athletics, Deans and faculty members. There were a number of working groups populated by appropriate individuals from pertinent constituencies. The monies to implement the recommendations of the *Information Technology Strategic Plan* are derived primarily from UCONN 2000 capital funds.

It is understood that the University does not have the financial capacity to fulfill all of its technological demands. The Information Technology Strategic Plan recommends that funding priority should be given to those projects that have the greatest impact on enhancing the University's Academic Plan and national presence. To facilitate an integrated IT (information technology) environment, the University needs to be able to set minimum University-wide IT standards. IT at the University must allow for decisions to be made and priorities to be set at all appropriate levels. The Strategic Planning process has identified eight major goals for IT at the University of Connecticut for 2006-2010. Achievement of these goals needs to be overseen by a management structure that accommodates the needs of the entire University community and has the budgetary authority to ensure completion of the various projects. Constant communication among various groups will be essential so that the decisions of one group are in accord with the direction of other groups, and with the University as a whole.

The organizational structure includes an IT Steering Committee, charged with making major decisions related to policy, prioritization and budget; an *IT Visioning/Coordinating Committee*, charged with ensuring that the University keeps abreast of the latest applications; a Faculty/Student Users Committee, charged with ensuring faculty and student input into the decision making and priority setting process for IT; and an *IT Operations Committee*, charged with ensuring that the University maintains the required IT infrastructure. These groups, based on feedback from pertinent constituencies, are continually assessing their plans and activities. For a further discussion of the University Information Technology Services, see Chapter Seven.

## **Diversity**

Among the eight strategic goals articulated in *Beyond 2000: A Strategic Plan for the University of Connecticut* approved in 1995 was an emphasis on diversity, in recognition of the importance of educating students to live and work in an increasingly diverse society, and in achieving the mission of American higher education. The strategic plan also recognized the need to have a faculty and staff which mirrors the diversity among its students, and complements and augments it. Although the plan reaffirmed the University's commitment to creating and maintaining a campus community which reflects the rich diversity of our nation, it did not articulate a university-wide implementation or action plan with concrete strategies for achieving this diversity commitment.

To fill this void, on January 12, 2001, the Diversity Action Committee was established with the Dean of the College of Liberal Arts and Sciences and Vice Provost for Multicultural Affairs as co-chairs. The Committee's charge was to prepare a diversity strategic plan that would recommend initiatives to be taken over the subsequent five year period to:

1. Create a more welcoming campus environment for all of our students.
2. Enhance our efforts to recruit and retain a diverse student population.
3. Enhance our efforts to recruit and retain a diverse workforce.
4. Diversify university leadership and management.
5. Assign accountability to achieve the goals outlined in the action plan it presents.



The President and Chancellor charged the Committee with developing a unified vision of Diversity for all components of the University of Connecticut (Storrs, Health Center, regional campuses, and the Schools of Law and Social Work). They asked for a consolidated, unified approach, marked by ongoing innovation and insight, which noted both commonalities and differences. The Board of Trustees accepted the Diversity Action Plan at their April 2002 meeting. See Appendix 2.4 for a full copy of the Diversity Task Force Report.

The Office of Multicultural & International Affairs (OMIA) has moved forward on a number of activities emerging out of the Diversity Action Plan. The Board of Trustees has taken great interest in the implementation of the Diversity Action Plan, and mandates that the Vice Provost for Multicultural and International Affairs present an annual briefing to it. Appendix 2.5 contains the latest report of the VPMA to the Board.

In order to implement the provisions of the Diversity Task Force report, some of the more prominent activities include: Task force and committee membership, diversity training for executives and directors, and launching of the diversity web-portal. OMIA participates in and provides leadership to several campus and statewide taskforces and committees. During the 2002-03 academic year, the Associate and Assistant Vice Provosts, provided leadership to three Diversity Action Plan Committees focused on Student Issues, Faculty/Staff Issues, and Campus Oversight. These committees met on several occasions to establish an operational plan for enabling various components of the Diversity Action Plan. These meetings resulted in several new operational initiatives out of OMIA including:

1. University wide diversity web-portal;
2. Committee to support minority faculty and staff mentorship and recruitment;
3. Revision of University admissions publications to reflect greater levels of diversity;
4. Outreach initiatives for Native American youth;
5. Academic Leadership Development Programs for African American, Latino/a, and Native American students majoring in the areas of Science, Technology, Engineering, and Math.
6. Institute on Leadership and Diversity focused around issues of citizenship, diversity education, and leadership in the 21st century for key undergraduate student leaders.

OMIA also participated in a number of other campus-wide committees to enhance the overall climate at the University and insure that the interests of diversity were included in decisions and policies that emerged. Some of these include:

1. Academic Plan Committee
2. Senior Year Experience Committee
3. Athletics Review Committee
4. Retention and Graduation Task Force
5. Alcohol and Campus Life Committee

In addition, OMIA has actively worked with schools and colleges to assist in the recruitment of new minority faculty and staff to the University.

#### Diversity Training and Communication

Working collaboratively and through the leadership of the Office of Diversity and Equity, OMIA offered diversity training to all university executives and directors during the second semester of the 2002/2003 academic year. The Assistant Vice Provost, a Diversity Consultant, and the Director of the Office of Diversity and Equity developed the curriculum and workshops, and distributed materials for all training participants. Training sessions were designed to accomplish a number of learning goals for participants:

1. To overview federal and state statutory provisions concerning discrimination and hate crimes directed at protected classes;
2. To overview processes and procedures for reporting discrimination and hate crimes on campus;
3. To overview the educational and institutional benefits of diversity;



4. To engage leaders in a case study of one diversity management issue in higher education

Over eighty percent of supervisory personnel participated in diversity training including the President, Provost, and several Deans and Directors from around the University. In total, ninety-eight participants took part in six sessions to a high level of success, as nearly seventy-nine percent of respondents reported that the program effectively addressed the challenges that they face as a higher education manager. Furthermore, nearly eighty-eight percent of respondents rated the quality of the training program as either effective or very effective.

Project activities are underway to develop and launch a new institution wide diversity web-portal for students, faculty, staff, and community members. The overarching goal of this new web environment is to provide comprehensive information regarding diversity at the University of Connecticut and extend the university's perspective regarding diversity to the external community. Some sample capabilities of the new site include:

1. Contact information for all units, programs, and initiatives related to diversity at the University of Connecticut;
2. Electronic cataloging of diversity training tools to help faculty, staff, and administrators to conduct independent and continuing diversity training activities in their respective units;
3. Teaching and learning tools to help faculty better understand the dynamics of race, ethnicity, gender, and sexual orientation within the classroom environment.
4. Additional resources to enhance professional and support staff's understanding of federal and state statutory requirements regarding reporting of discrimination and hate crimes.

The Office of the Vice Provost for Multicultural Affairs is constantly reassessing how best to foster diversity at the University, in accordance with the Diversity Plan.

#### **The Task Force on Substance Abuse: Student Affairs Planning**

The Division of Student Affairs has engaged in a number of planning exercises since the last self-study, including the Task Force on Substance Abuse. Following wide-spread concerns about student substance abuse, in 2002, the President created this Task Force. The Task Force, consisting of approximately 24 members chosen from a broad community base, was charged with developing a plan to reduce problems resulting from substance abuse, primarily alcohol.

The Task Force met over a period of three months and gathered information from different areas, including student affairs, public safety and students. Fifty-one recommendations were developed and presented to the University Community. The report is in Attachment 2.6. Most of the recommendations have now been implemented.

#### **The Mansfield Downtown Partnership (The University of Connecticut and Town of Mansfield)**

As a result of long-term evaluation of student and various constituency (faculty, staff, alumni, etc.) satisfaction with the University of Connecticut over many years, a common theme emerged: dissatisfaction because of the lack of a "university town" adjoining the main campus at Storrs. Extensive surveying of potential and matriculated students, as well as those who left the university before their courses of study were completed, dramatically emphasized that this was the most often cited negative associated with UConn.

Pursuant to extensive conversations between UConn and Town of Mansfield officials, beginning in 1999, a plan was undertaken to build a "downtown Storrs" with a "university town" ambience, i.e., mixed uses of dwellings and businesses in the area directly adjacent to the heart of the campus on Route 195 in Storrs. To this end, the Mansfield Downtown Partnership was formed. The Downtown Partnership, a non-profit organization with a full-time Executive Director, has undertaken a Municipal Development Project (MDP) as provided for in state statute, and, through a competitive process, selected a private developer that will make the new "downtown Storrs" a reality.

The planning effort, with evaluative iterations, has been very extensive and is ongoing. It is subject to constant assessment and refinement as the multiple public boards that must be involved in such a development process have provided input and direction. Appendix 2.7 contains detailed information about the history, activities and plans of the Downtown Partnership.

#### **Other Examples of Planning and Evaluation**

Planning and Evaluation efforts in the area of Enrollment Management called for in the 1995 Strategic Plan have reaped impressive results, not only in terms of significant increases in the quantity, quality, and diversity of

undergraduates at UConn, but in our ability to retain and graduate students. The Retention and Graduation Task Force, an ongoing committee reporting to the Vice Provost for Enrollment Management, includes broad-based representation from across the University. It has nurtured initiatives that have contributed to increased student satisfaction, garnered feedback via surveys of entry-level expectations and mid-career and senior satisfaction and increased the likelihood of continued enrollment at and graduation from UConn via analysis of quantitative student data and qualitative phone survey responses of students who choose to leave. This Task Force, its efforts, and resulting outcomes are discussed in greater detail under Chapter Six: Students.

Another planning initiative discussed in greater detail in Chapter Six is the "Enrollment Management Vision." This is an approach that views the University's relationship with its undergraduate students as an ongoing one across an enrollment continuum that stretches from a student's identification as a prospective enrollee early on in high school through recruitment, admission, and enrollment, and on to graduation and beyond as an alumnus. It is based on tailoring a personalized message to meet the unique needs of the individual students by building a relationship whereby the student and university can make decisions that are data-driven and result in a successful experience for both. This initiative is already having measurable effects on student recruitment and retention and satisfaction reports regarding the quality of student life.

### **Accrediting Bodies**

Many individual Schools, or programs within Schools and Colleges, regularly undergo accreditation reviews, specified by national organizations associated with the discipline. The standards for these disciplinary accrediting bodies invariably require creation and implementation of various types of plans, especially strategic plans.

### **Appraisal**

The discussion above illustrates the culture of planning that permeates every initiative or change that the University of Connecticut undertakes. Evaluation of planning outcomes is a key principle embedded in university initiatives. For example, in addition to the planning activities described above, in furtherance of a culture of planning, the Provost has mandated that every School and College undertake strategic planning. The plans will include expected outcomes and mechanisms for assessing whether the academic units are making progress towards obtaining their goals. Further, the Provost has initiated a second round of refinement in the Academic Plan that should be completed by the end of academic year 2006-07.

### **Projection**

The University of Connecticut recognizes that it cannot fulfill its mission and aspirations without careful planning and is committed to continuing and fostering a planning culture. Many of the initiatives or activities discussed above are in the midst of refinement and assessment and will continue to be in the future.

Because of the University's special visibility within the state of Connecticut and its stature as the state's flagship public university, its planning and activity outcomes are continually monitored by state government, the media and the public as a whole. Further, the University Board of Trustees, the Connecticut Department of Higher Education, and the General Assembly (as part of the biennial budgeting process) now and in the future will continue to expect and mandate extensive planning efforts by the University, containing statements of assessment mechanisms and outcome expectations.

## **EVALUATION**

At the University of Connecticut, as described in detail above, planning and evaluation are inextricably linked. This part of the report will consist of a short summary of the evaluation portion of some of the planning initiatives discussed above and recent reorganizations in Academic Affairs at Storrs and in the School of Dentistry at the Health Center. Additionally, we will focus on two major evaluative processes: the evaluation of faculty member performance under the university Promotion, Tenure and Reappointment processes, and the BEST administrative process quality improvement program.

### **Evaluation of Planning Efforts Including Reorganization Planning**

#### **Academic Organizational Planning at Storrs and the Health Center**

The Academic Plan was adopted by the Board of Trustees in 2003. As its implementation has begun, evaluation has shown that some fine tuning or collateral efforts have been necessary. For example, the new Provost (who joined

UConn in March of 2005) decided to suspend implementation of the Grant Competition called for by the Academic Plan in order to address other pressing budgetary and organizational priorities. He made organizational restructuring a high priority, as an essential underpinning to Academic Plan implementation. As a result, at his and the President's recommendation, in 2006, two schools were abolished and the College of Continuing Studies was converted to a Center reporting to the Vice Provost for Undergraduate Education & Regional Campus Administration. At the Health Center, a similar type of evaluation focused on attaining effective management resulted in the collapsing of the School of Dentistry's nine departments into three. The Health Center administration worked with all interested parties in evaluating the best structure for the School of Dentistry, and the reorganization plan is based on this evaluation. These reorganization activities are the direct result of evaluation of existing conditions creating change. The outcomes of these changes will be closely monitored.

### **Information Technology Planning**

The evaluative process for the Information Technology Strategic Plan, discussed above, specifies that evaluation must take place at several levels. The tactics to achieve these strategies which lead to attainment of the goals and assessment measures for each of those tactics need to be established by the four management committees. They will be responsible for the development of the appropriate metrics and assessment measures based on the goals for each of the tactics as they relate to the separate strategies.

In 2002, the University Libraries developed a strategic plan to create, manage, provide access to, preserve, and integrate digital resources with traditional library collections. Based on the teaching, research and service objectives of the University, the program will assess the value and use of digital collections, draw on collection development and other funding, and adhere to international description and access standards.

### **Diversity Planning**

As mentioned above, the Vice Provost for Multicultural and International Affairs evaluates the success of the implementation of the Diversity Action Plan and reports to the Board of Trustees annually on its progress.

### **Illustrative Evaluation Procedures at the University of Connecticut**

#### **Academic Evaluation: the PTR Process**

The University has well-established procedures for Promotion, Tenure and Reappointment (PTR) that have been adopted by the faculties of the University (except for those of the School of Medicine and the School of Dental Medicine) under the authority of the *Laws, By-Laws and Rules of the University of Connecticut*. Tenure-track faculty members are reviewed annually until tenure is awarded. Following the award of tenure, faculty members may request consideration for further promotion, typically to full professor. The review process involves the following levels:

1. Departmental PTR Committee, elected by the department advises the Department Head
2. Department Head makes recommendations to the Dean
3. Dean's PTR Committee, with representatives from each of the Departments advises the Dean
4. Dean makes recommendations to the Provost
5. Provost reviews all reappointments for probationary appointments and all tenure and promotion cases
6. Faculty Review Board serves in an advisory capacity to the Provost to review all cases in which there are differences in recommendations from the Department Head and Dean. Cases referred by the Provost for further study and cases that come because individual faculty request review of their case; this committee is made up of six non-administrative, tenured Full Professors elected by the University Senate.
7. Provost makes recommendations to the President for presentation to the Board of Trustees for all tenure and promotion cases.
8. President may refer an appeal from the Provost's decision to the Committee of Three, a group of elected tenured faculty members.
9. The Board of Trustees approves all promotion, tenure and reappointment cases

The University of Connecticut's PTR process is rigorous and takes almost nine months to complete starting with submission of the PTR dossier by the candidate in early September and concluding with Board of Trustees action in

April. Appealed cases may take longer. Although the process is arduous, the university is committed to it, because its outcome is vital to the strength of the organization. Commencing in 2004, the Office of the Provost and the University Senate have sponsored a PTR Forum for untenured faculty held in the late spring. Junior faculty have been very enthusiastic and evaluation of the forum's success supports its continuation. Assessment feedback on the program from the junior faculty, presenters and Deans has made the program more effective each year, and such assessment will continue in the future.

### **Administrative Improvement Processes – the “BEST” Program**

The University is using a new program to improve the efficiency of a wide range of administrative processes based on a detailed understanding of how they work and where and why problems arise. Teams of people with a stake in a particular process - both providers and users - collaborate to develop a long-term solution that works for all involved.

The program, known as “BEST” (Breakthroughs, Excellence, and Success through Teamwork), was launched at both Storrs and the Health Center in fall 2004 under the leadership of the Vice President and Chief Operating Officer.

Members of the UConn community were invited to identify administrative bottlenecks. The issues tackled initially at Storrs included expediting the search and hiring processes; ensuring timely payment of temporary employees on the University's “special payroll;” reducing the time it takes to complete minor maintenance tasks; and developing an application that sends vendors purchase orders electronically.

The BEST process involves front-line staff as well as managers and “customers” as members of a team addressing a particular issue. After receiving training, the team begins by clearly stating the problem and taking into account the different perspectives of all those involved. The next step is to gather information, quantify the problem, and set targets for improvement. Thus, the BEST program is data driven. A discussion of improvements to processes such as minor maintenance timely completion and improving timeliness of payments to faculty can be found on the UConn Advance newspaper website.

The BEST program includes implementation, oversight, and evaluation, to ensure that the improvements are lasting. Using a “train the trainers” approach, team members who have completed their tasks help train - and in some cases serve on - new teams, so the system perpetuates itself.

At the Health Center, the BEST program has been coupled with a more comprehensive program for clinical activities. There, BEST teams tackled a range of issues aimed at reducing hiring time, reducing capital purchase requisition time, improving patient appointment scheduling, reducing late charges, and reducing grant closeout processing delays.

Plans by the administration call for embedding the BEST approach throughout the University's administrative structure. Many administrative processes are so complex that the University can only tackle them in a piecemeal approach, but this program has begun to break down the silos, allow people to work in collaboration, and provide an objective framework for assessing progress. It is teaching a new way to approach every problem. See Appendix 2.8 for a description of the BEST program and its project outcomes. Continual assessment and refinement of processes is built into fundamental BEST procedures.

### **Appraisal**

Evaluation is often more difficult than planning. All institutions at some level fail to evaluate (or even implement) their plans. As noted several times in this chapter, the University of Connecticut has a culture of planning and evaluation. This attention to both planning and evaluation is motivated by its status as a public institution, which has a very direct linkage to its stakeholders, particularly the people of the State of Connecticut. As described above in the planning and the evaluation sections, assessment is built into the program development process, particularly for on-going activities such as the building program, implementation of the Academic and the Diversity Plans, and the BEST program. Because the University is answerable to its public stakeholders, constant evaluation and assessment is a necessary ingredient in all its undertakings.

There have already been a number of “mid-course corrections” resulting from assessment of the implementation of these plans. For example, as the Provost's Office began implementing the Academic Plan, it was determined that a reorganization of the Colleges and Schools would be desirable, and this re-organization has occurred. Similarly, as is discussed above and in more detail in Chapters Eight, Ten and Eleven, assessment of the outcomes, processes and procedures of the building construction program led to creation of new offices such as the Office of the Fire Marshal and of Construction Assurance, and the development of formal guidelines for construction processes in UCONN 2000 projects. (These guidelines are contained in Exhibit 8.7.)

## **Projection**

As discussed and illustrated above, evaluation will continue to be a cornerstone of the University of Connecticut culture. Issues that will certainly be the subject of evaluation in the near future include the effectiveness of the latest academic reorganizations, and implementation of administrative changes recommended by BEST program studies, the building program plans, and the Academic Plan.

The University of Connecticut is still in an incipient planning stage of assessment and evaluation of student learning outcomes, particularly at the undergraduate level. However, the Provost's Office has made assessment of student learning outcomes a high priority for the institution, and the process is well underway, with dedicated resources attached. See Chapter Four, Assessment section, for more discussion on this topic.

## **INSTITUTIONAL EFFECTIVENESS**

As an institution that has inculcated a culture of planning and evaluation into a myriad of its activities, the University of Connecticut is very much in compliance with the planning and evaluation standards. The institution needs to move forward rapidly and aggressively in the area of assessment and evaluation of student learning outcomes, but it has made a good beginning and is committed to progress in this area.

## Standard Three

### Organization and Governance

As Connecticut's flagship public research university and a Land and Sea Grant institution, our organizational structure and mode of governance reflects our commitment to the goals stated in our Mission Statement. Roles and responsibilities of the members of the University community are described in Connecticut State Statutes and the *Laws, By-Laws and Rules of the University of Connecticut*.

#### Board of Trustees

As outlined by State statute, the Board consists of 21 members. Twelve are appointed directly by the Governor, subject to confirmation by the Connecticut General Assembly, for six-year terms and may be reappointed indefinitely. Five serve as *ex officio* members by virtue of other offices they hold: the Commissioners of Agriculture, Education, and Economic and Community Development; the Chair of the University of Connecticut Health Center Board of Directors (discussed below); and the Governor, who is President of the Board of Trustees and is generally represented at meetings by a member of the Governor's staff. Two are elected by alumni and serve for four-year terms (and may serve no more than two consecutive terms), and two are elected by students for two-year terms—one undergraduate and one graduate or professional student. (It is possible for a student to be elected while enrolled and continue to complete his or her term after graduation.) The President of the University may participate in Board meetings and discussions, but is not a voting member of the Board. (3.2)

The *Laws, By-Laws and Rules of the University of Connecticut* supplement and expand upon language in Connecticut State Statutes (Chapter 10, Sec. 10a-104), which states, in part, that "The Board of Trustees of The University of Connecticut shall... (m)ake rules for the government of the university and shall determine the general policies of the university... (and) develop the mission statement for The University of Connecticut and all branches thereof." The Board is specifically empowered to "(r)evue and approve institutional budget requests...propose facility planning," and handle other designated functions. (3.2) The *Laws, By-Laws and Rules of the University of Connecticut* are contained in Appendix 3.1.

The University *By-Laws* build on this legal mandate, with the Board's authority stated explicitly in Article I:

The functions of the Board of Trustees are legislative and not executive. The Board appoints the President; determines the general policy of the University, including the establishment of new schools and colleges; makes laws for its government; manages its investments; and directs the expenditure of funds. It shall be the duty of each Trustee to attend all meetings. (3.1)

This is, essentially, summarized in the first sentence of Article II: "The corporate authority of the University of Connecticut is vested in a Board of Trustees." The remainder of Article II, and Articles III, IV, and V outline the specific responsibilities, rules, procedures, and structure of the Board. The Board holds formal authority in all significant matters pertaining to curriculum, award of tenure, budget and construction. (3.3)

The University *Laws, By-Laws and Rules* are easily accessible to all members of the University community through the University's website. For those members of the University's staff who do not use computers, hard copies of the University's *By-Laws* are available in the Homer Babbidge Library. Also available on the University's website are a list of Board members, with contact information; Board meeting places and times; and, several days prior to each meeting, the Board's agenda. All meetings of the Board are open to the public (except for executive sessions that deal with matters of individual personnel actions, litigation, or negotiation of contracts), all votes are held in public, and public participation is welcomed in a designated public comment period. (3.5)

The Board has six standing committees that regularly meet shortly before each full Board of Trustees meeting: Academic Affairs; Financial Affairs; Joint Audit and Compliance; Student Life; Building, Grounds and Environment; and Institutional Advancement. Each committee reviews significant items that will come before the full Board. In addition, the Board has an Executive/Strategic Planning Committee that meets intermittently and serves as the committee for evaluation of the President of the University. (3.6) Board members also participate in committees that include other individuals: the Joint Audit and Compliance Committee, which includes representatives of the Health Center Board of Directors; and the Honors and Awards Committee, which includes the President, senior administrators, faculty and students. The Board also receives a report from the Health Center at each meeting.

In terms of Board structure or operation, there have been five key changes since the last NEASC accreditation process in 1995: (3.4)

- In 1997, the Board officially invited the University Senate to designate six members as representatives to the Board. They attend Board meetings, are free to speak at designated times, and receive Board materials prior to meetings. The Senate representatives regularly communicate with the full Senate regarding Board matters.
- In 2001 the Connecticut General Assembly established the Board of Directors of the University of Connecticut Health Center, and authorized the Board of Trustees to delegate to the Board of Directors general operating authority regarding the Health Center. The Trustees retain final authority over the operating and capital budget, development, and matters related to closure of academic departments or changes in tenure policy.
- In 2003, the Board of Trustees established a Joint Committee on Audit and Compliance, which includes members of the Board of Trustees and the Health Center Board of Directors. (Previously, audit activities were overseen by an Audit Subcommittee of the Financial Affairs Committee.) The University's Chief Audit and Compliance Officer, who oversees audit and compliance staff at all units of the University including the Health Center, reports both to the President and to the Joint Audit and Compliance Committee.
- In 2005 the General Assembly formally added two ex officio members: the Connecticut Commissioner of Economic and Community Development, and the Chairman of the Health Center Board of Directors.
- In 2006, the Board established a Committee on Building, Grounds and Environment to oversee facilities and infrastructure issues, most of which had previously been in the purview of the Committee on Financial Affairs.

The Board's composition and manner of appointment (including legislative confirmation) or election promote representation of the general public interest, while concurrently helping assure that the interests of groups most directly affected by Board policy (e.g., students and faculty) are heard. No Board member has a financial interest in the University, though many are donors and student members pay tuition and fees. (3.2) All new Board members receive a thorough orientation and have the opportunity to consult with University officials on any and all matters that affect the University. Each Board committee has, as a resource, a designated member of the University's staff with authority in the committee's area of concern, and the Board committees welcome public or University community input on all policy matters. (3.3)

In 2003, the Board of Trustees engaged an external consultant to develop and implement a survey of its members concerning Board operations. Results were communicated to the Board and the findings laid the groundwork for some modification of procedures (notably including the addition of an extra Board meeting to the annual calendar). Chairman John W. Rowe also initiated a process whereby all Board committees assessed their operations and developed goals for the coming year. The Board is currently considering a formal biennial evaluation process, possibly conducted in accordance with Association of Governing Board guidelines. (3.4)

The Board formally appoints and evaluates only one individual: the President of the University. The University *By-Laws* (Article VII) state, "The President of the University is the chief executive and administrative officer of the University. In this capacity the President is responsible for carrying out and enforcing all policies and regulations adopted by the Board for the operation of the University and is given authority requisite to that end." As Article VII makes clear, the President is the internal and external leader of the University, responsible for the appointment and evaluation of all other University administrative officials and responsible for the interaction of the University with the Governor, the General Assembly, and other units of state or federal government; development and fundraising; development of the University's budget; and, consistent with norms of an academic institution relating to faculty governance, the academic program. In accordance with NCAA policy, the University *By-Laws* clearly stipulate that the Division of Athletics is directly responsible to the President (3.6).

On both formal and informal bases, the University seeks to maintain multiple channels of communication. The open nature of Board of Trustees meetings helps to insure timely and accurate communication between the Board and the rest of the University community. In 2006, the Board began receiving bi-weekly updates from the Executive Secretary of the Board of Trustees (who is located in the President's Office) on University issues. They also receive from University Communications, a compendium of media stories focusing on UConn. The University Senate meets monthly and deals in detail with all aspects of the academic program, and its elected Executive Committee meets midway between full Senate meetings. During the academic year, the President and the Provost each meet privately with the Senate Executive Committee on a monthly basis. The President, Vice Provosts, and other administrators attend Senate meetings, and the President and other senior officials meet as a group regularly, at least monthly, with the Senate Executive Committee. All academic departments meet regularly, as do the Schools and Colleges. (3.3)



The University is working to build on this foundation to further improve communication. The Vice President and Chief Operating Officer has instituted multiple task forces that bring people from various units together to work on issues of general concern. (See Description of BEST Program in Chapter 2.) Key University officials regularly participate in student and faculty fora on all campuses. The President communicates regularly through meetings with student, faculty and staff groups, and invites e-mail communications to which he responds. Each semester, the President sends out an extensive Letter to the Community on topics of interest. The *UConn Advance*, a newspaper published weekly during the academic year, and *UConn Traditions*, a quarterly publication aimed at alumni, also facilitate information sharing and communication. Every college and school, and many departments and university units, also regularly publish newsletters or annual reports. The University continues to explore ways of better facilitating communication among a 30,000-person community that operates in various locations throughout the State. (3.12)

### *Appraisal*

The University's organizational structure is, like that of most major public universities, relatively (and appropriately) complex. While State law and the University's own *By-Laws* give the Board of Trustees final authority over most major decisions, there are multiple opportunities for faculty, students, staff, and others to influence policy. Moreover, as is generally the case in higher education, activities at the core of the University's mission—teaching and research—are largely within the province of faculty, with input from other constituencies. A further layer of complexity results from the fact that we have multiple campuses across the state and a Health Center (including medical and dental schools as well as a major hospital) with its own Executive Vice President reporting to the President.

### *Projection*

The Board of Trustees takes its oversight and policy responsibilities very seriously. For the past two years the Board has explored ways to strengthen its capacity to provide appropriate guidance—not micro-management, but close engagement with all key decisions. The new committee structure, including a strong Joint Audit and Compliance Committee and a Committee on Buildings, Grounds and Environment, enhances the Board's capacity to fulfill this mandate.

## **Chief Executive Officer and Administration**

The President of the University of Connecticut is the Chief Executive Officer. The President meets weekly with the university's senior administration, including: the Provost and Executive Vice President for Academic Affairs, the Executive Vice President for Health Affairs, the University Health Center Chief of Staff, the Vice President and Chief Financial Officer, the Vice President and Chief Operating Officer, the Director of Athletics, the President of the University of Connecticut Foundation, the Vice Provost for Enrollment Management, the Executive Assistant and Executive Secretary to the Board of Trustees, Special Assistant to the President, the Director of University Relations, and the Connecticut Assistant Attorney General assigned to the University. Other administrators are included if needed to discuss issues within their areas. The President meets monthly with the University Senate Executive Committee. Along with other members of the senior administration, he regularly attends monthly University Senate meetings where the Senate elected members, representing faculty, staff and students, have the opportunity to dialogue with them on issues before the Senate.

Reporting directly to the President are the Provost and Executive Vice President for Academic Affairs, who oversees all aspects of the academic and student life program for Storrs, the regional campuses, and the Schools of Law and Social Work, and works closely with the academic Deans and Vice Provosts; the Executive Vice President for Health Affairs and Dean of the School of Medicine, who is responsible for teaching, research, clinical and service activities in the Schools of Medicine and Dentistry and John Dempsey Hospital; the Vice President and Chief Financial Officer, who oversees budget and finance at all units of the University; the Vice President and Chief Operating Officer, who directs administrative and support operations at all campuses; the Director of Athletics, who oversees intercollegiate, intramural and recreational programs; and the Director of Government Relations, who oversees government relations and communications generally. The Director of the Office of Diversity and Equity, who is responsible for implementation of and compliance with nondiscrimination and affirmative action policies, reports directly to the President on policy matters. The Director of the Office of Audit, Compliance and Ethics reports directly to the President and, in addition, reports directly to the Board of Trustees/Health Center Board of Directors Joint Audit and Compliance Committee. The office oversees audit, compliance, and ethics functions across the University. Every other administrative officer of the University reports to the President, either directly or through an administrative structure that is clearly outlined through Board policies and/or organization charts. These charts, which are maintained by the Department of Human Resources, are available through the homepages of the respective Divisions/Schools and Colleges or at the office of Human Resources. A hard copy is contained in Exhibit 3.1. (3.1, 3.7)

The Connecticut Office of the Attorney General has a satellite location in Storrs. The Assistant Attorney General provides legal counsel to the University and the Office's staff is placed administratively within the President's Office. Additionally the President has a Special Assistant and an Executive Assistant for issues relating directly to the Office of the President. (3.7)

The Provost and Executive Vice President for Academic Affairs is the Chief Academic Officer of the University of Connecticut, reporting directly to the President. As chief academic officer, the Provost is coordinator and supervisor of all of the University's programs of instruction and research, except for those assigned to the Executive Vice President for Health Affairs (University By-Laws, Article VIII.B). With counsel of the appropriate deans from the schools and colleges, the Provost recommends to the President and then to the Board of Trustees, all new degree and certificate programs for approval. The Provost also recommends any academic restructuring that may be deemed necessary.

The Provost oversees the Vice President of Student Affairs and Vice Provosts for Undergraduate Education and Regional Campus Administration, Academic Administration, Research and Graduate Education, Enrollment Management, Strategic Planning, Multicultural and International Affairs, University Library Administration and University Outreach. The Deans of the Schools and Colleges report directly to the Provost, including the Schools of Law and of Social Work, which are located in Hartford and West Hartford, respectively. The Provost meets monthly with the Council of Deans, and with the Vice Provosts and Vice President for Student Affairs. (3.8)

The five regional campuses (Avery Point, Greater Hartford, Torrington, Stamford, and Waterbury) report to the Provost. The Vice Provost for Undergraduate Education and Regional Campus Administration is responsible for undergraduate education and academic, operating, and fiscal matters at the regional campuses. Regional campus administration has been restructured since the last reaccreditation. There are two Associate Vice Provosts/Campus Directors (Avery Point and Stamford) and one Associate Vice Provost for the Tri-Campus, which includes Greater Hartford, Torrington and Waterbury. Greater Hartford, Torrington and Waterbury each have a campus Director who reports to the Tri-Campus Associate Vice Provost. Faculty at the regional campus are members of their respective academic departments and report to the academic department heads, most of whom are located in Storrs. Faculty work with the regional campus directors regarding such areas as classroom assignments and office space. Staff at each of the five regional campuses report directly to the campus director. Academic departments are responsible for their tenured and tenure-track faculty in matters of curriculum, hiring, promotion, tenure, and reappointment, with input from regional administration.

The three regional campus Associate Vice Provosts and the three regional campus Directors combine the functions of academic officer, chief financial officer and chief operating officer at the campus to which they are assigned. These individuals are responsible for initiating and implementing curriculum according to the academic focus of each campus. They are also responsible for budgeting and for maintaining physical plant and infrastructure at their campuses. The more visible role of the campus directors and associate vice provosts has led to enhanced visibility and more mission-driven programming at all of the campuses. The Vice Provost for Undergraduate Education and Regional Campus Administration meets monthly with the regional campus Associate Vice Provosts and campus Directors to insure the continued implementation of the strategic plans. (3.9) Pursuant to role and scope statements approved by the Department of Higher Education in 1999 (contained in Appendix 3.2), each of the regional campuses has a mission statement and strategic plan, as does the Tri-Campus, which are contained in Appendix 3.3. In May of 2006, the Vice Provost for Undergraduate Education and Regional Campus Administration appointed a Task Force to study the Tri-campus entity, especially focusing on administrative structure. See Exhibit 3.2 for the announcement of the composition and charge of the Task Force. (3.9)

Resources are allocated on the basis of annual budget reviews and strategic priorities as defined by the University's Academic Plan. The University Senate has an active University Budget Committee, which includes senior level staff representation from the budget office. The University Buildings and Grounds Committee has been charged by the President with responsibility for policy and decision-making relative to the physical infrastructure and capital projects at the Storrs, the regional campuses and the Health Center. The committee is jointly chaired by the Provost and Chief Operating Officer. The new Information Technology Steering Committee, also jointly chaired by the Provost and Chief Operating Officer, submits information technology financial requirements to the Building and Grounds Committee to ensure that all capital needs are given adequate consideration and are appropriately prioritized in the budgetary process. The Provost allocates resources for the school and colleges, the Vice Provosts and the Division of Student Affairs. (3.7)

All program proposals at the University of Connecticut follow a similar path to implementation: departmental approval, school/college Courses and Curriculum Committee approval, Senate approval for lower-division courses and presentation to the Provost for approval. The Provost then submits the approved program to the Board of Trustees for final institutional approval. This procedure is the same for all new programs regardless of location. According to the

University *By-Laws*, the schools and colleges are required to establish and oversee curriculum that is pertinent to their particular areas of expertise. New academic degree programs must also be approved by the Connecticut Department of Higher Education.

Lower division courses and upper division courses open to freshmen and sophomores are overseen by the University Senate, which has its own Courses and Curriculum Committee. New courses are submitted to departmental Courses and Curriculum Committees and, if approved, forwarded to the relevant school/college Courses and Curriculum Committee. Each school/college is responsible for the academic integrity of its own curriculum in accordance with the guidelines specified by the University Senate. Regional campus, evening and weekend programs are all derived from approved courses and taught by departmentally approved faculty. Some of these programs are offered by the schools and colleges themselves and some in partnership with Division of Continuing Studies.

All campuses of the University are governed by the *Laws, By-Laws and Rules of the University of Connecticut* and the University Senate. There are seven standing committees of the Senate; at least one member of each of these committees is from the regional campuses. Eligibility to serve on Senate committees is not limited to Senate membership (Senate By-Laws I.C.2.).

In addition to restructuring the regional campus administration, there have been changes with regard to distance education, international programs, continuing studies and regional campus degree programs, all made in accordance with the mission of the university. (3.8)

- **Distance Education:** The University has developed selected online degrees; a report on this initiative was submitted to NEASC in 2004. There is adequate centralized student and faculty support for these degrees. Both the degrees and the students enrolled are regularly evaluated for continuous improvement. Distance learning technology and facilities were upgraded to state-of-the-art for Storrs and the regional campuses in March 2006. The Institute for Teaching and Learning (ITL) offers distance learning training and a handbook for faculty as well as individual faculty support.
- **International Programs:** The Study Abroad Office has recently developed a University-wide faculty-led Advisory Board to oversee all international study abroad programs and develop policy for these activities.
- **Continuing Studies:** The College of Continuing Studies, which has been offering courses and degree programs at the regional campus locations as well as Storrs, has been restructured as the Center for Continuing Studies which reports to the Vice Provost for Undergraduate Education and Regional Campus Administration. All for-credit programs, both undergraduate and graduate, will be approved and have oversight by faculty committees, departments and/or schools and colleges. Since over eighty percent of Bachelor of General Studies (BGS) students are at the regional campuses, much oversight for the BGS program will devolve to faculty at the regional campuses. BGS, while still administered by CCS, will become a part of the regular academic review structure of undergraduate education and instruction.
- **Regional Campus Degree Programs:** In addition to the Bachelor of General Studies, regional campuses now offer several four-year degree programs as well as selected Master's degree programs. These campuses are no longer solely feeder campuses for Storrs. In the transition to greater emphasis on a mission-focused set of undergraduate and graduate degree programs, linkages between the regional campuses and the departments, schools, and colleges from which their programs emanate have been enhanced. New degree programs have been developed and are being implemented with all academic quality assurances, and the process itself has more fully integrated the regional campuses into the academic structure of the University.

### *Appraisal*

Since the last NEASC accreditation, the University has engaged in extensive review of its organizational structure and system of internal governance. Examples of extensive external evaluations conducted since the last reaccreditation are available in the Team Resource Rooms. In addition, ongoing reviews by the University's Office of Audit, Compliance and Ethics, the Connecticut General Assembly, and State auditors have provided evaluations and recommendations. Within the past year, the Governor's Commission on UCONN Review and Accountability, whose report is contained in Appendix 3.4, examined the UCONN 2000 construction program in detail and came forth with several recommendations relating to oversight and management structure. (3.12) Significant changes in the oversight structure have resulted from this report. See Chapter Eight for more discussion about this report and events surrounding it.

Key changes in the administrative structure adopted since the last NEASC accreditation include: (3.1)

- Creation of the position of Vice President and Chief Financial Officer in 1999. This individual is explicitly assigned responsibility for all aspects of the University's financial operation at all campuses, including both the Storrs-based programs and the Health Center. (Standard 9)
- Establishment of the position of Vice President and Chief Operating Officer in 2003, with authority over all administrative operations across the University.
- Elimination of the position of Chancellor and Vice President for University Affairs, and establishment of the position of Provost and Executive Vice President for Academic Affairs.
- Upgrading the University's audit, compliance, risk assessment and ethics oversight system through the recruitment of a Chief Audit and Compliance Officer, who oversees the Office of Audit, Compliance and Ethics and allocation of additional staff positions. This office has responsibility for oversight of audit, compliance and ethics matters across the University. The Chief Audit and Compliance Officer reports concurrently to the President and directly to the Board of Trustees' Joint Audit and Compliance Committee (see discussion in Chapters 10 and 11).
- Revision of the oversight and management structure for building programs to assure "checks and balances" between those responsible for construction and those responsible for inspection, close cooperation with external agencies (e.g., the State Department of Public Safety and the State Fire Marshall's Office) in assuring that buildings meet code requirements, and revision of cost accounting and reporting procedures to assure tighter administrative control and Board oversight. (3.12) (See discussion in Chapter 8)
- An upgrade in the University's capacity to support and oversee research compliance. In 2002 the University established an Office of Research Compliance (ORC), which operates under the purview of the Vice Provost for Research and Dean of the Graduate School. The ORC is directed by an Assistant Vice Provost, and coordinates the oversight activities of the Institutional Review Board (which oversees compliance in research involving human subjects), the Institutional Animal Care and Use Committee, and the Institutional Biosafety Committee. Each of these bodies has membership from multiple constituencies, but is chaired by members of the faculty and faculty represent a majority of membership. In addition to the committees, the Assistant Vice Provost directs a staff whose function is to assure ongoing compliance in all research activities. (3.10)
- Broad-based initiatives integrating the Storrs-based programs with those taking place at the University of Connecticut Health Center, based in Farmington. In addition to the administrative, financial, and audit and compliance activities cited above, these include joint academic initiatives, notably development of programs in Public Health and embryonic stem cell research.
- Elimination of the position of Vice President for University Advancement. Previously this vice president was, concurrently, President of the University of Connecticut Foundation, and compensated on a fifty-fifty basis by the University and the Foundation. Now the Foundation, which is an independent organization, has a full-time president, and other functions handled by the Vice President for Institutional Advancement are overseen by the President, reporting to the President, by the Director of University Relations.
- Restructuring of the regional campus administration in order to improve and more clearly define academic and staff reporting lines, thus allowing for more effective resource allocation and the assurance of academic quality.

These changes were designed to enhance the efficiency and responsiveness of the University's operation, promote accountability, and, with regard to the third item, relieve the chief academic officer responsible for Storrs-based programs of administrative burdens and allow this individual to focus more completely on the academic, research and student service functions that lie at the core of our mission. (See Chapter 1)

While our organization chart is fairly straightforward, like all major public institutions of higher learning, the University of Connecticut operates in a manner that differentiates it from such other organizations as corporations or standard government agencies. The faculty's intellectual freedom, processes of peer review and evaluation, and control over curriculum are safeguarded by the Board, the President and Executive Vice Presidents. The University Senate, which includes elected members of the faculty, student body, and administrative staff, exercises authority over key areas of policy. Undergraduate, graduate and professional students have their own governance organizations that deal with aspects of student life, outlined in our discussion of Standard 6. (3.3, 3.10, 3.11)

The University has taken the initiative to engage more systematically in economic development activities, including creating a Technology Transfer office and an Office of University Outreach. (3.7, 3.10)

Significant change of the Storrs/ Regional Campus organizational structure and governance has helped to clarify responsibilities and incorporate the regional campuses more fully into the fabric of the University. The structure of having a main campus and five regional campuses which are a part of the same university has elevated the status and quality of the regional campuses, but constant communication is necessary to make the arrangement work. The Vice Provost for Undergraduate Education and Regional Campus Administration serves as the liaison to promote synergy and decrease friction between the regional campuses and the main campus. The current structure has promoted greater academic emphasis and quality. As an outgrowth of the transition from a situation in which regional campuses were predominantly feeder-schools to greater emphasis on a mission-focused set of undergraduate and graduate degree programs at these campuses, the linkages between the regional campuses and the departments, schools and colleges from which their programs emanate have been enhanced. New degree programs have been developed and are being implemented with all academic quality assurances and the process itself has more fully integrated the regional campus into the academic structure of the University. Such successes are labor-intensive, but highly worthwhile. (3.9)

The University engages in academic self-evaluation. Citing the need for “programmatic coherence and consistently high standards of curricular and faculty review” in his letter to the University community entitled *Academic Excellence Through Structural Changes* (10.28.05), the Provost identified three changes in administrative structure that he proposed to the Board of Trustees in November 2005, to be considered and acted upon in January 2006: recasting the School of Family Studies as a department in the College of Liberal Arts and Sciences; eliminating the School of Allied Health and moving its programs into the Neag School of Education and the College of Agriculture and Natural Resources; and recasting the College of Continuing Studies as the Center for Continuing Studies reporting to the Vice Provost for Undergraduate Education & Regional Campus Administration. Issues pertaining to these units had been discussed for over a decade. While there was concern about the extent of consultation prior to the presentation of the draft proposal to the Board of Trustees, multiple meetings with faculty, staff, students, and alumni ensued through the months between the initial recommendation and final Board action, and several faculty and staff recommendations were incorporated into the final proposal approved by the Board. As the Academic Plan and other university plans and policies are developed, it is important to maintain a dialogue with the faculty and other key constituencies at all stages in the process from conception of an idea, through the decision-making process, and on to implementation.

#### *Projection*

The current restructuring of the College of Continuing Studies is intended to integrate CCS more fully with the academic mission of a Research Extensive University and maintain rigorous academic standards. Credit programs within the College of Continuing Studies - the Bachelor of General Studies and the Masters in Professional Studies - follow standard University approval processes and are regularly evaluated. (See Chapter Four) (3.8)

Dramatic changes in the organization and governance of the University are not expected over the next several years. As in the past decade, there may be incremental adaptations to new demands, including continuing efforts to forge appropriate linkages between the Storrs-based programs and the Health Center, and ongoing strengthening of compliance at all levels (Board, administration, and academic programs). Additionally, it is necessary to guarantee, through periodic review, which newly created offices, positions and administrative structures function successfully and as intended.

As was pointed out in Chapter Two, the University of Connecticut has a culture of planning and evaluation. While careful to try to avoid unnecessary disruptions, especially anything that would damage the academic, teaching and research enterprises, the University of Connecticut is constantly seeking to ascertain how it can perform its myriad functions better.

#### **Faculty, Staff and Students**

Faculty members are the foundation of The University of Connecticut's educational programs. Members of the University faculty are integrally involved in educational program development, implementation, and evaluation in their respective areas of expertise. Faculty members are responsible for innovation in and out of the classroom with specific regard for educational programs at Storrs and at the regional campuses. (Standard Five) Faculty have also taken a “grassroots” approach to the development of various interdisciplinary and minor programs at the University. Academic integrity is maintained at the institution and by the institutional leadership, with faculty taking all reasonable steps to prevent academic misconduct. (3.12)

Faculty's role in governance originates at the level of the department and within each faculty member's school or college. This includes the development of the departmental mission and strategic plan, as well as the development or

restructuring of faculty positions. Faculty constitute search committees for the selection and hiring of their peers and are active participants in the Promotion and Tenure Review (PTR) Process, as stated in University Guidelines (See <http://www.provost.uconn.edu/ptr/> and Appendix 3.5 for the PTR guidelines & forms). In addition to the departmental PTR committee, each school/college has an Advisory Council on PTR consisting of tenured faculty members. At the University level, the Faculty Review Board consists of six non-administrative, Full Professors elected by the University Senate, which considers the cases referred to it by the Provost and Executive Vice President for Academic Affairs. Lastly, the "Committee of Three" which consists of faculty members selected by the Senate, handles complaints involving promotion, tenure, and reappointment decisions still in existence following the sequence of peer review procedures, including those of the Faculty Review Board, as stated in the University PTR guidelines. (3.10)

The University Senate, the primary legislative body that oversees educational programs, consists of ninety-one members (Article X - The University Senate), seventy-two of whom are members of the faculty elected to the Senate according to the process established in the *Laws, By-Laws, and Rules of the University of Connecticut*, and three administrative officers elected by and from a group composed of the deans of the schools and colleges, which are Senate electoral constituencies. The three administrative officers are ex-officio members and are not eligible to vote in or be elected from any of the constituencies. The Senate also includes nine professional staff members elected according to the process established in the *Laws, By-Laws, and Rules of the University of Connecticut*, five undergraduate students appointed by the president of the Undergraduate Student Government, and two graduate students appointed by the president of the Graduate Student Senate. The Senate also has thirteen ex-officio senior administrative officers, including the President, Provost and Chief Operating Officer. Typically, the President, Provost and COO attend Senate meetings and make comments and answer questions.

All members of the university are welcome to observe Senate meetings. The Senate establishes minimum rules and general regulations for all undergraduate schools and colleges, as well as general educational policy not under the jurisdiction of the Board of Trustees, the administration or other faculty as specified in the *Laws, By-Laws, and Rules of the University of Connecticut*. In addition to the Senate Executive Committee, which organizes and coordinates the business of the Senate and its committees and meets regularly with the administration, the Senate has several standing committees: Curricula and Courses, Enrollment, Faculty Standards, Growth and Development, Scholastic Standards, Student Welfare and University Budget. Created to attend to the revision of the university's General Education Requirements is the General Education Oversight Committee (GEOC). (Standard Four) The Senate also has a Course Renumbering Committee and a Nominating Committee. The Senate By-Laws state that there must be one undergraduate or graduate student on each standing committee. (3.10)

Faculty have roles in organization and governance through membership on a number of committees. The Senate Executive Committee (SEC) meets once a month with the President and once a month with the Provost. Immediately following one of those meetings, the SEC will be joined by the Chief Operating Officer, the Vice President for Finance, the Vice President of Student Affairs, and the President or Provost. In addition, the President and Provost give frequent presentations and/or updates to the full Senate. The SEC constitutes the faculty membership on the Trustee-Administration-Faculty-Student (TAFS) Committee, a committee that plays a critical role in facilitating communication among represented groups at the University. Faculty are represented on committees integral to institutional policy and planning, such as the Building and Grounds Committee, the Academic Plan Task Force, and the Capital Projects Planning Advisory Committee. Faculty are also instrumental in the evaluation of research initiatives and accomplishments through the University of Connecticut Research Foundation's Large and Small Grants Program, and as members of the Research Advisory Council. Additionally, faculty serve on the Board of Trustees Distinguished Professor Selection Committee.

Faculty serve on other significant boards and committees. The University of Connecticut Institutional Review Board (IRB) ([www.irb.uconn.edu](http://www.irb.uconn.edu)) is responsible for the review of all research involving human subjects on the campuses. The IRB supports the advancement of research through the careful application of ethical principals and legal requirements. Its goal is to create a collaborative relationship with the research community to ensure that research with human subjects is conducted in accordance with the ethical principles of Respect for Persons, Beneficence, and Justice. The Institutional Biosafety Committee (IBC) ([www.ibc.uconn.edu](http://www.ibc.uconn.edu)) consists of University faculty and community representatives who review research and teaching activities that involve recombinant DNA (rDNA), biological agents or toxins. The purpose of the IBC review process is to ensure that University activities comply with government regulations from federal agencies such as the National Institutes of Health and Center for Disease Control, and to provide appropriate safeguards for human health and the environment. The committee meets quarterly to review faculty research proposals and biosafety issues at the University. The Institutional Animal Care and Use Committee (IACUC) ([www.iacuc.uconn.edu](http://www.iacuc.uconn.edu)) is responsible for reviewing the University's program for humane care and use of animals; reviewing concerns involving the care and use of animals; inspecting the University animal housing facilities and study areas; reviewing and approving, disapproving or requiring modifications in activities relating to the care and use of animals; and, if necessary, suspending activities involving animals.

The concept of shared governance is central to decision- and policy-making at the University. Significant to this goal is the positive and cooperative relationship that exists between the University administration and the unions. Regular and open communication exists between the UCONN chapter of the American Association of University Professors (AAUP) and the University administration. Officers of the AAUP Executive Committee and the President of the University confer several times throughout the academic year at *Meet and Discuss* sessions. The AAUP Executive Committee meets bimonthly to discuss activities of the membership, collective bargaining issues, and University issues that are within the organization's purview. The UCONN chapter annual meeting is open to all AAUP members. Additionally there are formal and informal lines of communication with the other collective bargaining units at the University. There are regular Labor/Management meetings between the administration and union leadership and the President and other administrators are frequently contacted by bargaining unit leaders to discuss concerns and issues on behalf of their membership. The University administration has welcomed both the informal and formal lines of communication and will continue to pursue amicable relationships with all bargaining units.

The professional staff at the University is also involved in governance. The University Senate has both faculty and staff representation. The professional staff have collective bargaining representation by the University of Connecticut Professional Employees Association (UCPEA) for staff at the main campus, regional campuses and the Law School, and by the University Health Professionals (UHP) at the Medical Center. There is open communication between the University Administration and UCPEA and UHP. They work together not only on workplace issues but also on initiatives to advance the University. UCPEA and UHP also have representation on University-wide committees and the University meets regularly with leadership of all the unions at the University.

As indicated above, students elect two members to the Board of Trustees, one undergraduate student in the odd numbered year and one graduate or professional student in the even numbered year. Both serve two-year terms and are full voting members of the Board. Any student may attend BOT meetings and make comments during the public comment period. Also as indicated earlier, students serve on the University Senate and regularly attend Senate meetings, and students are represented on numerous University committees. Some of these include the Capital Projects Planning Advisory Committee, Academic Plan Committee, and Parking Advisory Committee. These groups have input on University building programs (UConn 2000 and 21<sup>st</sup> Century UConn), the University's academic vision, and the University's infrastructure. Students serve on the Trustee-Administration-Faculty-Student Committee (TAFS) and are regularly appointed to serve on administrative search committees. (3.11)

The Undergraduate Student Government (USG) is at the core of the student governance system at the Storrs campus. USG is the primary recognized voice of the students and actively partakes in University-wide decision-making through representation and advocacy. The USG Student Senate meets regularly during the academic year. Membership of the USG is open only to registered degree-seeking undergraduate students at Storrs. At UConn's five regional campuses, students are represented by the Associated Student Government (ASG) that represents student views on regional campus and well as University-wide issues. The Graduate Student Senate (GSS) provides a similar function for graduate students at the University. The Student Bar Association at UConn's School of Law represents the interests of Law School students.

### *Appraisal*

Since the last reaccreditation, faculty have worked in concert with one another, and garnered administrative support, in the development of interdisciplinary degrees and minor programs. New committees constituted since last review are the General Education Oversight Committee and Course Renumbering Committee. Faculty members have been intricately involved in the development of new general education requirements that were instituted in 2006. (See the discussion of the General Education Requirements in Chapter 4, and Appendix 3.6).

In addition to being the foundation of educational programs at the University of Connecticut, faculty serve a variety of roles in the area of research. One of the most significant areas of growth since the last external review is compliance. The three principal faculty-based committees, which are constituted primarily by faculty volunteers, are the Institutional Review Board for Human Research (IRB), the Institutional Animal Care and Use Committee (IACUC) and the Institutional Bio-safety Committee (IBC). These committees oversee faculty research agendas while assuring compliance with Federal-, State-, and University-wide regulations.

In an effort to help move the University toward its goal of becoming a recognized leading research institution, serious consideration is being given to new and existing training programs for investigators receiving external research support. Currently, an array of training programs are already in place, such as the "CITI" Program relating to the use of human subjects in research, training programs for individuals using animals in research and programs to ensure lab safety. In addition, the University is currently developing a three-hour long training program for all investigators and managers who receive and manage external research support funds. Standard operating procedures and policies for the ORC and all aspects of its responsibilities are subject to ongoing review and update. The administration



clearly appreciates that the faculty is already subject to an array of compliance and training requirements and expects to implement training programs that are informative and time and effort efficient.

The University is committed to involvement by students at all levels and at all campuses. Whether discussions are for the physical, academic, or administrative future of UCONN, student input is sought and valued. For example, the Capital Projects Planning Advisory Committee, chaired by the Provost and the Vice President and Chief Operating Officer, includes at least one undergraduate student, one graduate student, and one Student Affairs professional staff member. Within the past three years the Graduate Student Senate has assumed a more visible role in issues relating to graduate students in community building, representing the needs of graduate students, programming, and support for Teaching/Research Graduate Assistants in particular. On the regional campuses the University has made the commitment to more fully engage students in University governance by encouraging leadership development, with the hope that this will lead to increased student involvement in the decision-making process. We are experiencing and expecting more regional campus director involvement with students and the strengthening of ties to the Storrs campus. Input from all constituents has always been sought, and that will continue.

### *Projection*

Members of the faculty will continue to participate in the creation of new—and evaluation of existing—educational programs at the University of Connecticut. Faculty members will remain active in the selection and retention of faculty at the University. Insistence on co-governance is expected to remain an important priority for University constituencies. In regard to institutional policy, a systematic approach will be implemented in reorganization of University schools and there will be involvement by University faculty members in programmatic and personnel reassignment recommendations. Compliance programs will be evaluated by University faculty members and their input considered in the ongoing development and implementation of research compliance efforts. The university's record of student involvement is good; it should continue efforts to assess how to increase student involvement and participation in governance issues. Efforts are underway to increase student involvement at our regional campuses.

In the long run, organization and governance structures can facilitate communication and shared responsibility for the institution. The most important determinant is the commitment by individuals at all levels and in all constituencies to work in a collaborative, positive fashion. The Board of Trustees, senior administration, deans, department heads, the University Senate, unions, student government, the alumni association—and individual faculty, students, and members of the staff—all have a role to play. The University is committed to creating a climate that promotes the optimal combination of efficiency and responsiveness and inclusiveness.

## **INSTITUTIONAL EFFECTIVENESS**

Shared governance is the hallmark of the University of Connecticut's governance structure. The University of Connecticut is a fine example of the actualization of the concept. By working together towards the common goal of transforming UCONN into a leading public research university, the administration, faculty, staff, unions, and students have assured our forward progress. While recognizing that each entity within the University has important, unique responsibilities, it is important to ensure that we continue to maintain collaborative processes characterized by effective communication and timely appropriate consultation.

## Standard Four

### The Academic Program

#### I. The Academic Program at the University of Connecticut and Undergraduate Education (4.1-4.19)

As a Research Extensive State Land and Sea Grant institution, the University of Connecticut offers a wide array of degree programs, primarily at the main Storrs campus and the Health Center in Farmington, but also at five regional campuses (Avery Point, Hartford, Stamford, Waterbury, and Torrington), the Law School campus, and the School of Social Work campus. At the undergraduate level, there are seven bachelor's degrees and the two-year Associate of Applied Science degree from the Ratcliffe Hicks School of Agriculture. The one hundred and eight (108) undergraduate majors are organized into eight schools and colleges. Sixty-six undergraduate minors are also available. The Graduate School oversees several master's degrees, the Doctor of Musical Arts and the Doctor of Philosophy degrees. There are seventy (70) fields of study at the master's level and sixty (60) at the Ph.D. level, including several professional graduate degrees, e.g., the M.B.A., M.S.W., and M.P.A. A range of certificate programs allows graduate students to focus their studies in particular areas. The University of Connecticut Health Center has M.D. and D.M.D. programs (UCONN is the only public School of Dental Medicine in New England). The Law School offers J.D. and LL.M. degrees. The Health Center and the School of Social Work offer a Ph.D. degree under the direction of the Graduate School, which can be pursued independently or jointly with their professional programs. There are minimum requirements of attendance for at least a year for degree programs, at the sites of that program. (4.1)

Oversight of these programs resides with the faculty within the departments, schools and colleges of the institution. Many departments have a Curricula and Courses committee. Each school or college has a Curricula and Courses committee, which receives proposals from departments and programs. The University Senate has its own Curricula and Courses committee, which is responsible for all courses open to freshmen and sophomores, as well as all contained within the undergraduate general education program. The General Education Oversight Committee has particular responsibility in this area. Other Senate committees, notably the Scholastic Standards committee, play a role in ensuring the academic integrity of the programs and its oversight by faculty. The Dean of the Graduate School, together with the Graduate Faculty Council, oversees the graduate fields of study. Policies and procedures to guide these committees are set out in the part of the *Laws, By-Laws and Rules of the University of Connecticut* that applies to the University of Connecticut Senate. (4.2)

Proposals for new academic programs are initiated by the faculties of the academic departments, interdisciplinary programs or non-departmentalized school that will offer them. These programs must be approved by the department and by the faculty and dean of the relevant school or college. The Graduate School has purview over graduate programs that are not under the auspices of the Medical, Dental and Law Schools, and these graduate programs must be approved by the Graduate Faculty Council, a body elected by the faculty of the Graduate School's constituent academic units, through its Executive Committee. All proposals from any program, undergraduate or graduate, that reports to the Provost must go through the Provost's Office and comply with its procedures before submission to the Board of Trustees. The Medical and Dental Schools have parallel approval processes, which require ultimate approval by the Vice President of the Health Center, and the approval processes for their programs then fold into the university process at the Board of Trustee level. For interdisciplinary programs, approval by the faculty and deans of all the schools or colleges involved in the program is necessary. Once new undergraduate programs have been proposed and approved by the relevant departments and Deans, they are forwarded to the Provost's office to a committee specifically charged with new program review. In addition to ensuring that the appropriate departmental and college reviews have occurred, this committee considers the impact of the new program on the university as a whole. Graduate programs, as mentioned above, are approved for academic merit by the Executive Committee of the Graduate Faculty Council, circulated for informational purposes to the Dean's Council, and then transmitted to the Provost's Office, which then takes the programs to the University of Connecticut Board of Trustees for approval.

All graduate and undergraduate programs then must be licensed, and ultimately accredited, by the Connecticut Department of Higher Education (CDHE), in compliance with its guidelines for program approval (see the CDHE website at <http://www.ctdhe.org/Regs/PDFs/ProgramApplication.pdf>). Under CDHE guidelines, the University of Connecticut may not confer degrees until final CDHE accreditation is obtained. Substantive revisions of existing undergraduate accredited programs are normally approved at the school and college level, with the approval of the dean, and approval by the Provost's Office. Graduate program revisions are directed through the Graduate Executive Committee to the Provost's Office. The procedures to be followed for new program approval, together with the required approval form, may be found on the Provost's website ([http://www.provost.uconn.edu/program\\_approval/](http://www.provost.uconn.edu/program_approval/)). (4.3, 4.5)

Between 1998 and 2004, Academic Program Reviews were carried out for departments and non-departmentalized schools, using a procedure developed by a faculty/administrator Task Force in 1996. The Report of the Program Assessment Task Force, which outlines the procedure, is contained in Appendix 2.1 and is on the Provost's website at [www.provost.uconn.edu](http://www.provost.uconn.edu). The heart of the procedure was a self-study, followed by a visit by a team of outside evaluators. The outcomes of these assessments are used to revise, or even eliminate, programs as needed. These program reviews are significant, and the evaluations of the departments have had significant effects on a number of programs. For example, such a review resulted in the dissolution of the Geology and Geophysics department and redeployment of departmental faculty into other academic units. In addition to these University of Connecticut initiated reviews, many programs, particularly in the professional schools, are evaluated by accreditation bodies. This self-study's planning and evaluation section also discusses the academic program review process.

Departments are aggregated into schools and colleges, and further assurance that programs are meeting institutional standards can be found at this level. This occurs on an annual basis, when the dean meets with each department head to review progress and possibilities for improvement. Annual reports are required that contain metrics, which enables progress to be assessed. In addition to these departmental/program level review and planning activities, schools and colleges and the institution as a whole engage in strategic planning. An example of these planning activities can be found at <http://www.canr.uconn.edu/5yearplan.pdf>. (4.3, 4.5, 4.8, 4.9)

These planning and review processes may frequently result in recommendations for change, but any such recommendations go through multiple levels of review before they are put into place. A specific change might be reviewed by the Department, the School or College, the University Senate, the Provost, the Board of Trustees, and the CDHE. Major changes in academic offerings go through all of the processes outlined above, culminating in approval by the CDHE. Changes that do not require approval at that level are still reviewed by faculty at the departmental and school/college level and sometimes by the Provost, before being implemented. (4.10)

At the undergraduate level, the catalog in operation at the time a student enters a program at the University of Connecticut is considered binding on the institution. Thus, while programs may be changed or eliminated, the requirements articulated at the point of entry are maintained and the courses required made available. For example, the General Education Requirements were recently revised at the university, but the former requirements remain in force for students who entered a program under the old catalog. Note, however, that there is a limit of eight years on the applicability of courses toward degree requirements. (4.11)

Schools and colleges, in association with the Division of Enrollment Management, have policies and procedures governing undergraduate admission and retention. Academic support services are collected together within the Vice Provost for Undergraduate Education and Instruction. The Institute for Student Success includes the Academic Center for Exploratory Students, the First Year Programs and the Center for Academic Programs, all of which are designed to support students particularly when they are new to the institution and at greater risk. An early alert system notifies advisors by the sixth week of the semester when students are not performing well in individual courses. Support services to both faculty and students are provided by the Institute for Teaching and Learning. The Writing and Quantitative Centers offer workshops for faculty and tutoring services for students. Other units offer support around technological issues, course and program design and teaching skills. Enrichment programs (which include Honors, Individualized Majors, Undergraduate Research and Study Abroad) collaborate with departments, programs, schools and colleges to provide additional opportunities to expand and deepen student learning. These centralized resources are extremely valuable for sustaining and improving undergraduate academic programs. (4.3)

The University of Connecticut sets minimum standards for graduation at the Bachelor's level. These include at least 120 credits, completion of at least two semesters of academic work at the University of Connecticut, a GPA of at least 2.0 and fulfillment of the General Education Requirements, outlined below. Individual program requirements, all of which have to be approved by the schools and colleges, determine the distribution of courses to be taken for a given major. The Graduate School sets minimum credit requirements for its degree programs, e.g. 15 credits for a Plan A (with thesis) Master's and 24 credits for a Plan B (without thesis) Master's. Individual students' advisory committees oversee their programs, which must also meet the requirements of the relevant Field of Study. Advisory Committees may include individuals from outside the institution, particularly at the Ph.D. level. Ph.D. dissertation proposals require additional review from outside of the Advisory Committee. All of these requirements are published in the Undergraduate or Graduate catalogs, which are available in print form. All language in the catalog has to be approved by the faculty bodies relevant to the program in question. (4.4)

The University of Connecticut Libraries attempt to provide a broad and deep collection of resources, in both print and electronic formats. In addition to the Homer Babbidge Library, there are several specialized libraries at Storrs and libraries at each of the regional campuses. Assistance in using these resources is provided at multiple levels. Basic information literacy is taught in first year English classes as part of the general education program. Computer technology competency is checked with online modules taken by all incoming students and both electronic and in

person resources made available to remedy any shortcomings. Operating under the auspices of the division of Undergraduate Education & Instruction, the Learning Resource Center housed in the Homer Babbidge Library offers and coordinates these services for students. A library liaison is provided for each major and graduate field of study. These individuals work closely with faculty and students to ensure that the more advanced and specialized needs are met. Each undergraduate major has produced an information literacy plan for its students that articulates requirements and how they will be met. (4.6)

Instruction in English writing and literature is provided to undergraduates in the freshman English seminars. These are followed by the requirement that all undergraduate students must successfully complete two writing intensive or "W" courses. While most courses require students to write, W courses emphasize writing instruction, have enrollment capped at 19 and include the provision that students must pass the writing components to attain a passing grade in the course as a whole. One of these W courses must be approved specifically for the student's major, to assure that the writing skills specific to particular disciplines are learned. W courses focus in particular on writing, but other language skills (listening, reading and speaking) are integral to most courses and all programs at the university. While graduate students as a whole do not receive classroom instruction in English, all work closely with their advisors to produce a dissertation, thesis or other written work. In addition, programs are in place to improve the English proficiency of graduate students whose first language is not English, and successful completion of these programs is required of such students who wish to serve as teaching assistants, unless they have shown an appropriate level of proficiency through testing upon entry into the program. (4.7)

The University, with very minor exceptions, e.g., teaching a continuing education course on site in a corporate facility, has direct control of its physical resources. (4.12)

### **Undergraduate Degree Programs**

Undergraduate degree programs are governed by the schools and colleges and are comprised of three sets of interlocking requirements. All students must meet the same set of general education requirements, outlined below. Schools and colleges can add to these requirements and do so in a variety of ways. The College of Liberal Arts and Sciences requires additional study in many of the areas covered by the general education system, for example with additional courses in defined areas of the arts and humanities. The professional schools often have specific courses required of their students for accreditation purposes. For example, for ABET accreditation purposes Engineering students are expected to complete an ethics course offered by Philosophy. Finally, come the degree requirements for each specific major, consisting of preparatory work, often in other departments, and then advanced course work in the major. All programs require a coherent and extensive body of coursework in the major and related disciplines. Generally, requirements include at least eight courses within the major, plus at least four courses in closely related fields. At least 120 credits are required by all programs; the requirements of the professional schools often exceed this number. These sets of requirements are communicated clearly to students in the print and electronic catalogs, and in a series of advising documents prepared by the various academic units. Students supplement these required components and follow their own interests by choosing electives to make up the total number of credits required for their degree. Students must file a Plan of Study, which details how they will meet the standards for their degree. All students are required to have a grade point average of at least 2.0 at the time of graduation, with some schools and colleges requiring higher averages. (4.13-4.14)

### **General Education**

The University of Connecticut has had a comprehensive set of General Education Requirements (GER) for undergraduate students in place for decades, with an extensive revision occurring in 1987. The university recently (May 2005) launched a newly revised general education system. The new system evolved from an extended series of discussions about general education and a review of the efficacy of the 1987 GER that lasted almost two years and involved faculty, students, advisors and academic administrators. These deliberations culminated in the approval of the new guidelines by the University Senate in May 2003. Integral to the new requirements was the creation of a General Education Oversight Committee (GEOC), representative of all schools and colleges and chaired by a faculty member given fifty percent release time from normal duties. The Senate charged this committee not only with the task of instituting the new system but also with its ongoing oversight, building in the expectation for evaluation and adjustment.

The new guidelines (<http://geoc.uconn.edu/geocguidelines.htm> and Exhibit 4.1) state the following:

The purpose of general education is to ensure that all University of Connecticut undergraduate students become articulate and acquire intellectual breadth and versatility, critical judgment, moral sensitivity, awareness of their era and society, consciousness of the diversity of human culture and experience, and a working understanding of the

processes by which they can continue to acquire and use knowledge. It is vital to the accomplishment of the University's mission that a balance between professional and general education be established and maintained in which each is complementary to and compatible with the other.

These overall goals were not new to the system. Rather what changed were the means to their end and a renewed commitment to their execution. Principles articulated for the new system were that the requirements should be common to all schools and colleges of the university and that courses in most categories should be accessible to entering students and therefore have limited prerequisites. In addition, wherever possible, general education courses should be taught by tenure-track faculty, rather than graduate students or adjunct faculty. The new general education system has a similar number of courses but in fewer categories than the curriculum it replaced. In addition schools and colleges are not allowed to restrict student options within the system. This results in greater student choice, allowing students to follow their own interests. (4.15)

The new system is described in terms of *four content areas* and *five competencies*. The four content areas are Arts and Humanities, Social Sciences, Science and Technology, and Diversity and Multiculturalism and students are required to take 6-7 credits in each of these areas. The five competencies are Computer Technology, Information Literacy, Quantitative Skills, Second Language and Writing. There is variety in the ways these competencies can be fulfilled, but, in general, they are described in terms of basic or entry requirements, common to all students, and then advanced or exit requirements that are specific to each major. Thus, for writing, all students must take freshman English (4 credits) and then two additional W courses, which emphasize writing instruction, one of which must be in the major. The enrollment cap of nineteen for W-Courses ensures individualized feedback for each student. (4.16, 4.18)

The GEOC established clear criteria for courses to be included in each content area and competency. Faculty and departments were then invited to submit both existing and new courses for inclusion in the general education curriculum. There was no automatic rollover of courses from the previous system. Course proposals are required to outline how the objectives of the specific content area or competency will be met and also which of the overarching goals of general education are addressed. Subcommittees established for each content area and competency review the proposals and then recommend disposition to GEOC. Currently, about two-hundred and fifty courses have been approved for the content areas and four-hundred courses have been designated for teaching quantitative or writing skills. (4.15)

The general education program requires a total of approximately forty-nine credits. However, in some cases a single course may be used to meet more than one requirement (e.g., a content area course may also be a writing intensive course) and so the total number of credits is usually less than this. A survey of the plans of study followed by the different schools and colleges showed that the number of general education credits is always at least forty. (4.17)

Despite being in a transition period, since many students still fall under the previous system of requirements, the new system appears to have the capacity to meet the needs of the undergraduate student population. As registration proceeds each semester, enrollments in each course and sets of courses are monitored and additional sections organized as needed. Currently GEOC is articulating clear learning outcomes for each content area and competency. Assessment of student learning outcomes is in the early stages. In some cases, these are already clear, e.g. information literacy, and evaluation tools are being designed or evaluated to measure the extent to which they are being met. (4.15, 4.18)

### **The Major or Concentration**

Requirements for each major are clearly articulated in the catalog and often in the plan of study forms completed by junior/senior students. The school or college containing the major sets minimum standards for the numbers of credits to be included. For example, in the College of Liberal Arts and Sciences, the field of concentration for each major must include at least thirty-six junior/senior course credits, twenty-four of which are within the major itself and twelve in closely related areas. A grade point average of 2.0 is required in these courses, which must be described in an approved plan of study, come from two or more subject areas of the University and be completed with a GPA of at least 2.5. The Individualized Major Program (<http://www.imjr.uconn.edu/>) also requires thirty-six credits. Majors must have a plan of study that includes courses from two or more departments, is endorsed by three faculty members, and is approved by the Individualized Major Committee.

Academic departments determine the sequencing of courses within their majors. The university is currently renumbering its courses, partly in order to improve the communication of recommended course sequences to students. Departments are also responsible for articulating learning objectives for their majors and mapping out the achievement of these objectives across their curriculum. Each department is required to consider the writing,

information literacy and computer technology requirements of its graduates and develop plans for meeting those requirements. These plans have to be approved at the school or college level and, in some cases, by GEOC. Many departments have capstone courses, designed to integrate learning across the major. Professional schools link academic learning in the classroom with practical experiences in the field. For example, Neag School of Education students engage in a series of supervised practica in local school districts, beginning with observation and ending with full responsibility for the classroom. In general, the professional schools are accredited by their cognizant agencies, ensuring that graduates meet standards appropriate to the field. (4.19)

In addition to their major, students may also elect to complete a minor field of study at the University of Connecticut. A minor consists of 12-18 credits of related coursework, usually at the junior/senior level, that can be used to complement or extend a student's major. The precise requirements are set by the faculty originating the minor and are then approved by the relevant departmental and school/college Curricula and Courses committees. These approvals are then communicated to the Provost's office, which is responsible for informing the Board of Trustees and the Department of Higher Education. Because these programs do not exceed eighteen credits, approval by these bodies is not required. These programs are evaluated as part of the normal process of departmental review.

### *Appraisal*

The University has the structures and organization in place to assure the rigor and integrity of the academic programs it offers. The administration works closely with the faculty, in particular the University Senate and the Graduate Faculty Council, in the oversight of its programs. Considerable power is devolved to the academic departments to determine their own goals and programs, as is appropriate since this is where the relevant academic expertise is to be found. In addition, departments are organized into schools and colleges, which have oversight responsibilities and all are following policies and procedures set by the *Laws, By-Laws and Rule of the University of Connecticut* and by the Provost.

The University recently completed a series of self-studies and reviews of all of its academic departments. These reviews were extensive and rigorous and resulted in discussions with the Provost about future directions. However, the extent to which agreements based on these discussions have been carried out has varied. It is clear that the University must continue the process of regularly reviewing its academic programs, including academic centers and institutes, as well as developing a plan for systematically implementing the resulting recommendations.

The move to a more systematic approach towards the assessment of institutional effectiveness is in progress at multiple levels within the University. The success of these assessment efforts depends on the continued involvement and support of faculty and the provision of sufficient resources.

### **Undergraduate Degree Programs**

As a result of recommendations in the 1995 University of Connecticut Strategic Plan, *Beyond 2000: Change*, the position of Vice Provost for Undergraduate Education was created. Undergraduate Education is one of the six Areas of Emphasis in the University of Connecticut Academic Plan adopted by the Board of Trustees in 2003. To further these strategic plans, a Center for Undergraduate Education (CUE) has been created and is housed in its own building. Due to the implementation of these plans, the University has been extremely successful at attracting students over the past decade such that admissions are now capped at the Storrs campus, with only a small divergence allowed above the 3200 freshman cap. However, the numbers of faculty and support staff have not kept pace with the growth in student numbers. This has resulted in larger class sizes and an increased likelihood that classes will be taught by adjunct faculty and graduate students, rather than tenure-track faculty. For example, thirty-four percent of freshmen and sophomore undergraduate classes at the Storrs campus were taught by graduate students in 2004/05. See Exhibit 4.2 for statistics. The use of graduate teaching assistants and adjunct instructors requires good communication between these individuals and the regular appointment faculty of the department to ensure consistency between different offerings of a course and high quality of instruction. It appears likely that this communication does not always occur, particularly with adjuncts at the regional campuses, who are often not well integrated into their Storrs-based departments. The University needs to ensure that there are enough permanent faculty for the University to carry out its dual educational mission at the undergraduate and graduate levels and that mechanisms are in place to evaluate the effects of staffing decisions on the quality of its academic programs. The drive for the highest quality instruction and linking of faculty scholarship with undergraduate teaching requires both a reduction in class size and an increase in the percentage of classes taught by permanent faculty.

The improvement of the University's undergraduate programs has been assisted by the development and consolidation of the Institute for Teaching and Learning, the Enrichment Programs and the Institute for Student Success, all within the Center for Undergraduate Education. This consolidation gives greater visibility to these



programs and easier access for both students and faculty. The Enrichment Programs are strong and growing, involving greater numbers of students. For example, participation in Study Abroad rose from 7.2 percent in 2003 to twelve percent in 2006.

## **General Education**

The University's general education program is substantial, well constructed and broadly based. The content area requirements ensure a breadth of learning for all students at a basic level, while allowing students to follow their own interests. These courses, when combined with the competency requirements, result in students from all programs meeting the forty credit requirement. The integration of advanced competency requirements into the offerings of each major program assure advanced skills in these areas and provide links between the general and more specialized curricula. The general education curriculum could be strengthened by creating thematically organized cross-disciplinary clusters of courses that would reinforce and complement each other, providing students with the opportunity for a more coherent general education experience.

The system of oversight via a General Education Oversight Committee (GEOC), recently established, assures that the general education curriculum is under the control of a group of faculty, who are responsible for monitoring its function and making recommendations about its improvement. The systems developed for review of courses prior to acceptance into the program are rigorous and clear, and appear to be functioning well. They have resulted in a rich menu of courses from which students can select. This curriculum is being strengthened on a regular basis by the availability of course development grants from the Provost's office, which allows the introduction of new courses or the improvement of existing ones on an annual basis.

GEOC has taken the first steps towards oversight to ensure that courses are being taught in a manner that is consistent with the guidelines under which they were approved. For example, the Registrar reports to GEOC on the size of all sections for writing intensive classes whose enrollment has recently been restricted to a capacity of nineteen students. In addition, departments are currently being asked to revisit their plans for writing and information literacy in order to reveal problems and share best practices. However, these are just the beginnings and many more procedures need to be put in place to ensure appropriate oversight.

As is true in other areas of the academic program, there are concerns about insufficient resources for general education, especially faculty resources. Instructing many general education courses are particularly challenging, especially in situations like W courses, where students are required to work with the faculty member to do multiple revisions of a long paper. While a regular process assures the addition of course sections in an attempt to meet the required capacity for general education courses, this process is only partially successful. For example, many general education classes are very large and therefore limit faculty-student interaction and pedagogical approaches. In addition, fewer than half (42.7 percent overall) of general education classes were taught by "regular" faculty in spring 2006, ranging from a high of 45.5 percent in Storrs, to a low of 9.4 percent in Torrington. The term "regular faculty" includes tenured, tenure track, in residence faculty, instructors and lecturers on regular payroll; the "other instructor" categories include visiting faculty, graduate assistants, adjuncts, and professional staff who hold appropriate advanced degrees. See Exhibit 4.3 for a statistical breakdown by campus of types of instructional faculty for academic year 2005-06 overall and general education courses. It should be noted that although the General Education guidelines call for as many classes as possible to be taught by regular faculty, the use of the "other instructor" categories is not inappropriate: each instructor is screened by disciplinary-specific academic officials (such as department heads) to ensure competency to teach the subject matter of the course, and course syllabi are reviewed by appropriate academic officials. Further, teaching introductory undergraduate courses is part of graduate student professional development, and adjuncts, who are chosen for their knowledge of the field, often bring a unique external perspective to the classroom. Overall in an institution such as the University of Connecticut that emphasizes graduate education, one would expect that "regular faculty" would teach almost all upper division and graduate courses. Nevertheless, efforts should continue to be aimed at achieving the goal of having a large percentage of General Education classes taught by regular faculty.

While the requirements for what constitutes a general education course in a particular category are well articulated, it is less clear what students should be able to do after taking these classes. Establishing these learning objectives is a prerequisite for assessing the effectiveness of the system as a whole and therefore needs to be a priority. Current assessment efforts are limited to either indirect approaches, for example student perceptions of general education course availability in exit surveys, or direct assessment of abilities only in specific competencies, for example information literacy.

With the advent of the new system, there have been considerable efforts to reach out to university faculty, staff and students to familiarize them with its details and its significance. In particular, September 2005 was designated General Education Month by the Provost and many events were held that drew attention to the value of a general



education. This process needs to continue, with emphasis on students so that they understand the importance of this part of their curriculum and make well-informed choices as they select their own programs. Students often view general education as a series of isolated requirements to be fulfilled and do not understand the relationships between the individual parts. One idea under development at the moment is to create sets of linked courses that are drawn from different content areas, allowing interdisciplinary connections to be made.

### **The Major or Concentration**

Appraisal of the many different undergraduate majors at the University of Connecticut is a challenge. While clear and rigorous procedures are in place for their establishment, the measurement of their effectiveness is uneven. While the program reviews described above address some of these concerns, they are not necessarily targeted at addressing student learning. The professional schools have clear procedures for assessing program effectiveness, thanks to their periodic reaccreditations. However, the University overall needs to develop a system for periodically assessing the effectiveness of majors or concentrations that are not in the professional schools.

The degree of coherence and developmental sequencing of courses within majors and areas of concentration varies across programs, ranging from required course sequences in the professional schools and sciences to more open-ended course selection in the humanities and some social sciences. It may be appropriate to introduce more structure into some programs, particularly by adding senior capstone experiences. Majors and concentrations are also uneven in the opportunities they provide for individualized academic experiences through internships, study abroad programs, or undergraduate research. Optimally, opportunities of this type should be provided for students in any major or concentration offered by the university. The university has recently developed structures through the Individualized and Interdisciplinary Studies Program that facilitate collaborations across departments and schools/colleges for interdisciplinary, team teaching and provide fora for the sharing of curricular innovations and strategies. (<http://www.iisp.uconn.edu>)

A greater number of opportunities for cross-disciplinary or interdisciplinary studies are now available to undergraduate students. These include new majors, for example Cognitive Sciences and Environmental Sciences, and a large number of new minors. Minors are a relatively new addition to the University, having been introduced in 1997. Sixty-six minors are now available and represent a useful opportunity for students to develop a concentrated area of study that can complement, focus or otherwise enrich their major. While interdisciplinary programs represent useful additions, caution is needed to ensure that all appropriate support structures are in place, particularly when they cross departmental and sometimes school or college boundaries.

### *Projection*

In general, the procedures and policies that govern the establishment of academic programs of the University are functioning well and therefore significant change is not required or likely. Evaluation of the operation of programs is less well developed, but progress is occurring and will continue in this area. Assessment of the effectiveness of the recently completed cycle for the evaluation of departments will lead to a process of regular review with clear and immediate feedback on departmental operations.

To address concerns about the quality of undergraduate education that arise from increasing class size and greater reliance on adjunct faculty and graduate teaching assistants, the Provost has begun a campaign to the State for 175 additional faculty lines. Additional faculty lines, if provided, will not only improve the faculty to student ratio, but will also provide the additional personnel who are needed to integrate general education courses across the required content areas and begin implementing the strategic planning goals of the Division of Undergraduate Education and Instruction. Without an appropriate increase in faculty lines, significant progress in the directions discussed below will not be possible.

The Office of the Vice Provost for Undergraduate Education and Instruction lists three goals within its strategic plan. They are:

- a. An individualized experience for each undergraduate, with advising plans and curricula that meet the needs and interests of each undergraduate, including at least one form of experiential learning.
- b. A learning paradigm that shifts the focus from the teacher as instructor to the student as learner, with the ultimate goal of promoting lifelong learning.
- c. An academic culture that promotes global citizenship.

Although this division is not directly in charge of faculty and programs, these three goals resonate with other efforts across the university. Undergraduate Education and Instruction is working with faculty and programs to achieve these goals. Increasing numbers of students will participate in experiential learning opportunities, with the ultimate goal being participation by all students. The benefits of studying within a research extensive university will be more fully realized by creating more opportunities for undergraduate research and engaging students to participate in these opportunities. More courses will include a service learning component as the University builds stronger links with local communities.

The University has also initiated several efforts that will improve the effectiveness of course delivery and the curricula of majors and concentrations. Current efforts to renumber courses into four rather than two undergraduate levels, along with efforts to articulate learning outcomes for courses and majors and concentrations, will lead faculty to think in terms of student learning rather than teaching, and lead to more majors and concentrations exhibiting structured course sequencing with senior capstone experiences. Students and faculty alike will be more aware of learning goals and therefore more likely to achieve them.

The goal of increasing global awareness among the students will be accomplished through several venues. As study abroad opportunities are integrated more fully with the majors, student participation is targeted by the Provost to increase to thirty percent by the year 2011 in contrast to the current participation rate of twelve percent. Creating new courses that emphasize global or international approaches, expanding international content of existing courses, and articulating links between courses will also enable students to become more globally aware. In May 2006, a Task Force established by the Vice Provost for Undergraduate Education issued a report on "Developing Global Citizens" (available at [www.Provost.uconn.edu](http://www.Provost.uconn.edu)) that sets forth a plan for implementing the Division of UE&I strategic plan's third goal. (Appendix 4.1)

Technology is likely to play an increasingly important role at the University. Most courses now include a WebCT/VISTA component to complement classroom instruction. Communication between faculty and students has been revolutionized by email and this is likely to be extended by wider use of chat rooms and other electronic discussion formats. The introduction of e-portfolio, beginning in fall 2006, will provide opportunities for both students and faculty to track student development and link their work across different departments. While few courses are taught totally on-line, this number is likely to increase. As assessment efforts to determine course effectiveness mature, an important component will be the comparison between different methods of course delivery. The University is currently choosing among different Personal Response System technologies and their use will increase to provide further opportunities for interaction, particularly in large classes.

The Task Force on Teaching, Learning, and Assessment, recently formed by the Provost, will develop mechanisms and policies that facilitate the achievement of the second goal articulated by the Division of Undergraduate Education and Instruction. This task force is charged with recommending ways to 1) improve the quality of teaching and learning at the undergraduate and graduate levels; 2) offer opportunities for professional development; 3) develop assessment tools to inform and improve classroom instruction; 4) ensure that quality of teaching will be a strong consideration, along with research, in reappointment, promotion, tenure, and merit, as mandated in the *By-Laws*. As a result the goals of undergraduate education will be stated more clearly across the University and a greater importance will be accorded to them in relationship to the other missions of the institution. See Exhibit 4.4 for the charge and composition of this Task Force.

## **II. Graduate Degree Programs [4.20-28]**

One of the basic tenets of graduate education is that for quality graduate education to thrive, research must coexist with and enhance the process of classroom teaching. Faculty members of the Graduate School, while dedicated to teaching, carry on active research programs. Their research serves many purposes. First, it supports graduate education by developing new knowledge in areas of scholarly interest. Second, it provides training opportunities in research and scholarship for graduate students in residence. Moreover, these programs fulfill the University's obligations as a land-grant, sea-grant, and space-grant consortium institution, by conducting research and disseminating information to the public in areas affecting the nation's welfare. As the state's flagship public research university, the University of Connecticut occupies a unique role. It is a Carnegie Research Extensive university and is the only public institution of higher education in Connecticut whose mission includes offering research-based and professional doctoral degrees. (4.20)

Graduate education at the University of Connecticut is supervised by the more than 1,100 members of the University's Graduate Faculty, which includes a few non-University affiliated persons. The Graduate School is led by the Dean, who is advised by the fifty-five member Graduate Faculty Council. Membership on this legislative body is by election to three-year overlapping terms. Two graduate student representatives also serve on the Council. The Graduate Faculty consists of faculty members who have been appointed on the basis of their professional

credentials, active participation in research, or other professional activities as determined by their respective departments. Criteria for membership at both the master's and the doctoral levels are set by the Graduate Faculty Council. Appointment to the graduate faculty is made by the Dean of the Graduate School upon recommendation by the administration of the department and school or college in which the faculty member is housed. Membership is renewable every seven years, upon review of the person's record of contemporary scholarly activity and his/her record of mentorship of graduate students. (4.22)

Graduate programs in Law, Professional Pharmacy, Medicine, and Dental Medicine are administered independently from the Graduate School. They are all fully accredited by the appropriate national accrediting bodies. The Law School and the Professional Pharmacy administrations report to the Provost at the Storrs campus, while the clinical Medicine and Dental Medicine programs report to the Executive Vice President at the Health Center. Graduate programs at the Health Center include the Ph.D. in Biomedical Science and in Public Health (joint with the Storrs campus), as well as master's degrees in Public Health and in Dental Science. These programs are under the jurisdiction of the Graduate School, as administered by an Associate Dean on the Health Center campus who reports to the Dean of the Graduate School. (4.22)

Admission to the Graduate School is both limited and competitive, and is based upon academic qualifications *and* scholarly potential. Especially at the doctoral level, evaluation includes a rigorous assessment of the applicant's projected ability to succeed in the research enterprise by performing at the highest level of independent scholarship. All applications are processed initially by the Graduate School, at which time the applicant's academic transcripts are evaluated for authenticity (accreditation status of the schools attended) and qualifications exceeding the minimum criteria for admission eligibility (GPA of 3.0 or better in all courses taken). International students must present evidence of English proficiency (minimum TOEFL scores of 550 paper, 213 computer-based, or 80 for the internet-based test, or an IELTS overall band score of 6.5). This proficiency is subsequently reviewed by a committee of graduate faculty members in the respective program. (4.23)

Graduate School admission decisions are determined primarily by the academic qualifications of the applicant and the ability of the program to accommodate the interests of the student. Each applicant is considered individually by a faculty admissions committee and the applicant's complete profile is evaluated. This profile is based on a combination of metrics, which includes the grades earned at all previous institutions, a personal statement of purpose, at least three letters of recommendation, and for international students, test scores providing evidence of English language proficiency. Many programs also require scores of other standardized tests, including the GRE, MAT, GMAT, etc. The Graduate School also encourages submission of scholarly works or other documents that illustrate the applicant's qualifications for graduate study and where possible, a personal interview and visit to campus. (4.23)

Fully qualified applicants are admitted with *Regular Status*. In those cases where a domestic applicant's qualifications (particularly grade point averages) are slightly low but there is other evidence of scholarly potential, he/she may be admitted with *Provisional Status*, but only at the master's level. The academic performance of each provisional student is reviewed after completion of twelve graduate credits and if the student has performed at the level of B or better in all courses, he/she is granted Regular Status. Otherwise, the student is subject to dismissal. (4.23)

Two other admission categories exist but are used infrequently. *Language Conditional* status may be granted to an international student who is fully qualified academically but needs a period of time to meet the Graduate School's English language requirements. *Visiting Student* status is granted to students who seek a period of advanced study but are not seeking a University of Connecticut graduate degree. Typically these latter students are matriculated at another institution and are studying here with a specific faculty member for a finite period of time before returning to their home institutions to complete their degrees. (4.23)

The graduate degree program requirements at the University of Connecticut vary by discipline. Master's degree programs may be either professional or academic, with the degree requirements varying with the purpose of the program. For example, master's programs in nursing, education, social work, and music contain practicum, internship or performance requirements as part of the degree. Programs designed for mid-career professionals like the Master's in Public Health and the Executive Master's in Business Administration tailor course offerings to meet the schedules of those working full-time at managerial-level jobs. (4.26)

Master's degrees are awarded with or without the thesis option (Plan A and Plan B, respectively), depending on the nature and purpose of the program. The Plan A master's degree is typically in an academic, rather than a professional, field of study. It requires a minimum of fifteen didactic graduate credits, along with nine credits of thesis research, and the completion and defense of a thesis. The Plan B master's degree requires a minimum of twenty-four graduate credits followed by a comprehensive examination. Many focused professional degrees require

substantially more than the minimum credit requirement. For example, the M.P.A. degree requires forty-eight graduate credits, the M.B.A. degree requires fifty-seven credits, and the M.S.W. requires sixty credits. (4.25, 4.26)

Requirements for the doctorate include a minimum of either twenty-four post-master's graduate credits or forty to forty-four post-baccalaureate credits, successful completion of a general examination (which may be written, oral, or both), submission and approval of a dissertation proposal, completion of independent research as outlined in the proposal, writing of a dissertation based on the results of that research, and finally, defense of the dissertation. Some programs include additional requirements, e.g., demonstration of competence in either a foreign language or a related or supporting area of study. Standards for residency and the formation and function of the advisory committee are set by the Graduate School and published in the Graduate School Catalog. (4.25)

### *Appraisal*

Graduate programs have been reviewed as part of the recent seven-year cycle of formal academic unit reviews and have been covered in the resulting discussions and agreements. Unfortunately, this process has not provided a clear picture of graduate program quality since much of the effort in the reviews has been focused on other components of departmental operation. Accordingly, the Graduate Faculty Council (the Graduate School's academic governing body) through its Executive Committee is developing a more focused assessment process, one where a specific set of metrics with high relevance to graduate (especially doctoral) education can be assembled on an annual basis. This assessment covers both the research and graduate education domains. For the doctoral faculty, metrics similar to those used in the NRC doctoral assessment are being compiled. These include rates of scholarly publication and presentation, per capita research expenditures where appropriate, doctoral completion rates, doctoral student retention, and success in diversity initiatives among others. These metrics provide a convenient measure of annual progress, which can be used in any broader assessment as well.

At the master's level, we seek evidence of success, either by continuation to a doctoral degree program or by entering one of the professions. While scholarship is less evident in master's education, the retention and graduation rates, along with time to degree, are important indicators of a well-functioning master's program, along with placement rates and career success.

UConn has pioneered (and is known nationally as a leader in) the establishment of the Professional Science Master's programs. Funded initially through a grant from the Sloan Foundation, these programs represent a new approach to master's education. In addition to solid fundamental science, graduates of these programs receive training in business practices, communication skills, and practical work experience through internships that make them much more competitive and productive early in their careers. Currently there are three of these programs, Applied Financial Mathematics, Applied Genomics, and Microbial Systems Analysis, with more planned. See Exhibit 4.5 or the website, <http://www.smasters.uconn.edu>, for information about the professional Master's programs.

Another indicator of the quality of the UConn graduate education is the sustained high demand for the University's graduate programs and the high yield of students matriculating in the Graduate School each year. The most recent available numbers (for fall 2005) indicate that 2210 of 6009 (thirty-seven percent) of applicants to Graduate School programs were admitted. Moreover, of those admitted, 1865 (eighty-four percent) matriculated. These numbers are averages and some programs are substantially more selective while others are less selective. Nevertheless, the selectivity is greater than many of our benchmark peers (public land-grant universities), while the yield is among the best within this group. The diversity of state and country of origin of the graduate cohort is another indicator of high quality. In fall, 2005, graduate students from nearly all fifty states and several territories along with one hundred foreign countries were matriculating in the Graduate School.

Another important indicator of quality is that graduates from the University of Connecticut's master's and doctoral program continue to find excellent positions in research, teaching, business and industry, health and social service, government, the arts, and the media. A system has been in place for the past two years to track first post-graduation positions for our master's and doctoral graduates and have partnered with the UConn Foundation to track doctoral alumni from the last twenty-five years' graduating classes. This project is still under development, but it is anticipated that within the next year or two there will be enough data to begin to develop a profile of our alumni successes. Career placement is a particularly important measure of graduate program quality – especially at the doctoral level.

Considerable resources have been directed to the support of graduate education, and new efforts continue to be made to ensure the competitiveness of such support. Stipends are increased each year by an amount coupled to the annual increments received by faculty, and this practice will be continued. A portion of the Graduate School's pre-doctoral fellowship pool has been redirected in the past three years to focus more on recruiting the very best and brightest graduate students. Moreover, the Graduate School has funded a competition for grants up to \$10,000 to

develop innovative ways of recruiting domestic students, including underrepresented minorities. This continuing effort, in its second year, is showing positive results to date.

It has been nearly fifteen years since the last National Research Council Assessment of Research Doctorate Programs. In the 1993 assessment the University of Connecticut programs were ranked over a fairly wide range, with some quite competitive nationally and others needing considerable improvement. Since that time major changes have occurred in many programs, including (1) greatly improved physical facilities, (2) better focus on building critical strength in well-focused areas of faculty research expertise, and (3) a greater focus on graduate student preparation and quality, among others. The next cycle of assessment is to take place in 2006-07 and we are looking forward to this external measure of quality of many of our constituent research doctoral programs.

### *Projection*

Research and graduate education will play a major role in advancing the reputation of the University in the next decade and beyond. The Trustees and the administration recognize this and have built a strong commitment to it into the Institutional Strategic Planning documents. Emphasis on targeted areas of excellence in all disciplines will lead to greater research accomplishments, which in turn will lead to a stronger institution in all respects.

New graduate degree programs will continue to be added as the need is identified and the financial and other resources are available. The procedures we follow to introduce such programs assures that every such program is rigorous in quality and well-supported intellectually. Likewise, as the results of the 2006 NRC doctoral assessment are made known and the graduate program review process begins to show trends in quality, it may be expected that some programs will not grow and may even be phased out. Any such actions will be guided by the current University Academic and Strategic Plans and will result from a thorough analysis of each program's place in the overall mission of the University.

### **III. Integrity in the Award of Academic Credit (4.29-4.43)**

Academic degrees and recognition are awarded upon completion of approved academic programs. These programs are proposed by the academic departments and approved following the procedures defined by the Office of the Provost (<http://www.provost.uconn.edu/>). Approval culminates with the Connecticut Department of Higher Education. Programs are also accredited by various agencies, such as professional societies, and are compiled by the Office of Institutional Research. (<http://vm.uconn.edu/~wwwoir/tabcon05.htm>).

The courses offered by the University of Connecticut are described in course catalogs, which are available at the following web site, [www.catalog.uconn.edu](http://www.catalog.uconn.edu). (Copies of the Undergraduate Catalogue and the Graduate Catalogue accompany this self study). The catalog is monitored both at the institutional and departmental levels to remove listings of courses that are no longer offered. University Senate policy has established that, with the permission of the appropriate department head, any course not offered during the previous five years may be removed from the catalog (<http://www.senate.uconn.edu/senmin.041204.doc>). (4.30)

### **Content**

The University exhibits its authority over academic elements of all undergraduate and graduate courses through the Curricula and Courses committees of the departments and schools or colleges and (for introductory courses) the University Senate. The Senate Curricula and Courses Committee is charged with oversight of undergraduate courses open to freshmen and sophomores and those courses comprising the general education requirements required of all students. The General Education Oversight Committee (which reports to the Senate Curricula and Courses Committee) provides continuing review of general education courses required of all students. A new course numbering system is currently being implemented. (See the Report of the Course Renumbering Task Force at the Senate webpage, [www.senate.uconn.edu](http://www.senate.uconn.edu)). The Graduate Faculty Council oversees graduate courses. The Senate Scholastic Standards Committee is charged with scholastic matters affecting the University that are not assigned to the Senate Curricula and Courses Committee. These include academic programs, the marking system and scholarship standards (academic probation and dismissal, minimum grade point averages, etc.). These procedures are outlined in the By-Laws, Rules and Regulations of the Senate (See Appendix 4.2 or <http://www.policy.uconn.edu/pages/findPolicy.cfm?PolicyID=286>). Graduate courses are reviewed by the Curricula and Courses committees of the constituent academic units at the school and college level, and then forwarded to the Graduate School for publication. (4.31)

### **Delivery**

After course approval there is ongoing oversight by appropriate faculty within the program or department responsible for delivery of the course. Teaching by new faculty may be observed and evaluated by department heads or their



designees. GEOC is intended to continue oversight of all approved general education courses. The Institute for Teaching and Learning (ITL) has resources available to all persons teaching courses, including adjuncts and teaching assistants. See the discussion of the ITL in Chapter 7. Also see the discussion of the PTR (Promotion, Tenure and Reappointment) process contained in Chapter 2 under Evaluation and Chapter 5. The university administers teacher evaluation surveys to students on an ongoing basis. At present, these student ratings are the most important single source of assessment information about course delivery. (4.31)

### **Selection of Faculty**

Faculty are recruited by search committees composed of members of the academic unit as well as expert faculty from other units. Faculty are selected based on both scholarship and communication skills. Oversight is provided by the Office of Diversity and Equity and by Human Resources according to their policies. See Chapter 5 for a discussion of the faculty recruitment process. (4.31)

### **Evaluation of Faculty**

The Office of Institutional Research is charged with the administration of a campus-wide student evaluation of teaching program. Each department's teaching faculty are assessed in at least half the courses they teach. The evaluation consists of fourteen standard Likert-like evaluation scales and three to five open-ended free response items. These open-ended response sheets are returned to the instructor by the Office of Institutional Research along with a summary of the responses to the standardized questions (See Appendix 4.3 for a sample evaluation form, plus the data about university rating averages). The statistics are used by faculty as a basis for improvement of their classroom performance. They are also used by the various Promotion, Tenure and Reappointment (PTR) committees at the Department, College and University level in arriving at their decisions. While some departments supplement these procedures with classroom observations and interviews by PTR Committee and/or Department Heads, in many cases these statistics are the only systematic examination of teaching. The Office of Institutional Research has not examined the reliability of the scores from administrations of these instruments. Classes with fewer than five registered students are not regularly evaluated in this process. Part of the charge of the Task Force on Teaching, Learning and Assessment appointed by the Provost is to consider potential changes in the course evaluation system to enhance their usefulness in both formative and summative applications. (4.31)

### **Admission & Registration of Students**

It is the function of the Undergraduate Admissions Office, a part of the Division of Enrollment Management, to admit qualified new undergraduate students at the University. To support this goal, the office works with interested students and guidance counselors through Open Houses, as well as participating in regional and national college fairs ( <http://www.lib.uconn.edu/online/research/specilib/ASC/findaids/Admissions/MSS19980236.html#d0e3>). A separate, independent process occurs at the graduate level under the auspices of the Graduate School. (4.31)

As of fall 2005, the University of Connecticut enrolled 20,525 undergraduates and 7,558 graduate and professional students in seventeen Schools and Colleges. Enrollment statistics are collected, maintained and reported by the Office of Institutional Research (OIR). OIR maintains an expansive website with a number of valuable statistics. ([www.oir.uconn.edu](http://www.oir.uconn.edu)) (4.31)

The Office of the Registrar compiles information about undergraduate courses and programs. The staff registers students, creates and maintains their records, provides certified documents, issues transcripts, processes grades, monitors NCAA student athletes' academic progress, and audits degrees ( <http://www.lib.uconn.edu/online/research/specilib/ASC/findaids/Registrar/MSS19840018.html#d0e57>). (4.31)

Services also include course record management, classroom assignment, final exam scheduling, academic and administrative policy monitoring, and information dissemination. Detailed information regarding the Registrar's Office location and services is available on their webpage (<http://www.registrar.uconn.edu>). (4.31)

### **Student Retention**

The University of Connecticut has a Division of Enrollment Management, under the leadership of the Vice Provost for Enrollment Management, whose charge is to admit high quality students and facilitate their retention. The university ranks well with respect to retention. Currently more than nine out of ten freshmen return to UCONN in their sophomore year. To avert freshman attrition, communication early, often and at key junctures is imperative. A mid-term grade program calls on faculty to provide the registrar's office with a list of all undergraduate students who are struggling in their freshman-level courses after six weeks of classes. The registrar, in turn, notifies each student's advisor, First Year Experience instructor, and residence hall director, who direct the student to the range of academic support resources available at UConn (from the *Advance*: <http://www.advance.uconn.edu/2003/030908/03090802.htm>). (4.31)

For undergraduates, the University's Retention and Graduation Task Force has been successful in promoting a campus culture that values the importance of providing proactive and reactive support services for freshmen so that they persist toward their degree in a timely fashion. For undergraduates, a measure of the opportunity to graduate within an appropriate time is the length of time to degree. This is reported by the Office of Institutional Research. The most recent information (fall 2004) is that seventy-one percent of all freshmen graduate within six years and sixty-seven percent of minority freshmen graduate within this time period. This ranks the University 20th and 18th respectively when compared to public research peer universities (<http://vm.uconn.edu/~wwwoir/tabcon05.htm>). See Exhibit 4.6 for a trend data chart on this subject, as well as discussion in Chapter 6.

The University of Connecticut has been nationally recognized for its achievements in undergraduate retention. At the "RETENTION 2006 Conference" in Las Vegas, the Educational Policy Institute (EPI) awarded our Retention and Graduation Task Force with its initial "Outstanding Student Retention Program Award" that will be presented annually to a higher education institution that exhibits excellence in developing and implementing a student retention program. By honoring excellent work being done to create programs that use innovative means to help students realize their goals, EPI is furthering its mission to create opportunities for minority students at post secondary institutions. (4.29)

The Graduate School currently allows six years for a master's degree and eight years for a combined master's and Ph.D. degree. With the implementation of the PeopleSoft Student Records system in 2001, the ability for students to self-monitor their progress toward meeting degree requirements was provided online via "advisement transcripts" or degree progress reports. Monitoring enrollment within subject areas, with particular attention to General Education course offerings, is continually done by the Office of Undergraduate Education & Instruction which reallocates resources to provide additional course sections as enrollment trends for certain majors shift, thereby ensuring a timely completion of degrees by undergraduate students. (4.30)

A major factor in undergraduate freshman retention success is the First Year Experience (FYE) program that enrolls the majority of first-semester freshmen each fall and acclimates students to the challenges of the freshman year, both academic and non-academic. UCONN Connects provides intervention during the semester, intersession and post-freshman year. This program helps students academically by pairing them one-on-one with a peer mentor.

Adjustment issues affect many freshmen. Students who are no longer academically the big fish in a small high school pond may feel apprehensive. To exacerbate the situation, many who participated on high school athletic teams or activities are unable to do so in college, also leading to anxiety. Nurturing student involvement in intramural activities or clubs and organizations increases a sense of belonging and contributes to academic success and retention. The Division of Student Affairs also has a student counseling program for students who find adjustment difficult or experience other social adjustment challenges.

The Institute for Student Success (<http://uei.uconn.edu/iss.html>) provides a variety of programs to support undergraduate students. These include the Academic Center for Entering Students that provides academic advising for students entering the University without a designated major and those yet to choose a major. The First Year Experience program provides an array of one-credit courses, a network for personal support, interactive online resources, and special living/learning experiences. Peer Education Programs is a collection of campus programs and resources for students interested in making connections with new people, gaining valuable experience and skills for future career opportunities, enriching the UConn community, and making a difference in the lives of other students. UCONN Connects provides one-on-one support to students to get them on the right track to success in school and in life. The University supports several multicultural centers including the African American, Asian American, and Puerto Rican and Latino Cultural Centers, and the International, Rainbow and Women's Centers. See the Students chapter for more information on retention issues. (4.31)

### **Transfer Credit and Evaluation of Prior Learning**

The university policy for transfer of credit from other institutions is articulated on the web site (<http://web.uconn.edu/transfer/guidelines.htm>). The University has "Guidelines for Evaluating Undergraduate Course Work to be Transferred from Other Colleges and Universities to the University of Connecticut" available at <http://web.uconn.edu/transfer/guidelines.htm>. Articulation agreements exist with several colleges or schools and with Connecticut Community Colleges. Over the past decade, the University of Connecticut has continually worked with the Community Colleges to facilitate transfer articulation agreements. Many of these are for specific programs. The University of Connecticut is presently entering into a new round of discussions with the Connecticut Community Colleges to facilitate transfer credit pathways. See articulation agreement discussion guidelines in Appendix 4.4. It is also actively engaged in conversations with Community Colleges who are not part of the Pathway Program to update existing transfer agreements. (4.32 & 4.41)

The University accepts up to six credits of advanced course work (with a grade of B or better) taken at another institution to be included on a Master's degree plan of study (Graduate Catalog, p.28). Up to two years of graduate



work completed at an accredited institution may be accepted for a doctoral program with certain provisions (Graduate Catalog, p. 32). (4.43)

Selected courses are offered through the Early College Experience program that allow advanced high school students to receive credit for University courses offered in their high school. Their instructors, the ECE Faculty, are adjunct professors who are certified by UConn's ECE Program Coordinators within the respective departments, who are also responsible for ensuring the equivalence between high school and university offerings of the courses (<http://ece.uconn.edu>). (4.32)

### **Service Learning**

Service learning – an academic program that includes both off-campus experience and classroom reflection – involves students leaving campus to work in the community. The work may be local, statewide, or even international. The faculty member then helps the students learn more from the experience by encouraging them to reflect on it in a structured way – through journal assignments, for example, or class discussion. A service learning component may be added to courses in any discipline (<http://www.advance.uconn.edu/2004/041025/04102510.htm>).

In addition to programs under the auspices of the Vice Provost for Undergraduate Education and Instruction, the Office of Community Outreach, a program within the Department of Student Activities of the Division of Student Affairs, regularly provides students with service learning opportunities, on a volunteer basis. See the Community Outreach website at [http://www.studentactivities.uconn.edu/co\\_index.html](http://www.studentactivities.uconn.edu/co_index.html).

### **Internships and Experiential Learning**

Internships and Independent Study are encouraged by specific programs to broaden student experience. The requirements for credit are overseen directly by the specific programs. Establishment of internship programs goes through the same process as establishment of a new academic course. Note that not all degree programs grant credit for internship experiences. The Department of Career Services manages cooperative education work program experiences for students in coordination with academic departments. Experiential learning is an important part of the curricula of many professional schools, including business, education, law, nursing, social work, medicine and dentistry. (4.33)

Currently, the University of Connecticut does not award credit for prior experiential or non-collegiate sponsored learning that did not occur under its auspices. The only limited exception involves the Bachelors of General Studies degree. In this case, some transfer students can include credits for experiential and non-collegiate sponsored learning for their first sixty credits of course work if (and only if) a previous accredited institution of higher education had awarded credit. This BGS exception occurs on an ad hoc basis; trained professional staff members in the Admissions Office make the decisions about the appropriateness of accepting transcript credits for experiential learning from other institutions; and currently no written rules are used to guide this practice. Experiential learning is an important part of the curricula of many professional schools, including business, education, law, nursing, social work, medicine and dentistry. (4.34)

### **Study Abroad**

The study abroad program maintains a list of approved courses. These courses have been previously reviewed by the faculty for awarding of credit here at UConn. Courses not listed are evaluated by appropriate faculty in the program for which credit is to be awarded (<https://secure.sa.uconn.edu/sap/studioabroad/>). See the discussion above under Undergraduate Education for a description of the Global Citizens initiative. (4.33)

### **Academic Standing Rules**

The institution publishes requirements for continuation in, termination from, and readmission to the University in the Undergraduate Catalog. The catalog is available both electronically and in print form. ([www.registrar.uconn.edu](http://www.registrar.uconn.edu)) (4.35)

Rules governing academic integrity, cheating, and plagiarism are articulated in the University Senate By-Laws (sections E-10 and E-13) and also in the University's Student Code of Conduct. The University Senate, under advisement by its Scholastic Standards Committee, is contemplating additional policies regarding academic misconduct. (4.36)

### **Evaluation of Course Offerings**

Monitoring of the appropriateness and timeliness of course content for all courses offered at the University of Connecticut is the responsibility of the programs, departments, and schools or colleges offering the courses. In addition to the "traditional" semester-long offerings, UConn offers undergraduate and graduate programs and courses for abbreviated or concentrated time periods and via distance learning. Individual programs offering the

courses are in charge of assessment of the effectiveness of these “non-traditional” modes of teaching. The GEOC does require additional approval for general education courses to be offered in intensive sessions. These shortened offerings are evaluated through faculty report. (4.37)

The University has a system of course teacher evaluations that has been in place for many years. By University Senate mandate, every course is mandatorily evaluated on alternating semesters, and the Office of Institutional Research makes available the option of every-semester evaluation. Almost all academic departments opt for the every-semester evaluation cycle, which applies to courses taught by adjuncts. The large majority of courses offered at the regional campuses, especially those with “traditional” course structures, use the same system of teacher evaluations as at the main campus in Storrs, as does the Center for Continuing Studies. In 2006, the Provost appointed a Task Force on Teaching, Learning and Assessment whose charge includes reviewing the present course evaluation system. The University Senate, which has jurisdiction over teacher evaluation policies, is expected to make recommendations for change in the present system after consideration of the Task Force’s final report, which is expected early in 2007. (4.38)

At the moment, the University’s technologically mediated courses and programs (both undergraduate and graduate) are offered primarily through the Center for Continuing Studies, the Institute for Teaching and Learning, the School of Business, and the School of Education. All these academic units provide faculty members with technical support for course design and development. Furthermore, students can learn how to use these programs through websites established and managed by the sponsoring academic units, such as the Distance Education Office in the Center for Continuing Studies ([www.continuingstudies.uconn.edu](http://www.continuingstudies.uconn.edu)) and the Accounting Department of the School of Business ([www.business.uconn.edu/msaccounting](http://www.business.uconn.edu/msaccounting)). (4.38)

The creation of off-campus courses and distance learning courses is subject to the *By-Laws, Rules and Regulations* of the University Senate. Each course is subject to review and approval by the appropriate school or college curricula and courses committee. (4.39)

Certain individual programs seek advice from the business community and other external groups to assure that program graduates have appropriate job skills. Many programs formalize this in the form of external advisory boards. (4.32)

The Curricula and Courses committees of the various schools and colleges and the University Senate and its Curricula and Courses Committee and Scholastic Standards Committee oversee the courses and academic requirements of undergraduate programs as well as the marking systems. The faculty are expected to provide a course syllabus to the students that sets out the objectives and specific subject matter of the course as well as the grade standards. (4.32)

At least ten graduate-certificate programs officially exist. Most are listed in the annual graduate catalog. Some typical certificate programs include “International Studies,” “Music Performance,” “Nursing—Acute Care,” and “Public Financial Management.” University policies governing the creation, academic expectations, and graduation standards for the graduate certificate programs can be found at <http://www.grad.uconn.edu/faculty/forms.html>. The certificate programs vary in admissions criteria because of the relevance of students’ professional experiences, but all programs require that students have already completed their baccalaureate degrees. The admissions standards for a specific academic program can be found on the web site of the sponsoring academic unit, usually a department. The University periodically evaluates all graduate certificate programs, and the review schedule is determined by the Graduate Faculty Council. (4.40)

### **Residency**

All undergraduate students must complete the last two semesters (30 degree credits) of their work at the University. The graduate student residence requirements are stated in the Graduate Catalog. For example, for students in a Ph.D. program, during the second or subsequent years of work in the field, at least two consecutive semesters in residence must be completed. (4.42)

### **Appraisal**

The University oversees the integrity in the awarding of credits. Programs at the University receive review and evaluation routinely and at several levels. Naming of programs is appropriate. In addition, forty individual programs are independently accredited by their appropriate professional societies. Thus for those programs for which this is available, there is external validation of the program. While a few programs are overdue for accreditation, in general these have a long history of successful prior accreditation by external professional societies. (4.29)

Information regarding courses is readily available in a variety of media. The Undergraduate and Graduate catalogues that govern degree program completion requirements and course offerings are available in both print and electronic versions at Storrs and the regional campuses, and in electronic versions for degree programs offered under the auspices of the Health Center. The Registrar and appropriate academic officers, including the Provost, Deans, and Department Heads, are responsible for ensuring that there are sufficient germane course offerings to allow students to graduate in a prescribed period of time. In 2005, the Provost's Office charged the Vice Provost for Enrollment Management and the Registrar to work together to identify specific course "bottlenecks" (i.e., lack of sufficient course offering seats or inability of students to make timely course completions) that seemed to be impeding timely graduation for a number of students. The Vice Provost for Enrollment Management, the Vice Provost for Undergraduate Education and the Registrar, working together and with pertinent academic department heads, have been able to address these "impedance" issues within lower division offerings. The University has a mechanism to address staffing issues for required upper level courses, but this has not received the same amount of attention as lower division staffing (see discussion in the Faculty Standard chapter). With the implementation of the PeopleSoft student records system, it is now possible to track efficiently which courses have not been regularly taught in recent years. The Registrar has identified these courses. Deans and department heads are working on making sure that all listed courses are either taught or rescinded. (4.30)

Assessment of instruction procedures and a standard "student evaluation of teaching" survey instrument are governed by University Senate policy and cannot be modified without approval of that body. An adequate and reliable procedure to assess instruction is needed. The Provost's Teaching, Learning & Assessment Task Force is currently working on this issue.

The Office of Institutional Research (OIR) maintains the results of the student evaluation of teaching surveys (<http://vm.uconn.edu/~wwwoir/facev.html>). In the most recent university wide summary of evaluations (fall semester 2005) the overall student rating was quite good. The median of eleven teaching criteria ranged between 8.6 and 9.1 on a scale of 1 (unacceptable) to 10 (outstanding).

The University has attracted highly qualified students based on high school class rank and SAT scores. The University ranks 17th compared to other public research peer universities based on students scoring in the 25th SAT percentile. (<http://vm.uconn.edu/~wwwoir/tabcon05.htm>). The University student retention and graduation rates are good. As of the fall 2005, at the Storrs campus seventy-two percent of students graduate within six years (<http://vm.uconn.edu/~wwwoir/tabcon05.htm>). However, this drops to between 37% and 46% at the other campus sites, in large part due to transfers out of the University of Connecticut system.

Each program is logically constructed and leads to "mastery of the knowledge, methods and theories" of the particular discipline at the undergraduate level. The most obvious testimony to program effectiveness is among the professional programs that require periodic reaccreditation by professional societies. The OIR also conducts an annual survey of recent graduates to evaluate their academic experiences. The Department of Career Services receives both formal and informal feedback from employers seeking qualified candidates for Cooperative Education and internship assignments as well as for full-time employment upon graduation. The Department also sponsors events which bring together employers, faculty, staff, and students for the purpose of discussing students' preparedness for the work force, any changes in needed skills and abilities, and ways in which industry can help the University perform its basic mission. The feedback regarding students' knowledge and experience (general preparedness) has consistently been positive. (4.32)

Currently there are no official University rules governing the acceptance of transfer credits awarded for experiential learning. As noted above, the general university policy is not to allow such credit. Also noted above, for the Bachelors of General Studies program, decisions are made ad hoc by seasoned Admission Department officers. Some guidelines for the Admissions Department should be drafted, to give the admissions officers clarity as to when and when not to award credit.

Oversight of regional campus and distance learning courses formerly under the purview of the Dean of the College of Continuing Studies was moved in 2006 to the Office of the Vice Provost for Undergraduate Education and Regional Campus Administration.

Satisfaction among students with instructor accessibility based on the most recent 2004 Alumni Survey is 5.9 for courses in the major and 5.1 for all other courses (<http://vm.uconn.edu/~wwwoir/alumsuvy.html>). The scale ranges from 1 (very dissatisfied) to 7 (very satisfied). (4.39)

A process to develop a comprehensive University-wide articulation agreement for the Connecticut community colleges has begun. (See Appendix 4.5)

### *Projection*

The University will maintain its existing well designed policies and procedures to ensure the quality, integrity, etc., of its degree programs.

The University will continue to validate all programs internally and, where possible obtain additional accreditation through professional societies. The seven year cycle academic unit assessment model is to be revised and reinvigorated, and a new round started after completion of program assessment of centers and institutes. (4.29)

Departments should be encouraged to remove course listings as soon as it is clear that there is little likelihood that the course will be offered. (4.30)

Retention and graduation rates for the University of Connecticut are very good, compared to our peers. Minority retention and graduation rates, after lagging behind the student body overall, are now on a par or in excess of the overall number. However, the Vice Provost for Undergraduate Education and Instruction and the Office of Enrollment Management are actively working to achieve even more impressive retention and graduation rates.

The University is currently investigating alternative ways to centralize the development, support, and assessment of all courses, offered at Storrs and the regional campuses, and through distance learning.

The University will continue to develop new graduate-certificate programs according to publicized rules and procedures, and to evaluate their academic quality through periodic internal reviews. A comprehensive articulation agreement with the Connecticut community college system will be approved.

### **IV. Assessment of Student Learning [4.44-50]**

The institution is committed to assessment and is moving to make existing assessment efforts more systematic while at the same time embarking on new initiatives to strengthen student learning outcomes assessment as part of its overall approach to institutional effectiveness.

The Provost, with support of the central administration and Deans, is firmly behind efforts underway dealing with the assessment of student learning. The Provost has committed to assessment of student learning through the following:

- Emphasized the institution's commitment to assessment through a policy document "*Assessment: A UConn Priority*" (See Exhibit 4.7) containing the following expectations:
  - by the end of academic year 2006-2007, all departments will have developed means of measuring the learning outcomes of their undergraduate majors, as well as complete assessment plans
  - in the academic year 2007-2008, actual assessment, data collection, and reporting will take place
  - for the next several years, assessment efforts will focus on undergraduate education; after that, we will consider how best we should expand our efforts into graduate education and elsewhere

The Provost gives assessment high priority in departmental responsibilities.

- Established a *Task Force on Teaching, Learning and Assessment* (See Exhibit 4.4) charged with recommending ways to
  - improve the quality of teaching and learning at the undergraduate and graduate levels
  - offer opportunities for professional development
  - develop assessment tools to inform and improve classroom instruction
  - ensure that teaching has a status equal to that of research and will be considered with research in reappointment, promotion, tenure, and merit, as mandated in the by-laws

This Task Force has been focusing on ways to better evaluate teaching and ways to shift the institution to being more of a "learning paradigm" university.

- Appointed an *Assistant Vice Provost* to lead assessment efforts and provided resources which include shared staff support, technical assistance from University Information Technology Services, and a small

budget to maintain the assessment online reporting system software/hardware and promote/assist assessment efforts throughout the university. The Assistant Vice Provost, along with a senior faculty member in the College of Liberal Arts & Sciences, have

- developed an informative website (<http://assessment.uconn.edu>)
- worked with academic departments and faculty to help educate them about assessment of student learning outcomes
- established departmental faculty Assessment Liaisons who have worked to articulate the goals and outcomes of their respective programs, and are now poised to draft assessment plans
- worked with the General Education Oversight Committee on establishing learning objectives/outcomes for the content areas comprising the general education core curriculum
- implemented the hardware/software infrastructure for a web-based system for student learning outcomes assessment plan reporting

Much of this recent activity formalizing a solid infrastructure for continued ongoing assessment of student learning outcomes has evolved from past practice in the areas of “program review”, “instructional design”, “student satisfaction surveys”, etc. Comments on these areas of assessment are provided in the following sections.

Being a large public university, the institution utilizes a variety of means to assess student learning experiences. Several approaches are institution-wide, while many others are specific to a student's major or academic department. Some of these are regular ongoing activities, while others are episodic, often related to internal program review self-studies or in response to external program-specific accreditation agencies. (4.44)

As indicated in the inventory of existing assessment practice (see Appendix 4.5), there are many different approaches utilized by the academic programs to help them understand the experiences and learning outcomes of its students. Use of this assessment information has led to curricular review, course changes, teaching changes, etc., as one would expect from such efforts. (4.45, 4.50)

### **Assessment within Program Review**

The institution's approach to program review includes a focus on understanding the connection between the unit's goals and the mission of the institution. Program review, following a five- to seven-year cycle, also asks each unit to provide information on assessment of student learning. Specifically, in the self-study analysis done by each unit undergoing program review (see [http://www.uc2000.uconn.edu/strategicplan/reports/program\\_assessment.html](http://www.uc2000.uconn.edu/strategicplan/reports/program_assessment.html)), the following items are included: (4.46, 4.48)

#### *Unit Mission, Goals, and Recent History*

- What are the major goals of the unit? How have these evolved through recent years with respect to the unit's mission statement? How are they expected to change in the future?
- How do these goals relate to the strategic plan and mission of the University as expressed in the University of Connecticut strategic plan?
- Describe the process for reviewing the unit's strategic plan and assessing its achievements and goals.

#### *Student Outcomes Assessment*

There is growing national awareness of the need to articulate clearly what skills and content students should expect from their post-secondary education, and to assess how effective programs are at giving students those skills. Answer the following questions for both the undergraduate and graduate cohorts, as appropriate:

- Describe what the graduates of the program should know and be able to do when they leave the university, and how the unit measures or otherwise assesses actual student achievement. How do you use assessment of student learning outcomes to make curricular offerings more effective at meeting the goals set for the students?
- Specify how student outcomes are related to the mission and goals of the unit, the college (if appropriate), and the University.

- Describe how the data are collected to ensure reliability and validity. For example, are the data collected from a representative sample of students?
- How will the results of the student outcomes assessment be incorporated in strategic planning and curricular review process?
- Provide a list of all graduates from the last three to five years (both graduate and undergraduate) and indicate to the extent possible where they have been placed. How do graduates of the program view their experience, and how are their views solicited? What program modifications do these views suggest?

In addition, the program review process asks each department to indicate how its programs help support school/college and University educational programs. Specifically, the program review self-study has a focus on: (4.48)

#### *Undergraduate Programs*

- Describe the unit's role in college and University general education programs. What has been the planning process for these offerings and how are they coordinated with other general education courses, and with courses offered for students majoring in the field. How is the quality of instruction assessed?
- With respect to an undergraduate major curriculum and courses: How does the undergraduate major reflect the basic goals of the academic program? What evidence is available to compare the curriculum with that of similar programs nationally? How are courses in an undergraduate major coordinated? What evidence is there of sufficient breadth and depth of course offerings, as well as balance among the various specialties to meet student needs and interests? What specific efforts are made to incorporate new knowledge and perspectives into the curriculum? What efforts are made to involve students actively in their learning through internships, research projects, seminars, independent study, studio courses, etc.?

#### *Graduate Programs*

- How do the graduate programs reflect the basic goals of the academic program? What evidence is available concerning the quality of the unit's graduate program(s)? How is this information used to strengthen the graduate program(s)?
- What evidence is there of sufficient offerings and balance among the unit's various specialties? Is there a sufficient breadth of course offerings and a sufficient depth for specialization? How are the courses in the graduate program coordinated? What plans are underway to modify the graduate curriculum in light of available information? What evidence is there of whether the courses meet student needs? In what ways besides individual thesis or dissertation research are students involved actively in their learning? For example, through internships, practicum, and/or graduate assistantships?

See Chapter Two, Planning and Evaluation, for further discussion of University program, center and institute reviews. Programs offered within the institution are consistent with the expectations of the University Mission Statement which addresses the land and sea grant, public, research nature of the institution. (4.45, 4.48)

#### **Indirect Assessment of Learning via Student Surveys**

A variety of national student surveys are used to obtain indirect evidence of student learning: (4.45, 4.50)

The National Survey of Student Engagement (NSSE) has been administered several times, most recently in 2004. NSSE is designed to obtain information about student participation in programs and activities that institutions provide for their learning and personal development. The results provide an estimate of how undergraduates spend their time and what they gain from attending college. Survey items on NSSE represent empirically confirmed "good practices" in undergraduate education. That is, they reflect behaviors by students and institutions that are associated with desired outcomes of college. NSSE data has been used to identify aspects of the undergraduate experience inside and outside the classroom that can be improved through changes in policies and practices more consistent with good practices in undergraduate education. Appendix 4.6 (*Mapping NSSE to NEASC Standards*) provides information on which of the NSSE items pertain to NEASC accreditation standards.

The Cooperative Institutional Research Program (CIRP) is a national longitudinal study of the U.S. higher education system. The annual CIRP Freshman Survey provides institutions with a detailed profile of their entering freshman class, as well as national normative data for students in similar types of institutions. The information contained in the

CIRP Freshman Survey helps in planning activities in areas of admissions and recruitment; institutional self-study and accreditation activities; public relations; and retention studies.

Your First College Year (YFCY) is a national survey designed specifically to assess the academic and personal development of students over the first year of college. Developed through a collaboration between the Higher Education Research Institute (HERI) at UCLA and the Policy Center on the First Year of College at Brevard College, YFCY enables institutions to identify features of the first year that encourage student learning, involvement, satisfaction, retention and success, thereby enhancing first-year programs and retention strategies at campuses across the country. The most recent administration of YFCY was in 2005.

Institution-wide surveys are also used on a regular basis to provide information on the experiences of students: (4.45, 4.50)

The UConn Recent Alumni Survey, administered each year by the Office of Institutional Research, asks graduates for feedback on their educational experience. This survey is one of the few outcome measures the University of Connecticut has for its educational process. While the questionnaire focuses primarily on the academic experience of graduates, it also allows them to report their current activities. Some items obtained from the survey relate to the 'Helpfulness of UConn' – the three most highly rated potential benefits of a UConn education, in terms of UConn's helpfulness in providing them, are: Learn on your own, pursue ideas and find information you need; Understand and be able to get along with different kinds of people; and, think analytically and logically. Others are 'Satisfaction Ratings' whereby respondents are asked to rate their satisfaction in the areas of general education requirements, required courses outside of their major field, and required courses in their major field – typically, for each school, 'Overall experience with courses in your major field' receives the highest average rating.

The UConn Official Student Evaluation of Faculty process is mandated by the University Senate and takes place each spring and fall semester. The Office of Institutional Research has the responsibility to carry out this evaluation in conjunction with the guidelines set by the University Senate. Items in this survey ask students for feedback on the delivery of courses, some of which address how well the instructor meets the objectives established for a course.

The Enrollment Management division of the University has regularly conducted incoming first-year, mid-career, and senior-year student satisfaction surveys. The Orientation Survey has questions focusing on the advising and course selection process during the orientation period for new students. The Questionnaire for Entry Level Students has questions on student expectations for their experience at UConn. The Student Satisfaction Survey has questions on the quality of instruction, availability of courses, and student services. All of these surveys provide the institution with information on how satisfied students are in regard to their experiences both before and after matriculation. Some of these survey items relate to the environment in which student learning is to occur and use of the survey results leads to improved student support services and learning environments.

In the spring of 2004, the institution administered a paper version of the Standardized Assessment of Information Literacy Skills (SAILS) resulting in 245 useable responses. The SAILS item bank consisted of 124 whole items which were in multiple choice format. The average student at UConn performed on all standards and on all skill sets at about the same level as the average student from all institutions combined, though at UConn the test was administered relatively early to second semester students. 4.45, 4.50

Many departments conduct regular formal and informal evaluations of their services and activities to ensure that students' needs are met. Utilization of student satisfaction surveys at points throughout students' undergraduate career and senior exit surveys provide a way in which many programs indirectly assess a variety of items pertaining to the success of students completing their degree. Direct evidence of student learning outcomes assessment in use across the campus includes capstone courses or a major culminating project as well as certification exams in those disciplines requiring such activity. Indirect indicators include job placement of graduating students, exit interviews, student satisfaction surveys, student course evaluations, internship evaluations, alumni surveys, employer surveys, focus group discussions, and certification exams. 4.44, 4.50

Please see Appendix 4.7 for a Compendium of Sources of Evidence regarding Assessment at the University of Connecticut.

### **Assessment as Part of Instructional Design**

The Promotion, Tenure & Reappointment (PTR) guidelines (see <http://www.provost.uconn.edu/ptr/>) ask each faculty member to reflect on his/her teaching:



### *PTR Instructions*

Briefly describe your teaching program, your goals relative to your instructional responsibilities, and any activities you have undertaken to enhance your pedagogical capabilities.

Faculty members are required to make statements pertaining to their teaching philosophy and in doing so reflect upon ways in which they promote learning among the students they teach.

Through the oversight of the Vice Provost for Undergraduate Education and Regional Campus Administration, the Institute for Teaching & Learning (ITL) is actively helping faculty and programs in designing/redesigning courses and curricula. Central to the activity is the Instructional Design & Development (IDD) unit, which helps faculty in determining course/curriculum objectives and how best to deliver course material to ensure the desired student learning is attained. (4.47)

The IDD unit also serves as a resource for course assessment and evaluation. The IDD unit helps faculty determine which kind of assessment will best evaluate student learning objectives and help develop alternative assessment tools. Traditional forms of assessment usually include quizzes, mid-terms, papers, and finals. Capstone projects, oral presentations, poster sessions and portfolios are examples of alternative methods. There are also several instances where student portfolios have been included in a designed course to assess students. This form of assessment complies more closely with a constructivist, student centered model of learning, which is the theoretical optic that informs the IDD design process.

The IDD unit also evaluates how well the design of the course has been able to address the course objectives. The IDD instructional design process is a "front-end analysis" for course design and this is complemented by a "back-end analysis" which measures the success of a course in fulfilling its course objectives. Courses developed with the help of the IDD unit undergo a three-step evaluation process consisting of an initial, a formative and a summative survey which are administered to the students. Data gathered from these surveys are used to redesign the course.

Professional programs responding to accreditation needs, such as the National Council for Accreditation of Teacher Education (NCATE) for Education, ABET, Inc. (formerly the Accreditation Board for Engineering & Technology) for Engineering, the Association to Advance Collegiate Schools of Business (AACSB International) for Business, the Commission on Collegiate Nursing Education (CCNE), etc., typically have learning goals established which reflect accreditation standards associated with the discipline and an expectation that the program is assessing student success in meeting these goals. As an example for the School of Nursing, the NLNAC Standard VII Educational Effectiveness states "There is an identified plan for systematic evaluation including assessment of student academic achievement." Some of these accreditation agencies, such as ABET for Engineering, have expectations that the learning outcomes for the programs flow from the mission of the institution. Others have expectations that the learning outcomes are more reflective of the discipline than the mission of the institution. Institutional support may be provided in a variety of means to aid those programs undergoing accreditation reviews; e.g., the Office of Institutional Research often provides necessary data for accreditation self-studies and may assist in survey analysis. Other support may include funds being made available from the Provost's office to aid in the self-study activity. (4.47)

Curricula & Courses Committees within each school/college, as well as that of the University Senate, review proposed course offerings. This review often includes curricular mapping thereby linking the learning objectives of new courses submitted for approval with the goals and objectives of the curricula as a whole. Self-studies done in preparation for program review often include a similar approach to seeing how individual course objectives fit within the overall program learning goals. Classroom assessment techniques are utilized by faculty in a formative manner to help ascertain how well students are learning the objectives associated with the course lecture material. (4.45, 4.46)

Students have opportunities to learn important skills in a manner using regular constructive feedback to help them improve their achievement in a variety of ways. For example, writing intensive courses (W-courses) are now required within each major and these courses have an expectation of reviews of draft versions of documents leading to a finished report. Similarly, capstone experiences in many professional programs involve formative review of intermediate work leading to the final project report. Many of these professional programs have course work specifically sequenced so as to culminate in a significant senior year learning experience. Consistent with its Mission, the institution's research-based faculty bring state-of-the-art material into the classroom so as to engage students with their studies. (4.49)

In summary, there is a variety of assessment activity underway – though most of this is providing indirect evidence of student learning outcome achievement.

### *Appraisal*



There is a wide variation in how strongly departments embrace the philosophy of assessment. Student learning outcomes assessment is established in some programs where accrediting bodies have mandated such activity, but is not widespread across the institution. Knowledge of student learning outcomes and assessment varies across the schools/colleges and across departments within each school/college. Professional degree programs are more in tune with assessing the effectiveness of their graduates, but often this is done via episodic surveys of alumni or employers rather than obtaining any direct evidence of whether learning outcomes have been achieved by the graduates of a program. Most departments have learning objectives, but only a few have them formalized.

While there is a renewed administrative commitment and considerable effort underway leading toward systematic assessment, formal ongoing assessment has yet to be embraced by the entire institution. Nevertheless, there have been efforts made by programs to judge how well their students are doing in a variety of areas, some of which pertain to student learning. An inventory of existing practice among the schools/colleges during the 2005-06 academic year revealed that many programs have used both direct and indirect approaches to help shed light on the success of their programs. Results of the inventory show that assessment efforts vary greatly across all the academic disciplines; some efforts are mature, while others are in development. Surveys, focus groups, performance on certification exams, analysis of performance in capstone experiences, alumni feedback, student course evaluations, etc., have been used to help schools/colleges assess the effectiveness of their programs. As indicated in the inventory of existing assessment practice, there are many different approaches utilized by the academic programs to help them understand the experiences and learning outcomes of their students. Use of this assessment information has led to curricular review, course changes, teaching changes, etc., as one would expect from such efforts.

Use of the information gained by analyzing the results of these efforts has varied. Some programs have focused on teaching effectiveness, while others have made curricular changes in response to what was discovered. Discontinuation of majors, new course creation, curriculum restructuring, etc., have occurred as a consequence of programs doing assessment activities. While not all programs are fully involved, the inventory does show that a fair amount of assessment has occurred despite doing so in an episodic, non-formalized manner. Unfortunately, much of the assessment activity has been indirect in nature and not administered in a systematic fashion.

The institution realizes the benefits of student learning outcomes assessment. Deans are enthusiastic about the movement toward a more formal non-episodic approach toward student learning outcomes assessment. Deans and Department Heads have been supportive about the creation of Assessment Liaisons within each program. A greater use of direct methods of assessing student learning needs to happen; i.e., movement toward means of authentic assessment rather than a dominant reliance on student satisfaction surveys needs to occur.

While there has been some existing work on assessment within the schools/colleges, at the institution level there has been primarily a reliance on student satisfaction information to help in planning activities. Institution-wide surveys, such as the National Survey of Student Engagement (NSSE), do have items which pertain to several of the NEASC standards. Use of these surveys, however, tends to be done at the "support unit" level, such as within the Undergraduate Education & Instruction units such as the Institute for Student Success, the First Year Programs, or the Honors Programs office.

The institution is committed to continual program improvement and has started to embrace student learning outcomes assessment as a vital means to ensure quality in the delivery of its educational programs. Senior administrative personnel have been tasked with moving forward with student learning outcomes assessment and work is underway to shift the culture from the "instructional paradigm" to that of a "learning paradigm" in which assessment forms a key component. Assessment Liaisons have been identified in undergraduate programs to lead in the development of assessment plans. These Assessment Liaisons are working on program assessment plans, some by modifying existing assessment efforts tied to accreditation needs and others starting from ground zero where assessment of student learning outcomes had been missing or too sporadic.

The Provost and other senior administrators are strongly in favor of current efforts to raise the culture of assessment within the institution. Funding to support assessment activities has allowed work to be done to help educate the Assessment Liaisons who may be new to the topic of student learning outcomes assessment. Funds have been spent to send faculty and administrators to national assessment conferences; particularly some of the Association of American Colleges and Universities (AAC&U) events associated with general education assessment, the former American Association for Higher Education (AAHE) Assessment Forum, the Indiana University/Purdue University Indianapolis (IUPUI) Assessment Institute, and the Association for Institutional Research (AIR) Annual Forum. Similarly, attendance at local conferences/workshops, such as the New England Educational Assessment Network (NEEAN) events and NEASC events pertaining to assessment, has been occurring over the past few years and is expected to continue.

During the 2005-06 academic year, two major presentations dealing with assessment were made on campus by national leaders. The Division of Student Affairs and the Neag School of Education Master's Program in Higher Education and Student Affairs sponsored "Why Assessment is Important: A Conversation with Dr. M. Lee Upcraft" which helped introduce faculty and student affairs personnel to the importance of assessment. Additionally, as part of "General Education Month" in September of 2005, Andrea Leskes, Vice President for Education and Quality Initiatives with the Association of American Colleges and Universities (AAC&U), made a presentation titled "General Education: Shifting the Paradigm from Teaching to Learning." Andrea Leskes also met with groups on campus to discuss ways to assess student learning, with an emphasis on assessing general education outcomes. George Kuh, Director of the Center for Postsecondary Research, which is home to the National Survey of Student Engagement (NSSE), met with faculty and staff at UConn and made a presentation at a July 2006 conference jointly sponsored by the First Year Programs and Early College Experience offices.

Subcommittees associated with the General Education Oversight Committee have embarked on determining the learning outcomes associated with each of the General Education content areas and competencies. These subcommittees will further work on establishing suitable assessment strategies to be used to determine the success of students in meeting these learning outcomes and the success of the General Education program. An inquiry-based approach to looking at the effectiveness of the General Education curriculum is anticipated from these efforts.

The Mission Statement of the institution was recently revised and programs have yet to reaffirm how their learning objectives/outcomes align with this revision.

Course renumbering, facilitated by the implementation of the PeopleSoft Student Administration system, has provided the opportunity for subject areas to reexamine their course offerings, so as to renumber courses in a logical fashion such that sequencing of subject matter, as determined by the learning objectives of each course, may be made more explicit to students progressing through a major.

Currently, the fiscal state of the University has left little room to pursue new initiatives. Many programs related to the success of students in meeting expected learning outcomes are eager to continue improving delivery of services, but have been forced to deal with realities of limited resources. Nevertheless, some notable activities are underway. A movement to WebCT VISTA provides an opportunity for enhanced student contact and monitoring of student usage of course material; i.e., engagement with learning. A new open-source ePortfolio system is evolving and its use for student learning outcomes assessment is under consideration in some areas.

More importantly, however, funding for the creation of an assessment web site to provide training material for faculty and staff was committed resulting in a comprehensive assessment website (<http://assessment.uconn.edu>) which has been used to help educate those new to student learning outcomes assessment. Significant funding has also been set aside to work on an Assessment Database Repository based on the Online Assessment Tracking System (OATS) developed by Georgia Tech University for program assessment plans. This new system will have dedicated hardware servers supporting a ColdFusion/Oracle-based web application allowing programs to track assessment activities as well as share assessment plans, methods, tools, etc., with other programs. It is hoped that this system is in place and in use at the time of the NEASC visit.

### *Projection*

As stated earlier, the short-term goals established by the Provost include the following:

- by the end of academic year 2006-2007, all departments will have developed means of measuring the learning outcomes of their undergraduate majors, as well as complete assessment plans
- in the academic year 2007-2008, actual assessment, data collection, and reporting will take place
- for the next several years, assessment efforts will focus on undergraduate education; after that, we will consider how best we should expand our efforts into graduate education and elsewhere

The infrastructure recently set in place to move the institution forward in the area of student learning outcomes assessment will enable the University to achieve these goals as a means to institutionalize ongoing assessment of student learning as part of its overall plan for institutional effectiveness.

The institution will continue to follow the mission of an excellent public land and sea grant research university. Strategic planning recently undertaken by the schools/colleges and divisions within the University may yield new directions, but these will continue to follow the overall mission/goals established for the University. Assessment will fit

into the future path of the University as a key component of the decision making process for continual improvement of the academic programs offered in support of the institution's mission.

The institution can do more to strengthen its assessment activities, which are already well underway. Assessment Liaisons have been created in each program and they are working with senior level administrators to create assessment plans. An assessment database repository for assessment plan information is being implemented. Through a better sharing of data obtained via the web-based repository, assessment activities will be enhanced.

The institution is well aware of the need for student learning outcomes assessment to move from an episodic activity undertaken in some programs to that of an ongoing way of doing business in all degree programs. Steps have been taken to begin to create such a culture within the institution.

It is anticipated that the University will increase its commitment to assessment resource allocation as more and more assessment-related activities evolve as part of the culture shift toward a "learning paradigm" institution. For assessment to become an ongoing way of doing business, the institution will need to ensure that the resources allocated to current efforts increase at the pace necessary to ensure sound assessment practices and appropriate administrative coordination and oversight.

## **INSTITUTIONAL EFFECTIVENESS**

The University of Connecticut and its faculty are dedicated to the quality, integrity and effectiveness of all academic programs. A strong shared governance model that empowers faculty to maintain academic control has assisted the University in ensuring that academic program content and pedagogy is of the highest caliber. The University is constantly and consistently evaluating its endeavors using a variety of assessment mechanisms and is committed to continuous improvement in the areas of student learning outcomes and programmatic offerings.

## Standard Five

### Faculty

#### Faculty Role in the University's Mission

Faculty efforts are central to the success of any university. Such success is enhanced as the qualifications, numbers, and performance of the faculty improve. However, success must also be judged in the context of the institution's mission and the demands that that mission makes on faculty. (5.1)

The University of Connecticut, founded in 1881, is a Land and Sea Grant institution with a commitment to teaching, research, and service in the interests of the citizens of the state. It is the only educational institution in Connecticut combining a Land-Grant mandate with research university responsibilities, and it is the only doctoral degree granting public institution in the state, other than a targeted Ed.D. program in the Connecticut State University system. Further, it has Schools of Medicine and Dentistry. Thus the range of its programs and activities is especially broad and poses special challenges to its faculty.

With regard to teaching, the University offers graduate, professional, and extended and continuing education programs, and has a particularly important responsibility to undergraduates. On the one hand, the University seeks to help students achieve their career goals in such professional areas as agriculture, allied health, applied genomics, business, education, engineering, family studies, nursing, performing arts, social work and pharmacy; on the other hand, the University is committed to promoting intellectual growth, personal development, and responsible citizenship through an education grounded in the liberal arts and sciences and enhanced by meaningful co-curricular activities.

What qualifications do faculty bring to the task of education, and what indicators do we have of performance? The vast majority of full-time faculty in fall 2005 (93%) hold the Ph.D. or appropriate terminal degree for their field, and regularly conducted evaluations of undergraduate courses consistently show solid ratings for faculty teaching across all schools and colleges, with a slight but perceptible improving trend. From fall 1995 through spring of 2006, overall student ratings of specific aspects of faculty teaching ranged, on an average, from roughly 8.0 to 9.0 on a ten-point scale. Other indicators of strong faculty teaching performance may be found in the annual survey of alumni conducted six months after graduation. Among 1,365 graduates, ninety-six percent of survey respondents said they would recommend the University of Connecticut to others planning to attend college. In the same survey, alumni satisfaction with the quality of instruction has remained steady over the last ten years, ranging from a high of roughly 5.8 (on a 7-point) scale for courses in the major to 5.0 for general education courses.

Scholarship is the underpinning of vital teaching. The University of Connecticut faculty is clearly an active and productive scholarly body. Details of scholarship productivity of academic units have been collected in Annual Reports to the Provost for the past fifteen years. The cumulative reports show a high level of scholarly activity. See Appendix 5.1 for the Provost's Academic Planning Model. Established metrics have also been used as part of the College/School profile for the annual budget hearings. See Section 7 of the 2006 Board of Trustees Budget Workshop workbook for the latest College/ School profile.

Scholarship and research are also reflected in the grant-getting activities of University of Connecticut faculty. Over the last fiscal year ending June 30, 2006, there were 502 different individuals at Storrs and the Regional Campuses who submitted 1,378 grant proposals. During this time period, there were 928 active awards. A substantial number of grant proposal submissions and grant awards also occur annually at the Health Center. Grants from all campuses, including the Health Center, in fiscal year 2005 brought in \$184 million, seventy-eight percent of it from federal sources, seven percent from state sources, and fifteen percent from private and other sources. Since there are a number of fields (e.g. philosophy or foreign language) in which funding is very limited, this represents an unusually high level of proposal submission and success. As a result, the University of Connecticut ranks seventy-fourth out of six-hundred and one institutions of higher education in the U.S. in FY 2004 research and development funds expended, and fifty-second among public universities. These rankings are all the more impressive given University of Connecticut's relatively small size among public universities.

University of Connecticut faculty serve, both nationally and internationally, as officers of professional societies, editors of professional journals, and members of professional review panels. They contribute to local communities, the state, and the nation. Metrics on internal service activities (e.g., administration, committee work, and faculty governance) as well as external service activities (e.g., extension, outreach, committee memberships, consultancies, and community service) have been compiled annually by means of the faculty coding sheets for the Academic Planning Model, which has been compiled annually since 1992. Here, as with grant-getting, there are some parts of the University that have a more obvious external service mission than others. Thus, for example, the School of Education

collaborates with the Connecticut Departments of Education and Mental Health, the Schools of Engineering and Business Administration have numerous ties to business and industry, and the School of Nursing, together with the Spanish program in Liberal Arts and Sciences, offer training to physical and mental health professionals in the state. The School of Social Work is a major collaborator with the State Department of Social Services and the Department of Mental Health and Addiction Services through over five million dollars of joint programming annually in the areas of professional training and research. The metrics here, as in scholarship, show a consistent level of activity. It should be noted that in 2004, the Board of Trustees adopted formal metrics for appraisal of the academic enterprise at UConn. Exhibit 5.1 can be found in Tab 7 of the Board of Trustees Budget Workshop Notebook (06.20.06). Also, the State of Connecticut Department of Higher Education has been compiling Performance Measures data on the University of Connecticut since 1999. For the latest Performance Measures Accountability Report, see [www.ctdhe.org/info/pdfs/2006/2006AccountabilityReport.pdf](http://www.ctdhe.org/info/pdfs/2006/2006AccountabilityReport.pdf). These DHE metrics are presented to the General Assembly annually and used by the legislature in budget deliberations.

## **Faculty Composition, Size and Qualifications**

Deployment of the faculty resource at the University of Connecticut is a complex undertaking, given the comprehensive nature of the university, the existence of nine major instructional sites (including the Health Center but excluding the Co-operative Extension centers), and the complexity of instructional, research and outreach programs. Please refer to Exhibit 5.2 for a detailed depiction of the types and deployment of faculty. The present percentages of categories of faculty including adjuncts are similar to 1995.

### *Composition*

Faculty categories are well-defined in both the *Laws, Bylaws and Rules of the University of Connecticut* and the AAUP contract that applies to the Storrs and regional campuses (but not the Schools of Law, Medicine & Dentistry) (5.9). Because the University of Connecticut is a comprehensive institution with an important research and outreach mission, as well as a strong emphasis on undergraduate education, there are different types of faculty, the most common being tenured or tenure-track, instructor and in-residence, as well as special designations such as research, clinical, and extension. In addition, there are adjunct faculty and graduate teaching assistants. Exhibit 5.2 depicts the numbers of faculty by rank and the various other instructional staff categories at all University of Connecticut locations. (5.1)

The large majority of classroom instruction is provided by full-time faculty, with the assistance of graduate student teaching assistants and adjunct lecturers. The fall 2005 Office of Institutional Research (OIR) data for all sites other than the Health Center, reports the following full-time faculty by tenure status: 791 tenured full-time, 213 untenured tenure-track, and 247 non-tenure-track. For the fall of 2005 at the Health Center, OIR statistics indicate for full-time faculty: 163 tenured full-time, 44 untenured on tenure-track, and 291 non-tenure track.

Teaching assistants usually have obtained, or are in the process of pursuing, graduate study and are usually doctoral students. The classroom instruction provided by graduate teaching assistants is mainly in core courses with large enrollment and multiple sections. These include core courses in the departments of Mathematics, Statistics, Economics, Sociology, the School of Business Administration, and required general education courses in English composition. Training in teaching and pedagogy is available through the Institute for Teaching and Learning (ITL) for new teaching assistants, and ITL has a special intensive training program for foreign teaching assistants.

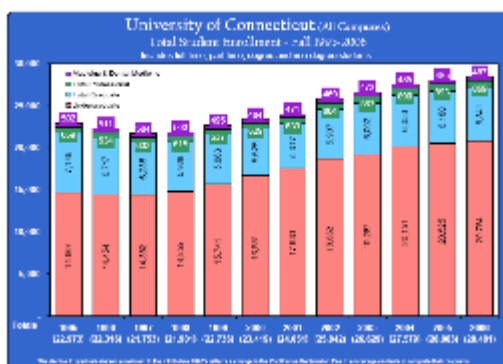
While not all adjunct lecturers have doctoral degrees, most do, or are otherwise professionally qualified. In every case and at all University locations, an adjunct's credentials must be approved by the department responsible for delivery of the course. Many of the adjunct lecturers teach at the regional campuses, and many have continued for years under this arrangement. Certain professional schools, notably law and business graduate programs, and the Professional Science Masters programs within CLAS, regularly use adjuncts to teach specialized upper level elective courses. In addition, particularly in the health fields (including the Schools of Medicine, Dentistry and Pharmacy), there are a large number of clinical faculty with adjunct appointments who provide instruction through preceptorships. The Office of Institutional Research 2005 Health Center data has the following faculty distribution: 164 tenured faculty, 49 tenure-track faculty, 421 non-tenured or tenure-track faculty, creating a total of 634 (498 full-time and 136 part-time). In addition, Health Center records indicate that 2516 non-paid professionals provide preceptorships and other like student teaching and supervision. These 2516 faculty include 449 affiliated faculty (School of Medicine – faculty employed eighty percent or greater by an affiliated hospital), 1842 community-based (School of Medicine – faculty in private practice or employed less than eighty percent by an affiliated institution who engage in our teaching missions) and 225 non-paid faculty (School of Dental Medicine).

As mentioned above, there are a variety of types of faculty appointments at the University. The largest category of faculty at Storrs and regional campuses are tenured (sixty-three percent), which is appropriate for a nationally recognized flagship and research institution dedicated to principles of academic freedom. The Academic Affairs

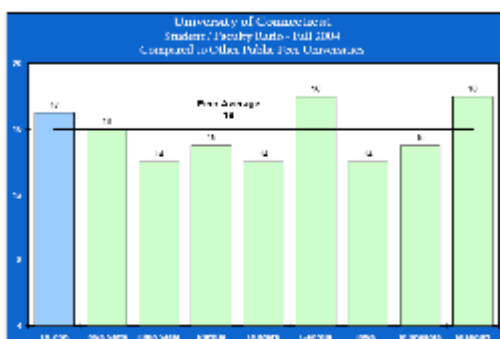
## Size

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Due to a number of factors, including a determined recruitment strategy by Enrollment Management and an increase in the desirability of the UConn brand name, as depicted by the below chart, student enrollments, particularly at Storrs and the regional campuses, rose significantly at the same time faculty numbers were declining.



During the ten years of this self-study, the student-to-faculty ratio has increased due to a substantial enrollment growth coupled with only a modest net increase in faculty. During the same period, as shown in the below chart, this ratio has varied from a low of 14.21:1 in 1995, to 18.16 in 2003, to 17.21:1 in fall of 2005.



As might be expected, the growth in student enrollments has placed additional burden on the teaching loads of faculty members at the University. While there has been some modest growth in FTE over this six-year period it has not been sufficient to maintain the ratio that existed in 1999. The target for the University is to return to a ratio of 15:1 which would put us more in line with our peer schools. The comparison with peer schools can be found in 2006 BOT Budget Workshop Manual. (5.3)

The University has set goals for the enrollments at its Storrs campus as well as the Regional campuses. The goal has generally been stated based on new freshman enrollments and transfer students. The goals are as follows:

	New Freshman	New Transfers	Total
Storrs	3250	650	3900
Regionals	1050	250	1300
Total	4300	900	5200

The following table reflects the changes in these statistics over the last ten years and 2005 data reflect the achievement of these goals (Source: Office of Enrollment Management).

UConn "New Enrollment" Trend Data											
Storrs	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005

Enrolled	2,021	2,166	2,199	2,560	2,956	2,836	3,149	3,185	3,208	3,247	3,260
New Transfer Students	640	580	517	525	443	572	556	645	666	620	636
Total, New Enrollment	2,661	2,746	2,716	3,085	3,399	3,408	3,705	3,830	3,874	3,867	3,896
<b>Regional Campuses</b>	<b>1995</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>
Enrolled	669	608	560	665	689	749	764	849	909	1,028	986
New Transfer Students	192	172	171	185	199	171	162	192	188	239	228
Total, New Enrollment	861	780	731	850	888	920	926	1,041	1,097	1,267	1,214

As its reputation and aspirations have increased, the University of Connecticut has modified its peer set. The average student-to-faculty ratio in fall of 2004 at its present peer institutions is 16:1. The University's stated goal, approved by the Board of Trustees, is to achieve a ratio of 15:1, which will bring UCONN to a level comparable to its peers. Beginning with the 2005 legislative session the University has emphasized as one of its main legislative goals obtaining an operating budget increase to allow the hiring of additional faculty. While the net number of full-time faculty increased by one hundred and twenty-five between fall 2000 and 2005 assuming the fall 2006 student body size of 20,784 remains stable, the University of Connecticut still needs one hundred and seventy-five more faculty to achieve the goal of a 15:1 student/faculty ratio.

### Qualifications

Faculty qualifications at the University of Connecticut are consistent with its status as a leading public research university. For 2005-06, ninety-three percent of full-time faculty at Storrs/Regionals and at the Health Center hold the Ph.D. or appropriate terminal degree for their field. Full-time regional campus faculty are required to meet the same standards of preparation and qualifications as their Storrs counterparts. Although the courses taught by regional campus faculty teach are predominantly freshman- and sophomore-level courses, each campus now has four year degree programs, which have increased the opportunity for faculty there to teach upper level courses. Also, they often teach a course at the Storrs campus as part of their regular teaching assignments. In selected areas, where appropriate, "professionally qualified" faculty are utilized. An example of this type of faculty member is a MBA/CPA teaching accounting courses, or an accredited forensic scientist teaching a forensic DNA typing course. (5.2)

### Appraisal

The University of Connecticut utilizes a variety of types of faculty in order to carry out its tripartite mission of teaching, research, and service/outreach. The qualifications of the faculty are appropriate to the types of activities the individual faculty member is performing. Use of teaching assistants as a method of graduate student training, and of part-time adjunct faculty is part of the appropriate deployment of the faculty resource. While the student-to-faculty ratio is well within national norms overall, it is high *vis a vis* UConn's identified peers. If the University of Connecticut is to be successful in its aspirations to be a nationally and internationally recognized research institution, it needs the resources to obtain a student-to-faculty ratio equivalent to its peers. Since it is not politically feasible to lower the number of students (particularly undergraduates), given the strong demand, the University must strive to increase the number of its faculty. One potential component of obtaining the desired student to faculty ratio is to utilize more in-residence faculty. Appointment of in-residence faculty is a compromise between use of large numbers of adjuncts and use of expensive lower-teaching load tenured or tenure track faculty. However, this approach is unpopular with



many faculty and academic administrators on campus and must be limited so as to preserve a strong core of tenured faculty dedicated to research.

#### *Projection*

The University of Connecticut's faculty will continue to be top-quality and terminally qualified, with strong contributions to teaching, research and service/outreach. The stated goal of reducing the student-to-faculty ratio to 15:1 is ambitious, but appears reachable. Constant re-evaluation of the quality and quantity of the faculty will continue to be one of the highest institutional priorities.

### **Faculty Selection and Terms and Conditions of Employment**

#### **Faculty Recruitment**

The recruitment of faculty is initiated at the department level after approval to fill a position has been obtained from the Dean and Provost. The search process is organized by the department in consultation with Human Resources and the Office of Diversity and Equity. This process, which is described on the ODE website ([www.ode.uconn.edu](http://www.ode.uconn.edu)), typically includes national advertising in appropriate publications, notices to relevant departments at other research universities, notices to professional organizations supportive of underrepresented groups, and other contacts. The Search Committee reviews the applicants' credentials and identifies the most promising candidates. The short list of candidates invited for campus visits is approved through the Office of Diversity and Equity. In addition to meetings with the Search Committee, Department Head, and Dean, the on-campus interview typically includes a public lecture by the candidate, and/or a demonstration of teaching ability, and meetings with faculty and graduate students. The Search Committee, in consultation with other faculty, recommends the top interviewee for hire to the Department Head, who negotiates with the Dean and others concerning salary and possibly other start-up resources such as space or equipment. An offer is then made to the top candidate, after approval by the Provost's Office and the Office of Diversity and Equity, spelling out the terms of appointment and any start-up resources. The terms and conditions of every appointment are stated or confirmed in writing, and a copy of the appointment is supplied to the faculty member. Beginning with appointment to the rank of full-time instructor, the tenure probationary period does not exceed seven years. Until the faculty member has tenure status, he or she is informed each year in writing of his or her reappointment in conformity with published Promotion, Tenure and Reappointment rules. It is possible to provide for one year renewable contracts for in-residence faculty, with the possibility of three year appointments after five years (5.4).

#### **Diversity**

Efforts have been made to ensure a diverse faculty. Of full-time faculty in fall 2005, women constituted 34.6 percent of the faculty and 27.3 percent of tenured faculty; this may be compared to fourteen percent of full-time faculty in 1965, eighteen percent in 1975, twenty percent in 1985, and twenty-six percent in 1995. Minorities (including non-U.S. citizens) constituted 16.70 percent of full-time faculty (Black 3.59 percent, Hispanic 3.67 percent, Asian-American 9.19 percent, Native American 0.23 percent) as of fall 2005. This compares with 5.1 percent minority faculty in 1975, 7.0 percent in 1985, and 12.7 percent in 1995.

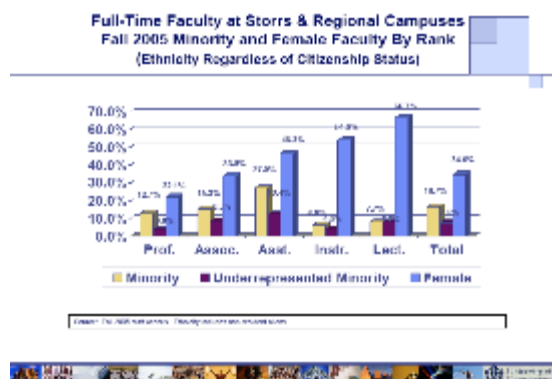
University efforts to achieve a diverse faculty are bolstered by a number of units or committees that enjoy administrative or union support, e.g., the African-American Cultural Center, the Asian-American Cultural Center, the Puerto-Rica/Latin American Cultural Center, the Women's Center, the Provost's Commission on the Status of Women, the Vice Provost for Multicultural and International Affairs Advisory Committee.

Diversity has been a central goal of the University of Connecticut for many years. Its 1995 Strategic Plan, *Beyond 2000: Change* highlighted the importance of diversity. In 1999, a new Vice Provostship for Multicultural and International Affairs was created. This Vice Provost works closely with the Director of Diversity and Equity. In 2002, the Board of Trustees adopted the Report of the Task Force on Multicultural Affairs. An important component of this report is strategy for recruiting and retaining minority faculty members. The report of the Task Force is in Appendix 2.4. The Vice Provost for Multicultural Affairs makes annual reports to the Board of Trustees on the implementation of the Diversity Plan. The Office of Diversity and Equity makes annual reports to the Connecticut Commission on Human Rights and Opportunities about the progress in affirmative action hiring. Since fall 2001, the University has adopted a practice of "opportunity hires," which allows a Dean or Department Head to be eligible to receive special funding for hiring of underrepresented faculty.

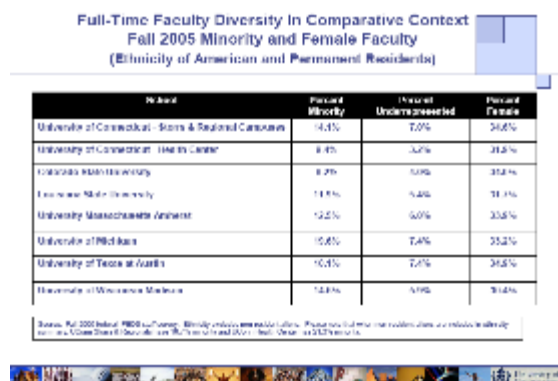
Despite many years of effort, the University's attempts to achieve a diverse faculty have been met with mixed results. Recruitment has proven a challenge, given national factors such as relatively small numbers of minorities with advanced degrees in some fields and local factors such as the somewhat isolated, rural location of Storrs. Retention of those underrepresented faculty at the University is also a challenge, possibly because of the "rural" New England character of the Storrs environs. It is hoped that the development of the Storrs Downtown Center will make the town more attractive to diverse constituencies. The Vice Provost for Multicultural and International Affairs has been

conducting exit interviews with minority faculty who choose to leave the institution to try to identify and address the reasons for their exits.

The first chart below depicts the minority and female composition of the faculty.



The second chart below indicates how the University of Connecticut compares to selected identified peers in regard to numbers of minority faculty.



## Academic Freedom

Academic freedom is a cornerstone of the University and is forcefully articulated in the *Laws, By-Laws and Rules of the University of Connecticut* and AAUP contract. All members of the faculty, whether tenured or not, are entitled to academic freedom set forth in the 1940 Statement of Principles on Academic Freedom and Tenure formulated by the Association of American Colleges and the American Association of University Professors (see the *University Laws and By-Laws*, XV.B). The faculty member is entitled to full freedom in research and in the publication of results, subject to the adequate performance of his or her other academic duties, but research for pecuniary return is based upon an understanding with the authorities of the University. The faculty member is entitled to freedom in the classroom in treating his or her subject and in conducting a class. (5.13)

## Contractual Security, Salary, and Benefits of Faculty

Upon hiring, every faculty member receives a copy of an offer letter that specifies the terms and conditions of his/her employment, including salary, rank, and tenure status and probationary status (if applicable). All of the faculty at Storrs and the regional campuses are represented by the AAUP union. AAUP faculty representatives have negotiated contractual security, salary and benefits with the University administration. A copy of the AAUP collective bargaining contract is contained in Appendix 5.2. The faculty of the Schools of Law, Medicine and Dentistry are not represented by a collective bargaining agent. However, in practice, the University extends the same terms and conditions of employment to Law School faculty as to AAUP members at Storrs and the regional campuses. In regard to security, salary and other benefits, state statutes and the *Laws and By-Laws of the University of Connecticut* bestow a number of rights. (5.6)

As a result of competitive hiring and the recurring salary raises provided for in the collective bargaining contract, the faculty salary average is superior to that of most institutions locally in the New England region (other than some private elite institutions) and comparable with peers nationally for most schools and colleges within the University.

The package may not be as competitive with those in the private sector for some professional schools such as Business and Engineering.

### **Faculty Workload**

Faculty at the University of Connecticut perform a myriad of functions. The workload for individual faculty is established on an individual basis, according to the terms of the University Policy on Faculty Professional Responsibilities (contained in Exhibit 5.3 and available on the Provost's and Faculty/Staff websites at [www.uconn.edu](http://www.uconn.edu)), taking into consideration such factors as generally nationally recognized disciplinary teaching loads, the type and percentage of faculty appointment, and faculty productivity and activities in teaching, research and service/outreach.

#### *Appraisal*

The University of Connecticut has in place a standardized and effective recruitment process supported by highly trained and competent academic administration and human resources departments. Faculty terms and conditions of employment, including salary and benefits, are determined by a collective bargaining contract, state statute and regulation (except as noted above), and published university policies. Individual faculty negotiate their initial hiring package according to university regulation. Salaries and benefits are commensurate with the University's peers and is a strong recruiting tool.

#### *Projection*

A strong salary and benefit package, with terms and conditions of employment contained in a written contract, make high quality faculty recruitment and retention a strong institutional attribute. This attribute will ensure that the University of Connecticut remains a strong research institution.

### **Teaching Assistants**

Graduate students are employed in a variety of ways but mostly (in the educational domain) leading discussion sections, acting as Instructors of Record (IOR), laboratory teaching support, or grading. The selection of teaching assistants is a departmental or programmatic decision. For the first three categories of work, training sessions are provided by either the graduates' home department or the Institute for Teaching and Learning (ITL). The ITL has a Teaching Assistant Program, with full time staff. In addition to pedagogical education, the ITL provides cultural and language classes to international students. The language component is tested using the PhonePass test with a follow-up Teach test for those at the pass/fail boundary. Language and accent modification courses are provided for those students who fall below acceptable standards. Evaluation of all IOR instructors is done formally through the Office of Institutional Research (OIR) and departments often provide an evaluation instrument for local assessment. The ITL sponsors a Teaching Assistant Award the recipients of which have included an international TA in the recent past. (5.5)

#### *Appraisal*

Whereas training is available to all Teaching Assistants from the ITL, some departments choose to do their own. These departments include English, Modern & Classical Languages, History, and Psychology. In Psychology, students are strongly encouraged to take advantage of the ITL training opportunities. Although these four programs attend to their own TA training, there is no University or ITL oversight. However there do not seem to have been any serious complaints from any of these areas. One concern is that graduate TAs, though 'required' to be at ITL training sessions in August or January, are not always held to this requirement by departments or schools. Additionally, more might be done to assure a high quality of direct instruction and laboratory supervision. Although there is an extensive multi-day training session for TAs whose first language is not English by the Office of Teaching Assistant Programs within the ITL, as well as follow-up and resources available to all TAs, all components of the academic community need to give priority to ensuring that Teaching Assistants are effective in the classroom.

#### *Projection*

There is movement to strengthen partnerships between ITL and the departments presently doing their own TA training. A Chemistry pedagogue has been appointed and other science departments will likely follow. We also anticipate the appointment of a full-time International Teaching Assistants Program manager to support the growing activities of the TA program unit. The Provost's Task Force on Teaching, Learning and Assessment has making recommendations for improvement of teaching as part of its charge.

### **Faculty Handbook and Informational Web Site**

The responsibilities of faculty and criteria for their recruitment, appointment, evaluation and promotion are clearly and consistently defined in the *University Laws and By-Laws*, the AAUP contract and the Faculty Handbook. These

documents are equitable, consistently applied and periodically reviewed (5.10).

The University of Connecticut website ([www.uconn.edu](http://www.uconn.edu)) has a special "Faculty and Staff" version. The general UConn website has a "Faculty Handbook" listing in the main directory that also links to the Faculty and Staff website. This website has extensive information and links on every subject pertaining to faculty training, support, rights and responsibilities. Further, material for faculty is also contained on the pass-word protected Faculty On-line Resources website that can be accessed through VISTA. The annual new faculty orientation acquaints faculty with the existence and contents of both of these resources. The University opted some time ago to stop printing a hard copy of the Faculty Handbook because it was too expensive to maintain, since continuous up-dating is necessary. (5.10) UConn faculty use electronic media and communication extensively, and the administration is not aware of any complaints about not having a hard copy of the Faculty Handbook.

The faculty grievance procedure is detailed in section XV.Q. I of the *Laws, By-Laws and Rules of the University of Connecticut* (5.5) as well as in Articles Eleven and Twelve of the AAUP Contract. Under the *Laws and By-Laws*, if a member of the faculty believes there is cause for grievance which cannot be resolved by ordinary means, the complainant may request the Committee of Three (section X.G.) to appoint a hearing committee. Complaints regarding PTR may be brought to the Committee of Three only at the end of a sequence of peer review procedures. If this Committee is unable to mediate the complaint informally, it may appoint an ad hoc hearing committee of three or five faculty. The hearing committee makes a report of its findings and recommendations to the President of the University, and the collective bargaining agent is also informed of the findings. Within thirty days of receipt of the hearing committee's report, the President must inform the hearing committee and the collective bargaining agent of his decision, with a copy to the grievant. If not satisfied with the President's action, the grievant may, within thirty days of receiving the President's response, address a written appeal to the Board of Trustees. (5.9)

#### *Appraisal*

Both the Faculty On-line Resources and the Integrating New Faculty On-line web sites give faculty the opportunity to discuss issues privately among themselves and key academic administrators. They give faculty access to news from the Provost's Office, an opportunity to learn of upcoming faculty-focused workshops, access to teaching and learning with technology resources, and an opportunity to learn of Institute for Teaching and Learning activities. These websites, plus the University webpages, also give faculty organized links to faculty related information including *Laws, By-Laws and Rules of the University of Connecticut*, the AAUP contract, the Faculty Handbook, University Senate Minutes, the University Strategic Plan, the University Academic Plan, and other University policies and procedures. These websites are introduced to new faculty prior to their Orientation and reviewed at the New Faculty Orientation before the start of the fall semester.

#### *Projection*

While the faculty and staff websites' information seems to be very good and up to date, during the self study process, issues were raised as to whether the entire community is aware of the existence of some of these sites. Pertinent university administrators have promised to inform the community on a regular basis of this resource's availability.

### **Responsibility for Evaluation of Content and Delivery, Program Improvement**

Review of faculty takes place at department, school/college, and Provost levels each year of pre-tenure. The elements of research, teaching, and service are considered. These review processes include teaching evaluations that involve the OIR formats and other departmental assessments.

Content of courses tend to be faculty and discipline specific but there is a strong oversight of the General Education courses by the General Education Oversight Committee (see the General Education section of Chapter Four for a discussion of the GEOC). The recent Provost's General Education courses competition has had particularly clear and closely monitored curriculum development aspects that include tying assessment to course objectives. Program improvement outside the General Education area tends to be focused at the department level and is not closely monitored by other bodies. Also, General Education courses have not been systematically assessed. However, all courses are approved by Curriculum and Courses Committees at departmental or school/college levels and implementing assessment mechanisms in General Education courses is a priority of the institution. The Graduate School reviews all new graduate program proposals, although not individual courses. Opportunities to help individuals or groups of faculty formulate new programs or courses are provided through the Institute for Teaching and Learning as requested. The Office of Institutional Research also provides support for monitoring course delivery by supporting projects such as the Course Content Checklist System developed by the School of Social Work to monitor the delivery of mandated course content in all its Graduate courses.

Programmatic reviews, initiated at Provost level, by external consultants have provided valuable feedback to the academic programs for improvement. Professional external reviews are often required of programs wishing to be accredited. See Chapters Two and Four for more on this program. (5.11)

#### *Appraisal*

At present there is a greater concentration on course evaluation than on program evaluation. Course evaluations in the past have tended to focus heavily on written anonymous surveys of student assessment of individual teacher's effectiveness. An assessment project under the auspices of the Undergraduate Education and Instruction (UEI) has been on-going for several years to gather information about the present state of student learning outcomes assessment at the university, which varies widely among schools and programs, and to work with faculty and departments to foster assessment activities. In 2006, an Assistant Vice Provost in an Office of Assessment was appointed within UEI to further these activities, and a Task Force on Teaching, Learning and Assessment was charged (among other things) with reviewing the current course evaluation procedures. See more about these initiatives in the Assessment section of Chapter Four. The ITL's Instructional Design group brings a rigorous structured approach to assessment and evaluation processes of courses with which we are engaged, and this work has proved extremely beneficial to faculty and associated course quality. However, only a small percentage of faculty have worked with this service. Instruction is still very much an individual activity and peer evaluation or systematic assessment approaches other than the administration of student teacher ratings are not common.

#### *Projection*

Though it is unlikely that there will be wholesale assessment and evaluation changes across the University, as discussed in Chapter Four, progress is being made. For example, the ITL is making significant inroads to all courses with which it is involved and all on-line General Education courses will, in the near future, be rigorously evaluated. The efforts of the Provost and Vice Provost in promoting an overall increase in attention to undergraduate education at all campuses are having a significant positive effect. The proactive attention to creating 'one UConn' is being strongly supported by the regional campus directors as programs are created to pull in the faculty, administrators, and students in a number of common activities. We are also looking at the possibility of changing our Office of Institutional Research (OIR) summative student evaluation forms to some form of electronic on-line surveying. This will allow both formative and summative evaluations as well as layered University, school/college, departmental, and instructor feedback.

### **Professional Development**

The University provides substantial opportunities for the continued growth of its faculty as teachers, scholars, and practitioners. Professional development opportunities are also available to the staff. The Institute for Teaching and Learning and its dedicated instructional design staff offer a wide range of workshops, seminars, and consultations to assist faculty in improving teaching effectiveness, the use of technology in teaching and learning, and course management. The Office for Sponsored Programs improves prospects for external funding by providing faculty with information on federal, state, and private funding opportunities and by sponsoring workshops to enhance grant-writing skills. The Office of the Vice Provost for Research and Graduate Education presents monthly "helpline" workshops to enable faculty to better understand and navigate research services in the University's internal environment. The Human Resources department provides regular training sessions for faculty and staff on a variety of topics (see Exhibit 5.4 for a list of training sessions in the past few semesters.) The Provost's Office has a special professional development program for academic department heads, to which non-academic administrative department heads have sometimes been invited.

The University provides for support of ongoing scholarly development through its sabbatical leave policy. The Research Foundation and the AAUP make funds available for faculty travel to conferences, workshops, and short courses. The Research Foundation provides further support for the exchange of ideas and expertise through its Guest Professorship Competition, Departmental Research Allocations, and Interdisciplinary Colloquia/Seminar Program. (5.12)

#### *Appraisal*

The Research Foundation professional development awards program, mostly funded pursuant to the faculty collective bargaining contract, is highly competitive, with the demand always exceeding available funds. Faculty initiative to take advantage of professional development opportunities outpaces the available resources. The University of Connecticut is aware of the importance of professional development for all its employees and has augmented opportunities through making travel funding available and by offering in-house professional development workshops.

### *Projection*

The University of Connecticut will continue to identify opportunities and funding for professional development.

## **Teaching and Advising**

### **Instructional Techniques and Delivery Systems**

The facilities in the University's classrooms are among the finest in the country. There are about one-hundred high-technology classrooms across all campuses with the ability to transmit courses between any or all campuses through Interactive Compressed Video (ICV) from some. It is the intention to make all new and currently non-high-tech rooms 'technology ready' in the near future. This latter development will enable any instructor to take advantage of digital projection from a laptop, DVD, or tape in any teaching classroom. Seminars and workshops are provided by the Institute for Teaching and Learning across the University to educate and train faculty and teaching assistants in the effective use of technology, such as WebCT, an exciting tool for providing internet web pages to support instruction that is gaining strong acceptance by the faculty and students. For example, in the past three years, all Graduate courses in the School of Social Work are provided with web pages to improve student access to course materials. In all instructional opportunities offered by the ITL, 'pedagogy before technology' is stressed so that goals and objectives together with their associated assessments of learning are considered first. (5.18)

### *Appraisal*

It is well known that initially faculty teach the way in which they were taught. As a result one needs a directed development process to effect change in pedagogy, delivery, and evaluation. That is a slow process and cannot reasonably affect all faculty in a short time. Through the efforts of ITL, the GEOC, the Vice Provost for Undergraduate Education and Instruction, and the leaders in the schools/colleges, together with the regional campus administrators, the University of Connecticut is gradually moving towards a learner-centered model, providing active learning programs, interactive classes, and trying to match teaching styles to learning styles. It is a slow process, however.

### *Projection*

The University of Connecticut intends to make technology available in all classrooms at all campuses and to train faculty in its effective use. Through this medium, particularly with Distance Learning courses, we are training faculty and students to be able to learn effectively. The introduction of Classroom Performance System (CPS) will be of great benefit to those faculty who choose to use it under guidance and will help students in their learning in a number of ways. There is a significant minority of innovative and early adopter faculty who will be used to promulgate new ideas through the ITL, which will support their development work. The introduction of e-portfolios will have a significant effect on student documentation and hopefully will foster a better presentation of faculty work in the Promotion, Tenure, and Reappointment process.

### **Academic Advising**

The University's advising system is school- and college-based but there are University wide structures, policies and practices in place to ensure quality advising for all students regardless of the location of instruction or the mode of delivery. Many of the mechanisms designed to promote and assess quality advising were created as part of the University's 1995 strategic plan and have been instituted throughout the last ten years. The most significant change has been the addition of a Vice Provost for Undergraduate Education and Instruction with oversight and coordination for academic advising. Under the direction of the Vice Provost a number of initiatives related to advising have been implemented. The initiatives include the revision of the Handbook for Academic Advisement (<http://www.registrar.uconn.edu/advisor1.htm>); the creation of the Academic Center for Exploratory Students (ACES) which provides academic advising for students who are undecided about their major or need to complete specific requirements before applying to their major ([www.aces.uconn.edu](http://www.aces.uconn.edu)); the creation of the Outstanding Advisor Award for faculty and professional advisors; and the development of an Advising Council with representation from all academic advising units as well as offices that provide services related to advising, such as First Year Programs, Career Services, Office for Students with Disabilities, and the Financial Aid Office.

These initiatives have led to specific improvements in the execution and assessment of advising. For example, the Advising Council has led an annual campus-wide conference on advising, created subcommittees to focus on specific issues such as course availability and the use of technology in advising, and offered advising workshops for faculty from all schools and colleges. The Academic Center for Exploratory Students has instituted an advisor assessment tool that is utilized on an annual basis to evaluate the performance of individual advisors.



A number of University-wide structural changes have also impacted advising. The dedication of the Center for Undergraduate Education (CUE) building has brought many of the offices connected to advising under one roof. Beyond the convenience this arrangement provides for students, the opportunity for ACES, Career Services, First Year Programs, Study Abroad, and the Honors Program to collaborate on a regular basis has proven invaluable. The fact that the Wilbur Cross Building, which includes related student services such as the Registrar, Dean of Students Office, Financial Aid and the Office for Students with Disabilities, is also physically nearby has only increased the opportunities for campus offices to coordinate advising efforts and for students to resolve advising and enrollment issues in a timely and effective manner. Finally, the adoption of the PeopleSoft computerized student data system has provided advisors and students with more accurate and timely information on degree progress and provided information, such as mid-term grades in 100-level courses, which allows for the early identification of “at risk” students. (5.17)

#### *Appraisal and Projection*

The University has clearly established that quality advising is a priority. However, despite obvious improvements in the overall system, challenges still remain. The regional campuses do not yet enjoy all of the resources available at the Storrs campus and in some cases individual departments and advisors are not providing an adequate level of academic advising. The focus over the next few years will be to use assessment to better identify where the challenges reside and provide training and/or alternative advising strategies, which may include greater use of professional advisors, to ensure that all students, regardless of major or campus, have a positive advising experience.

#### **Academic Integrity**

Please refer to the Academic Integrity section in Chapter Four. (5.18)

#### ***Scholarship, Research, and Creative Activity***

##### **Scholarship and Research**

All faculty pursue scholarship and/or creative activities designed to ensure that they are current in the theory, knowledge, skills, and pedagogy of their discipline or profession. The institution, through the office of the Provost, the appropriate school or college, and/or a faculty member's department and/or program, defines the scholarly expectations for its faculty based on Article XV-J of the *Laws, By-Laws and Rules of the University of Connecticut*. Such expectations are made clear in general terms during the orientation that takes place at the beginning of a faculty member's first semester at the University. For tenure-track faculty, specific expectations in regard to research, teaching, and service are made clear in the offer letter and each year during the Promotion Tenure Review (PTR) process, which provides evaluations by department committees and the Dean of the School or College. Expectations of Associate Professors seeking promotion are contained in Article XIV of the *Laws, By-Laws and Rules of the University*, as well as school or departmental policies. As the University seeks to raise its profile and to hire faculty with national and international reputations, the PTR standards may become even more rigorous in the future.

The University of Connecticut has been very fortunate to attract scholars who have brought national and international recognition to the institution. The accomplishments and recognition of the faculty and its academic accomplishments, individually or through centers and institutes, are too numerous to list. The Office of the Vice Provost for Research and Graduate Education and the University of Connecticut Health Center maintain websites that note on-going academic accomplishments. A few acclaimed scholarly and research activities are discussed here, but this listing is only emblematic of a much greater record of accomplishment. The University of Connecticut has been particularly successful in selected scientific and technological research, as is reflected in its Academic Plan's emphasis on Life Sciences and Scientific and Technological Innovations. The Institute of Material Science has been recognized as a leader in research and development for decades. A more recently established center whose accomplishments have garnered international recognition is the Center for Regenerative Biology, which produced one of the first cloned animals in the United States. The School of Business' *Edgelab* at the Stamford campus is a leader in developing cutting-edge technology in information technology and e-business. The Human Right Institute has garnered international recognition, particularly for its close collaboration with South Africa's African National Congress. This Institute's endeavors are a part of the Academic Plan's Globalization area of interest (“Arts, Culture and Society from Local to Global.”) The University is home to a number of research initiatives regarding the environment and Environmental Sustainability, another area of emphasis in the Academic Plan. The University of Connecticut Health Center conducts medical research and supports community medicine, in accordance with the Health Center's Signature Programs strategy and the overall university's areas of emphasis in Life Sciences, Scientific and Technological Innovation, and Health and Human Services Systems. As mentioned in Chapter Two, Planning and

Evaluation, the Provost is presently leading an effort to refine the Academic Plan with an aim to giving further support to programs in which the institution has achieved, or may achieve, excellence.

As part of the performance measures it reports to the Connecticut Department of Higher Education every year, the University of Connecticut produces a performance measures report on a number of criteria established by the Connecticut General Assembly. The table below shows the measures' results in the areas of research awards and faculty scholarly productivity that were presented in the 2006 Performance Measures.

Research Awards (in \$millions)							
	FY 01	FY 02	FY 03	FY 04	FY 05	FY 06	% Change 2001-06
Storrs+	\$78.9	\$86.8	\$92.1	\$92.0	\$91.5	\$91.7	16%
Health Center	<u>69.1</u>	<u>80.8</u>	<u>96.2</u>	<u>98.8</u>	<u>92.5</u>	<u>90.1</u>	<u>30%</u>
Total University	148.0	\$167.6	\$188.3	\$190.8	\$184.0	\$181.8	23%

Source: UConn Office of Sponsored Programs and UConn Health Center

Scholarly Productivity							
Storrs+ Programs	FY 01	FY 02	FY 03	FY 04	FY 05	FY 06	% Change 2001-06
Publications	5,830	6,033	6,709	6,625	7,356	8,786	51%
Art & Creative Products	<u>549</u>	<u>555</u>	<u>429</u>	<u>453</u>	<u>638</u>	<u>679</u>	<u>24%</u>
Total Scholarly Products	6,379	6,588	7,138	7,078	7,994	9,465	48%
Scholarly Products/Faculty	6.8	7.0	7.4	8.0	8.5	9.7	43%

\*Faculty scholarship encompasses publication of books, textbooks, lab/tech manuals, software, book chapters, technical reports, conference proceedings and journal articles, and, in fine arts, production of creative products such as plays, compositions, paintings and other artistic creations.

Source: UConn Schools and Colleges records, Office of Institutional Research

It is well-accepted at the University that research activities provide the expertise necessary for high quality teaching. Scholarship and instruction are integrated and are mutually supportive. Faculty are encouraged to provide research opportunities for graduate students and, when appropriate, for undergraduates. Resources are available for the improvement of pedagogical skills at the Institute for Teaching and Learning. (5.19)

## Research Administration

Concordant with the University of Connecticut's designation as Carnegie Foundation Research University-Extensive, a designation shared by only four percent of the nation's institutions of higher learning, its faculty and students undertake exploration and discovery to create new knowledge and applications. In addition to traditional department and college support, these efforts are also promoted by more than ninety-five interdisciplinary academic centers and institutes. The Office of the Vice Provost for Research and Graduate Education and the Research Foundation administer a number of internal programs to fund research, including the semi-annual Faculty Large Grant, the Faculty Small Grant and Supplement, and the Equipment Cost-Share to Federal Grant competitions. Policies and procedures related to research, including the new Code of Conduct and Guidelines for State Compliance, are developed and communicated by the Office of Research Compliance. Training in ethical decision making in the responsible conduct of research is available at the department, college, and university levels, and has been recently augmented by the creation of an Office of Audit, Compliance and Ethics. Faculty input on research policies and practices is exerted through the Research Advisory Council (RAC), the Executive Committee of the Graduate School,



the Graduate Faculty Council, the Institutional Review Board (IRB), the Institutional Animal Care & Use Committee (IACUC), and the Institutional Bio-safety Committee (IBC). (5.20)

#### *Appraisal*

A common theme echoed by faculty across the campus is that the rising enrollments of recent years have placed increased demands on faculty and graduate teaching assistant workloads at the expense of time spent on scholarship. University-wide monitoring and action to accommodate expansion of enrollment in 100s entry level courses have largely been successful. However, as the larger freshman classes have moved forward through their educational program, in some areas there have been department-level problems triggered by increased enrollments in upper division courses. Courses at the junior/senior level, especially those that are service courses for multiple majors, are experiencing enrollment stresses with long waiting lists a common occurrence. Such departmental courses experience not only the vertical enrollment increases due to increased numbers of their own majors, but also have demands placed by students from other departments or colleges who converge on them. Transfer students, the repeat forgiveness policy (which allows students to repeat a course that he/she has already taken), and the encouragement of minors are yet other sources of student demand on the seats available in upper level undergraduate courses. Many departments report a disturbing trend as a result of actions to accommodate expanding demand in the absence of new faculty: cancellation or infrequent offerings of advanced and/or graduate courses. As is true for General Education courses, there are funds available to meet augmented demand in certain areas. The Provost's Office will work with the Deans to ensure that these upper level course blockages in steady progress towards graduation are addressed.

Besides the need to accommodate increased student demand for courses, expanding student populations trigger a cascade of increased demands on faculty time. Courses resort to larger lecture and laboratory sections, placing additional demands on office hours, electronic communication, preparation and distribution of course materials and grading. The growing student expectation that courses will include electronic blackboard/discussion board components, as well as the necessity of mastering strategies for successful learning in large class situations, place further demands on faculty and teaching assistants to design and implement such value added elements. Associated activities like advising, over-enrollment problems, and increased committee assignments also drain time from research. Many of these additive time demands occur at a time when the faculty has less clerical support than in the past, transferring even greater numbers of routine tasks to the faculty member. In the face of increasing demands on faculty time and declining support staff, the University must reaffirm its commitment to faculty workloads that will promote research and scholarship.

#### *Projection*

Securing State of Connecticut funding to support the addition of a significant number of new faculty hires is the highest priority of the Administration. If successful, it will help restore time to the faculty to dedicate to advanced courses and research. It will also be necessary to secure increases in the numbers of graduate teaching assistants to support laboratory and discussion sections. The University of Connecticut cannot attain its aspirations without an increase from the present number of faculty, assuming a student body of the present size.

#### **Institutional Support**

Scholarship, research, and creative activities receive appropriate encouragement and support from the institution. Such support can take various forms, from salary increases based on meritorious accomplishments, to sabbatic leave, to opportunities for grants in support of specific research or pedagogical initiatives, such as those provided by the Research Foundation, the Office of Sponsored Programs, the Humanities Institute, and the Institute for Teaching and Learning (See Chapter Four). The University also provides funding for travel and other research opportunities, Teaching and Research Fellow Awards, and aid in the submission of applications for federal, state, and private grants. Our successes in research and scholarship are reflected in the external funding record of University of Connecticut faculty. For instance, the external funding level for sponsored activities for fiscal year 2006 stands at \$182.2 million (includes the Health Center). In the latest report available from the National Science Foundation for fiscal year 2004, the University is nationally ranked in the upper twelve percent (74/601) among all institutions, and in the upper fourteen percent (52/367) among public institutions, for research and development spending. (5.21)

#### *Appraisal and Projection*

While these accomplishments remain impressive given the University of Connecticut's relatively small size, they do represent a slight decline in ranking since fiscal year 1994. Grantsmanship and funding, reflected in the objective measurement of research and development spending by the National Science Foundation, are widely viewed as indicative of the quality of scholarship, and will likely be a key metric for the impending National Research Council review of graduate programs. Analysis of the NSF data presents a more negative profile when compared with peer institutions. Based on 2003 NSF data, the University of Connecticut's rank based on total research and development spending is lower than all but two of our thirteen self-identified peer institutions. The University must make a renewed commitment to faculty research and scholarship to avoid our falling even farther behind both peer institution and

national cohorts. The hiring of more research faculty, stated as the highest priority of the University Administration, will be of great assistance in ensuring that the rankings in research and scholarship improve. Also, the exhaustion of Research Foundation Travel Funds in the spring of 2006, an occurrence that seems to befall our faculty toward the middle of every spring semester, suggests that the University will have to commit greater resources to this area in the future.

### **Institutional Effectiveness**

Through annual and biennial budgeting exercises, State of Connecticut and internal University of Connecticut mechanisms ensure that the institution evaluates its productive use of faculty members and other University resources. Each year, as a component of the annual Board of Trustees Budget Workshop, the Office of Institutional Research (OIR), in conjunction with the University Budget Office, prepares the annual Budget Workshop Report, a comprehensive and detailed evaluation of all facets of university revenues and expenditures. The budget and its supporting Report is compiled based on information and recommendations gleaned from hearings with all unit administrators on campus. These units in turn base their recommendations on information drawn from the survey data created by the Academic Planning Model. The Provost's Office and Deans use the college/school and faculty annual report data, in conjunction with faculty workload data, to evaluate and plan for best utilization of the faculty resource. The University of Connecticut possesses an excellent faculty. Assuring the best use of this fundamental resource is an ongoing challenge.

## Standard Six

### Students

The University of Connecticut's mission calls for the creation and dissemination of knowledge *by means of scholarly and creative achievements, graduate and professional education, and outreach. Through its focus on teaching and learning, the University helps every student grow intellectually and become a contributing member of the state, national, and world communities.* The University accords its highest priority to its responsibility to nurture students' capacity to develop their abilities to the fullest.

As directed by the state legislature, UConn has, as one of its priorities, to retain promising Connecticut high school students who have in the past been leaving the state. In furtherance of that goal, the University has been successful in recruiting students from Connecticut who reflect quality, while simultaneously drawing quality out-of-state students. Enrollment management efforts, with input from across the University, also have addressed these students' retention and persistence toward a timely degree. Retention and graduation rates are at all time highs. Strong and augmented student services in academic support, co-curricular and residential life have been integral to this success.

#### Admissions

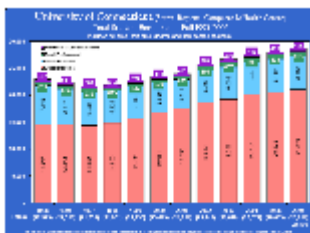
Guided by University policy regarding criteria for admissions and enrollment targets, prospects are strategically identified who meet qualifications to build applicant pools of quality, size, and diversity. Our orderly and ethical admission programs comply with legislative requirements concerning equality of educational opportunity. The University is available to all qualified applicants on a financial need-blind basis. Standards for admission ensure student qualifications and expectations are compatible with institutional objectives and that individuals admitted demonstrate through their intellectual and personal qualifications a reasonable potential for success in the programs to which they are admitted. The Storrs campus requires higher academic standing and admissions test scores than the regional campuses; more competitive admission standards are also set by academic programs or schools or colleges with limited openings. (6.1, 6.2)

Clearly identified admission and retention policies and procedures are accessible to all students and prospective students electronically and through other publications. They are widely disseminated through the University website and published in the undergraduate catalog, recruitment brochures, and applications and individual mailings, guidance and community college counseling offices, statewide high school and community college fairs and visits, fall and Spring Open House programs, and on-campus tours. (6.1)

#### Student Body Size and Composition

As Table 6.1 below indicates, enrollment declined in the early part of the self study decade to a low of 21,753 in fall 1997 and has since surged to an estimate of 28,166 in the fall of 2006. (Board of Trustees 2006 Budget Workshop Book, Tab 4, p. 8)

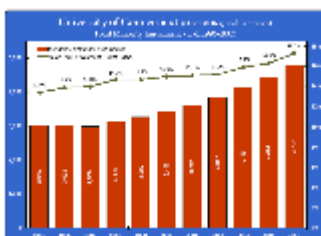
Table 6.1



The University has become more selective in admissions process as demand for admission has increased, but the size of the student body at Storrs and in the Schools of Medicine, Law, Dentistry and Pharmacy has been capped. Through its admissions screening process, UConn reviews characteristics and learning needs of freshmen and transfer students to identify deficiencies and offer appropriate developmental or remedial support. UConn endeavors to integrate specifically recruited populations into the larger student body and assure comparable academic experiences. As called for in the University Diversity Task Force Report, found in Appendix 2.4, UConn has initiated recruitment programs targeted towards attracting high caliber African American, Hispanic, Asian, Native American,

and other underrepresented students. These recruitment programs have been successful, as illustrated by Table 6.2. (Board of Trustees 2006 Budget Workshop Book, Tab 4, page 18. BOT\_BW\_4.18) (6.7)

Table 6.2



A number of selected minority students take part in a summer program offered by the Center for Academic Programs (CAP- [www.cap.uconn.edu](http://www.cap.uconn.edu)) designed to introduce them to rigors of University life and develop discipline and skills to succeed. CAP students take required courses in English and mathematics in addition to a general skills program. During subsequent semesters, staff provide counseling and support and serve as liaisons between the students, faculty and support services. (6.2, 6.4)

The University of Connecticut is one of a few institutions with a divisional senior diversity officer unit (22 responding units), including an Office of the Vice Provost for Multicultural & International Affairs (OMIA). This office is charged with providing leadership on issues of diversity, multiculturalism, access and equity, and international affairs in terms of teaching and learning, scholarship, retention, campus climate, and preparing all students to live and work in a diverse world. To support these students and provide a conduit for all students to benefit from the presence of diverse individuals and cultures, OMIA provides leadership to the African-American, Asian-American, and Puerto-Rican/Latino/a Cultural Centers and the International Center. (6.8)

Established in 1972, the Women's Center annually reaches some 12,000 individuals as it strives to create a community that celebrates women's diversity and strengths while actively confronting societal challenges through activism and social change. Special attention is focused on women who face additional challenges due to their race, ethnicity, socioeconomic class, sexual identity, religion, age, and physical or mental ability. The programs and services of the Center are available to students, staff, faculty, and members of the community. Other major initiatives include and are not limited to: (1) the annual Women of Color Recognition Banquet; (2) the Women's Advance Conference; (3) consultation to University departments on issues of gender equity, sexual harassment, violence against women, and diversity; and (4) Women's History Month programming, including the International Women's Day Festival.

UConn also encourages enrollment of students from all parts of the world. The Department of International Services and Programs is responsible for daily advisory services and program interests of international students. Advisors address concerns regarding immigration, personal, cultural and academic adjustment, orientation, and cross-cultural programming. The Department also offers a full service intensive English program for students with English as a second language. The International House is open to all interested in learning more about the many cultures in the University community.

Non-traditional students may also enroll in the University's Bachelor of General Studies program. (See BGS discussion in Chapter 4).

The Office of Enrichment Programs ([www.enrichment.uconn.edu](http://www.enrichment.uconn.edu)) enables high-achieving students to pursue academic and co-curricular programs that support retention of highly qualified students by promoting excellence through individualized and international educational opportunities. The Honors Program (<http://honors.uconn.edu/>) within the Office admits about seven percent of each incoming class. Selection is by invitation and is based upon academic achievement, standardized test scores, and co-curricular activities. Undergraduate Admissions and the Honors Program partner to promote the Honors Program as an alternative to prestigious public and private institutions. Honors scholars participate in smaller, discussion-oriented, frequently interdisciplinary classes, and independent study and research culminating in a required honors thesis project. Student life for Honors scholars is marked by extensive co-curricular programming, lectures, social activities and required participation in a living learning community during freshman year, followed by optional honors housing for upper-class students. (6.2)

Academic department standards dictate that credit is not awarded for high school level work, however, there are two programs through which University credit is awarded for work completed in high school: the College Board Advanced Placement Program (AP) and the Early College Experience (ECE) Program. The decision to award AP credit is made by the dean of the school or college offering the course. The department in which the credit is offered determines the credit standard. Superior Connecticut high school students may also receive credit for freshman-sophomore level UConn classes taken during high school as part of the ECE Program. Course content is determined, and examinations must be approved, by the appropriate University department. Schools and colleges can choose whether or not to allow this credit to count toward the degree. The University does not award credit for prior experiential or non-collegiate sponsored learning.

### Transfer Credit

## Student Financial Aid

Aid is offered to incoming students through [Undergraduate Admissions](#) and provided through a program coordinated by the Office of Student Financial Aid Services. This office administers federal, state, and institutional programs (including grants, scholarships, loans, employment and veteran's benefits) in accordance with guidelines (<http://financialaid.uconn.edu>). The University is dedicated to reducing financial barriers that limit access and ensuring the fair and equitable awarding of financial aid to all eligible students. Awards are based on equitable application of clear and publicized criteria. See Table 6.3 below (Page 9 of the 2006 Budget Workshop PowerPoint presentation in Exhibit 9.2) for a depiction of the amount spent on student financial aid. (6.11)

Table 6.3

### Accessibility: Financial Aid 2016

#### Student Requirements

1. High school diploma or GED  
2. SAT or ACT score  
3. Financial aid application (FAFSA)  
4. State financial aid application (if applicable)  
5. School financial aid application (if applicable)

Student Name	2015-2016	2016-2017
John Doe	1,200	1,500
Jane Smith	1,100	1,400
Robert Johnson	1,300	1,600
Emily White	1,400	1,700
Michael Brown	1,500	1,800
Sarah Green	1,600	1,900
David Black	1,700	2,000
Michelle Lee	1,800	2,100
Christopher Hall	1,900	2,200
Amanda King	2,000	2,300
Matthew Walker	2,100	2,400
Olivia Young	2,200	2,500
Benjamin Hill	2,300	2,600
Sophia Scott	2,400	2,700
Lucas Adams	2,500	2,800
Isabella Baker	2,600	2,900
Ethan Nelson	2,700	3,000
Avery Carter	2,800	3,100
Grayson Evans	2,900	3,200
Madison Foster	3,000	3,300
Julian Garcia	3,100	3,400
Chloe Henderson	3,200	3,500
Isaac King	3,300	3,600
Abigail Lee	3,400	3,700
Wyatt Miller	3,500	3,800
Skylar Moore	3,600	3,900
Robert Parker	3,700	4,000
Victoria Roberts	3,800	4,100
Sebastian Taylor	3,900	4,200
Madeline Thomas	4,000	4,300
Christopher White	4,100	4,400
Isabella Young	4,200	4,500
Grayson Adams	4,300	4,600
Chloe Baker	4,400	4,700
Isaac Carter	4,500	4,800
Abigail Evans	4,600	4,900
Wyatt Foster	4,700	5,000
Skylar Garcia	4,800	5,100
Robert Henderson	4,900	5,200
Victoria King	5,000	5,300
Sebastian Lee	5,100	5,400
Madeline Miller	5,200	5,500
Christopher Moore	5,300	5,600
Isabella Parker	5,400	5,700
Grayson Roberts	5,500	5,800
Chloe Taylor	5,600	5,900
Isaac Thomas	5,700	6,000
Abigail White	5,800	6,100
Wyatt Young	5,900	6,200
Skylar Adams	6,000	6,300
Robert Baker	6,100	6,400
Victoria Carter	6,200	6,500
Sebastian Evans	6,300	6,600
Madeline Foster	6,400	6,700
Christopher Garcia	6,500	6,800
Isabella Henderson	6,600	6,900
Grayson King	6,700	7,000
Chloe Lee	6,800	7,100
Isaac Miller	6,900	7,200
Abigail Moore	7,000	7,300
Wyatt Parker	7,100	7,400
Skylar Roberts	7,200	7,500
Robert Taylor	7,300	7,600
Victoria Thomas	7,400	7,700
Sebastian White	7,500	7,800
Madeline Young	7,600	7,900
Christopher Adams	7,700	8,000
Isabella Baker	7,800	8,100
Grayson Carter	7,900	8,200
Chloe Evans	8,000	8,300
Isaac Foster	8,100	8,400
Abigail Garcia	8,200	8,500
Wyatt Henderson	8,300	8,600
Skylar King	8,400	8,700
Robert Lee	8,500	8,800
Victoria Miller	8,600	8,900
Sebastian Moore	8,700	9,000
Madeline Parker	8,800	9,100
Christopher Roberts	8,900	9,200
Isabella Taylor	9,000	9,300
Grayson Thomas	9,100	9,400
Chloe White	9,200	9,500
Isaac Young	9,300	9,600
Abigail Adams	9,400	9,700
Wyatt Baker	9,500	9,800
Skylar Carter	9,600	9,900
Robert Evans	9,700	10,000
Victoria Foster	9,800	10,100
Sebastian Garcia	9,900	10,200
Madeline Henderson	10,000	10,300
Christopher King	10,100	10,400
Isabella Lee	10,200	10,500
Grayson Miller	10,300	10,600
Chloe Moore	10,400	10,700
Isaac Parker	10,500	10,800
Abigail Roberts	10,600	10,900
Wyatt Taylor	10,700	11,000
Skylar Thomas	10,800	11,100
Robert White	10,900	11,200
Victoria Young	11,000	11,300
Sebastian Adams	11,100	11,400
Madeline Baker	11,200	11,500
Christopher Carter	11,300	11,600
Isabella Evans	11,400	11,700</

The office oversees merit-based aid and coordinates the University's various scholarship and non-need-based grant and award programs. Need based aid includes: Connecticut Aid to Public Colleges Grants, offered to eligible full-time undergraduate students pursuing their first undergraduate degree, Federal Supplemental Educational Opportunity Grants, offered to eligible full-time undergraduates with exceptional financial need (typically Federal Pell grant recipients), Tuition Remission Grants, offered to eligible full-time graduate students as well as full-time undergraduate students, and University Grants. Merit scholarships recognize outstanding academic achievement independent of need. Over the last ten years, as a result of the University's development efforts and capital campaigns, the number of privately funded scholarships has grown significantly. See Exhibit 6.1 for a trend chart of the growth of privately funded scholarships.

All incoming freshman are considered for merit-based aid according to grade point average, SAT scores, and rank in class. The University provides half tuition and a \$2,500 Undergraduate Research Fellowship to more than 100

incoming freshmen, an Achievement Scholarship for students in the top ten percent of graduating class who have a minimum 1350 SAT, awards a Leadership Scholarship for students who rank in the top fifteen percent of their graduating class, have achieved a minimum of 1100 SAT and have demonstrated a commitment to diversity and multiculturalism through leadership and contributions to their community, and provides additional merit-based scholarships. Upper class students with high academic achievement have scholarship opportunities at their academic departments within their field of study. [The UConn Alumni Office](#) also offers scholarships. Selected students at both the undergraduate and graduate level are eligible for Research Fellowships from the Office of Enrichment Programs.

Loans are also available. These include, Subsidized and Unsubsidized Federal Stafford Loans (FSL) offered to students attending the University at least half-time. To qualify for the Subsidized FSL, the student must demonstrate financial need. The government pays the accruing interest while the student is in school at least half-time. If a family does not demonstrate financial need, the student can borrow an Unsubsidized FSL. The interest begins to accrue on these loans at the time of disbursement

Students may also be supported via University Employment. Federal Work-Study is awarded to students as part of their aid package. Job opportunities are listed on the Student Employment site ([studentjobs.uconn.edu](http://studentjobs.uconn.edu)). Students receive a paycheck bi-weekly for hours worked. Student Labor is a work program for on-campus jobs where the student does not have to have financial need to qualify. Any student wishing to work on campus may apply for a Student Labor position. The actual jobs under Student Labor and Work-Study are the same.

### *Appraisal*

Table 6.4 illustrates a decade of enrollment success, in terms quantity and quality. Applications have nearly doubled, our acceptance rate has dropped by nearly twenty percentage points, average SAT scores have climbed seventy-six points, the percent of freshmen from the top ten percent of their high school class has climbed, and incoming freshman enrollment is up by more than fifty percent. While the number of transfer students is comparable to ten years ago, articulation agreements with two-year institutions in Connecticut have translated into more successful transitions and outcomes.

TABLE 6.4

<b>Storrs Campus</b>	<b>1995</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>
Applications	9,874	10,183	9,928	10,404	11,781	12,120	12,833	13,760	17,666	18,467	18,608
Acceptance Rate	70%	67%	70%	73%	70%	67%	68%	62%	53%	50%	51%
Enrolled	2,021	2,163	2,199	2,560	2,956	2,836	3,149	3,186	3,208	3,247	3,260
Yield Rate	29%	32%	32%	34%	36%	35%	36%	37%	35%	35%	34%
SAT	n/a	1113	1112	1121	1136	1140	1140	1149	1167	1177	1189
Top 10% HS Class	n/a	n/a	21%	22%	20%	23%	23%	26%	30%	35%	37%

Between fall 1995 and fall 2005 the number of minority freshmen at Storrs more than doubled to 650. The percent of incoming freshmen that are minorities increased from fifteen percent to twenty percent.

TABLE 6.5

<b>Storrs</b>	<b>1995</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>
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All Freshmen	2,021	2,163	2,199	2,560	2,956	2,836	3,149	3,186	3,208	3,247	3,260
Minority Freshmen	308	300	315	408	437	474	498	488	536	543	650
% Minority	15%	14%	14%	16%	15%	17%	16%	15%	17%	17%	20%

Between fall 1995 and fall 2005 the number of minority freshmen at regional campuses almost doubled. The percent of incoming freshmen that are minorities increased from twenty-six percent to thirty-four percent.

TABLE 6.6

Regionals	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005
All Freshmen	668	611	560	665	689	749	748	849	909	1,028	986
Minority Freshmen	172	142	129	157	157	188	200	222	247	278	331
% Minority	26%	23%	23%	24%	23%	25%	27%	26%	27%	27%	34%

The effectiveness of the increased emphasis on Honors and enrichment programs is evidenced in increasingly strong incoming cohorts entering the Honors Program that, on average, rank in the top four percent of their high school classes and score about 1400 on the SAT. Concerted efforts to recruit underrepresented minorities result in approximately twenty percent of the 250 incoming Honors students per year falling in these categories.

From fall 2001 and 2005, total need-based aid grew from \$91 million to \$144.6 million. While state need-based aid declined from \$8.5 to \$7.8 million and federal aid went from \$8.2 to \$9.6 million, university-supported need-based aid grew from \$17.5 million to \$26.1 million. And student loans nearly doubled from \$56.8 to \$101.1 million. At the same time, undergraduate recruitment scholarships, or merit-based aid, increased from \$4.2 million to \$5.8 million. The number of students awarded merit-based scholarships increased from 438 to 451. Table 6.7 below contains a trend chart for all components of student aid.

TABLE 6.7

Student Aid (Storrs and Regional Campuses)											
(in \$ millions)	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	96-05 Change
Institutional Merit-Based	3.9	4.2	5.1	6.1	7.0	6.6	7.2	7.7	8.2	9.4	141%
Institutional Need-Based	11.4	9.4	11.6	10.3	13.1	15.0	17.5	20.5	23.7	26.9	136%
Subtotal, Institutional	15.3	13.6	16.7	16.4	20.1	21.6	24.7	28.2	31.9	36.3	137%
Tuition Waivers	13.5	13.6	20.3	18.7	20.3	22.0	23.5	25.6	30.0	33.8	150%
Total Tuition Funded	28.8	27.2	37.0	35.1	40.4	43.6	48.2	53.9	61.9	70.1	143%



Fed/Priv/St Empl Need- Based	21.5	22.8	25.0	29.8	33.5	34.4	40.3	42.6	44.3	45.1	110%
State Need- Based	2.1	2.0	3.4	5.5	7.2	8.2	8.7	8.2	7.8	8.0	281%
Loans	41.9	42.6	45.8	49.3	54.2	53.7	56.8	72.8	90.9	101.1	141%
Total Student Aid (incl. loans)	92.3	92.5	108.1	114.1	128.1	131.8	145.3	169.3	197.1	216.3	134%

#### *Projection*

UConn will continue to apply strategic techniques to distribution of financial aid that optimize benefits to the student, university, community, and state. State-of-the-art technology is used to model optimization strategies. We will continue to use financial aid to optimize quality and diversity by providing adequate resources to effectively recruit an academically talented class; to expand scholarships, like the new Rowe and Mass Mutual Scholarships (see Exhibit 6.2 for a description of these scholarships), in order to recruit and retain more students from the Hartford area interested in medicine, dental medicine and health professions; to engage Admissions in disbursement of merit and need-based scholarships administered by the Foundation; and to work with academic departments to best distribute available aid.

UConn's goal is to continue enhancing the impressive quality of our incoming freshman classes at Storrs, setting goals of an average SAT of 1200+, 125 Valedictorians and Salutatorians per year, and 40+ percent incoming of freshmen from the top ten percent of their high school class. Based on resources available to continue delivering services that meet the needs of our students, our plan is to hold undergraduate enrollment steady at the main campus and strive for only slight growth at the regional campuses. Also, maintaining a 70/30 in-state/out-of-state mix of incoming freshmen is a goal.

The Admissions Office has launched a new high school sophomore/junior search and community college campaign to further enhance quality and diversity of entering freshman and transfers. We will continue annual efforts such as 500 high school visits, 100 college fairs, 500 admits attending a *Husky-for-a-Day Program*, 130 Connecticut guidance counselors visiting campus, Open House programs for 10,000 prospects and families, and yield receptions for 600. New initiatives include:

- purchasing more names of high achieving sophomore and juniors,
- expanded visibility and services to Connecticut community colleges,
- more college fair programs to targeted out-of-state markets,
- on-site meetings and campus overnight programs for out-of-state guidance counselors in the expanded national market, and
- additional professional relationships with Connecticut guidance counselors.

Some Connecticut high school students and their parents have expressed concerns that UCONN is becoming too selective. However, the University has a mandate from the state legislature to stop the "brain drain" of high achieving Connecticut high school students leaving the state and is committed to brining in high quality out-of-state students. Since many college graduates have a tendency to settle and work close to their alma mater upon graduation, drawing and keeping these high quality students contributes to the ongoing quality of life and health of the state's economy.

#### **Retention and Graduation**

Focusing on getting students off to a good start in a caring and information-rich environment that continues through timely graduation, UConn has developed a strong student academic and social support structure, ranging from

academic support under the auspices of the Center for Undergraduate Education and a variety of enrichment programs, to social and living support for the student body as a whole and various student constituent communities. In order to assess how well students are doing and to facilitate timely graduation, the University has established a Retention and Graduation Task Force consisting of faculty, staff, and students to develop a set of data-driven and research-based recommendations to improve student retention and graduation rates. See Exhibit 6.3 for the current membership of this Task Force. (6.4)

In regard to undergraduate students, while UConn has high freshman to sophomore year retention rates (92 percent), attrition does occur. Extensive research by the Division of Enrollment Management has determined that there are two basic ways that students leave: Those whose departure is voluntary and those who choose to leave involuntarily (those who are told to leave, most often for poor academic performance). About 2/3 of leavers do so voluntarily. For those who leave involuntarily, decisions about continuing academic standing are based on clearly stated policies and applied by faculty and academic administrators. In 2001, standards for academic probation and dismissal were modified and simplified. Standards are published in the undergraduate catalog. Some schools and programs have additional or higher criteria that also are published. The authority and administration of probation and dismissal for academic reasons from the University resides with the Schools and Colleges and the Vice Provost for Undergraduate Education and Instruction (UE&I). The dismissal process is a collaborative effort between UE&I, the Dean of Students and a representative from the School or College. A committee with representatives from these areas reviews appeals for dismissal. A student who has been dismissed may, during a later semester, request an evaluation for readmission to the University by applying to the Dean of the School or College for which entry is sought. The Undergraduate Catalogue explains consequences of termination and the readmission process. Readmission must be processed through Student Affairs with the dean of the respective school and will be considered only when the evaluation indicates a strong possibility for academic success. The Graduate School has its own discipline and dismissal processes and procedures, set forth in the Graduate Catalogue and also on its website. (6.5)

In an effort to better understand retention patterns, the Task Force reviews databases and survey results. An annual incoming freshman survey is administered during orientation that addresses students' perceptions and expectations upon entry. A mid-career and senior survey is administered every spring containing comparable questions that allow for comparisons with incoming expectations data. The Task Force also reviews quantitative (statistical) analyses of freshman leavers and results of a qualitative phone survey of voluntary leavers to better understand factors contributing to freshmen attrition.

### **Retention Support**

Appropriate mechanisms are applied to provide reasonable opportunities for success. (6.2, 6.3) The institution systematically identifies characteristics and learning needs of its student population and then makes provision for responding to them. (6.4) All students have access to a number of specialized counseling and support services, including the Academic Center for Entering Students (ACES), the Institute for Student Success, and the Academic Advisory Center of the College of Liberal Arts and Sciences as well as advisors in other schools and colleges and in the Division of Student Affairs. There are also specialized tutoring centers in Chemistry, Engineering, Life Sciences, Physics, Spanish and Reading-Language Arts and "Q" (Quantitative) and "W" (Writing) assistance centers. Other services provided to assist students with their intellectual development include: the First Year Experience Program, the University Program for Students with Learning Disabilities, the Center for Students with Disabilities, Counseling and Mental Health Services, the Dean of Students Office, Counseling Program for Intercollegiate Athletes, Department of International Services and Programs, Speech and Hearing Clinic, Center for Academic Programs, Women's Center, Cultural Centers, Libraries, and the University Computer Center under the Division of Academic Affairs.

### **Freshman Orientation**

Orientation helps students acclimate to the University and is a key springboard for retention and graduation success. Once enrolled, incoming freshmen and parents as well as transfer students schedule an orientation visit that consists of placement tests, campus tours, academic advising and registration where they learn about academic opportunities, expectations, and support services.

### **First Year Programs**

The incoming freshman student, today, benefits from numerous services and programs that did not exist ten years ago. The University now has an extensive First Year Experience Program at the main and regional campuses. The mission of the FYE program is to assist with the transition from High School to college and aid in retention of students by providing guidance, opportunities, and resources for students to successfully engage with the University and become learners with a purpose. FYE also offers an introductory one-credit "college experience" course that nearly eighty percent of freshmen enrolled in during the fall 2005 semester. This semester long course provides an effective follow-up complement to the orientation program. FYE courses have an instructor-to-student ratio of 19:1 ([www.fye.uconn.edu](http://www.fye.uconn.edu)). The courses are taught by experienced faculty and/or staff with the support of at least one

trained student mentor. INTD 180, 182 & 198 courses acquaint students with the university, expand their learning experiences to adjust to new expectations, and enhance academic and interpersonal skills. Issues addressed include: Time Management, Study Skills, Stress Management, Career & Major Choices, Problem Solving, University Resources & Facilities, and Technology (WebCT). INTD 182 is a seminar course giving students opportunity to investigate topics of professional interest to the faculty instructor through guided research or reading, discussion, and writing. INTD 198 is the first-year experience course offered to ninety-five percent of all incoming students enrolled in the Honors Program. This seminar, a hybrid of 180 and 182, is taught by tenure line faculty on a wide range of topics and is complemented by a weekly session on traditional FYE topics led by trained upper-class honors student facilitators.

A separate but identical program is provided by the Center for Academic Programs (CAP) for underrepresented students as well as a six-week program called "The Pre-Collegiate Experience." Prior to transferring to Storrs from a regional campus, students attend a one-day orientation session.

### **Living/Learning Communities**

These consist of small clusters of twenty to twenty-five first year resident students who live, study and learn together. They are specialized to reflect academic theme or interest, provide direct and frequent contact with faculty or staff, and offer programs and events outside of the classroom to complement the Learning Community's theme or interest. First Year Interactive (FYI) has been a pioneer in harnessing web-based technology to enhance first year student life and learning experiences. Through WebCT online course management software, FYI uses technology to supplement classroom learning with online support, discussion, and delivery of information to students, 24/7.

### **UConn Connects**

UConn Connects ([www.uconnconnects.uconn.edu](http://www.uconnconnects.uconn.edu)) provides one-on-one support to help students on academic probation by identifying students, in their first two years, who are on probation and subject to dismissal and inviting them to participate. Each semester, faculty, staff and student facilitators are paired with students to help them experience greater success. UConn Connects offers workshops, evaluations and mid-semester grade reports. Peer Education ([www.peered.uconn.edu](http://www.peered.uconn.edu)) uses student leaders who have been selected and trained to offer and/or coordinate services to their peers through a variety of campus programs. Problem-solving, critical thinking and ethical decision-making are strongly emphasized and employed.

Mid-semester academic progress is provided by the Registrar in each freshman and sophomore-level course. This is an early warning system notifying students who appear to be in danger of receiving grades of D or lower. These reports are not part of the permanent record but are designed to be of diagnostic aid to the student. The instructor is urged to provide the students with an evaluation early enough (by the end of the sixth week of the semester) so that those needing to do so can take effective remedial action. The Registrar also alerts the students. In addition, the Registrar alerts the student's advisor, the FYE instructor (if the student is in an FYE class), the Residence Hall Director (if the student lives in a residence hall), the UConn Connects Facilitator (if the student is participating in that program), the Counseling Program for Intercollegiate Athletes (if student is an athlete), and the CAP Program (if student is a CAP student). If a student is doing unsatisfactory work, the full responsibility for improvement is left to the student who is strongly advised to confer with his or her advisor, the instructor, and others qualified to assist in improving the standing in the University. (6.7)

### **Academic Advising and Counseling**

These services provide students with the best and most coherent pathway to courses that lead to a desired degree. Advising in all schools and colleges is provided by select members of the faculty or by professional academic advisors who serve as academic advisors. Freshmen and sophomores are assigned either to a particular advisor or to a central office in the school or college. The College of Liberal Arts and Sciences Academic Services Center provides information and advice regarding curricula, majors, and academic policies and regulations. It also helps students find appropriate resources to address issues. In addition, it is a place where students can direct complaints about instructors in the College. Other schools, including the School of Business, have student advisory centers. (6.8)

### **Specialized Academic Assistance**

Among areas most commonly problematic for students are writing and math. In regard to writing, the W (Writing) Center within the CUE (Center for Undergraduate Education) offers tutoring and other services for students. The English department also has a writing center to help students. These centers' faculty-led staff of fifty graduate and undergraduate tutors from disciplines across the university is available to support all stages of the writing process. Tutorials create a unique learning environment that offers one-on-one attention and thoughtful answers to questions. Writers are invited to bring in any writing project, at any stage including course papers, lab reports, graduate applications, and cover letters. Tutors help writers identify weak areas and work to improve them. Regional campuses also have assigned writing coordinators to provide this assistance. (6.7)

The Quantitative Learning Center (Q Center) elevates the proficiency of students taking quantitative intensive courses. It provides peer tutoring, review sessions, and the creation of innovative learning tools. It assists Q faculty to incorporate best practices in their teaching and serve as a clearinghouse for information about Q resources and discussion of Q issues. (6.7) As part of the new University general education requirements students are expected to demonstrate competency in eight core areas of computer technology. Staff in the Instructional Resource Center have developed, maintain, and revise student Computer Technology Competency tutorials and self-assessments which are made available to incoming freshmen and which can be incorporated into course work. In addition a new *Learning Resource Center (LRC)* was established in 2005 to provide hands on one-on-one or group training and support. This includes workshops offered by the LRC on the eight general education computer technology competencies and other learning-with-technology applications. Additionally the LRC provides telephone and on-line support, the latter through e-mail and instructional web pages. Specific "institutional software" supported is "HuskyMail," "e-portfolio," and "WebCT" (now VISTA). (6.8)

Students recruited from underrepresented backgrounds have services, programs, and initiatives designed to enhance their success. The Center for Academic Programs (CAP) provides opportunities for underrepresented, minority; low income and first-generation college students whose admission to the fall semester is contingent upon successful completion of the Student Support Services Program. Once students enroll, they must self-identify to participate in an array of counseling and services provided that offer academic and personal support. UConn also has programs designed to enhance the presence and success of minority students in the areas of Science Technology Engineering and Mathematics: the National Science Foundation (NSF) funded Louis Stokes Alliance for Minority Participation (LSAMP), Alliance for Graduation Education Preparation (AGEP), and the Science Engineering Preparatory Program (STEP). These grant funded initiatives annually bring an additional million dollars of services to minority and first-generation students studying in these strategic priority areas. (6.7)

For students with physical and other disabilities, the *Center for Students with Disabilities* coordinates academic counseling with the CLAS Academic Advisory Center or academic advisors provided by the other schools and colleges. It consults with them about accommodations that have to be made because of the student's physical limitations. The University Program for Students with Learning Disabilities provides support to students with learning disabilities. The program focus is on instruction in learning strategy. The student is seen only after he/she has been advised by the appropriate academic advisor. (6.8)

The University is committed to ensuring student athletes receive assistance for achieving academic success. Because of the time commitment of student athletes, the University recognizes the need for a support program. The Counseling Program for Intercollegiate Athletes (CPIA) provides appropriate counseling, advisement, and tutoring to optimize education, retention, eligibility and graduation. The program coordinates diagnostic assessment for special learning styles to best address academic needs of the 650 student-athletes and provides them with the necessary skills and information to make a successful transition from high school to college. Counselors meet regularly with a student and act as a liaison between the academic advisor, coach, and academic support personnel. (6.13)

### **Enrichment Programs**

To support academic engagement and the maximization of the collegiate experience for every UConn student, the Provost's Office has created the *Division of Enrichment Programs*. (<http://www.enrichment.uconn.edu/>) Directors of the six units under the "Enrichment Programs' Umbrella" actively collaborate with one another and with units across the university to provide students with opportunities for academic excellence, active and collaborative learning, close student/faculty interaction, and programs to maximize learning within and outside of the classroom. The Director of the Honors Program, one of the six Enrichment Programs, is in charge of the Division. (6.8)

The *Individualized Major Program* ([www.imjr.uconn.edu](http://www.imjr.uconn.edu)) serves undergraduate students who are interested in a major that is not offered at the University of Connecticut. This program, graduating approximately one hundred students per year, gives students the flexibility to create a personalized major as long as the building-block subjects are taught at UCONN. The program's flexibility is valuable to students who wish to incorporate substantial amounts of independent research, study abroad or internship in their majors. This Program is available only to undergraduates in the Colleges of Liberal Arts & Sciences and Agriculture & Natural Resources. Acceptance into the Program follows submission of a formal proposal and approval by faculty advisors and an admissions committee.

The *Office of Undergraduate Research* (<http://ugradresearch.uconn.edu/>) helps students identify research opportunities with faculty, administers funding programs for academic year and summer research. Up to thirty juniors are accepted annually into the highly selective University Scholar Program (<http://universityscholars.uconn.edu/>). Students develop individualized plans of study during their last three semesters. Centered on a major piece of research or creative work, students focus on topics of their interest with faculty advisory committee guidance. The Individualized Major (<http://www.iisp.uconn.edu/>) provides students an opportunity to tailor studies to areas that intrigue them.

*The Office of National Scholarships (ONS)* (<http://www.ons.uconn.edu/>) recruits and mentors high-achieving students to compete for prestigious national and international scholarships, including the Rhodes, Marshall, Goldwater and Udall scholarships. The ONS raises student and faculty awareness of scholarship opportunities, networks with faculty to identify promising prospects, and works with qualified and committed individuals in the process of preparing their submissions.

*Study Abroad Program.* (<https://secure.sa.uconn.edu/sap/studioabroad/>) The University of Connecticut offers over two-hundred study abroad programs in sixty-five countries on six continents. Reflecting on the importance of a strong study abroad program for the recruitment and retention of ambitious and high-achieving students, UConn has expanded its offerings, as well as and the proportion of students studying abroad, significantly in recent years. An increasing number of exchanges, semester and year-long programs, and summer and intersession programs are offered to students majoring in all schools and colleges. In 2005-06, approximately 12.5 percent of all UConn undergraduates studied abroad at some point during their undergraduate careers.

*The University Scholar Program* (<http://www.us.uconn.edu>) accepts up to thirty juniors annually. Admission to the program is highly competitive. Each University Scholar is given freedom (with some exceptions) from university and departmental credit and distribution requirements to engage in a particularly challenging and rigorous program of study, generally involving coursework in multiple fields and graduate work. The centerpiece of the University Scholar experience is a three-semester long individualized research or creative project, conducted under the auspices of the student's committee.

### **Student Academic Services at the Regional Campuses**

There is some variation in how advising is delivered at different campuses. Each regional campus has a writing coordinator to provide assistance to students. However, the Q Center at Storrs provides more support to Storrs students than is available at regional campuses. The Avery Point campus provides an example for the five regional campuses. The Learning Center provides academic support and access to technology while faculty or a professional staff member provides academic and career advising. Stamford has an advising center and various program advisors at the tri-campus deal directly with the advising office liaison to the regionals. The Storrs CLAS Academic Services Center provides the following for regional campuses: information about all changes in requirements, new student (and advisor) handbooks annually; a current website that includes FAQs, forms and requirements, administers all issues that require a dean's signature for all regional campus CLAS students (e.g. substitutions, graduation issues, changing from one catalog to another, etc.); conducts advisor training and/or information sessions, sends representatives to open houses, helps with summer orientations as needed and "dean's days" when invited; and organizes annual campus transfer sessions when student move from regional campuses to Storrs. To support student academic success, regional campuses provides tutoring, supplemental instruction, individual and group study space, and access to technology. (6.8)

### *Appraisal*

Over the past decade, not only have we enrolled more, and more qualified students, we also have retained and graduated them at higher than ever rates. This is true for minority students, as well.

Table 6.8

<b>Retention &amp; Graduation</b>	<b>1995</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>
Freshmen Retention	87%	87%	87%	86%	88%	89%	88%	88%	90%	92%
4-Yr Graduation Rate	43%	43%	46%	45%	50%	53%	54%			
6-Yr Graduation Rate	70%	69%	70%	71%	72%					

Table 6.9

<b>Minority Retention and Graduation</b>	<b>1995</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>
Freshman Retention	88%	86%	90%	88%	87%	89%	87%	88%	89%	93%

4-Yr Grad Rate	32%	33%	36%	38%	42%	44%	43%			
6-Yr Grad Rate	65%	65%	69%	67%	66%					

The above are the retention and graduation rates for Storrs since the time of the last re-accreditation.

*"Finish in Four"* is a new program that encourages and facilitates timely graduation. Another recent program growing out of these efforts is *Huskies Away from Home*, a club that allows students to share experiences and feelings about being far away from home that will help reduce the number of out-of-state leavers. (6.4, 6.6)

Five years of quantitative data and three years of qualitative information allows trend and stacked analyses. Major findings for Storrs campus students indicate that females with GPAs  $\geq 2.75$  and out-of-state students were more likely to leave voluntarily than would be expected based on their freshman population norms. Involuntary leavers (dismissed freshmen) included significantly more males, and engineering majors were more likely to be dismissed than would be expected based on population norms. At regional campuses, like at the main campus, more males were dismissed than expected. Voluntary leavers at regional campuses were more likely to have GPAs  $< 2.5$ .

Results of the recently completed phone survey indicated that in-state students at the main and regional campuses pointed to academic and environmental issues most often while out-of-state students at Storrs more often cited environmental factors. In-state Storrs campus leavers indicated the school is too big, classes were too large, and academic advising and dorms need to be improved. Out-of-state students mentioned distance from home, rural location, the need for more activities, and class size. Regional campus students with 2.5+ GPA indicated major choices as the reason for leaving. These findings have implications for future retention strategies. It should be noted that the most popular destinations for main and regional campus in-state leavers were institutions in the Connecticut State University system. Regional campus leavers also tended to choose the state's community colleges as their next destination. Out-of-state students who left Storrs were more likely to attend schools in or closer to their home state.

Entry Level Survey responses indicate that the most important factors in student's decision to attend UConn was that it is a good educational value, followed by preparation for a job and outstanding faculty. Incoming freshmen indicated they were most looking forward most to meeting new people and least to academics. They also indicated that they expected it would be very easy to get involved in extracurricular activities and make friends and fit in. Responses also reflected high advising expectations. When asked how important it was that faculty in general or your academic advisor meet certain needs, providing accurate information, caring about your academic success, prompt feedback, and availability ranked as the most important. Results of the Mid-Career and Senior Student Satisfaction Surveys indicated that about  $\frac{3}{4}$  of students were more than satisfied or satisfied with *academic advising*. Results regarding *course availability* were more mixed, with students indicating *general education courses* being moderately more available than *major courses*. When seniors were asked to reflect on their experience at UConn and discuss future plans, more than  $\frac{3}{4}$  said they would attend UConn if they could start all over again and more than  $\frac{3}{4}$  would recommend UConn to family and friends. Three-fourths of seniors indicated they expected to graduate in four years when they entered as a freshman, and slightly more than one-half were on target to do so. About  $\frac{1}{3}$  not graduating in four years cited changing majors or earning a second degree as the reason for their extended stay. About  $\frac{1}{3}$  of seniors indicated they planned to attend graduate school.

In fall 1995, freshman orientation was attended by just under 3,000 students and parents compared to 6,281 in 2005. Participation in the First Year Experience program has seen comparable growth:

Table 6.10

	96-97	97-98	98-99	99-00	00-01	01-02	02-03	03-04	04-05
Storrs									
INTD180 + INTD198 (Honors)	173	531	864	1,101	1,438	1,978	2,098	2,221	2,457
INTD182	99	57	242	326	597	643	848		

								929	1,222
*TOTALS	332	610	1,106	1,427	2,035	2,621	2,946	3,150	3,679

\* #'s reflect enrollment totals. Student taking multiple INTD courses would be counted twice.

In fall 2005, over 4,000 midterm warnings were submitted by instructors, an increase of sixteen percent over the previous fall. Each semester more than half of students who receive warnings are able to improve grades. Typically, instructors in FYE classes talk with students after class. Sometimes the students are aware that they were in danger of receiving a D or F. Usually the instructor is able to help them get assistance, such as tutoring or help with study skills or test-taking skills.

UConn also compares favorably to its identified peer group and to other New England State Universities in freshman retention and six year graduation.

Table 6.11

Metric Peer Group 2003-04 Data	UConn	Iowa State	Ohio State	Purdue	Rutgers	Georgia	Iowa	Minnesota	Missouri	Peer Avg
Freshman Retention	89%	84%	87%	86%	89%	93%	82%	85%	85%	86%
6-Year Graduation	71%	67%	62%	64%	71%	74%	66%	56%	68%	66%

Table 6.12

Metric Peer Group 2003-04 Data	UConn	U Mass	U Maine	UNH	URI	U Vermont	Peer Avg
Freshman Retention	89%	84%	79%	85%	80%	84%	82%
6-Year Graduation	71%	62%	56%	71%	56%	67%	62%

The University of Connecticut has taken very seriously Undergraduate Education as one of the six Areas of Emphasis in its Academic Plan. High quality undergraduate education is a central part of the Provost's academic strategic plan and furthers the vision of UConn as national leader in undergraduate education. The establishment of Enrichment Programs Division to support academic engagement, academic excellence, student-faculty contact, and individualized learning inside and outside of the classroom for all UConn students also furthers this vision. Operational actions have also furthered this goal, such as students being able to register for General Education classes they need, and the Office of the Provost securing funding in recent years to cover additional sections of needed courses to ensure that students can maintain their progress to graduation. The new UEI strategic plan for undergraduate education puts increased attention on student learning, global citizenship, and individualized educational experiences for all UConn undergraduates. Working with the Office of the Vice President for Student Affairs, the academic area has encouraged assessment of student engagement using the NSSE.



## *Projection*

The University considers feedback garnered from these analyses, surveys and assessments very seriously. With regard to class size, proposals to the legislature to hire additional faculty, if funded, would go a long way to addressing this need. The 2006 General Assembly added \$4 million to the UConn budget for the hiring of faculty in the entrepreneurship area, and to attract outstanding faculty. The UConn Administration intends to continue to work with the General Assembly to obtain additional faculty resource support. As for out-of-state students' concern about the rural and somewhat isolated location, the \$165M privately sponsored Mansfield Town Partnership will create a new Storrs Center (discussed in Chapter 2) that appeals to students. As part of the Finish-in-Four initiative, a four-year graduation mindset will be emphasized to the Class of 2009 to promote incoming freshman and ongoing class identity. The Provost's Office and the Vice Provost for Undergraduate Education will continue to provide the course offering oversight and financial resources to make graduation in four years for most students a reality.

The sophomore year is emerging as a new area of focus. While freshman attrition currently is at only eight percent, sophomore year produces an additional six to seven percent. Possible reasons include continued academic challenges for freshman who had lower GPAs or pre-program (e.g., Pre-Pharmacy) students who weren't accepted to an upper division program who decided to go elsewhere. Retention and graduation of transfer students and students who come from the regional campuses also are emerging as areas of focus, as is also discussed in Chapter 4.

Seniors are encouraged to enroll in the new *Senior Year Experience* course that provides information for smoother transition to graduation and adjustment to a career or graduate school. Ultimately, the hope is that these efforts cultivate *engaged alumni* who serve as active participants and ambassadors for UConn.

**Initiatives aimed at improved educational experience and retention and graduation performance include** innovative teaching and learning methods discussed at ongoing Faculty Learning Community meetings, identification of "gateway" courses that consistently appear to be causing student difficulty, and pre-packaged scheduling to enhance smoother progress to a degree. The University will continue to work towards the Goal of thirty percent of all UConn students studying abroad by 2010 as part of its international understanding initiative. Increased attention will be paid to supporting quality teaching through implementing the recommendations of the still-working Teaching Task Force. There will be increased attention to service learning as mechanism to enhance student engagement and an expansion of these efforts to the regional campuses, as illustrated by the recent funding of the Office of Service Learning at Hartford Campus. **Student Services**

A wide array of student services in academic support, co-curricular and residential life is integral to student success and these are consistent with the University's mission. (6.9)

The Division of Student Affairs supports the academic mission of the University by providing programs, services, and co-curricular experiences that enhance student success and promote a vibrant intellectual environment. It assists students in developing skills for effective citizenship in a multicultural world enhancing the development of the whole student: intellectual, emotional, physical, cultural, ethical, occupational and social. (6.8)

UConn enrolls, particularly at the main campus, an overwhelmingly full time, traditional-aged, residential student body. Its services reflect that enrollment profile. See Exhibit 6.4 for an organization chart of the Division of Student Affairs - [www.studentaffairs.uconn.edu](http://www.studentaffairs.uconn.edu). The Departments of Residential Life, Dining Services, Counseling and Mental Health Services, Career Services, Student Activities, Dean of Students, One Card Office, Student Union, Community Standards, Center for Students with Disabilities, and Health Services are in the Division of Student Affairs. (6.9) The Office of Diversity and Equity; the Police Department, Fire Department, and Transportation and Parking Services report to the Chief Operating Officer. The University's Department of Public Safety which includes the Police and Fire Departments take reasonable steps to ensure the safety of students while on campus or at another physical instructional location. Each year the Department makes available to all members of the campus community, the federally-mandated Annual Campus Crime Statistics (<http://www.police.uconn.edu/ucr.html>). Information on UConn's student services are circulated widely on the University's website and via University media and publications. At the regional campuses, much of the responsibility for student services is carried by the particular regional campus Dean of Students Office. Although there are far fewer students attending regional campuses, there appears to be a need for additional resources to provide assistance in the form of personnel and/or technology. (6.8, 6.10)

## **Division of Student Affairs**

The Division of Student Affairs includes the following:

The [Office of the Vice President](#) provides leadership for the Division of Student Affairs and serves as the centralized communication point for internal and external constituents. The mission of the Dean of Students Office is to provide a leadership role in building community on campus by supporting students in their academic and co-curricular lives. The Dean's office promotes growth experiences for students and maintains high expectations for individual conduct around academic achievement and community involvement. The Department of Student Activities (DSA) enriches the intellectual, ethical and social development of our students by engaging them in community involvement and leadership opportunities that promote student self-governance, respect for diversity, civic responsibility, and life-long learning. The Student Fee Advisory Committee Activity and Service Fee Sub Group, that includes students and staff, was established in 2002 and is charged with reviewing fees in the following categories on an annual basis: General University Fund (GUF) Fees, Student Activity Fees, and Additional Service Fees. Public Hearings are scheduled to allow the SFA Committee to review the fiscal responsibility and viability of the aforementioned fees. The Committee summarizes its recommendations, based on the presentation of information at the Public Hearings, and provides a report to the Provost and Chief Financial Officer for their review. (6.12)

The Student Union is the center of student life on campus and provides an engaging and inviting environment that serves as the central gathering and programming place for the community. SUBOG, the Student Union Board of Governors, is a student-run programming board on campus that puts on events that include, but are not limited to: major concerts, well-known comedians, respected speakers and campus community activities. As the major programming body on campus, SUBOG programs for a range of social, cultural and recreational interests and works closely with other student groups on campus and advises the Department of Student Activities and the Department of the Student Union on policies. (6.12)

#### Student Governance Boards-

There are two main student governance boards at the University, the Undergraduate Student Government (USG) and the Graduate Student Senate. The USG is the officially recognized student government for undergraduates, and administers the student activity fund. USG allocates student fees received under its agency relationship with the University in a fair and equitable manner in accordance with state law. USG business is carried out under the authority of the Student Senate whose members are elected by the student body. There are six standing committees that are open to all students. The system of governance makes provisions for consideration of student views and judgments in those matters in which students have a direct and reasonable interest. The USG Student Senate meets every other week when fall and spring classes are in session. Membership of the USG is open only to registered degree-seeking, undergraduate students at Storrs. Students may be elected to USG to represent specific constituencies: academic senators, residential senators, commuter senators, and multicultural and diversity senators. Within the division of student affairs, a member of the Dean of Students Office staff is designated as the formal advisor/liaison with USG. USG retains the right to choose their advisor of record on an annual basis. Students at regional campuses have their own student government and leadership activities.

The Graduate Student Senate (GSS) provides a similar function to USG for graduate students at the University. Representatives of this student population also serve on the University Senate and other committees/task forces throughout the University. Within the past three years the GSS has assumed a more visible role in issues relating to graduate students in community building, representing the needs of graduate students, programming, and support for Teaching/Research GA's in particular.

At UConn's five Regional Campuses students are represented by the Associated Student Government (ASG). The ASG encourages, coordinates, and supports student activities and involvement in the Regional Campus community and sponsors programs and provides funding to student organizations. At the UCONN School of Law, students' governance is conducted by the elected members of the Student Bar Association which serves similar functions.

Students elect two members of the Board of Trustees and students, along with other members of the general public, may attend meetings of the Board and make comments during the public comment period at each meeting. Students have been included on all Strategic Planning Implementation Task Forces, serve on the University Senate, and serve on key advisory boards for the University.

#### Department of Campus Activities

The Department of Campus Activities works with students and colleagues across campus to promote personal development and the study and application of leadership principles. The new Future Leaders Program includes: on-line skill development opportunities; leadership classes; workshops, seminars, and presentations; leadership living learning communities, a leadership library; and, peer leadership instruction. The University offers a variety of classes for academic credit that emphasize and build upon individual leadership skills in a group setting. These courses provide students with unique opportunities to explore, develop, and refine leadership skills useful to them on campus

and beyond - regardless of their academic major. The Office of Community Outreach, as part of the Department of Student Activities, offers students opportunities to engage in service related activities that enhance the quality of life of others in the community while enriching their own learning experience at the University of Connecticut. The office's website ([http://www.studentactivities.uconn.edu/co\\_index.html](http://www.studentactivities.uconn.edu/co_index.html)) provides the UConn and local communities with information about initiatives and resources related to volunteerism, community service, service-learning, and community partnerships. Recent outreach includes [Hurricane Katrina Relief Efforts](#) and [Southeast Asia Earthquake Relief](#). (6.12) Students at regional campuses have their own student government and leadership activities. However, on bodies such as the University Senate that include students, greater effort should be made to provide student representation from regional campuses.

Consistent with its mission, the Department of Student Activities strives to support the over three hundred registered student organizations on campus. This includes organizational advisement, registration, financial and event planning, training, and advisor support ([http://www.studentactivities.uconn.edu/inv\\_index.html](http://www.studentactivities.uconn.edu/inv_index.html)) and its links have been designed to be a resource for registered student groups and their leaders). Students create and lead organizations focusing on issues such as academic excellence, ethnic or cultural awareness, community services, Greek Life, club sports, media and professional associations. Students are also very actively involved in the University's six Cultural Centers: The African American Cultural Center, Asian-American Cultural Center, International Center, Puerto Rican / Latin American Cultural Center, Rainbow Center and the Women's Center. (6.12)

[Dining Services](#) incorporates tailored menus to meet community needs, promotes food safety, strives to develop and expand continuing education and recognizing the importance of a sound nutritional practice. Dining facilities include: campus dining halls; restaurants and cafes; retail operations (e.g., Grab-n-Go's), the Student Union Market Place, and Towers Express; and take-out and catering. Dining Services also offers meal plans and accounts.

The goals of the One Card Office are to serve and enhance the University community with an identification card that provides convenient and secure access to facilities, debit payments for routine purchases, dining hall admission, and entry to University events and activities.

### **The Department of Residential Life**

Residential Life operates more than one hundred residential buildings campus-wide. More than 11,700 students live on-campus at UConn, making UConn the top public university in the United States for the percentage of undergraduates living on campus. There is a wide variety of Residence Hall types, ranging from standard double rooms to studio apartments. The UCONN 2000 and 21st Century UConn construction programs are resulting in renovations to all but four of the University's residence halls and construction of new residence halls. Each renovated building was outfitted with fire sprinklers, the latest safety equipment, new carpeting, painting, ceilings, and other general improvements. Residence Hall Communities options include academic clusters, substance free housing, quiet areas, honors housing, and learning communities.

### **Student Code of Conduct**

In 2000, the Board of Trustees approved a new *Student Code: Responsibilities of Community Life* (Appendix 6.1), which extended the University's jurisdiction off campus, broadened student involvement in judicial proceedings and created a process to mediate conflict. The code was drafted by a committee consisting of students, faculty, and staff who conducted meetings and open forums with various students groups including the Undergraduate Student Government and the Graduate Student Senate, town leaders, University Senate committees, and others. The Code, which took effect in September 2000, was an outgrowth of the 1998 Task Force on Community and Civility, which recommended that the code be rewritten to simplify its messages and emphasize what conduct is expected of students. Written in a non-legal style, the new code stresses individual accountability, the meaning of an academic community and the importance of personal growth and a spirit of inquiry. In extending the code off campus, the University followed a trend at colleges across the country. While the old code applied only on campus or at events sponsored by the University or student organizations, the new code covers alleged misconduct that has direct and distinct adverse impact on the University or its community or the pursuit of the University's objectives. In the new code, the dean of students determines which off-campus misconduct is referred to the University's judicial system. The new code also established student-only hearing panels who may consider whether cases appear to be serious enough to result in suspension or dismissal. If so, the panel can make that recommendation to the dean of students. The new code also coordinates information about academic misconduct. The procedures for handling academic misconduct such as cheating remain essentially unchanged, however. Academic hearings will continue to take place in the schools and colleges, with results provided to the dean of students' office for record-keeping and follow-up.

The new code clarifies the process of reporting information and allows the dean to compile a complete picture of a student. Also built into the code is a provision it will be reviewed at least every three years, with an annual review of off-campus provisions. The old Code, effective since 1984, was not automatically reviewed. (6.15)

### **Academic and Student Services Information**

Students are provided with a robust array of technological services and support including the University website, their own student page, WebCT/Vista (course management), and library information technology. The University's information technology help desk is accessible to all students to address issues or problems. (6.8) The Student Services Center was established in 2001 following the renovation of the Wilbur Cross Building. Serving as the front door to the building, it provides the community with a one stop location to perform the most common student services tasks. Everything from password resets, registration help, fee bill printouts, and final exam rescheduling is serviced right from the main desk.

The Avery Point campus provides an example for the five regional campuses. The Learning Center provides academic support and access to technology while faculty or a professional staff member provides academic and career advising. The student activities program handles health and wellness, substance abuse, diversity initiatives and supports special interest clubs and student government. The campus gym includes access to a fitness room and pool. (6.8)

### **The Department of Career Services**

Career Services ([www.career.uconn.edu](http://www.career.uconn.edu)) helps students define their career goals by clarifying career possibilities associated with various academic pathways. It provides one-on-one counseling in career development and placement. Programs are designed to help students explore career possibilities appropriate to their interests and goals, make career decisions and learn job seeking skills. Individual counseling, group seminars and workshops, and career and employer information are offered. Project SOAR (Student Opportunities for Access and Retention) has as its primary objective the recruitment of minority students. Through various employment opportunities, scholarships, workshops, and mentorship models, they assist students in career preparation. (6.8)

### **The Center for Students with Disabilities**

The mission of the Center for Students with Disabilities (CSD) ([www.csd.uconn.edu](http://www.csd.uconn.edu)) is to ensure a comprehensively accessible University experience where individuals with permanent or temporary disabilities have the same access to programs, opportunities and activities as all others. (6.4, 6.9) The Center is also committed to promoting access and awareness as a resource to all members of the community. The center can assist students to maximize their potential while helping them develop and maintain independence. This Center provides support in registration, scheduling, housing, personal care attendants, transportation, auxiliary aids, media and supportive equipment. Services include pre-admission counseling; assistance in developing self-advocacy skills; assistance with suitable housing accommodations; priority registration for class assignment; academic accommodations; accommodations for alternative testing; information about and referral to University and community programs and services. The focus of the University Program for Students with Learning Disabilities (UPLD) is on helping students with learning strategies as well as giving them assistance in arranging appropriate accommodations within their courses. Students may self-identify upon application for admission or seek help after entering the University. Participation in the program is voluntary although those seeking accommodations for learning disabilities must do so through this office. The University has guidelines for students with a documented learning disability as verified by the UPLD. (6.7) Students with speech and hearing impairments are helped by a clinic run by the Department of Communication Sciences. It provides diagnostic and therapeutic services to students with speech, hearing and language difficulties.

### **Student Records**

The institution has policies regarding the kinds of information that will be included in the permanent record of students as well as policies regarding the retention, safety and security, and disposal of records. Its information-release policies respect the rights of individual privacy, the confidentiality of records, and the best interests of students and the institution. The Office of the Registrar has the overall responsibility for student records in accordance with federal guidelines and law. The University follows the standards of the Family Educational Rights and Privacy Act of 1974, as amended, to protect the privacy of educational records, establish the students' rights to inspect their educational records, provide guidelines for correcting inaccurate or misleading data through informal and formal hearings, and permits students to file complaints with the Family Policy Compliance Office of the U.S. Department of Education concerning alleged failures of the institution to comply with this Act. In compliance with this Act, the University of Connecticut publishes an annual notification in the Student Handbook and sends a notification via e-mail. The Registrar is the University's primary compliance officer for student records issues. As noted below, there is also a University Privacy Officer. THESIS, the University of Connecticut system for access to student records, is monitored and guided through policies written and reviewed by the systems administrator in the Office of the Registrar, the Registrar, the Computer Center security officer and the Office of the Provost. The most recently issued policy was in 1990. Specific time frames are identified for the retention and disposition of student related documents. For instance, all final grade sheets must be permanently retained, curriculum authorizations must be maintained for three years and then destroyed, and class schedules need not be retained and are destroyed after the semester. The University follows the State of Connecticut regulations regarding collection, retention and destruction of student records

(<http://www.cslib.org/stateducation.pdf>). The University of Connecticut designates the following information pertaining to students as public or "Directory Information": the student's name, addresses, telephone number, school or college, major field of study, degree sought, expected date of completion of degree requirements and graduation, degrees and awards received, dates of attendance, full or part time enrollment status, the previous educational agency or institution attended, participation in officially recognized activities and sports, weight and height of athletic team members and other similar information. In addition, class rosters are also included as part of "Directory Information". However this information may only be released within the class section. Except when requested in writing by the individual, "Directory Information" may be distributed electronically and/or made available on the web without providing any security protection for the information. It is the policy not to use an individual's Social Security number as the common identifier and key to databases except where required by law or by business necessity. In order to further ensure privacy, in 2006, a University Privacy Officer, located in the Office of Audit, Compliance and Ethics, was hired. (6.16)

### **Student Wellness**

The University, a community of thousands at the main campus and regional campus locations, provides health and mental health services to, where appropriate, assist students regarding their personal and physical problems. (6.8, 6.9) The multi-disciplinary team provides high quality, cost effective primary care, health promotion and educational outreach. offering a wide range of services including: in- and out-patient medical services, out-patient nurse practitioner services, gynecological services as well as mental health services, laboratory, x-ray, physical therapy and pharmacy support, nutritional counseling, health education including a substance abuse program and HIV testing, and a recent addition the Women's Health Clinic which specializes in all aspects of female sexuality and health care. It supports assault crisis intervention for physical and sexual abuse. The services of the Department of Health Services are available to all registered students. Some services may require additional charges. These are ordinarily billed against the student's deposit account. All full-time students must provide for their own accident and illness insurance to cover medical care not provided by the Department of Health Services. A University sponsored plan is available and insurance information and enrollment are available at the Department. The Division of Athletics and the Department of Student Recreational Services, discussed below, provide formal and informal means for students to maintain their health and wellness. The Division of Athletics Counseling Services (CPIA) supports the academic mission of the University by offering a range of services designed to improve academic performance, resolve psychosocial issues, enhance educational/career development, provide collaborative peer tutoring assistance, offer campus outreach and training programs that enhance personal growth and academic skills, and promote multicultural relations. (6.9)

### **The Division of Athletics**

Athletics offers twenty-four varsity sports with approximately 650 student-athletes. The programs compete at the Division I level and hold the student-athletes to the same educational and academic expectations as the general student body. In addition to the standards established by the University, the Division of Athletics must comply with a multitude of NCAA regulations pertaining to all facets of the operation including academics, eligibility, financial aid, ethical conduct, recruiting, and amateurism. (6.13) The Division advances the educational policies of the University as stated in the mission. It has oversight by constituencies both internal and external to the University which provide ongoing evaluation of the Division's policies and procedures as well as their progress towards meeting academic standards. Thus, athletic programs are conducted in a manner consistent with sound educational policy, standards of integrity, and the institution's purposes and the institution has responsibility for the control of these programs, including their financial aspects. (6.13) Athletics is committed to producing teams that are competitive on a national level while ensuring proper and appropriate academic development of student athletes. A "Student Athlete Handbook" which outlines expectations and provides general information on support services is distributed to each student athlete at orientation. During the past decade the University has earned multiple NCAA national championships in women's and men's basketball and NCAA national championships in men's soccer and in field hockey which has enhanced the visibility of the University. The division employs a full time Compliance Coordinator to provide internal oversight, while the Faculty Athletics Representative (FAR) provides external oversight. The FAR reports to the President and makes an annual presentation to the Board of Trustees. In addition, the President's Athletic Advisory Committee serves as an advisory group to the President composed primarily of University faculty and staff. The Committee meets regularly throughout the academic year discussing policies, activities and issues pertaining to intercollegiate athletics. In addition, the Division has developed a Guidebook to NCAA Regulations to inform alumni, friends and boosters of UCONN sports programs about the rules and regulations. The Division of Athletic Administration and FAR ensure all revenues and expenditures of the athletic program are under the clear control of the institution and are subject to annual audits by independent auditors (6.7). The Division of Athletics provides NCAA rules education to its student-athletes, coaches and staff as well as the University community, donors, corporate partners and other constituencies that interact with the Division of Athletics. Staff work with conference and NCAA representatives as well as a law firm that specializes in NCAA compliance, when necessary, to provide continuous assessment and suggestions for improvement in the compliance program. The NCAA also



mandates that every institution have a Student Athlete Advisory Council to provide student input to the athletic department.

### **The Counseling Program for Intercollegiate Athletics (CPIA) and the Athletics Compliance Office**

The Athletics Compliance Office and CPIA fulfill and enhance the academic experience of student athletes through counseling, tutoring, and advising, facilitate appropriate intervention and coordinates available resources in order to help each student reach educational goals and abide university and NCAA rules. All members of the CPIA have advanced degrees and ample experience working with student-athletes. All are teaching professionals, attend professional development meetings and workshops and are evaluated on a yearly basis. Coaches are evaluated on academic success as well as on-field success. Students are provided with appropriate information concerning majors and programs. The Counseling Program provides support to faculty, coaches and other university offices as well in order to facilitate a positive college experience for student-athletes, who must comply with two sets of academic guidelines: university and NCAA. A student-athlete handbook outlining expectations and a guide for students is published and distributed to student-athletes. The Athletics Compliance Office meets with each team on a semester basis to educate students about their responsibilities. In addition, CPIA counselors meet with all student-athletes to ensure that they understand the ethical and university standards under which they must perform. The Counseling Program offers freshman and Senior Year experiences courses in order to help students make a successful transition to college and beyond. Financial aid is awarded to student-athletes based on athletic prowess under clear, published and well defined NCAA and University regulations. There is a clear set of policies for the renewals or denial of scholarships that is reviewed by both the Division of Athletics and the FAR. Each year the CPIA provides a report to the Presidents Athletic Advisory Council (PAAC) on all of its activities, regularly meets with the FAR and the Student-Athlete Advisory Council and interacts with virtually all other campus academic support units. The Counseling Program reports directly to the Provost (Academic Affairs) rather than the Division of Athletics in order to maintain integrity and avoid any compromise in the efforts to support students and help them reach their educational goals. The Division of Athletics supports, promotes and sponsors a Student-Athlete Advisory Committee, encourages and promotes a vast array of community outreach and charitable projects, and many students function as campus leaders and role models. Winter coat drives, donations to the victims of hurricanes, Big Brothers and Big Sisters Programs are a few examples of this work by student-athletes.

### **Recreation Programs**

Recreation Programs are conducted under the auspices of the Department of Recreational Services, part of the Division of Athletics, in a manner consistent with sound educational policy, standards of integrity, and the institution's purposes. The institution, through the supervision of the Division of Athletics, has responsibility for the control of these programs, including their financial aspects. The Department of Recreational Services, particularly through its Student Recreation Facility, attempts to provide a broad program of fitness, wellness, and recreation activities for both men and women of all ability levels in order to enhance their academic effectiveness and motivate individuals to pursue healthy lifestyles. Programs include intramural sports, special events, outdoor adventure, informal recreation, indoor climbing, wellness, drop-in cardio/strength training and group fitness. Cardio, weight, and aquatic areas are open eighteen hours per day during the week and fifteen hours per day on the weekends. The department also makes a concerted effort to recognize and meet the needs of diverse populations. The annual Recreational Services budget is requested through the Division of Athletics, which makes an annual request to the Generated University Fund Committee for the budget allocation. In addition to full-time staff, approximately three hundred students are employed on an annual basis. Individual student responsibilities in the operation of programs stress student leadership development, appreciation of differences, group development, self-discipline, conflict-resolution skills, and safety awareness and serve as measures of program success. Student demand for use of the Student Recreational Facility is enormous and increases dramatically yearly. Discussions are underway about the possibility of construction of a new recreational facility, but size, cost and location are all issues that must be addressed. (6.13)

### *Appraisal*

As the discussion above indicates, UConn systematically assesses achievement through University metrics and multiple campus and national surveys. (6.17, 6.18)

In response to ascertained needs of the student and general campus community, two major improvements occurring in the past five years were a major renovation of the Wilbur Cross Building to make it into a "one stop shopping" Student Business Services center, and renovation and expansion of the former School of Business building to house the Center for Undergraduate Education (CUE). Both, now extremely modern, state-of-the-art facilities provide easy one-stop shopping access to support services. These facilities were created as provided for in the University of Connecticut Strategic Plan and Master Facilities Plan, which calls for the core campus to house, in very close proximity, a student business services center, an undergraduate student center, the graduate center, the library, the student union, and (still in the future, with a building site available) a major classroom building. Wilbur Cross houses the following student services in one convenient location: Registrar, Bursar's, Student Financial Aid, Student

Employment, Residential Life, Dining Services, Student Affairs, the Dean of Students, the Center for Students with Disabilities, Student Records, Orientation Services, and Enrollment Management. The location of these services in one place is a dramatic improvement over the frustrating multitude of locations that had historically existed on the Storrs campus. The Center for Undergraduate Education (CUE) houses such academic support services as the Honors Program, Study Abroad, and Individualized Major programs, the Offices of Undergraduate Research and National Scholarships, the Freshman Year Experience Program, the Academic Center for Entering Students, Career Services, the "Q" and "W" Centers providing assistance in quantitative courses and writing, and the Institute for Student Success, as well as the Institute for Teaching and Learning and its associated programs. The physical location of student educational, support, extracurricular and business services in state of the art facilities in close physical proximity to each other has enhanced the student experience greatly and addressed long-standing problems. (6.14)

Discussions are currently underway about how to provide equivalent support services to all campuses. Regional campuses offer student activities that include programs that address health and wellness, substance abuse, and diversity initiatives, as well as supporting special interest clubs and student government. The particular activities vary from campus to campus. Most student complaints are addressed to the Dean of Students office for resolution. However, there is some concern that too much is required of this office. In late 2005, a retreat for regional campuses and the Division of Student Affairs was held to discuss such issues. There will be some reorganizing of student services at regional campuses. For student concerns that are more personal, a licensed counselor is located on campuses with regular hours for scheduled and drop-in counseling. This is comparable to the services provided by the Department of Counseling Services at Storrs. Coordination of counseling services by this department would guarantee equivalent and high quality services to students at all campuses. Avery Point has athletic facilities and the athletic program includes intercollegiate competition in men's baseball, men's basketball and women's basketball. Athletic opportunities at other regional campuses are limited. Greater efforts could also be made to provide student representation from regional campuses on University wide bodies such as the Senate.

In regard to the needs of student athletic and recreational needs, admission standards for student athletes are the same as for all students. Minimal institutional requirements as well as minimal requirements established by NCAA are followed. It is important to note that the Counseling Program for Intercollegiate Athletes (CPIA) reports directly to the Provost's Office rather than the Division of Athletics. CPIA provides academic counseling and support services for student-athletes. The "arms length" relationship between the Division of Athletics and CPIA helps to ensure academic integrity within the institution. Although academic counseling is part of the athletic department at many institutions, the reporting structure at UCONN is widely regarded as the most appropriate configuration. Funding is adequate to meet student needs, with nine full-time staff and approximately seventy student tutors. A lack of space has been an issue in the past. However, in the summer of 2006 a new complex will be completed that will provide CPIA with the additional space that it requires.

The athletic program is governed by the principles of the NCAA Division I and has instituted a variety of measures to ensure compliance with rules and regulations. Over the past ten years, two major accomplishments include the attainment of compliance with Title IX gender equity requirements and the move to Division I football. Since 1995, the Division has had annual reviews by an outside consultant who evaluates areas of concern and suggests methods of corrective action as needed.

While activity is encouraged with broad participation as the ultimate goal, time, space and staff constraints limit participation. Priority in scheduling puts physical education and intercollegiate athletics requests ahead of recreational sports. The time available to recreation must be shared among the different areas (i.e. intramurals, informal recreation, special events). There is not enough time or space left over for all participants to find space for their regular activity needs. As noted, the university is investigating the possibility of constructing a new, adequate, state of the art recreational facility.

Student housing is a particularly important topic at the University of Connecticut. We house the fifth largest residential population of students in the country. A major reason for this phenomenon is that the University of Connecticut is located in a rural area, and the institution has the only water and sewer systems available. Therefore, it is not feasible to have a large number of privately built apartments. Using the flexibility granted in the UCONN 2000 legislation (see Chapter 8 for a discussion of this legislation), the University of Connecticut has floated bonds to allow it to construct a number of new or replacement student residential facilities since 1995. (See Appendix 6.2 for the Construction Timeline for UCONN 2000.) As an experiment, in 2000, the university contracted with outside construction companies to build student apartments on the Storrs campus. Unfortunately, due to some defects in university code compliance inspections processes at that time, some important safety issues arose due to the nature of the construction. These safety issues have been addressed and code compliance processes have now been amended and additional staff hired to ensure safety in the future. However, given this recent history, there seems little likelihood that the university will contract with private builders to construct student residences on university



property. Therefore, the university's status as primary student landlord is unlikely to change, especially since the newly constructed residential facilities are of very high quality and comparatively reasonable in price. At the same time, due (ironically) to its ever-increasing student retention rate, the university finds itself with an increasing student body size at Storrs, and therefore unable to provide housing to all students who want it. Freshmen and sophomores in good standing are guaranteed housing on-campus. However, in order to accommodate students entitled to guaranteed housing, the Department of Residential Services has had to resort to a lottery for undergraduate seniors, and force some of these seniors to find housing off-campus. With a student body expected to stay steady in size or even grow slightly, and with the planned residential construction aimed only at replacement size for existing housing, the student housing crunch is likely to continue unabated into the near future.

### *Projection*

The University of Connecticut has a highly professionalized and effective student services program. Its student related facilities, which have benefited greatly from the UCONN 2000 program, are first rate. Even the core campus at Storrs has been designed to accommodate and enhance the student experience. However, challenges remain. As noted above, the inventory of university student housing is likely to be consistently lower than demand. Student recreational facilities, while of good quality, also are inadequate to meet demand. It may be possible to construct a new recreational facility if funding sources can be identified. However, meeting the demand for student housing in the Storrs area appears to be an intractable problem. The 21st Century UConn building program has a line item for a newly constructed Student Health Service Facility. The tentative site at Lot 9 is in direct proximity to the North Parking garage & the Public Safety Complex, which dispatches ambulances.

In regard of university expectations of its students, the new Student Conduct Code communicates that high standards of conduct are expected both on and off campus. A new academic misconduct policy is under review by the University Senate.

A particularly sensitive conversation for the University of Connecticut involves the appropriate size of the student body. In 2004, the President announced a capping of the student body size at approximately 28,000, with approximately 3200 new freshmen undergraduate students at Storrs. Because of the increase in quality of the student body, particularly at Storrs over the past decade, many children of Connecticut residents who would have been admitted even five years ago are now being denied admission, particularly to the Storrs program. Some citizens of the State are calling for actions, most likely in the form of increasing the student body size at Storrs, to accommodate student demand. In a January 2006 Board of Trustees retreat, the concept of increasing student body size was raised, and the concept was also raised by the President at the 2006 annual Board of Trustees workshop. The Storrs campus is being built out under the UCONN 2000 program assuming a student body size of around 16,000 undergraduates at Storrs, so it would be difficult to physically accommodate a significantly increased student body size, in terms of classrooms, residences and other facilities. Further, a large increase in the Storrs student body size would necessitate augmenting the already over-stretched faculty and staff. The incipient conversation about significantly increasing the student body size at Storrs must involve a clear understanding of all of the myriad ramifications of such a move. As the campus improvement funded by UCONN 2000 comes to a close, and the exciting new Storrs Downtown Center is built, making the University of Connecticut at Storrs an even more desirable location than it presently is, the perceived quality of the institution and the concomitant pressure for admission will continue to grow.

Continuing to foster excellence in student learning and instruction will remain a high priority for the University of Connecticut. As discussed above, particular emphasis is being placed on developing the academic and international awareness of the student body. An approach to foster this goal that is now being particularly emphasized is the use of learning and living-learning communities. At present, plans are underway to augment international learning communities, and more such efforts will occur in the future.

### **INSTITUTIONAL EFFECTIVENESS**

Over the last decade, in both its building and educational programs, the University of Connecticut has given priority to providing an outstanding student experience, both academically and through community living. It has relied heavily on feedback and information gathered from a number of sources to formulate its plans for student services, and to ensure an enhanced educational experience. Guided by planning and prudent resource allocation, the University of Connecticut will move closer to its goal of being one of the very best public institutions of higher education in the country.

## **Standard Seven**

### **Library and Information Resources**

#### **The Information Environment at the University of Connecticut**

##### **Organizational Environment**

The information technology environment at the University of Connecticut is a combination of centralized and decentralized computing in administrative, academic and research applications. There are three principal centralized IT units responsible for managing information resources and providing information technology and services at the University of Connecticut. These are University Information Technologies Services (UITS); the University Libraries (and the libraries at the Law School and Health Center); and the Institute for Teaching and Learning (ITL). In addition, units based in schools, colleges, and departments also provide information technology services.

The Division of Information Technology Services encompasses Connecticut Education Network Advanced Services Center (CEN-ASC) and University Information Technology Services which is composed of several units: Computing Technology Infrastructure Support, Customer Support and Relations, Enterprise Administration Applications, IT Security, Policy & Quality Assurance, and Network Engineering and Telecommunications. The Associate Vice President of Information Services, Michael Kerntke, reports to the Vice President and Chief Operating Officer.

A separate Information Technology Department at the Health Center campus in Farmington is responsible for all information technology services and support for the John Dempsey Hospital, University Medical Group, the Schools of Medicine and Dental Medicine, the Graduate School, and Academic Research and Finance and Administration organizations. The Chief Information Officer, Sandra Armstrong, reports to the Health Center's Chief Administration Officer, who in turn reports to the University of Connecticut's Vice President and Chief Operating Officer. With one hundred and sixty-five employees, the UCHC IT organization consists of Infrastructure and Security; Application Development and Support; Clinical Enterprise Systems; the Project Management Office for Patient Safety System implementation; Telecommunications; and Health Informatics, which includes the Health Center library.

The libraries of the University of Connecticut serve as the primary gateway for the delivery of information resources to the local academic community as well as to the citizenry of the State of Connecticut. The University Libraries (including regional campus and branch libraries) are under the direction of the Vice Provost for University Libraries, Brinley Franklin, who reports to the Provost and Chief Academic Officer. The Associate Dean for Library and Technology at the University of Connecticut Law School, Darcy Kirk, reports to the Dean of the Law School. And the Director of the Library at the Health Center, Evelyn Morgen, reports to the Assistant Vice President of Health Informatics.

The Institute for Teaching and Learning comprises ten units including sub-units that support both faculty (including instructional teaching assistants) and students. Those supporting faculty predominantly in pedagogy are the Instructional Design and Development unit, the Instructional Resource Center, and the Teaching Assistants Program. From a technological perspective, the Video Design Services, Graphics and Photographic unit, and Technological Services provide technology solutions and support to the instructional mission. Students are helped directly through the Learning Resources Center and by tutoring from the writing and Quantitative Centers. The Early College Experience Program provides the administrative structure to support students at the Connecticut High Schools with University quality courses. The director of the Institute for Teaching and Learning, Keith Barker, reports to the Vice Provost for Undergraduate Education and Regional Campus Administration, Veronica Makowsky.

The Health Center's Health Informatics department provides technology support and e-learning services through Faculty Instructional Technology Services (FITS) and Biomedical and Media Communication Services (BMCS). FITS provides services including: e-curriculum projects (interactive media for education); information visualization, animation, and simulation projects; faculty coaching and faculty requested projects; pedagogical support; e-learning assessment; Blackboard Content Management and support; and digitization, media translation, and scanning services. BMCS provides services including film and video development; photography; interactive video facilities and support, interactive CD-ROM projects; video streaming services, classroom media and classroom computer support, classroom equipment training, medical illustration, and graphic design and production. These services report to the Assistant Vice President for Health Informatics.

Additionally, there are a number of other University institutions that are also concerned with information issues. Throughout the university, individual schools provide a myriad of both technical support and advanced information resources. In most cases, these resources are highly specialized and directly related to the support of their individual

missions, and are thus better suited to decentralized support. These decentralized technology resources take a number of forms, from simply providing more personalized support for students and faculty to implementing cutting-edge technology solutions that serve as a test bed for possible University-wide implementations. Each of these schools and colleges has technology support staff that is loosely integrated with the central IT organization through a series of governance committees. (For examples, see Exhibit 7.1)

### **Information Literacy, Computer Literacy, and General Education**

As is more fully discussed in Standard 4's General Education section, all undergraduate students must fulfill the University's General Education requirements, which mandate successfully completing coursework in certain "competencies," including computer competency and information literacy. The Vice Provost for Undergraduate Education and the General Education Oversight Committee is in charge of assuring that coursework in these competency areas is offered and that all students fulfill the requirements. (7.8; 4.6)

### **Planning and Oversight**

University-wide Information Technology at the University of Connecticut is managed through three main governance groups: the IT Steering Committee, which is responsible for strategic planning, prioritization, and IT policy approval; the Technology Planning Committee which is responsible for campus-wide communication and coordination, IT policy recommendation and review; and the Technology Implementer Group, a hands-on-working group responsible for implementing decisions and performing tasks associated with campus-wide IT initiatives. (7.1)

In August 2004 a committee was charged with beginning an IT strategic planning effort to develop a strategic plan to prioritize the University's IT directions and investments in a manner that would maximize deployment of current technologies while ensuring that those technologies were fully integrated with, and supportive of, the academic and research plans of the University. This effort began with the formation of several task teams, each of which was to examine a specific need and/or opportunity for technology. The recommendations of these teams were then consolidated, synthesized and presented to the University community for feedback. (7.1)

The goals of the IT Strategic Plan (see Appendix 2.3 or <http://www.itsp.uconn.edu/>) are to:

- provide the technological tools to enable faculty, staff and administration to perform their tasks and roles well and efficiently through the provisioning of an Integrated Technology Environment;
- provide the technological tools to enable students to efficiently and effectively access information and university services;
- provide a mechanism to reduce duplicate efforts, streamline work processes and commit to continuous quality improvement efforts;
- provide the infrastructure that facilitates the sharing of ideas/content, and allows for virtual gatherings;
- provide the faculty with the tools necessary to prepare students for evolving, technology-driven work by exposing them to diverse technologies;
- provide adequate training for faculty, staff, students, and administration on evolving technologies;
- leverage the University's investment in technology to promote and support scholarly communications and research; and
- provide a secure, responsive, reliable and redundant technology infrastructure to the UConn community.

There are currently twenty-six University policies that apply to Information Technology. All of these policies are maintained within the University's Policy e-Library (<http://www.policy.uconn.edu/pages/main.cfm>) and are accessible either directly or from several web sites including UITS' Policy site (<http://itpolicy.uconn.edu>). These policies cover appropriate use (Individual Responsibilities with Respect to Appropriate Use of IT Resources) and other IT-related issues. All of the IT-related policies clearly state the consequences for non-compliance. (7.6)

In addition, UITS provides guidelines, standards and recommendations covering such topics as: fair use of copyrighted works, individual workstation security, managing e-mail, password requirements, etc. These guidelines are reinforced from other web sites, including the UITS Network and Security web page (<http://security.uconn.edu/>), the Library's web page (<http://www.lib.uconn.edu/using/tutorials/LILT/htmls/fairuse.html>), etc. The UITS Policy page also contains the University's procedures for handling DMCA complaints as well as procedures for ensuring that all data on computers or electronic storage devices (including but not limited to desktop, laptop, server, or handheld devices) are erased permanently prior to transfer or surplus. The UITS Policy page also provides an Information Security Awareness training module. (7.6)

### University Information Technology Services

UITs is physically located in three places: the Math Sciences Building, the basement of the Homer Babbidge Library, and two building at the Depot Campus. It provides 24/7 operation and management for a number of University systems, including the mainframe, midrange and small server environments used by the administrative and Enterprise Resource Planning systems (Student Administration, Human Resources, and Financial) as well as various departmental systems. These smaller servers – for systems such as trouble ticket management, ADAstra classroom scheduling, and ePortfolio – are clustered and centrally managed. UITS is also responsible for supporting the University's Course Management system (WebCT/Vista) and both the employee e-mail (Exchange) and the student e-mail (HuskyMail) systems. Appendix 7.1 is the latest publication from UITS which aims to provide insight to the division as a whole and highlight the services they provide to assist the faculty and staff at the University. (7.11) Exhibit 7.2 provides a detailed description of the campus network and of the organizational sub-unit of UITS. Exhibit 7.3 describes the organizational sub-units of UITS.

### Staffing

For fiscal year 2005-2006, central UITS employed one hundred and fifty-three permanent full-time staff while seeking to fill seven additional vacant positions. This is an increase of nineteen positions, or approximately thirteen percent, from the staffing level of fiscal year 2001-2002. In addition, central UITS is supported by fifty student employees. (7.4)

### Financial Support

The central UITS budget for fiscal year 2005-2006 was \$29,350,000. This breaks down as follows:

Operating expenses:			\$19,250,00
	Salaries and Fringe Benefits:	\$14,150,000	
	Contractuals:	\$4,200,000	
	Commodities:	\$150,000	
	Additional Project Money:	\$750,000	
Capital expenditures:			\$3,000,000
Telecommunications:			\$7,100,000

The budget has been increasing modestly over the last two years after a decrease the previous year because of budget rescissions and early retirement. (7.2)

### Appraisal

Over the past ten years, the University has addressed, or is in the process of addressing, several of the issues identified in the 1996 NEASC Self-Study Report.

Most significantly, perhaps, the University has taken advantage of UCONN 2000 funds to make significant improvement to information-technology infrastructure. (See Exhibit 7.4 for an enumeration.) The strategic direction

has been to eliminate traditional mainframe infrastructures and migrate the services running on those infrastructures to a more diverse infrastructure based on UNIX, Linux and Windows technologies. UITS has invested in training its staff members to ensure the necessary skill sets to implement and support these new systems.

Recent changes to improve information technology at the University of Connecticut include:

- Consolidation of the University's once disparate e-mail systems into two University-wide systems: Microsoft Exchange for faculty and staff and I-Planet for students.
- Migration from the WebCT (Web Course Tools) Campus Edition online course management system to WebCT Vista, an academic enterprise system utilizing the Oracle database service. This migration should be complete within the next fiscal year.
- Implementation of a web-based information management tool (e-Portfolio) that provides faculty, students, and staff with a secure web site for saving, organizing, viewing, and sharing personal information and records.

In the fall of 2002, UITS undertook an examination of its business operations, services, and administrative functions with the goal of identifying and resolving problems related to the delivery of information technology services. As part of that effort, Pappas Consulting Group was engaged to review quality-assurance functions and processes (project management, standards and procedures, and production turnover processes) in order to identify current weaknesses and recommend future directions. Many of the recommendations from the report issued in November 2002 have since been adopted. (See Exhibit 7.5) In June of 2003, the Pappas Consulting Group reported its findings on opportunities for administrative restructuring and for synergy between the main campus at Storrs (including the various regional campuses) and the University of Connecticut Health Center (UCHC) in Farmington. Several of the findings involved recommendations affecting UITS, and these have either been implemented or are in the process of being implemented. (See Exhibit 7.5)

Currently, UITS staff is housed in three different locations: Math Sciences Building, Homer Babbidge Library, and Chaplin Cottage (Depot Campus). None of these facilities alone is adequate to meet the needs of the entire staff.

#### *Projection*

In order to bring together disparate databases and to make portions of that information more accessible to faculty and staff, the University is moving to new Enterprise Resource Planning systems. UITS has already implemented a PeopleSoft student system that integrates student records, student financials, and financial aid into a central database. This system organizes and distributes student information to assist departments in providing a wide array of services to students and is the repository for storing records of student academic achievement. Much of the future focus of this system will be to extend its reach within the University and to provide direct access to many of these service functions to students via the Internet. These "self-service" operations will change the very nature of administrative services to students, and will help improve the overall student experience at the University. (7.9) In addition, UITS is currently engaged in replacing an aging human resources system with a PeopleSoft Human Resources Management System. We have also implemented several "datamarts" to facilitate querying and reporting capabilities for the University community. Over the next several years we will be continuing these efforts to expand and enhance our data warehouse efforts and to provide more "self-service" operations to faculty, staff and students.

More broadly UITS anticipates the following changes to the technology environment at UConn over the next ten years:

- A convergence of voice and data networks
- Increased use of video over IP for teleconferencing
- A role-based technological provisioning system (Identity Management)
- Expanded implementation of open source software
- A portal environment that utilizes a single ID/sign-on
- Better data warehousing that provides improved backend data integration
- A continuing refinement to the centralized/decentralized model that we have adopted

These goals will require adequate budgetary resources.

The University of Connecticut is actively discussing a more efficient location and physical configuration for various information technology services. It is anticipated that by the time of the next decennial review, these issues will be resolved.

### **University of Connecticut Libraries, Law School Library and Health Center Library**

The mission of the University of Connecticut Libraries is the following:

The University of Connecticut Libraries provide high quality collections and information services in support of the University's educational and research missions. The Libraries also contribute to meeting the information needs of citizens of Connecticut and the scholarly community worldwide.

In fulfilling this mission, the Libraries select, acquire, organize, preserve, and provide access to collections in a broad range of formats; facilitate access to collections owned by other institutions; serve as a gateway and contributor to global networked information resources; provide assistance and education in information retrieval utilizing current technologies; and provide facilities conducive to learning and research. (*"Strategic Initiatives: University of Connecticut Libraries"*)

The mission of the University of Connecticut School of Law Library is the following:

The University of Connecticut School of Law Library's mission is to develop a collection that will support the curriculum and research needs of its primary patrons and provide outstanding information services to those primary patrons in support of their teaching, study, and scholarly endeavors. The library's primary patrons are the faculty, students, and staff of the University of Connecticut School of Law. The library's resources also are available to the remainder of the university community, lawyers, scholars, and the general public.

### **Resources for Academic and Research Programs, Collections and Services**

The Libraries consist of the following branches and regional libraries, although most of the resources are concentrated in the Homer Babbidge Library on the Storrs campus: (7.1, 7.2)

Storrs	Homer Babbidge Library
	Art and Design Library
	Map and Geographic Information Center
	Music and Dramatic Arts Library
	Pharmacy Library
	Thomas J. Dodd Research Center (Archives & Special Collections)
Groton	Avery Point Campus Library
Stamford	Jeremy Richard Library
Torrington	Torrington Campus Library
Waterbury	Waterbury Campus Library
West Hartford	Harleigh B. Trecker Library

Libraries of professional schools and programs:

Farmington	Health Center Library
West Hartford	School of Law Library

The University of Connecticut Libraries (servicing Storrs and the regional campuses) belongs to the Association of Research Libraries which annually compiles an index ranking based on five variables. The overall ranking of the University of Connecticut Libraries is 50th among 113 libraries.

<b>VARIABLE</b>	<b>RANK</b>
Volumes Added	50 <sup>th</sup>
Total Library Expenditures	51 <sup>st</sup>
Volumes in Library	53 <sup>rd</sup>
Current Serials	26 <sup>th</sup>
Professional & Support Staff	71 <sup>st</sup>

The Libraries is the 2nd largest research library collection in Connecticut, with 3,168,617 volumes held across all libraries.

The Thomas J. Dodd Research Center houses the collections of Archives & Special Collections and two academic centers: the Human Rights Institute and the Center for Judaic Studies and Contemporary Jewish Life. It also houses a collection of documents from the African National Congress of South Africa. The Dodd Research Center provides vital public space and programming for the entire university campus.

The Homer Babbidge Library is open one hundred and fourteen hours per week during the academic year and provides quiet research and study space twenty-four hours per day during finals weeks. (See <http://www.lib.uconn.edu/using/finding/guides/factsandfigures.doc> and the Library brochures in Appendix 7.1) Although service hours at other libraries are less extensive, they are generally regarded as adequate.

Access to a wide range of information is provided by the following networked services and access tools:

- HOMER is the Libraries' primary information resource, supporting acquisitions, cataloging, circulation, and public catalog functions. The public aspect of this system consists of: the libraries' catalog, containing over three million records. HOMER was accessed over two million times during fiscal year 2005-06. HOMER is the Endeavor Voyager system implemented in fiscal year 2000.
- SPIRIT is the Libraries' web-based information server, which distributes library-related information and serves as a gateway to databases supported or created by the Libraries.
- MAGIC is the Map & Geographic Information Center, which provides the ability to display and manipulate various types of geo-spatial data via the web.

In addition, recent software tools have been added that provide for better management of Library resources:

- ContentDM is a software package that allows for management and delivery of digital content to users
- SFX is a link resolver that is updated daily and allows users to access national resources such as Google Scholar at the title level
- Electronic Resource Management helps the Libraries manage internally information on electronic resources such as copyright restrictions, licensing, title changes, etc.
- VDX is a software management system used to seamlessly request and deliver interlibrary loan materials to users

The University of Connecticut School of Law and the Law Library are accredited by the American Bar Association. During the accreditation process (which occurs every seven years), the Law Library produces a thorough self-study document. The School of Law was last accredited in 2004. The Law Library belongs to the Association of Research Libraries, which annually ranks academic law libraries in six categories.

VARIABLE	RANK
Volumes Added	35 <sup>th</sup>
Total Library Expenditures	20 <sup>th</sup>
Volumes in Library	37 <sup>th</sup>
Current Serials	33 <sup>rd</sup>
Professional & Support Staff	35 <sup>th</sup>
Total Electronic Materials	35 <sup>th</sup>

The Law Library holds more than 525,000 volumes, and operates 86.5 hours per week during the academic year (104.5 hours per week during exam period).

Access to a wide range of information is provided by the following networked services and access tools:



- The Law Library's system, developed by Innovative Interfaces, supports acquisitions, cataloging, circulation, serials, and web OPAC functions. The public aspect of this system consists of the libraries' catalog, containing over 88,000 bibliographic records. The catalog hosts approximately 120,000 searches each year.
- The Law Library's web site disseminates library-related information and serves as a gateway to databases.
- All faculty and students at the Law School have access to the Westlaw and Lexis electronic legal databases, which are the backbone on which all legal research is presently conducted nationwide.

The Health Center Library serves the University of Connecticut Health Center in Farmington. This includes the School of Medicine, the School of Dental Medicine, the Graduate Health Programs, the John Dempsey Hospital, and the Research departments. In addition, this library has an active consumer health program called Healthnet that serves Connecticut residents and public libraries. The Health Center Library holds more than 300,450 volumes. These include electronic and print resources and databases. There are 119,834 unique titles within the 300,000 volumes. The library is open and staffed ninety-four hours per week. It is staffed by 29 FTEs. A 24/7 Study Area was added in 2005, providing access to networked library services to students when the library is closed.

The Health Center Library completed a major renovation of its main floor in 2005 that includes additional study areas, updated HVAC systems, new wiring and network connections, and new furniture. This was accomplished within the original footprint of the library.

The Health Center Library is included in the accreditation process of the Liaison Committee on Medical Education of the Association of American Medical Colleges. It submits statistics to both the Association of Research Libraries and to the American Association of Health Sciences Libraries.

#### **Financial Support for Scholarly Support Services**

The collections budget of the University of Connecticut Libraries has been allocated from both tuition and bond sources. Between 1999 and 2004, the University provided a five percent annual increase to the bond portion of the budget to respond to double-digit inflation in costs. The percentage of the acquisitions budget devoted to monographs has declined while the percentage devoted to serials and electronic resources has increased. For fiscal year 2005, UCL's acquisitions budget totaled \$5,390,298, of which \$833,938 went to monographs, \$4,059,678 to serials and electronic resources, and \$496,682 to other library materials and resources. If a journal is available in both print and electronic, electronic has become the preferred format. (7.2)

In addition to resources purchased by the University on behalf of its patrons, the State of Connecticut provides the citizens of Connecticut with access to over \$1.4 million worth of electronic resources through its Connecticut Digital Library Program, iConn. This has allowed the Libraries to target and purchase specialized materials of use to academic and professional researchers. (7.2)

The Law Library's collections budget has also been allocated from both tuition and bond sources. Between 1999 and 2004, the University provided a five percent annual increase to that budget to respond to double-digit increases in costs. Nonetheless, the Law Library has tried to maintain or increase expenditures for monographs. For fiscal year 2005, the Law Library's acquisitions budget totaled \$1,218,129 of which \$79,632 was expended for monographs, \$979,351 for serials, and \$159,146 for electronic resources. As often as is practicable, electronic resources are purchased in lieu of print resources. (7.2)

#### **Staffing**

The number of permanent staff at the University Libraries (Storrs and Regional Campus Libraries) is 113 Full Time Equivalents (FTE), down from one hundred and twenty-one in fiscal year 2001. The number of professional librarians has remained constant over this period, now comprising forty-eight percent of the total library staff. Although the number of staff has decreased, the number and percentage of staff from underrepresented classes has increased over the same time period and is now thirteen percent of all permanent staff. Approximately fifty-two FTE student staff work in the University Libraries, forty-one percent on federal work-study grants. (7.4)

The number of permanent staff at the Law Library is twenty-four Full Time Equivalents (FTE), down from twenty-five in fiscal year 2001. The number of professional librarians has decreased by two over this period, and professional

librarians make up forty percent of the total permanent library staff. Here too the number of permanent staff has decreased while the percentage of permanent staff from under-represented classes has increased (to twenty-one percent of all permanent staff). Approximately 3.4 FTE student staff work in the Law Library, including the Law School computer labs, more than forty-nine percent on federal work-study grants. (7.4)

### **Training and Support in Use of Resources**

The University Libraries provides instruction in the use of library resources by individual consultation and class instruction, and have three electronic classrooms devoted exclusively to library and/or information literacy instruction. In 2005, the staff of the Libraries conducted 1,141 sessions, with 12,889 participants. The Libraries are leading the University's new general education requirement in information literacy by working with academic departments on the creation of information literacy modules. (7.5, 7.8) The Law Library also provides instruction in the use of library resources by individual consultation and class instruction. In fiscal year 2005, its staff conducted eighty-three instructional presentations, with 483 participants. (7.5, 7.8)

### **Ownership and Access**

The University Libraries recognizes that it is economically constrained from purchasing all materials desired by its patrons. The Libraries have joined consortia in order to provide access to materials it does not own and became a member of the Boston Library Consortium in 2002. Exhibit 7.3 details ownership and access initiatives by University Libraries, the Law Library, and the Health Center library.

### *Appraisal*

### **Resources for Academic and Research Programs**

The Library continues to be an important symbolic space on all campuses for the University. Music, Pharmacy, Stamford and Waterbury libraries are new facilities built in the last seven years, and the Homer Babbidge Library has been remodeled and rededicated over that time. Both the Avery Point and West Hartford libraries are scheduled for new facilities within the next ten years. In Torrington, plans are being made to update that facility. The Health Center Library has been remodeled and updated and there is a new library on the Law School Campus.

The 1996 NEASC Reaccreditation Self-Study Report observed that the "interplay between the print paradigm and the electronic paradigm is a dynamic one that will continue to evolve as the development of reliable systems for delivering information matures." This has proven to be right on target, and the Libraries has devoted more and more resources to developing technological means of distributing its resources.

The Libraries continue to seek economies by reducing the number of print serial subscriptions and increasing the number available electronically. In order to accomplish this with shrinking collections dollars, decisions were made to reduce the monographs budget and to reduce duplication. Even with these changes, the Libraries rank 26th and 53rd in the ARL ranking for serials and monographs. The most recent library survey, LibQual+, conducted in 2004, showed that users are generally satisfied with the Libraries' collection of books, journals and electronic resources (<http://www.lib.uconn.edu/about/administration/surveys/LibQual2004TeamReport.pdf>). In addition, the Libraries have fully integrated electronic document delivery (<http://www.lib.uconn.edu/online/services/ill/>) and electronic course reserves (<http://www.lib.uconn.edu/online/services/reserve/>) into its suite of services.

The Libraries has also made much progress in establishing critical partnerships over the past ten years, notably the Boston Library Consortium (BLC), in order to share resources regionally. The BLC Virtual Catalog makes it possible for UConn users to request materials quickly from other BLC libraries. Through use of these partnerships, it is estimated that the average wait time for a resource ordered from another location ranges from as little as twelve hours, to a maximum of three days. See Exhibit 7.6 for a description of consortium and partnership activities.

An exciting new development for the Libraries has been the initiation of an electronic institutional repository, called the Digital Commons (<http://digitalcommons.uconn.edu>). See Appendix 7.3 for a pamphlet about the Digital Commons. Among other features, the Digital Commons serves a variety of functions in the scholarly communication process. Documents on the Commons include journal articles, theses and dissertations, audio and video files, and conference proceedings by University of Connecticut faculty, staff and students that are searchable by such common engines as Google and Yahoo.

### **Financial Support for Scholarly Support Services**

Since 1997 (with the exception of 2003 and 2005), the budget for library materials has increased five per cent per year while prices for journals have increased at an average rate of 10 per cent annually.

The Libraries purchased a new integrated library system in 1999, and Y2K funding, also in 1999, provided resources to replace computer equipment and add to the installed base. However Capital budgets to support equipment have been uneven in subsequent years. For example, due to the University's need to cut capital budgets in the transitional years between the end of the UCONN 2000 program and the beginning of 21st Century UCONN, the Libraries did not receive an equipment budget in fiscal year 2006. However, it did receive equipment money in fiscal year 2007, and the University's projected budgets in the future include equipment money for the Libraries. Moving to electronic delivery mechanisms has meant an increase in the number of computer workstations and servers in the Libraries, but the equipment budget has not kept pace. The Libraries has in recent years increased its fundraising activities in order to supplement the budget it receives from the state. The Libraries have been particularly successful in raising money through 50th Anniversary and Senior Class gifts.

The Libraries has made great strides in increasing access to networked resources, especially electronic journals, but the result has been a significant decline in purchasing power because the budget has not been increased at the same rate as inflation. Also, as a cost saving measure, staff vacancies have been used to balance budgets across campus, resulting in delays in hiring vacancy replacement staff. Staff size and operating budgets remained at fiscal year 2002 levels while the size of the student body increased (nine) percent.

#### The Thomas J. Dodd Research Center and Archival Materials

In 1995, President William J. Clinton presided over the dedication of the Thomas J. Dodd Research Center, a new state of Connecticut-funded archival and research facility. This facility, which focuses a special collection on human rights, has aided greatly the archival function of the University of Connecticut Libraries and the research capabilities of faculty, staff and students. Preservation of archival material in a readable form has been identified as a future challenge, not only to the University of Connecticut Dodd Archives, but generally around the world. With the advent of electronic media as increasingly the primary modality of communication, documentation and expression, it is critical that electronic expression remain accessible in the future. However, due to the rapidity of technological evolution within the electronic realm and a "throw out the old" mindset, preserving a means of reading older electronic expression is a challenge. The Dodd Archivists have identified this developing problem, and in 2005 published a records management strategic plan: Keeping the whole Record: a Strategic Plan for Managing and Preserving the University of Connecticut's Knowledge Assets in the Digital Century, <http://www.lib.uconn.edu/online/research/specilib/ASC/recordsmgmt/strategicplan.htm>. Implementation of the plan will be a challenge for UConn, but an early acknowledgement of the problem will assist greatly in preventing insoluble problems in the future.

#### *Projection*

The Libraries has articulated a strategic plan for the period 2005 to 2010. (<http://www.lib.uconn.edu/about/administration/strategicplan2010.pdf>) The plan's goals include:

- maintaining attractive learning environments and services;
- becoming a coherent and comprehensive gateway to research materials worldwide;
- offering rich and diverse collections deriving from local ownership, consortia and licensed information arrangements, and links to open access materials;
- employing a knowledgeable, flexible, and responsive staff; and
- exerting leadership and expertise for the University community as scholarly communication systems are transformed.

Achieving those goals will depend largely on the budgetary resources available. This is especially true in the areas of collection development and staffing. The trend toward electronic and away from print resources is likely to continue unabated. This will mean greater access to electronic journals, cooperative collection development for monographs, and has already provided users with rapid access to regional collections. But it will also mean increased costs and a continued de-emphasis of monographs not just print journals. It is important to keep in mind that the landscape of scholarly publishing is unstable and changing rapidly, and the needs of the libraries and their users may look rather different in the medium term.

Funds from UCONN 2000 and 21st Century UCONN have been crucial to the renovation of the physical space of the libraries throughout the University and in support of collections. It is crucial that new budgetary resources emerge as these bonding funds are exhausted. The Libraries will continue efforts at fundraising, but such funds are unlikely to be adequate by themselves. Recognizing that within ten years bond funds will most likely cease to be available for

library resource funding, in fiscal year 2006 the University's Central Administration began transferring some library acquisitions costs (about \$2 million) onto the annual operating budget. The Provost and the Chief Financial Officer are devising plans to have an adequate library resource budget funded by the operating budget in place before the conclusion of the 21st Century UCONN capital program.

### **The Institute for Teaching and Learning**

The Institute for Teaching and Learning (ITL) comprises eight units.

- **Instructional Design and Development (IDD)** - This group works with faculty at all campuses to design courses and curricula for face-to-face, on-line, blended delivery, or interactive compressed video. The on-line components are designed to be delivered through the University's course management software – WebCT Vista. The IDD group aims not merely to produce high-tech curriculum products, but to contribute generally to the professional development of the faculty. Technical services, now part of IDD, provides design, installation, and maintenance of high-tech classrooms across all campuses.
- **Instructional Resource Center** - This area provides walk in or appointments for faculty and teaching assistants to learn how to use hardware and software for educational purposes. It is the center for WebCT Vista training and for support for e-portfolio creation.
- **Learning Resources Center** - This is a student facility that is directly accessible to Storrs-based students and electronically available to all students through email and phone communications. It provides advice on all technical matters concerning learning including WebCT, e-portfolio, and e-mail.
- **Teaching Assistants Program** - This unit provides orientations, training, and evaluation of all teaching assistants. The elements of the international part of the program include cultural, language, and pedagogical training. Seminars are provided on demand or through the regular lunchtime series.
- **Video, Photo, and Graphics** – This unit has two main components, Video Design Services (VDS) and Graphic & Photographics (G&P). VDS offers courses in TV production and provides many digital services related to audio and video. G&P provides teaching and research services in the photographic and graphic areas.
- **The University Writing Center** - This center provides support, across all undergraduate campuses, for faculty who are teaching W courses or who have a significant writing component in their courses. It also supplies tutors to help individual students in becoming more proficient in the writing assignments.
- **The Quantitative Learning Center** - This relatively new center is beginning to provide math and science faculty with support as well as tutoring students in the quantitative subjects. The Q Center also provides services across all undergraduate campuses.
- **Early College Experience** - This area of ITL works with high schools to provide experiences in coursework that can allow high school students to enroll concurrently in a UConn course, thus having the ability of transferring credit upon entry to the University.

### **Detailed description of the Institute for Teaching and Learning**

There are eighty-four high-technology classrooms at the Storrs campus and at least one at each of the regional campuses. Each of these rooms has a computer (and cable for laptop), document camera, DVD and VHS players, sound system, internet connection, cable TV, digital projection and/or plasma displays – all switchable through a control touch panel which includes lighting scenes. A few rooms have multiple screens (front or back projection). There are four rooms equipped with a Symposium touch-panel interactive display unit. Several rooms have ceiling cameras for faculty self-evaluation recordings. If a course is designed through the Instructional Design group of the

Institute for Teaching and Learning, the appropriate mode of delivery is determined by the pedagogy required by the course. If a technological solution is required, the high-tech classrooms are able to accommodate the needs. At the Health Center campus in Farmington, there are 40 high-technology classrooms, conference rooms, and auditoria of various sizes. Each of these rooms has a computer (and cable for laptop), DVD and VHS players, sound system, internet connection, and digital projection and/or plasma displays. Twenty-two have AMX touch-panel controls; twenty-one have Polyvision "smart boards" and annotation panels; a few have document cameras and web-casting capabilities; and seven of the rooms have additional equipment for interactive videoconferencing. One auditorium has an audience response system installed.

High-tech rooms are in extremely high demand. It is expected that all new rooms will be either fully "high-tech" or "tech ready." This latter designation means a room with a wall plate with connection to a projector; lighting and screen control; and a sound system. Four rooms are currently equipped with interactive compressed video (ICV) systems which, through IP2, can be connected to any or all of the regional campuses, the state educational system in general, and beyond. At present about ten to twelve courses are delivered through the ICV system each semester. (7.3)

In addition to face-to-face synchronous delivery, the University uses the WebCT course management system for asynchronous instruction. In academic year 2005-2006 the staff of the Institute for Teaching and Learning worked with faculty to convert all courses from version CE 3.8 to Vista for fall 2006 delivery. Almost three thousand courses contain elements of WebCT material. The Center for Continuing Studies also uses the WebCT software for many courses. (7.3)

Server, network, and video support are provided for the classrooms and WebCT by the University's Information Technology Services unit. Several academic units provide secondary server delivery for on-line courseware and streaming media.

Every semester before the start of classes, the IDD group of the ITL offers instruction on how to effectively use the high-tech classrooms. A help phone number is prominently displayed in every high-tech classroom so that assistance is available throughout all the day and evening class hours. (7.5)

The Instructional Resource Center (IRC) provides walk-in and appointment support for any faculty member or teaching assistant requesting it. In addition, the IRC is available by phone or email. Some regional campus faculty visit the IRC in person, others use the phone or email. Assistance is provided for hardware or software inquiries, pedagogical questions related to technology, digitization of media, and creation of courseware including WebCT materials. The advent of a University e-portfolio facility for all students and faculty has added a significant load to the work of the IRC staff. (7.5)

The Learning Resources Center is located in the Homer Babbidge Library (HBL) and staffed with members of the ITL. A manager, graduate students, and undergraduate students provide technical support on all questions regarding WebCT, e-portfolio, email, etc., in person, by phone, or by email. This facility is available for all students at all campuses during the normal operating hours of the library. (7.5)

In addition the ITL offers a lunchtime seminar series, book reading and study groups, future faculty sessions for graduate students, and faculty learning communities. It is also engaged in professional development for adjunct faculty and provides awards for regular faculty and teaching assistants. (7.5)

Staff members of the IRC have been heavily involved in the creation of the University's on-line Computer Technology Competency tests. Each student is expected to take the self-administered test before the start of his/her academic program. This entry-level test is aimed to provide an assurance to instructors of the basic computer skill levels of all students. Exit-level requirements are set by each program of the University. (7.8)

#### Staffing-

The administration of ITL consists of a director and an associate director, supported by staff assistants and student office workers. The Instructional Design and Development group has a staff of seven, including a director, one graduate student, and three to five undergraduates. The Teaching Assistant Program has a director, an administrator, one part-time staff member, and several student workers. The Instructional Resource Center and Learning Resource Center have a staff of four, including a director, and also employ graduate and undergraduate student workers. The Center for Instructional Media and Technology has a staff of seventeen, including a director, an administrator, and a number of technicians and technical staff members. The Writing Center has a director and associate director and employs some twenty-one graduate students. The Q Center has a director, a part-time

assistant, and employs a number of graduate students. The Early College Experience group has a staff of three, including a director. (7.4)

### *Appraisal*

Since 1985-86, the University's focus on support for instructional technology has had a positive effect on the development and delivery of programs in support of classroom instruction. ITL now serves a valuable and important role in the delivery of information on campus and in the use of instructional technology. It provides strong pedagogical and technology support for all instructional needs and serves the students through tutoring and technology help. Among ITL's strengths is its reputation for quality in developing classroom materials and in assisting faculty in the use of instructional technology. In addition, ITL offers a wide range of support to a diverse constituency of campus and off-campus clients. It has become a vital part of the University's infrastructure.

In 2005, the University of Connecticut commissioned a Classroom Design Study in order to facilitate standardization of classroom technology. This study is contained in Appendix 7.4. The aim of the study is to save costs by use of standard technology, further ease of servicing the equipment, and assist faculty by not requiring them to use disparate technologies in different classrooms. The recommendations of this study are now being implemented.

### *Projection*

ITL will continue to play a critical role in support of good pedagogy through instructional technology and materials. The instructional role of information technology will almost certainly expand in the next ten years.

There are, however, several concerns about ITL's ability to sustain all of its support services. Like many departments on campus, ITL is short-staffed, given the number and multifaceted nature of its activities. ITL relies to some extent on the revenue it generates in order to continue to offer a wide range of services. Like many units of the university, it is able to generate some of its annual budget of \$1.3 million. Typically, the revenue is used to hire part-time and temporary labor. However, the annual training provided to the temporary staff is a drain on the permanent staff resources because it has to be repeated every year.

ITL currently maintains an installed base of equipment that is valued at well over \$1 million. A portion of this represents a recurring annual cost of replacement in order to provide users with the most effective equipment. Here, as in other areas of information technology, a central issue is the extent to which future resources will be sufficient to maintain and expand the necessary infrastructure, especially as the capital money project, 21st Century UCONN, comes to an end in 2015.

While the University of Connecticut offers a few selected distance learning programs, expansion is unlikely in the near future. The University has successfully raised capital funding that will help in the near term with classroom renovation projects and the enhancement of the campus network, but the costs associated with distance learning tend to be operating expenditures. For example, the cost of developing a single course for distance learning is up to \$10,000 in person hours. This estimate does not include overhead, technical support, or the operating costs associated with transmission. Expanded use of distance education does not seem feasible except in those areas, such as the Masters in Accounting on-line, where the distance-learning medium is used for credit and non-credit courses that generate additional revenues.

## **INSTITUTIONAL EFFECTIVENESS**

Due to the largess of the people of the State of Connecticut, since the inception of UCONN 2000 in 1995, the University of Connecticut has had a stable source of capital funding on which to draw for library and other information resources support. The University has tried to be a good steward of these funds and use them wisely and effectively. To that end, the institution has engaged in a great deal of planning in all three areas of information technology services, libraries and instructional resources. It will continue to do so in order to ensure adequate funding for these endeavors beyond the end of 21st Century UCONN.

## Standard Eight

### Physical and Technological Resources

The University of Connecticut's physical resources consist of over 13.8 million ft<sup>2</sup> of building space located on the main and six regional campuses. A substantial physical transformation has occurred since the previous NEASC accreditation. The Strategic Plan for the University of Connecticut, ***Beyond 2000: Change***, was approved by the University Board of Trustees on January 17, 1995, and contained the following vision statement: "The University of Connecticut will be perceived and acknowledged as the outstanding public university in the nation - a world class university. It will be a community of scholars and a center for learning where individuals can develop their intellectual capabilities throughout their lives in an environment that promotes academic achievement and research excellence...."

The Governor and Legislature endorsed this goal and passed Public Act 95-230, the so-called "UConn 2000" legislation, in June 1995 that provided \$980 million to construct a physical environment that promotes academic achievement and research excellence. In 2002, the Legislature extended the program by passing the 21<sup>st</sup> Century UCONN program (referred to hereafter as UCONN 2000 Phase III), Public Act 2-3. Signed into law on August 26 2002, this program provides \$1.3 billion for capital improvements through 2015. Some of the highlights of the program include 3.4 million ft<sup>2</sup> of new construction including 770,000 ft<sup>2</sup> of new laboratory space, 3,440 new dormitory beds and 875,000 ft<sup>2</sup> of new construction at Regional Campuses. As of October 2005, seventy-three projects distributed across all campuses and totaling \$1,091,000,000 had been authorized to receive General Obligation Debt Service Commitment bond proceeds (Book 21; 8.1).

#### The Storrs and Regional Campuses

The main campus of the University is located in Storrs approximately 30 miles east of the state capital, Hartford. This campus is approximately 3,800 acres, including farm and forest lands. Unlike many urban campuses, UConn-Storrs owns and operates utilities that generate/provide water, electricity, district heating and cooling, and waste water treatment to its facilities. The main campus now encompasses 10.1 million ft<sup>2</sup> in 461 buildings. A summary of the space and structure statistics for the University of Connecticut System is provided in Table 1 (8.1, 8.3).

**Table 1. Space and structure statistics at the University of Connecticut.**

Campus	Acreage	Gross Square Footage	Number Bldgs/Boats
Storrs	3843	10,114,940.69	461/0
Hartford & W. Hartford	77	477,526.00	11/0
Stamford	8	605,700.29	2/0
Torrington	96	48,197.00	4/0
Waterbury	8	105,872.00	1/0
Avery Point	72	467,618.73	22/8
UC Health Center	<u>162</u>	<u>2,140,000.00</u>	<u>42/0</u>
<b>TOTAL</b>	<b>4266</b>	<b>13,983,302.71</b>	<b>542/8</b>

*Avery Point.* This ocean-side regional campus is located on 72 acres of a former estate at the mouth of the Thames River. The original great house, Branford House, was built in 1904, and was joined by U.S. Coast Guard structures during the 1940s. The University assumed control of the site in the 1960s. The Avery Point campus supports three four-year degree programs, two of which are related to the coastal and maritime aspects of the campus' marine mission. The Marine Sciences Program is located here. In 2001, a new Marine Science building opened, featuring state-of-the-art scientific facilities.



*Torrington:* The Torrington regional campus provides access to UConn's educational programs for residents of the state's northwest corner. It is co-located with the Litchfield County Cooperative Extension Office. Students enrolled at the Torrington campus can complete select bachelor's degree programs through the UCONN Tri-Campus system, a program that combines course offerings at UConn's Torrington, Greater Hartford and Waterbury locations.

*Greater Hartford Campus:* This campus is located in West Hartford, and is home to the School of Social Work and the Hartford County Cooperative Extension Service.

*The Hartford Law School Campus:* The University's Law School was established in 1921. Its Hartford campus is listed on the National Register of Historic Sites.

*Waterbury:* Located in the urban downtown setting of Waterbury, this campus serves commuter students from the Naugatuck Valley and from as far away as Bridgeport and New Haven.

*Stamford:* The Stamford Campus was founded in 1951, to provide education for GIs returning from the Korean War. It is currently located at One University Place, and boasts new facilities that roughly triple the size of the former campus. It is home to the Center for Judaic and Middle Eastern Studies, Connecticut Information and Technology Institute, and the Seaweed Marine Biotechnology Laboratory.

*The University of Connecticut Health Center (UCHC) – Farmington:* The UCHC is home to the UCONN Medical School, UCONN Dental School, and the John Dempsey Hospital. It is second only to the Storrs campus in size and scope.

It should be noted that the University of Connecticut also leases 39,081 square feet in downtown Hartford for the School of Business Graduate Learning Center and SS&C Financial Accelerator. Also, there are six (6) other County Extension Offices that are located in owned (O) or leased (L) facilities in the towns of Bethel (L), North Haven (O), Norwich (O), Haddam (O), Vernon (L) and Brooklyn (O).

### **Administrative Responsibility and Authority**

The ultimate authority for approval of planning and expenditures for physical and technological resources resides with the Board of Trustees (BOT). The BOT meets with the University Central Administration in public meetings several times a year to review and approve construction and budgetary requests for capital projects. In 2006, the Chair of the BOT established a Building, Grounds and Environment Committee to augment Board oversight of the university's capital project program, plus university utility systems, such as water. The BOT also has a Joint Audit and Compliance Committee that has fiscal audit oversight of all capital expenditures, augmenting the role of the Financial Affairs Committee.

Overall, the University's capital projects' planning is guided by input from such planning documents as the Campus Master Plan and the UCONN 2000 Phases I, II and III Named Project List. It obtains university constituency feedback through the Capital Projects Planning Advisory Committee (CPPAC). Exhibit 8.1 contains a list of all CPPAC members and the charge to the Committee.

The President has charged the University Buildings & Grounds Committee (B&G), composed of selected senior administrators, two deans and two University Senate representatives, with responsibility for policy and decision-making relative to the physical infrastructure at the Storrs and Regional campuses. Exhibit 8.2 is a list of the composition of the B&G committee. (8.4, 8.6) At UCHC, a related shared governance model exists that is analogous to the Storrs-based B&G. This responsibility encompasses:

1. Prioritizing construction of new buildings, major renovation projects, and other major capital projects, including equipment, information technology and major software acquisitions;
2. Planning, prioritizing and monitoring the expenditure of UCONN 2000 funds and capital funds from other sources for UCONN 2000 named projects, in a manner that best supports the academic mission and ensures proper financial reporting to the President, Board of Trustees and external entities;
3. Establishing and implementing plans to utilize the UCONN 2000 Deferred Maintenance funds in a way that addresses the highest priority deferred maintenance needs of the Storrs and Regional campuses; and
4. Establishing and maintaining mechanisms to receive, consider, and incorporate into campus plans input from advisory groups relative to environment, facilities and utility master planning, landscaping, signage and other elements that contribute to the aesthetic quality of the University experience (8.4, 8.6).

A spreadsheet depicting all named UCONN 2000 projects (Phase I-IV) is contained in Appendix 6.5. Exhibit 8.3 contains a compendium of University websites regarding aspects of the building program.

The Chief Operating Officer (COO) of the University is responsible for the administrative functions relevant to the general Physical Plant. The COO has oversight of these offices related to capital projects: Architectural and Engineering Services, Facilities Operations, the administrative aspects of the Office of Construction Assurance, and Capital Project and Contract Administration. Physical resources associated with student housing are administered by the Department of Residential Life. Technological resources associated with Undergraduate Education are administered by the Institute for Teaching and Learning. The administrative responsibility and authority for these entities report through the Provost.

During late 2004 through early 2006, deficiencies in the UCONN 2000 building program processes were identified, arising from the discovery of faulty construction in some projects. The University acknowledged these problems and undertook a number of corrective actions to remediate the construction problems and refine administrative processes to prevent reoccurrence of these types of issues. President Austin presented a plan to the Board of Trustees and the Connecticut General Assembly in 2005 that has now been implemented to correct problems and improve processes.

Because the primary source of capital projects money at the University of Connecticut is from State of Connecticut funds, state government officials took an active interest in ensuring that the issues were addressed and would not recur. Ultimately, the state General Assembly passed legislation (Appendix 8.1) that called for increased inspection and oversight of UCONN 2000 capital projects and established a legislatively-appointed state Construction Management Oversight Committee. Public Act 06-14, "An Act Concerning Construction Oversight at the University of Connecticut and the Prequalification of Substantive Contractors," *inter alia*, requires the following:

- Selection and appointment by the Board of Trustees of independent auditors to annually conduct an audit of any project of UCONN 2000;
- Establishment of a Construction Management Oversight Committee consisting of four members appointed jointly by the Governor, the Speaker of the House of Representatives, the Majority and Minority Leaders of the Senate, and three members appointed by the Board of Trustees (list of members of Construction Oversight Committee available in Resource Room);
- Establishment of a Construction Assurance Office by the Board of Trustees.

All of these provisions have been met.

### **The University's Academic Plan Operating Principles for Facilities and Physical Planning**

The Academic Plan is intended to assure that the State of Connecticut's major investment in University facilities will achieve the maximum return for the entire range of University missions. Accordingly, the Plan sets out principles for facilities and physical planning across all University campuses. Guidelines are provided for structures that best serve academic programs for maintenance efficiencies, and for consolidation of activities in fewer buildings. The plan also supplies a management model that ensures responsive, flexible use of classrooms. Within the Academic Plan, the four major aspects of the Operating Principles for Facilities and Physical Planning are:

- To recommend principles for establishing priorities for the UCONN 2000 building program consistent with the Academic Plan,
- To create principles for research, laboratory, performance, and scholarship space,
- To create a model for classroom planning as a portion of UCONN 2000 Building programs, and
- To create a process for establishing and to some extent standardizing internet and telephony needs, and to develop a process for building these systems into the UCONN 2000 building program. (8.4, 8.6)

The goal of University academic planning in general has been to plan for and provide the physical and technological resources required to fulfill its teaching, research and outreach missions. Since the previous NEASC accreditation

review, more than 100 classrooms have been renovated to accommodate electronic access and multimedia presentation platforms, i.e., Hi-Tech Classrooms. (8.2)

Primary responsibility for ensuring that classroom resources are sufficient to support modern teaching practices lies with the Institute for Teaching and Learning (ITL). The ITL is comprised of ten units and sub-units including Instructional Design & Development, Instructional Resource Center, Teaching Assistant Programs, University Center for Instructional Media & Technology, Learning Resource Center, Early College Experience, Quantitative Learning Center, and the University Writing Center. Some of these ITL units provide services required for distance learning, hi-tech classroom management, video services, graphics and photographic production, WebCT training, instructional design services, faculty development opportunities, and teaching assistant orientation and programs. Other units provide direct support to students for computer technology, writing and quantitative aspects of their learning, as well as curriculum development support through the instructional design process. Maintenance of Hi-Tech classrooms is provided by personnel in ITL. For further discussion of the ITL, see Chapter 7. (8.2, 8.4)

### **Safety and Compliance**

Construction of new facilities at the University of Connecticut is guided by applicable law as embodied in such laws and regulations as: the Connecticut State Building Code (adopted 1999 with subsequent amendments); the Connecticut State Fire Safety Code (adopted 1999 and based on NFPA 101, 1997 with amendments); and the guidelines of the U.S. Access Board to satisfy federal legislation of the Americans with Disabilities Act of 1990 and the Architectural Barriers Act of 1968, as augmented by University of Connecticut Accessibility Standards published by UConn's Center for Students with Disabilities (8.3). Adherence to relevant law in threshold buildings is assured by the offices of the State Building Inspector and the State Fire Marshal. In non-threshold projects, adherence to relevant codes is monitored and ensured by the University's Building Inspection Office, a part of the University's Division of Public Safety; this Office also provides oversight for renovations. In addition, guidance is provided by the University's Office of Environmental Health and Safety ("EHS", also part of Public Safety) with their "Construction & Renovation Guidelines" (currently awaiting review by the Building Inspection Office), and the Center for Students with Disabilities. Security issues fall into two general categories. One is intended to protect the public from hazards inherent in the legitimate activities of the building's occupants and programs, and the other is intended to protect the building's occupants, programs and property from theft, vandalism, and other criminal activity. The first type of security is developed with guidance from EHS; the UCONN Police Department (PD) is primarily responsible for the second category. Security systems maintenance is typically the responsibility of the occupying department and with some elements in the domain of Facilities Operations. Programs work with EHS and the UCONN Police Department as needed to identify any changes in security systems that might be necessary. The Office for Environmental Policy is charged with ensuring that the University implements best practices and continually monitor, report on and improve its environmental performance. It works with various constituencies to design, construct and maintain University buildings, infrastructure and grounds in a manner that ensures environmental sustainability and protects public health and safety. (8.3)

### **Maintenance**

Maintenance of the physical plant is generally provided by the University's Facilities Operations group. In addition to performing routine Planned Maintenance on building safety systems, they routinely inspect for and correct safety and security problems. The Building Inspector's Office, Fire Department and EHS also each conduct routine inspections of facilities. Violations and problems are brought to the attention of the unit responsible for corrective action, typically Facilities Operations or an occupying department. Maintenance of student housing is the responsibility of the Department of Residential Life, while that of the University technology infrastructure is provided by University Information Technology Services (UITS). Additionally, the Academic Renovations Unit of Biological Central Services provides some selected small renovations funded in approximately equal measure from capital money specifically allocated for deferred maintenance through the Provost's office, and from individual schools/colleges/departments. Deferred maintenance is continually evaluated by the B&G Committee. A listing and prioritization of projects for DM funds provided through UCONN 2000 is developed through communication with Facilities Operations, and academic reporting lines through the Deans/Directors to the Provost. (8.1, 8.4)

### **Policies and Procedures**

The University's policies are maintained within an electronic database (Policy e-library) that is accessible from its main web page. The Policy e-library was implemented in January 2003. In addition, UITS maintains a policy web page that links directly to policies that involve technology and security.

All major departments have policy editors who are responsible for generating new policies within their specific area. Once a policy has been drafted and vetted through the appropriate internal approval process, it is recommended to the Reviewer (Office of Audit, Compliance and Ethics) to ensure that the policy is compliant with federal and state laws, and that it is consistent with already established University policies. In addition, the Reviewer determines if the policy is department-, college- or University- based; in the latter case, the policy is considered by the senior administration and potentially the Board of Trustees for final approval.

### **Electronic Data Management and Security**

The University's Information Technology Services Department (ITS) has developed several policies and procedures to protect the reliability, integrity, and security of the data that are housed on its systems. These policies were implemented, in part, to address issues of security and individual privacy resulting from federal and state legislation such as the Family Rights and Privacy Act (FERPA), the Health Insurance Portability and Accountability Act (HIPAA), the Electronic Communications Privacy Act (ECPA), the Gramm-Leach-Bliley Act (GLB), the Children's Online Privacy Protection Act (COPPA), the Freedom of Information Act (FOIA), and the Connecticut Personal Data Act. A Council of Data Stewards (CDS) is appointed by the University President and is responsible for recommending policies, and establishing procedures and guidelines, for university-wide management of University data and for ensuring consistency of policies, procedures and guidelines across all areas. The Assistant Vice President for Security, Policy and Quality Assurance is also a member of the CDS. (8.5)

### **Information Technology Audits**

The University's Office of Audit, Compliance and Ethics (OACE) employs an IT Audit Manager and Senior Auditor to address areas related to information systems. To that end, the IT Audit Manager works closely with management and personnel from the ITS and the Health Center's Information Technology Department to define the IT audit universe for the University and Health Center, and identify areas of potential risk or exposure to UCONN systems. Based on this information a risk assessment is conducted to identify audits to be included in the yearly IT audit plan. To augment the competencies of the existing IT audit staff, the University contracts with external auditing services, as needed. In addition, the Auditors of Public Accounts for the State of Connecticut include IT areas in their annual audit plan. (8.5)

### **Confidentiality and Privacy**

In order to protect the confidentiality and privacy of students and employees of the University of Connecticut and to ensure that steps are taken concerning the collection, use and disclosure of Social Security numbers, the Central Administration authorized the creation of the Policy on the Use of the Social Security Number at the University of Connecticut, which was disseminated in September 2005. Over the past two years, the University has worked with independent consultants and the Connecticut State Department of Information Technology to ensure compliance with HIPAA legislation and a plan for remediation has been developed.

### *Appraisal*

The evaluation of physical and technological resources occurs continually at all levels of the University, and this section focuses on five central evaluators of these resources. (8.6)

### **Campus Master Plan**

The Campus Master Plan provides an "Analysis of Existing Conditions" relative to (1) Buildings and Facilities, (2) Open Space, (3) Pedestrian and Vehicular Circulation and (4) Parking. Appendices 8.2 and 8.3 contain the three Campus Master Plan reports for the Storrs Campus and Regional campuses. In the original Master Plan, adopted by the Board of Trustees in 1997, planning recommendations were presented for the six "Campus Neighborhoods" under each of the first three categories. The updated Storrs core campus Master Plan, adopted in 2006, contains recommendations for further construction using UCONN 2000 funding, as well as anticipated needs beyond 2015. As construction under UCONN 2000 has progressed on the Storrs campus, parking and service vehicle access concerns have been raised, especially as the campus has evolved to promote an environment that is pedestrian-friendly in its core, as called for in the Master Plan. While the construction of parking garages has alleviated much of the parking burden, it is recognized that careful planning is required for the future so that parking is as convenient as possible. In academic year 2006-07, planning consultants have been engaged to analyze and make recommendations about the best means for service vehicles to be able to access all buildings, with a minimum of conflict with pedestrians and continued adherence to the concept of a pedestrian campus. As planning for the location of one of the largest of the last major building projects in UCONN 2000, the Arjona-Monteith replacement building, comes to fruition in 2006-07, resolution of the problem of vehicular access to this building and the Library is an important and unresolved issue.

### **Building and Maintenance Evaluation**

UCONN 2000 represents a 20-year, \$2.3 billion investment by the State of Connecticut in upgrading the University's

physical and technological infrastructure. An update and evaluation of UCONN 2000 building projects and finances is prepared semi-annually for the State Governor and Legislature. The procedures for planning and evaluating UCONN 2000 have evolved over time, with the current structure being that summarized by Philip Austin before the Finance, Revenue and Bonding Committee of the State of Connecticut General Assembly in April 2005. See Exhibit 8.4 for the statement. The multifaceted plan that President Austin outlined to the General Assembly included restructuring and expanding the Joint Audit and Compliance Committee, restructuring the management of building construction, creating the Office of Fire Marshal and Building Inspector, revising project budgeting and reporting, and enhancing contract approval and administration. This plan is based on the recommendations to the Board of Trustees of the University Chief Operating Officer for correcting construction program issues (Exhibit 8.5). See also the description of new building program processes and construction process flow chart (Exhibit 8.6). New software has been acquired (FAMIS) that will permit Facilities Operations to track maintenance needs and schedule their completion more efficiently, and for Architectural and Engineering Services to better manage space and capital projects.

The University's COO recently instituted a BEST (Breakthroughs, Excellence, and Success through Teamwork) initiative between the UCHC and the Storrs campus that seeks to improve services provided to students, patients, faculty, and staff, primarily within the departments that report to the COO and the UCHC Hospital Director. This goal is accomplished through process improvement teams charged with tackling specific problems that can be analyzed in ways that allow the team to identify solutions to inefficiencies. The BEST approach was recently used to reduce the time to respond to minor maintenance work orders at Storrs. See Appendix 2.7 for relevant reports.

### **Deferred Maintenance**

Deferred maintenance (DM) projects are also supported with funds from UCONN 2000. The B&G Committee establishes a priority listing of deferred maintenance needs through consultation with the various constituencies reporting through the Provost and the COO, as well as input from the Health Center. B&G evaluates projects in light of the academic and student services missions of the University in terms of their cost effectiveness, health and safety considerations, and regulatory requirements. In 2006, the University hired an outside contractor to provide guidance on how best to identify and prioritize deferred maintenance projects. The contractor's report is due in 2007 and it will be used to prioritize future B&G deferred recommendations to the Board of Trustees. The University of Connecticut Board of Trustees gives final approval to the deferred maintenance budget suggested by the B&G. This budget will also be reviewed by the legislative-appointed Construction Oversight Committee.

### **Technological Resources**

Many of the University's technological resources are managed by UITs. This is overseen by the Information Technology (IT) Steering Committee which is comprised of representatives from all major technology users at the University, including the Provost's office, various academic colleges, the library system, professional schools, various administrative units, and regional campuses. The charge to UITs, as a whole, and the steering committee in particular, is to develop and invest in technologies that support the University's tripartite mission. See Chapter Seven for further discussion of the functions of UITs.

### **University Center for Instructional Media and Technology**

The former University Center for Instructional Media and Technology (UCIMT) is now an integral part of the Institute for Teaching and Learning (ITL) which now provides a variety of practical technological services, including classroom technology, distance learning and teleconferencing via Interactive Compressed Video (ICV), graphics and photographic services. In addition, UCIMT provides support in the area of digitization and video design services. These technology services are utilized extensively by faculty, staff and students for both education and research activities.

### *Projection*

The University has completed master plans for the campuses and their constituent units. Requirements for new facilities, plant adaptations, renovations and deferred maintenance have been programmed and prioritized. The *UCONN 2000 Phase III and IV* (21<sup>st</sup> Century UCONN) plan calls for an investment of over 1.3 billion dollars over the next ten years (2005-2015) in order to provide the infrastructure necessary to operate a world class university. (8.3)

The University will face challenges in the near term, as it refines its processes to comply with the many layers of UCONN 2000 oversight and reporting that have been added since late 2004. Most of the staff hiring and oversight/advisory committee appointments have been made, and the mechanisms for interaction among the various committees, the Board of Trustees and the General Assembly should be in place by mid-2007.

Despite the progress, challenges remain that must be addressed for the University to reach its future goal as one of the top public research institutions. Even the huge amount of capital dollars slated to be spent in the four phases of

UConn 2000 cannot address all documented facilities needs. The University of Connecticut will have to be vigilant and make tough prioritization decisions in order to obtain the very best return on the state's investment. (8.1, 8.3)

During the next ten years, the University must refine and implement a plan that is realistic and addresses the needs of the University, without exceeding the fiscal limits of the UConn 2000 program. The University must replace or augment the available classroom space to meet the needs of increased student enrollment, while ensuring that students enjoy a positive educational experience and a safe environment. It is planned that all new classrooms to be built within the 21<sup>st</sup> UConn program will be either fully high technology or 'tech ready,' the latter designation indicating an ability for any instructor to access digital projection and sound amplification through the use of a laptop computer or tape/DVD player. It is also planned to equip all current generally scheduled classrooms to at least the 'tech ready' level. See Appendix 8.4 for a list of the current high-tech classrooms at the University.

In addition, the University must ensure that its faculty has state of the art research facilities, equipment and technology, including the Library, to carry out their work and provide adequate operating funds to ensure appropriate maintenance of its buildings and physical and technological infrastructure. Funding for facilities that support research are a priority, as the University's Academic Plan has a goal of increasing external research funding.

A revised ten year (2005-2015) construction program, with a realistic timeline for the entire program of construction and renovation, was presented to the Board of Trustees in mid- 2006. (See Appendix 6.5) This plan includes research and teaching facilities that are needed to accommodate the needs of faculty, staff, and students in many different schools and colleges at Storrs, and at the regional campuses, Law School and Health Center.

In order to accomplish 21<sup>st</sup> Century UConn goals (UConn 2000 Phases III and IV), a practical, well-researched set of cost data for all the projects is essential, especially given the impact of inflation during the past several years and public interest in the University's construction program. The 2006 plan has been developed with this cost data in mind and will be monitored continually. (8.4)

## **INSTITUTIONAL EFFECTIVENESS**

The University of Connecticut has been given a great responsibility by the State of Connecticut, in the form of the exceptional \$2.3 billion UConn 2000 capital projects construction program. The University has done its best to be a responsible steward of this great gift. When problems have arisen, the institution has addressed them, learned from them and improved its processes to prevent future occurrences. Over the next ten years, the University will strive to meet the ambitious plans it has prepared for transforming its physical and technological infrastructure.

## Standard 9

### Financial Resources

#### Overview [9.1, 9.2]

During the last ten years the University of Connecticut has received an enormous amount of support from the State Legislature. Beginning in 1995, the state funded an unprecedented rebuilding campaign to spend \$1.0 billion over a ten-year period in a Bill known as UConn 2000. In 2002, the state extended this rebuilding campaign by \$1.26 billion, again, over a ten year period in a Bill known as 21st Century UConn. For purposes of this document both of these Bills are referred to collectively as UConn 2000. There has also been a state matching fund program for private donations to the University endowment during this period of time which has generated \$55 million, to date, for the University of Connecticut Foundation. On the operating side, the University has almost doubled its revenues as shown in Table 9.1 below.

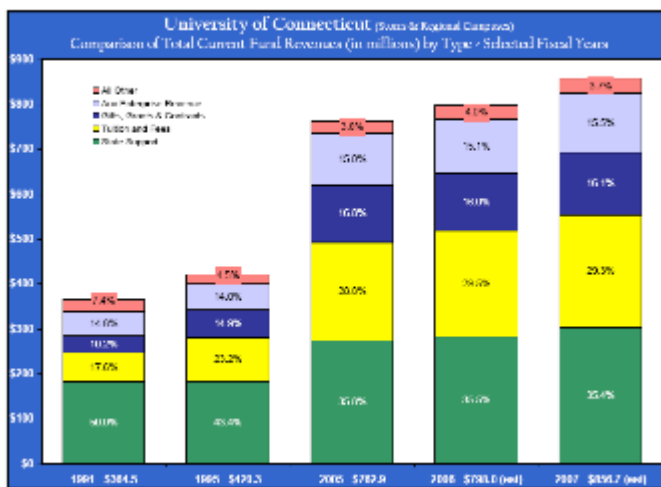


Table 9.1

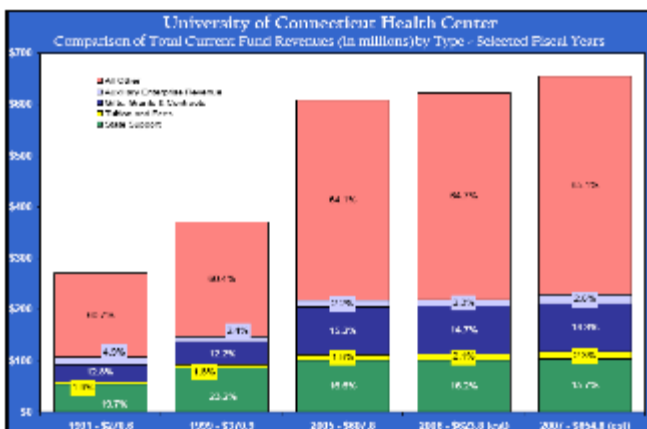


Table 9.1



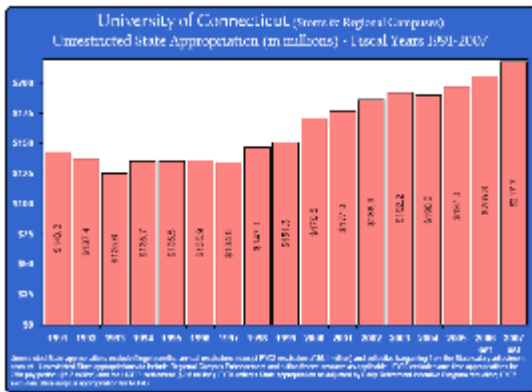


Table 9.2

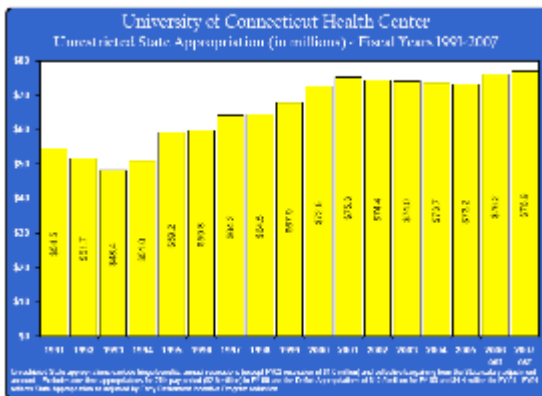


Table 9.2

These tables are also contained in the June 2006 Board of Trustees' Budget Workshop, Tab 4, Page 1. (BOT\_BW\_4.1). The University prepares and presents its Operating Budget requests and annual Spending Plan in a current funds format. All charts contained herein are presented in this format. The current funds format shows gross tuition and fees and does not net out scholarship allowances, as required in the financial statements which are prepared in the GASB Nos. 34/35 format since FY 2002. Scholarship allowances are shown as an expense item. In addition, the University's current funds format includes equipment purchases as an expense and does not include depreciation and the State debt service commitment for interest. Presenting the data in the current funds format provides us with many years of comparable data. State support has increased in dollar terms every year over the last ten years with slight declines in 1997 and 2004 due to early retirement incentive plans as shown in Table 9.2 below. (from BOT\_BW\_4.3).

The transformation of the University, made possible by UConn 2000, has led to an expansion of the number of students served by the University and higher expectations of students, faculty and staff in terms of the academic quality of our offerings.

Enrollment declined in the early part of the decade to a low of 21,753 in fall 1997 and has since surged to an estimate of 28,611 in the fall of 2006, as depicted by Table 6.1, Chapter Six (BOT\_BW\_4.8). In order to provide outstanding education to our student body and to support an increasing expectation of research, the University has had to increase its operating budget beyond the ability of the state to provide this support. The University has responded over the last ten years to this declining state support (on a percentage basis) as well as tremendous growth in both facilities and enrollment by greatly expanding its non-state support. It has done so through increases in tuition & fees as well as in gifts, grants and contracts. Hence, as Table 9.1 above depicts, the percentage of operating budget revenues received from state support has declined from 43.4 percent in 1995 to approximately 35.5 percent in 2006.

As Table 9.3 indicates, to ensure that education at the University remains accessible, a significant portion of the operating budget is also allocated to student aid and academic support. See Table 6.3 in Chapter Six for a breakdown on types of financial aid. Given the University's mission of research, teaching and service the FY 2007 spending plan is consistent with this mission as shown in the expenditures table (Table 9.3, BOT\_BW\_6.3) with thirty-eight percent going to instruction and ten percent to research.

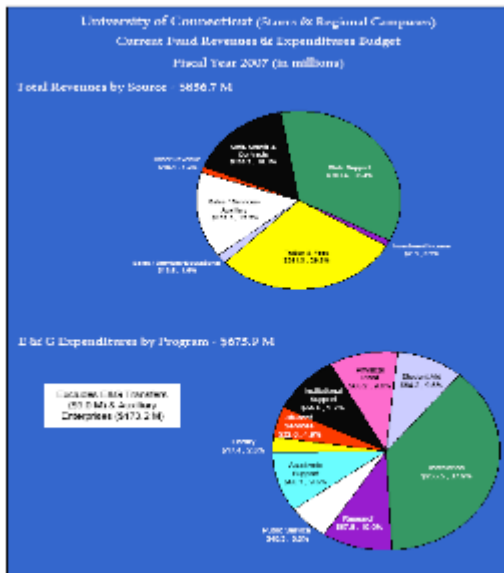


Table 9.3

The University is fiscally sound, but the growth in enrollments and the increased expectations of state residents, alumni, faculty, staff, and students will continue to put pressure on the ability of the University to raise sufficient revenues to meet them. In the first ten years of the transformation that started with UConn 2000 in 1995 the University has been very successful in responding to these increased demands. The challenge will be how to continue to grow the University's non-State funds on the operating side to meet the increased expectations of the quality of education and research.

Exhibit 9.1 depicts the Storrs and Regional Campus budget for current operating and research funds as presented at the June 2006 Board of Trustees Budget Workshop. The full Power Point Presentation that accompanied the Administration's presentation to the Trustees at that Workshop is contained in Exhibit 9.2.

#### Board of Trustees' Fiscal Responsibilities & Processes [9.3, 9.5]

The University is governed by a Board of Trustees (BOT) that meets to review and approve the University's operating and capital budgets. In odd-numbered years the University prepares a state-mandated biennial operating budget and in even-numbered years, a single fiscal year operating spending plan, for BOT approval. The biennial budget is then submitted to the Office of Policy and Management, OPM, (the Governor's budget agency) and the State Department of Higher Education (DHE). In June of each year the BOT's Budget Workshop is held. A notebook is prepared that contains financial, enrollment and other exhibits for the meeting. The 2006 Budget Workshop notebook is being sent to all Review Team members with the other self-study materials. The budget workshop includes budgets for both the University at Storrs (plus the Regional Campuses) and the Health Center. The BOT annually reviews and approves the capital budget for expenditures from UConn 2000 (and its successor program, 21st Century UConn).

#### Operating Budget Process [9.3, 9.6, 9.7]

The University establishes and implements the projected and out-year budgets in consultation with relevant constituencies within the University and State government. The University budget process includes the integration of academic, student service, fiscal, development and physical resource priorities, in order to advance objectives. The University budgeting and expenditure process is implemented through the utilization of the University's financial accounting system known as the Financial Records System (FRS). Under this system, each unit and sub-unit within

the University establishes a budget. These budgets are approved and put in place by relevant academic and/or financial officers. Once budgets are established, expenditures are compared against budgeted amounts, to ensure proper funds utilization and to prevent cost overruns. Due to the special fiduciary position of the University regarding grant and contract funds, the Office of Sponsored Programs (OSP) maintains a targeted monitoring procedure for grant and contract expenditures.

In the early 1990s the University was granted operational autonomy and responsibility by several pieces of legislation known as the Flexibility Acts. These Acts gave the University a block grant appropriation, position control regarding the hiring of employees, check-writing authority, purchasing authority and capital project management authority (up to \$2 million). Capital project management authority was later increased in 1995 by the UCONN 2000 Infrastructure Improvement Program.

The Current Funds Budget request sets forth a proposed expenditure plan for the amount necessary to meet cost increases while providing a constant level of services. It may also include an amount for new or expanded programs. The Current Funds Budget includes various revenue sources including the State appropriation and tuition and fees as well as other revenue sources. During the fiscal year the University also submits a quarterly report of actual year-to-date revenues and expenditures for Operating Funds to the Department of Higher Education.

The budget process incorporates significant consultation with the academic units as well as all other aspects of the operations of the University. The same process applies to all units. Since the last NEASC review a Student Fee Committee has been formed. All student fee proposals except institutional fees such as tuition, room/board, and certain other self-supporting fees are reviewed by this committee which is composed of representatives from across campus as well as student representatives. All fee proposals reviewed by this committee are open to public comment. A subcommittee of the Student Fee Committee was also created to review proposals for course fees for consumable materials (such as lab fees, etc.). Recommendations are then forwarded to the Provost and Vice President & CFO for approval before they are presented to the BOT.

In addition, the Faculty Senate also has a standing committee that reviews the University's operating, capital and other budgets. The following is its stated mission:

This committee shall review the planning, negotiation, and allocation of the University operating, capital, and other budgets, the process of making budgetary and financial decisions and the determination of priorities among academic and other programs having financial implications. This committee may recommend any desirable expressions of Senate opinion on these matters, and it shall make an annual report at the April meeting of the Senate. The committee shall include two undergraduate students and one graduate student.

### **Operating Budget Results [9.2, 9.4, 9.5, 9.8]**

The University's revenue sources include state support, tuition and fees, private support, research funding, room and board, and other revenues. The FY 06 State Appropriation brought the University closer to a "current services" request than in recent years. As a percentage of our revenue budget, the State appropriation has been decreasing steadily (rather than drastically) over the past decade. The University's non-state revenues play an increasing role in our financial health and the expectation is that we become more and more fiscally self-reliant. See Table 9.1 above which displays the University's revenue sources.

Substantially all of the institution's revenue streams are devoted to the support of its mission as a land grant university. As indicated in Table 9.3, the projected FY 07 spending plan revenues of \$856.7M will be spent on the dissemination of instruction, research endeavors, public service or the support services that sustain these three main objectives. Recently, the University has been allocating expenditures according to the University's Academic Plan to target resources to support increasing quality in undergraduate and graduate instruction, growing its research productivity, and enhancing its reputation as a center for scholarly endeavor.

With regard to financial aid the University has set aside 17.8 percent of its net tuition revenue after tuition waivers to support need based financial aid. This can be seen in the Board of Trustees 2006 Budget Workshop Binder – Tab 6, Page1 (BOT\_BW\_6.1) where the assumptions underlying the preparation of the budget are listed. The dollar commitment to fund financial aid can also be seen in the Budget Workshop Binder – Tab 6, Page 12 (BOT\_BW\_6.12). Connecticut's Department of Higher Education requires the University to set aside 15 percent and the University has chosen to exceed this amount. The University has been consistent in setting aside appropriate amounts of financial aid to ensure access to our programs.

The unrestricted current fund balance is the University's operating capital and reserves from programs and activities that generate revenue. The balances are also available for renewal and replacement. It should be noted that many of these current fund balances are maintained at the unit level. An example would be the Department of Residential Life setting aside funds to use to buy dormitory replacement furniture.

Fiscal Year	Current Prices Unrestricted Fund Balance (in millions)
1983	\$27.2
1987	\$24.2
1988	\$35.6
1989	\$31.2
1990	\$33.7
1991	\$38.2
1992	\$32.7
1993	\$34.0
1994	\$35.0
1995	\$46.2
1996 and 1997	\$40.5
2001 and 2002	\$39.7

Source: University of Connecticut, Office of the Controller, Office of Financial Planning and Analysis.

In addition, the University sets aside dollars in accounts for planned one-time expenditures, mostly capital. The need for fund balances to protect against uncertainties was highlighted in 2005 when several construction code violations were discovered in new buildings which resulted in unanticipated (and unbudgeted) construction costs. The University had to act swiftly in order to correct the violations so students could move in before classes began. Although the University is seeking recovery of these costs from the contractors, without the financial flexibility to pay for these unexpected costs these residential facilities may not have opened on a timely basis. In this case the University utilized its unexpended plant funds balance in 2005 to pay for these unbudgeted costs. The University was able to demonstrate its ability to analyze its position and construct a plan to fund such a plan. The FY 05 Capital Budget included the funds that had already been allocated for equipment, library collections and telecommunications. This specific project line had to be decreased by \$12.5 million as additional funding was needed primarily for Deferred Maintenance. For FY 05, the net effect for schools/colleges/units was that there was still funding available for equipment purchases but the funding source was different. Were this plan not to be put into effect, the University would not have been able to fund capital equipment purchases.

New Freshman	New Transfers	<u>Total</u>
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Storrs	3250	650	3900
Regionals	<u>1050</u>	<u>250</u>	<u>1300</u>
Total	4300	900	5200

The following table reflects the changes in these statistics over the last ten years and 2005 data reflect the achievement of these goals (Source: Office of Enrollment Management).

Table 9.4

<b>UConn "New Enrollment" Trend Data *</b>	FALL	FALL	FALL	FALL	FALL	FALL	FALL	FALL	FALL	FALL	FALL
<b>Storrs</b>	<b>1995</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>
Enrolled	2,020	2,163	2,198	2,561	2,956	2,836	3,149	3,186	3,208	3,247	3,260
New Transfer Students	640	580	516	524	443	572	556	645	666	622	636
Total, New Enrollment	2,660	2,743	2,714	3,085	3,399	3,408	3,705	3,831	3,874	3,869	3,896
<b>Regional Campuses</b>	<b>1995</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>
Enrolled	668	611	563	666	689	749	748	849	909	1,028	986
New Transfer Students	192	172	171	184	199	170	162	191	188	240	228
Total, New Enrollment	860	783	734	850	888	919	910	1,040	1,097	1,268	1,214

\*Source: Federal IPEDS Fall Enrollment reports and Connecticut Department of Higher Education Undergraduate Transfer Surveys.

The growth in student enrollments has placed an additional burden on the teaching loads of faculty members at the university. A review of the recent trends in the student/faculty ratio (as computed via the US News & World Report formula) shows that the student/faculty ratio had increased from 15.19:1 in Fall, 1999 to 18.16:1 in Fall, 2003 with a somewhat more promising trend by Fall 2005 when the ratio was 17.21:1. While there has been some modest growth in faculty over this six year period it has not been sufficient to maintain the ratio that existed in 1999. The target for the University is to return to a ratio of 15:1 which would put us more in line with our peer schools. The comparison with peer schools can be found in Table 9.5 below, from the BOT Budget Workshop Book, 7.2 (BOT\_BW\_7.2).

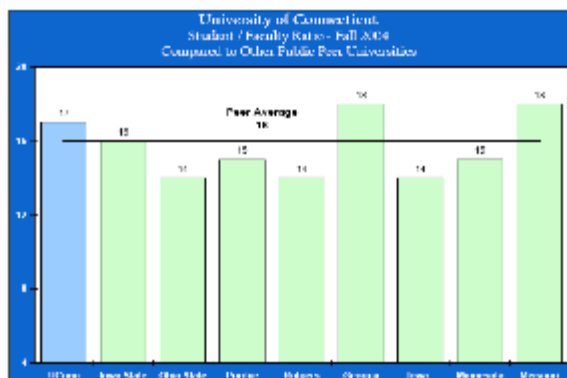


Table 9.5

## **UConn 2000 Capital Projects Program [9.8, 9.10]**

In 1995 the legislature of the State of Connecticut passed the UCONN 2000 Infrastructure Improvement Program which provided ten years of capital budget funding for the Storrs and the Regional Campuses. In 2002, another Act was signed into law, known as An Act Concerning 21st Century UConn, which amended the original Act to extend the UCONN 2000 program for an additional ten-year period and authorized additional UCONN 2000 Phase III projects for Storrs, the Regional Campuses and the University of Connecticut Health Center. Pursuant to the Acts as of April 2006, not including refunding bonds, the University has issued \$1.1 billion General Obligation State Debt Service Commitment Bonds payable from the State General Fund; \$205 million of Special Obligation Bonds payable from certain Pledged Revenues of the University; and entered into an \$81.9 million Governmental Tax-Exempt Lease Purchase Agreement which is payable from University resources. The UCONN 2000 General Obligation Bonds secured by the State's Debt Service Commitment are general obligations of the University. However, the repayment is not included in the University's budget as repayment is provided by the State Debt Service Commitment directly from the State's General fund. A spreadsheet depicting all named UCONN 2000 projects (Phases I-III) is contained in Appendix 6.2.

When all phases of UCONN 2000 are completed the total amount funded by General Obligation Debt Service Commitment Bonds is expected to be \$2.26 billion; \$1.965 billion for Storrs/Regionals and \$297.0 million for the University of Connecticut Health Center. The total program is estimated to cost \$2.598 billion with the difference to be met by Special Obligation Bonds, gifts, other revenue or other borrowing. Additionally both the State of Connecticut and the UConn Foundation have issued bonds for construction on UConn campuses, and the University has entered into loan agreements with the U.S. Department of Education and other entities. This funding is providing the University with the unprecedented ability to construct new buildings and to renovate many others, and to fund deferred maintenance, and equipment, library collections and telecommunications costs. The BOT approves the capital budgets and all funding including all UCONN 2000 General Obligation, Special Obligation and other debt on an annual basis with individual project budget revisions approved as needed. These acts enable the University to make long-term plans regarding capital projects.

Since the inception of UCONN 2000, the University's bond issues have experienced a favorable credit rating history, including several credit rating upgrades. For example, Moody's assigns an "Aa3" rating to both the University's General Obligation Bonds secured by the State's Debt Service Commitment and the University's Special Obligation Student Fee Revenue Bonds. It is a strong vote of confidence in the University that both these ratings are ranked the same as the State's General Obligation Bond "Aa3" credit rating. As of February 28, 2006, the UCONN 2000 General Obligation Debt Service Commitment Bonds were rated "AA" by Standard & Poor's; "Aa3" by Moody's Investors Service; and "AA-" by Fitch Investors Service. Also the University's Special Obligation Bonds not secured by SCRF were rated "AA-" by Standard & Poor's and "Aa3" by Moody's Investors Service. Fitch Investors Service does not rate the Special Obligation Bonds not secured by SCRF. The Special Obligation Bonds Series 1998-A carry a Special Capital Reserve Fund and are rated "AA" by Standard & Poor's, "Aa3" by Moody's, and "AA-" by Fitch. In addition to the underlying credit ratings, "AAA" rated municipal bond insurance secures certain maturities of several of the above bond issues. To date the University has always made timely debt service payments on its outstanding bonds. There is no reason to expect this to change in the near future.

During the past few years, the UCONN 2000 construction program has undergone restructuring through the implementation of the Corrective Action Plan. Some of the problems that were identified had their roots in an administrative, organization and oversight structure that the University's Board of Trustees started to address a year before code compliance issues came to light in the autumn of 2004. Beginning in 2003, the President and Board moved to strengthen the University's administrative structure with the establishment of two new operational, administrative and financial positions: Chief Operating Officer (COO) and Chief Financial Officer (CFO), both reporting directly to the President. The Board further reinforced this initiative by creating the position of Chief Audit and Compliance Officer, who reports to the Board, and by taking other steps to strengthen the capacity and independence of the University's audit and compliance function.

The construction plan is also guided by the University's Master Plan for the Storrs and Regional Campuses, as discussed in Chapters Two and Eight of this self-study.

## **Fiscal Oversight [9.6, 9.10, 9.14]**

*The Laws, By-Laws and Rules of the University of Connecticut* provide that it is the duty of the Board of Trustees to direct the Expenditures of Funds (Article 1). In order to assist the Board in this duty, Article VII of the *By-Laws* provides that the President of the University must:

- Summarize and coordinate the budget estimates submitted by schools, colleges, divisions and departments, and in consultation with the Vice Presidents, the deans of several schools and colleges and the directors of divisions, prepare a budget adjusted to the income and the needs of the University.
- Present to the Board for prior approval the annual budget for each fiscal year.

As provided in these *By-Laws*, the University's governing board, the Board of Trustees, has the responsibility for recommending the University's budget and ultimately overseeing expenditures pursuant to that budget

The General Assembly appropriates and allocates funds directly to the University. The Board of Trustees determines general policy, appoints the President, and directs the expenditures of the University. The BOT is required by law to review and approve University budget requests and propose facility, planning and capital expenditure budget priorities. The BOT approves the University's operating budget biennially via the BOT's Annual Budget Workshop, with annual updates as well as periodic revised budgets. Members of the Finance subcommittee of the BOT also receive periodic updates throughout the year so the BOT can monitor the University's budget-to-actual operating and research fund activity. The BOT also approves project budgets and expenditures for UConn 2000.

The President is responsible for carrying out and enforcing all policies, procedures and regulations adopted by the BOT for the operation of the University. Reporting to the President is the Vice President and Chief Financial Officer (VP & CFO) who is responsible for the University's finances. The University of Connecticut Health Center and the Storrs-based program each have a Chief Financial Officer who reports to the Vice President. See Exhibit 9.3 for the detailed organizational chart for the Vice President and Chief Financial Officer. As depicted in these University organizational charts the administration is structured to ensure prudent financial management.

In fiscal year 2004 the University created the position of Vice President and Chief Operating Officer (VP & COO) in order to strengthen accountability and operational efficiencies. In FY 05 more restructuring was completed in response to construction code violations and contract management issues related to UConn 2000. The offices responsible for capital projects and contract administration as well as the office responsible for managing building construction and renovations (Architectural and Engineering Services) now report directly to the VP & COO. In order to achieve a separation of functions and internal controls, the accounting functions and project control functions were assigned to the Chief Financial Officer in 2005. A Capital Project Delivery Process Manual was developed and Chapter 2 outlines the approval process that is now followed. Additionally, in 2005 a new Office of the Fire Marshal and Building Inspector was created, and in 2006, an Office of Construction Assurance was also created. This office is responsible for administering a comprehensive inspection program which encompasses all new non-threshold construction and renovations at the University.

### **New Program Planning [9.9]**

Schools and Colleges within the University are encouraged to seek other revenue sources to enhance the quality of their programs and research capabilities. A significant portion of any proposal brought forth needs to have a sound budget which demonstrates the financial viability of the proposal. Initiatives to offer new degree programs must also meet a market and budget test with the Department of Higher Education after gaining approval of the University of Connecticut Board of Trustees.

As an example, over the last ten years the role of the University's Regional Campuses has seen significant change. The campuses have been designated to support certain four-year degree programs. For instance, Avery Point became a center for the Marine Sciences. In the process of doing this Schools and Colleges were asked to make proposals to operate these degree programs at the various campuses. As an example of School and College participation, the state provided resources to construct a new Waterbury Campus building. While the funding for the building was provided by the State, the programs that would operate in the facility also required funding. Significant business and other programs were started at this location and budgets were put in place to ensure that the programs offered there would have comparable quality to those provided at other locations throughout the University system. The Waterbury campus has been quite successful in generating student enrollments growing from an enrollment of 498 in fall of 1999 (prior to the move to the new campus) to 893 in fall 2005.

The University also instituted a Program Review Process in which all programs and departments would be reviewed for both program quality and financial viability. The process then resulted in Memorandums of Understanding being agreed upon which indicated what needed to be done to improve or sustain the quality of the program (if it was to continue) and what resources might be needed to make it financially viable.

### **Audit & Compliance [9.10, 9.11, 9.14]**



In this age of heightened audit awareness and increased accountability for institutions, the University Board of Trustees' Audit Committee has evolved from a subcommittee of the Financial Affairs Committee to a standing committee of the Board of Trustees. Established in 2004, the Joint Audit and Compliance Committee (JACC) members consist of seven financially knowledgeable individuals of which at least one is a financial expert. As mandated by its Charter, the Committee's purpose is to facilitate the Board's fulfillment of their oversight responsibilities relating to the integrity of the University's financial statements and systems of internal control, compliance with legal and regulatory requirements and the performance of the internal audit function. Accordingly, the Committee is authorized to take the appropriate action to set overall University tone for quality financial reporting, sound business risk practices, and ethical behavior.

In 2004, at the direction of the Board of Trustees, the University expanded its internal audit function through the establishment of the Office of Audit, Compliance and Ethics (OACE). OACE is led by the Director who reports functionally to the Chairman of the JACC and administratively to the President of the University. The first Director was hired in January of 2005. OACE, whose website is [www.audit.uconn.edu](http://www.audit.uconn.edu), monitors an annual budget for Storrs, Regional Campuses and the Health Center in excess of \$1.5 billion. A new position, Storrs and Regional Campuses' Director of Compliance and Ethics, which serves as the University's liaison to the Office of State Ethics was also created. The position's responsibilities include coordinating ethics training and monitoring the University's compliance with State ethics laws and policies. Under the Director's guidance, the University has implemented a comprehensive Compliance Program, ethics hotline, employee training program and Uniform Code of Conduct.

The State of Connecticut Auditors of Public Accounts (State Auditors) performs the annual audit in accordance with *Government Auditing Standard* for financial and compliance audits, the Federal Single Audit Act Amendments of 1996 and the provisions of Federal Office of Management and Budget Circular A-133. In addition, biennially as allowed by State Statute, the State auditors examine the books and records of the University focusing on internal controls and compliance. As directed by the General Assembly in Public Act 06-134, the University also retains an external independent accounting firm to audit annually all UCONN 2000 construction projects.

Internally, OACE has developed a risk-based audit and compliance plan, which is approved by the BOT JACC. OACE solicits the services of external experts in order to effectively manage risk.

External and internal audit reports and management letters are presented to senior administration and the JACC. OACE tracks audit recommendations to ensure that appropriate action is initiated and incorporated. The JACC monitors the audit process and the status of management action.

#### **University of Connecticut Foundation [9.12]**

The University of Connecticut conducts its fund-raising efforts through The University of Connecticut Foundation, Inc. ("Foundation"), incorporated in Connecticut as a non-stock private corporation exempt from taxation under IRS code section 501(c)(3) and is totally independent of the State of Connecticut. The mission of the Foundation is to solicit, receive, and administer gifts and financial resources from private sources for the benefit of all campuses and programs of the University of Connecticut. As the primary fund-raising vehicle to solicit and administer private gifts and grants that will enhance the University's mission, the Foundation supports the University's pursuit of excellence in teaching, research, and public service.

The Foundation is also responsible for managing and investing the endowed and non-endowed restricted funds resulting from fund-raising efforts. The investment management is directed through the Investment Committee of the Foundation's Board of Directors. The Committee is currently chaired by the Senior Vice President and Chief Investment Officer of Aetna, Inc.

The Foundation is managed by a self-perpetuating Board of Directors comprised of forty-six directorships. Board members include ex-officio representatives from the University and individual volunteers with significant professional experience. The officers of the Foundation include the following full-time staff members: President, Vice President of Development, and Vice President of Finance and Controls.

The Foundation has an annual audit performed by PricewaterhouseCoopers, and the University also conducts a disbursement audit through its OACE to ensure, among other things, that donors' intentions are met.

The Foundation has increased its scope of operations and results dramatically over the past ten years. In terms of staff size, approximately ten staff members worked for the Foundation in 1995 and now there are approximately one hundred. In 1999, the Foundation moved into a new building in the center of campus. Over the last ten years the total assets of the Foundation have increased from \$65 million in FY 1995 to \$343 million in FY 2005.

Fund-raising results have increased significantly from \$8.1 million raised in 1995 to \$55.8 million raised in the year ending June 30, 2005. The Foundation directs its fund-raising efforts in coordination with the University's strategic plan and the goals of the deans of each school. The Foundation has established gift acceptance policies and has adopted the statement of ethics and reporting guidelines issued by the Council for the Advancement and Support of Education.

In June of 2004, the Foundation completed a \$300 million capital campaign that resulted in gifts and pledges of approximately \$325 million. In addition, a software gift valued at \$146 million was also received in 2004 and is not included in the capital campaign amount.

While only two years have passed since the completion of the last capital campaign, the planning for the next campaign has begun. To coincide with the 125th year anniversary of the University, the next campaign is expected to be launched sometime in 2007. A goal of at least \$600 million is expected for the next campaign. The campaign goals will be directed by the Board of Trustees and the President, with input from key university leaders. A management overview of the University of Connecticut Foundation's performance for fiscal year 2006 is contained in Exhibit 9.4.

The 1995 UCONN 2000 State of Connecticut legislation provided for an endowment matching program. Each dollar of contributions received for endowment was matched by \$1 for the first two years and by \$.50 since then from the State of Connecticut up to an annual maximum. In the spring of 2005, the program was reduced to a match of \$.25 on the dollar and included a provision that payments from the State would not occur until the amount in the State's Budget Reserve Fund equals 10 percent of the net General Fund appropriations. Through December 31, 2005 a total of \$55 million has been received under the state matching program.

The University of Connecticut Foundation has faced challenges as it has grown. Since 2004, there have been some discussions in the state legislature regarding an audit of the Foundation by the State Auditors. Currently the Foundation is audited by PricewaterhouseCoopers. The Foundation management and Board of Directors feel this is a more than adequate audit review. If a state audit requirement were to institute a state audit procedure, this might be viewed as a challenge to the private status of the Foundation, potentially exposing donor identities and gift amounts.

Another challenge for the Foundation is the turnover of fundraising staff. This is due to employment opportunities offered by other universities and foundations that are significantly expanding their staff in preparation for major campaigns and because of the increasing numbers of social service programs and school-based programs that are tapping into the philanthropic landscape.

Yet another challenge in fundraising is securing financial support from corporations and foundations. Corporations have begun to limit the amount of their giving and foundations have reduced the levels of their grant making.

#### **Athletics [9.12]**

The Division of Athletics and Recreational Services offers twenty-four intercollegiate sports to nearly 600 student-athletes and recreational opportunities to approximately seventy-five percent of the undergraduate student population. In the last decade, the Division has experienced an unprecedented level of success. Since 1995, UConn has captured eight NCAA National Championships and eighty-two Big East Championships.

During this period, 140 student-athletes have been named All-American. UConn made history in 2004 as it became the first school in NCAA history to win the men's and women's basketball championship in the same year. In addition, UConn has successfully made the transition to Division I-A football as a member of the Big East Conference and the Bowl Championship Series. The Huskies won their first-ever bowl game with a victory in the 2004 Motor City Bowl.

Between July 1, 1995 and June 30, 2006, seventeen UConn student-athletes have been named Academic All-American by the College Sports Information Directors of America. During the 2005-06 academic year, more than forty percent of UConn's 650 student-athletes earned a grade point average of 3.0 or better. In addition, fourteen student-athletes had a perfect 4.0 or better in either or both the fall and spring semesters.

The Department of Recreational Services within the Division provides opportunities for students, faculty and staff via Informal Recreation (fitness & weights, aquatics, racquetball, indoor climbing, open hours for play), Intramurals and Special Events, Husky Xcursions (outdoor adventure trips and programs with an emphasis on the educational experience), BodyWise (group exercise classes and wellness program) and Natural High (alternative programs). During the academic year and at peak times, as many as 4,200 people (of which about 3,900 are students) per day

may utilize these programs. This equates to over 500,000 participations per year which is more than double what it was in 1995.

The Division has attained national prominence by providing an appropriate level of funding to its programs. The operating expense budget for salaries, operating and scholarships in FY 1996 was \$18.8M. The FY 2006 operating expense budget that includes salaries, operating and scholarship was \$49.9M.

In FY 1996, the university support for athletics and recreation was \$4.5M or about twenty-four percent of the \$19.1M total budget. In contrast, the FY 2006 support for athletics and recreation was \$9.9M or about twenty percent of the total budget. The Division was responsible for the remaining eighty percent. The total university support for athletics and recreation includes \$2.0 million for Title IX support to ensure gender equity. University support also includes funding from the General University Fees (GUF) paid by students. In FY 2006, the Division received \$6.3M in GUF and used it to offset expenses for services and benefits received by students who pay the fee.

The Division has funded the growth in annual operating budgets by increased revenue from ticket sales, corporate sponsorships, Big East Conference revenue and fundraising. In FY 2006, the Division was responsible for the about \$40M (80%) of the \$49.9M revenue budget. The \$40M was derived from ticket sales (\$13.2M), corporate sponsorships (\$5.2M), the Big East Conference (\$4.2M), TV and Radio (\$1.9M) and fundraising (\$10.1M). Revenue increases in these areas are primarily due to the success of the men's and women's basketball as well as football. Table 9.6 contains FY 2006 Division revenue and expenditures compared to FY 1996.

Table 9.6 – Division of Athletics and Recreation Revenue and Expenses

<b>REVENUE</b>	<b>FY 1996</b>	<b>FY 2006</b>	<b>% Inc</b>
Division	\$14.6M	\$40.0M	174%
University	\$4.5M	\$9.9M	121%
<b>TOTAL</b>	<b>\$19.1M</b>	<b>\$49.9M</b>	<b>161%</b>
<b>EXPENSES</b>			
Operating	\$15.9M	\$42.2M	166%
Scholarships	\$2.9M	\$7.7M	163%
<b>TOTAL</b>	<b>\$18.8M</b>	<b>\$49.9M</b>	<b>165%</b>

The Division of Athletics and Recreational Services' fundraising efforts provide funding for the annual scholarship expense. In the past decade, the Division's fundraising success has also contributed to maintaining a sufficient operating budget, and partially supported the construction of additional facilities as well as increased the athletics endowment market value.

Table 9.7 – Division of Athletics Fundraising

<b>Annual and Endowment Value</b>	<b>FY 1996</b>	<b>FY 2006</b>	<b>% Inc</b>
Annual Fundraising	\$4.6M	\$18.2M	293%
Endowment Market Value	\$7.6M	\$42.7M	464%

The Division of Athletics and Recreational Services will continue to meet its mission as defined by the University and its Board of Trustees. It is confident in its ability to enhance its current revenue streams and develop new ones as needed. As such, it is projected that revenues and expenses are expected to grow 5 percent annually. The major revenue streams that can affect future growth are ticket sales, corporate sponsorships, Big East Conference revenue and fundraising. The success of our programs and the general economic climate can directly impact these external revenue streams. On the expense side, the Division continues to exercise cost containment with its annual zero-based budgeting approach. The areas that pose the greatest challenge are: salary cost of living increases, tuition increases impacting the scholarship cost, travel expense increases due to general transportation costs and Big East Conference realignment, and the cost of facility maintenance and improvements. The Division is not alone in facing the challenge of maintaining what is essentially a self-supported program. With the appropriate strategies and systems to develop revenue and expense goals and effectively monitor those activities, the Division will continue to meet its mission while mindful of its fiscal challenges.

#### **Fiscal Policies & Documentation [9.13]**

All fiscal policies, including, budgeting, investments, insurance, risk management, contracts and grants, transfer and inter-fund borrowing, fund-raising and development activities are clearly stated in writing and can be found in the resource room. Many of these policies are in written form on the web sites of various departments.

The University of Connecticut Foundation has its own policies and procedures regarding fund-raising and other institutional advancement and development activities. Annually the University and Foundation sign a Memorandum of Understanding outlining the relationship including fund-raising expectations.

In addition, the Office of Audit, Compliance and Ethics exists to help ensure compliance with University, State and Federal regulations and policies and to educate employees to ensure they maintain the highest ethical standards.

The University reports its financial position throughout the year to the Board of Trustees. In addition, it is required to submit quarterly reports to the Department of Higher Education. As a State agency these periodic fiscal reports, including an end-of-year financial report are required by State law. Copies of the audited financial statements for fiscal year ending 2005 are in the resource room.

Finally, the University records and transactions are subject to both internal and external auditing. As previously mentioned, the Office of Audit, Compliance and Ethics, which reports directly to the President, conducts regular audits of various University activities and transactions. In addition, the State of Connecticut has auditing staff housed on the Storrs campus that regularly monitor the University's financial policies and practices.

### *Appraisal*

The University of Connecticut is a financially stable institution with very high quality education programs and research. It has enjoyed great support from the State of Connecticut via the UConn 2000 initiative and the State match on fundraising efforts. The collection of the State matching dollars has recently become somewhat of an issue as the State policy is now to only fund the match as long as there is a surplus in the State budget. It also continues to receive increased dollar funding from the State for its operating budgets. However, this source of operating revenue has not kept pace with inflation and the University has had to become more self-reliant in generating operating revenues. It has managed to increase its non-State revenues through a combination of student tuition increases and other external sources such as gifts, grants and fundraising. The growth in student tuition revenues has come from an increase in tuition rates as well as an influx of students with the University reaching an all-time enrollment high exceeding 27,500 students during FY 06. The University concluded a very successful capital campaign exceeding a campaign goal of \$300 million to the Foundation endowment. Also, in the Academic Plan the University has a goal to significantly increase its grant funding to be more in line with our peer research schools. Perhaps the strongest measure of the financial viability of the institution is that the University has a very good rating of its bonds and that it has met all bond payments.

The increase in student enrollments has put additional pressure on the teaching loads of faculty members and there is a need to hire new faculty members to ensure that students can graduate in four years. As indicated earlier the University has met its enrollment goals, however the student/ faculty ratio has also increased over time. An important metric in the Academic Plan is to compare ourselves to our peer schools on the student/faculty ratio. Our peer institutions average 16:1 student/faculty ratio as compared with our current 17+:1 ratio. To improve on this ratio proposals have been put forward to the legislature to assist in the funding of a total of 175 new positions over a five-year period to meet this quality dimension of our delivery to students.

While the BOT's budget process has been in place for many years the advent of UCONN 2000 and the increasing responsibilities of the University to manage its own construction projects have led to some significant changes in the management of the University. This has resulted in the creation of the VP & CFO and VP & COO positions, new offices of the Fire Marshal and Building Inspector and Construction Assurance, the office of Audit, Compliance and Ethics (with a Director of Compliance and Ethics), the revamping of the BOT's audit commitment to be the Joint Audit and Compliance Committee, and creation of new Board of Trustees committees— the Building, Grounds and Environment (BGE) committee and the Construction Management Oversight Committee (CMOC). These changes in structure not only speak to the importance of the issues of oversight and compliance but also position the University well to effectively manage its responsibilities in the future.

### *Projection*

The challenges for the University are in trying to be more self-reliant in the generation of operating revenues and in meeting the increased expectations and numbers of students. The University has met its enrollment goals at both the

Storrs and the Regional Campuses. To return to a student/faculty ratio more comparable with our peers an important goal will be to seek sufficient funding from all sources to allow for the hiring of additional faculty members to support the current enrollment which has now stabilized. A new capital campaign is expected to be announced in 2007 with a goal of around \$600 million. The University will continue to work with the Governor and the legislature on operating budget issues to ensure that citizens of the State have adequate access to and receive the best possible education. The University will continue to review and make intelligent decisions about what to offer based on the University's Academic and Master Facilities Plans. The building campaign created by UConn 2000 will continue through the next ten years with projects in place through 2015.

## **INSTITUTIONAL EFFECTIVENESS**

The University of Connecticut has appropriate internal and external mechanisms in place to evaluate its fiscal conditions and financial management and to maintain its integrity. From 2003 through 2006, issues were identified which led to the strengthening of these mechanisms in order to more effectively administer the massive building endeavors of the University, and ensure integrity in financial administration. The University has moved quickly and assertively to refine and strengthen both its financial position, and the monitoring of its revenues and expenditures.

## **Standard Ten**

### **Public Disclosure**

#### **Public Disclosure and the University of Connecticut in 2006**

Ten years ago, in our last NEASC accreditation report, we stressed that a public university such as the University of Connecticut is of, and for, the public and has a moral, a legal, and an intellectual obligation to public disclosure of information. Since that time, the University's commitment to public disclosure has not changed but the environment within which it exists has changed dramatically. The public's user-friendly access to information via technology means increased exposure and greater accountability. With today's faster, more robust information exchange, many former paper processes, such as admissions and registration are now handled on-line. And, key information contained in such important documents as the University's academic catalogs are now available on the web. In an age dominated by cell phones, Blackberries, and chat rooms, students can create their own personal websites through computer tools like myspace.com and Facebook. All of these advances bring with them tremendous opportunities for sharing information but also greater threats to personal privacy. It is within this context, and in line with our mission to serve the needs of Connecticut's citizens, that we must protect these sometimes conflicting obligations.

Because of technological developments and proclivities of the target student populations to use electronic modalities for information gathering, the University of Connecticut (<http://www.uconn.edu>) has emphasized development and upkeep of its website and myriad attendant webpages. In academic year 2005-06, the website was completely revised to make it more user-friendly and up-to-date. There are now specially designed websites for each of the following groups: prospective students, parents, matriculated students, faculty and staff, alumni, and visitors.

#### **Public Disclosure and Public Disclosure Laws**

As a public institution, the University of Connecticut is adamant about complying with legislation pertaining to public disclosure. Our policies reflect federal and state legislation such as the federal Family Educational Rights and Privacy Act (FERPA), the Gramm-Leach-Bliley Act, and the Connecticut Freedom of Information Act (FOIA). The University states in the catalog that it is in compliance with FERPA, and the Registrar's Office is well-informed and diligent in applying the law. Under FOI legislation, all documents other than those specifically exempted, are subject to public disclosure. The University also abides by the Office for Civil Rights HIPAA Medical Privacy - National Standards to Protect the Privacy of Personal Health Information. The University relies on advice from the Connecticut Office of the Attorney General and is in compliance with the law. These laws and regulations ensure that the University of Connecticut is transparent in its operations so as to keep the public informed. In order to fully comply with all legal disclosure requirements and to be responsive to requests for information from the public, in 2006, the University of Connecticut hired a Privacy Officer as part of the Office of Audit, Compliance and Ethics.

The University is dedicated to going beyond mere compliance with the law in terms of public disclosure and has endeavored through a number of modalities to make activities, issues and events on all its campuses as transparent as possible. As will be discussed below, electronic media and media relations have been a particular emphasis in terms of public disclosure. Two examples of this dedication to keeping campus constituencies and the public informed are the publication of periodic, lengthy letters by the President to the campus community and the placement of the minutes of the Board of Trustees on the university website.

#### **Electronic Media**

The University has a commitment to maintain cutting-edge, state-of-the-art technology in providing access to its public information. Thus, the catalogs are made available on the University's web site, as well as in hard copy.

Society's growing reliance on web-based information makes it imperative that publications are available not only in hard copy but online, as are calendars, forms, information, etc.

Over the past ten years, the University's website has improved immeasurably and is now the single largest portal for public acquisition of information about the institution. The University has expanded and continually revised its web pages and is constantly anticipating and adapting them to be both proactive and reactive. The University's recently updated home page (2005-06) contains links to in-house designed audience-specific home pages, meeting the unique and shared needs of populations including future students, current students, parents, alumni, faculty and staff, and visitors. These sites were designed with University-wide input to best meet each user's needs. This option to access general and/or audience specific information has provided a tool that supports public disclosure effectively.

Every department is required to put an e-mail address or phone number for a contact person on its departmental page. There is also a general University information e-mail address, posted on the website and maintained by University Communications. Inquiries received via e-mail by University Communications are forwarded to appropriate University offices for responses.

There is consistency to the University's web pages because of required adherence to the template developed and shared by University Communications based on University-wide input prior to the launching of the new University site in 2006. The website provides helpful guides for user-friendly navigation to information and, as discussed above, has specially constructed pages for important constituency groups such as prospective and present students and their parents. (10.2)

The University's website, <http://www.uconn.edu>, like its catalog, contains and/or cross-references information on the University's mission, objectives, expected educational outcomes; requirements, procedures, and policies related to admissions and transfer of credit; student fees, charges and refund policies; rules/regulations for student conduct; other items related to attending or withdrawing from the institution; academic programs, courses currently offered, and other available educational opportunities; academic policies and procedures, and requirements for degrees or other forms of academic recognition (10.5).

Other key information available on the website includes information regarding our accreditation status, for example, such as specific links pertaining to efforts and outcomes regarding NEASC Accreditation status, University metrics, peer comparisons, national rankings, placement success, achievements of faculty, students, and staff, examples of program excellence, and a variety of learning goals and outcomes (10.12, 10.13)

### **Admissions and Student Information**

The Undergraduate Catalogs and other authoritative publications available on paper and on the University's website present information relative to admission and attendance. Undergraduate Admissions uses a data-driven, coordinated combination of recruitment tools including a Viewbook, sent under separate cover that provides an informative overview of the University, an online admissions application, and a variety of web-links and brochures that highlight individual schools and colleges, costs and financial aid, international admission, transfer admissions, regional campuses, and other areas of special interest. The documents are mailed and are available at the Visitors Center, Admissions Office, and on-line. (10.1, 10.3)

These publications are designed, prepared and edited by the Division of Enrollment Management's Offices of Admissions, Orientation Services, Financial Aid Services, and Registrar working closely with University Communications. They are reviewed annually for accuracy and to reflect any changes to academic majors, admission requirements, dates, activity schedules, etc. Facts and figures printed in admissions publications are verified through academic departments, the Office of Institutional Research, Registrar's Office, and other appropriate administrative offices. (10.14)

### **Major University Publications**

The University of Connecticut publishes the following Catalogs: *Undergraduate*, *Graduate*, *Law School*, and *School of Social Work*. The catalogs are available both in print and electronically on the UConn website. The Schools of Medicine and Dentistry Catalogs are available online only. These documents offer clear, accurate and complete information for prospective students, faculty, staff and the public and are central to the issues addressed in this Standard. Current catalogs' descriptions are consistent with the University's mission statement and set forth responsibilities of students and the institution. Each catalog provides both general and specific information regarding the University structure, its academic calendar and degree programs, admissions, costs, financial aid, indebtedness, and schools' and colleges' academic regulations and course offerings. University of Connecticut website links pertaining to each of the regional campuses are listed in the Undergraduate Catalog, as well. (10.3, 10.4, 10.7, 10.9, 10.11, 10.14)

Efforts are made to ensure that all institutional publications and print and electronic communications are consistent with catalog content and accurately portray conditions and opportunities available at the institution. In the annual preparation and editing of the catalogs, each dean and department head has the opportunity to review and edit his/her section of the catalog and important decisions regarding the University over the past year are reviewed. Important meeting minutes are consulted for guidance such as those held by the University Senate, school and college faculty, the Board of Trustees, and the Board of Governors for Higher Education. Preparation of the Undergraduate Catalog adheres to the Senate By-Laws and Catalog Copy Guidelines annually are shared with deans and appropriate University department heads. (10.4)



The Undergraduate Catalog currently identifies programs, courses, services, and personnel. General information on whether a course is typically offered in the fall or spring semester is provided. Occasionally, it may list courses not taught for two consecutive years that will not be taught during a third consecutive year. Academic department heads and deans are responsible for ensuring that all required courses, plus sufficient electives, are offered frequently enough to allow completion of a student's plan of study in a timely manner. The reasons commonly given for leaving "on the books" elective courses that are only offered periodically, is that the process for getting a course approved is time-consuming, and there may be a two-to-three year hiatus in ability to offer an elective if one faculty member leaves and has to be replaced, due to the one to two-year search process. The University Senate has been studying the issue of how long a course description may remain in the catalog without the course actually being offered. (10.8)

A listing of Trustees, senior administration and faculty by academic department including highest degree earned is provided in the catalog each year. This information is reviewed for accuracy by the deans of each school and college for undergraduate faculty, and by the Graduate School for the graduate faculty listings. (10.6)

### **Office of University Relations**

University Relations is responsible for publications, media relations, event planning, alumni relations, the Lodewick Visitors Center, and legislative relations. It issues news releases that address topics of interest and concern including both positive developments at the University and significant problems, undertakes media placement via personal contact, and responds to queries from the media. It also participates in a nationwide electronic link called PROFNET through which national and international media ask colleges and universities for expert sources for stories. University Communications also publishes the weekly faculty/staff newspaper (*The Advance*) which is distributed in hard copy and on the Web, an alumni magazine (*Traditions*) which also on the web, and the *Health Center Magazine*.

University Communications, which is part of University Relations, also handles a wide range of publications from four-color brochures to business cards. All are monitored for both content and design to assure that they adhere to the University's key messages and graphic standards. University Communications coordinates advertising on behalf of the University, manages communications in support of the four programs of the Lodewick Visitors Center ([www.visitors.uconn.edu](http://www.visitors.uconn.edu)), oversees the consistency and accuracy of messages on the University's official web site and related pages, such as the student and faculty/staff pages, and annually publishes a University Fact Sheet, available online and in hard copy. It has also established an online events calendar and opens its Visitors Center daily to ensure that visitors feel welcome.

In addition, University Communications works in partnership with many University offices on communications activities and programs to support strategic initiatives at the administrative, school and college, department, institute and center levels. These partnerships annually result in a variety of publications, including the President's annual report, web pages, displays and video presentations. Communications handled by the office of University Communications are monitored both for content and for design that adheres to the University's graphic standards.

University Logos and Usage and Graphics Standards exist for print publications, and there also are website graphics standards. For the complete standards and guidelines, please see the [Graphic Standards Manual](#), contained in Appendix 10.1. Many departments also handle their own publications, but they must abide by the University's logo and graphics standards.

### **Other Forms of University Communication**

Many departments throughout the University independently produce and mail their own publications. The distribution of these publications is handled by the individual departments. For example, Athletics follows the NCAA rules for the distribution of material to future athletes. Many departments noted, however, that mailing these publications is a problem given budget concerns and the complexity of bulk mailing rules. Also produced are promotional and other videos by various schools and departments, such as Admissions and Cooperative Extension. Videos are also used by the Visitors Center. Videotaped University messages are used as half-time spots during televised athletic events and many University events such as lectures are broadcast by the Connecticut Television Network. The University has also established an online Events Calendar. The Lodewick Visitors Center, which manages the University's tour program and provides maps, brochures and other information, makes the public feel welcome.

The Office of the Dean of Students is responsible for reviewing and distributing the Code of Conduct, Alcohol Policy (trustee policy), and the School and Drug Act. The Code defines expectations, rights of the accused and the victim, and the disciplinary process in detail. It is posted on the web and is available to every faculty and staff member. The School and Drug Act is also readily available via the UConn website (according to federal mandate). To greater ensure conveyance of this information, the Office is highlighted on each new student's tour to explain the Code and the role of the Office in carrying out these policies.

## Reporting of Data and Data Collection

In the last ten years, significant strides towards unifying the data reporting process have been made. University Communications, the Office of Institutional Research, and the Enrollment Management Division have worked out a highly collaborative process for data gathering. However, there is still information that is coordinated on a departmental level only and some at the University are concerned about accessibility, consistency, territorialism, quality and resources, and the impact these challenges have on the institution's ability to communicate effectively with the public.

The University's Office of Institutional Research (OIR) website contains a thorough and clear compilation of institutional data pertaining to size and characteristics of student body, faculty and staff, enrollment, retention and graduation rates, and racial/ethnic information. The University annually publishes a Fact Sheet, Exhibit I.1, prepared by OIR that is available on the web and in print form. The University website and undergraduate catalog provides a wealth of information regarding the campus settings, availability of academic and other support services, the range of co-curricular and non-academic opportunities and institutional learning and physical resources from which a student can reasonably be expected to benefit. (10.9)

The University measures its success in numerous ways, including Accountability Performance Measures provided to the Connecticut Department of Higher Education and passed on to the Legislature and Governor's Office along with information on other public higher education institutions in Connecticut. This document and the University metrics and peer comparisons contain information regarding goals for students' education and their success in achieving goals. Information on student success including retention and graduation rates of the general student population and minority student population as well as other measures of success appropriate to the University's institutional mission are published annually. As appropriate, recent information on passage rates for licensure exams also are published in the Performance Measures report. For the latest Performance Measures Accountability Report, see [www.ctdhe.org/info/pdfs/2006/2006 AccountabilityReport.pdf](http://www.ctdhe.org/info/pdfs/2006/2006%20AccountabilityReport.pdf). (10.10)

The Office of Institutional Research annually collects certain data and posts them to the web. It also serves as a resource for faculty, staff and administrators and the media. The accuracy and consistent completion of surveys and questionnaires which the University receives from a variety of external sources is another concern. The Offices of Institutional Research and University Communications work together to respond to these surveys. However, the absence of a master/centralized database makes this type of coordination very difficult and time consuming.

Alumni records are kept by private entities, the Alumni Association and the UConn Foundation. A new edition of the University of Connecticut Alumni Association Alumni Directory is now in preparation (to replace one done in 1996) and may provide access to these records more broadly.

## User Feedback

The University of Connecticut's planning is data-driven. As noted in Chapter Two, Planning and Evaluation, the institution engages in extensive planning activities across a wide spectrum. It garners feedback about the level of use and degree of satisfaction with the University's efforts with many important activities, including student admission and retention, communications and public disclosure.

A good example of measuring effectiveness can be found in the assessment strategy applied by the University of Connecticut's Division of Enrollment Management. Students are surveyed as incoming freshmen regarding their expectations and early experiences thus far, and mid-career and senior satisfaction surveys are also conducted. A number of items on each of these surveys pertain to information issues.

## Survey of Entry Level Students

The *Survey of Entry Level Students* administered during Orientation for the past seven years enables incoming freshman to share their perspective at the start of their college career. Students are asked to rate the impact that a variety of factors had on their decision to attend UConn. Almost all of the reasons are dependent upon the University's ability and performance regarding disclosing key information to students and their families, as illustrated by some of the top cited factors: good educational value, outstanding faculty, wide variety of courses, and academic reputation.

Students also were asked how often they used various information sources and how they would rate the sources they used. The UConn website was the students' primary information source. Over time, frequency of use of the web as an information source has increased significantly while frequency of use of UConn publications has declined. Information available on the web also received the highest marks for satisfaction. Students said they accessed

information on academic programs on the University website most often prior to applying, and information regarding residential life after applying. This feedback is crucial in developing website content and structure in the future.

Asked what they were looking forward to most and least about attending UConn, responses reflected some conflicting expectations long held as common to freshman adjustment. Although *meeting new people and dorm life* ranked one and two as experiences students look forward to most, they also ranked high among experiences they were looking forward to least.

Responses also reflected high expectations regarding academic advising. When asked how important it was that faculty in general or an academic advisor met certain needs, providing accurate information, caring about your academic success, prompt feedback, and availability ranked as the most important.

### **Matriculated Student Surveys**

On behalf of the Division of Enrollment Management, the Center for Survey and Research Analysis, as stated earlier surveys sophomores, juniors and seniors.

Results indicate that about sixty percent of students are more than satisfied with and fifteen percent are satisfied with academic advising. Also, two-thirds of sophomores and juniors and three-fourths of seniors were satisfied with course availability, overall. However, responses regarding individual aspects of course availability of major and general education courses were more mixed. All in all, major courses seemed to be a bit less available than general education courses, particularly for sophomores and juniors.

Seniors also were asked to reflect on their experience at UConn and discuss future plans. More than three-fourths of students would attend UConn if they could start all over again and would recommend UConn to family and friends. Three-fourths of students expected to graduate in four years when they entered as freshmen and slightly more than half were on target to accomplish that. About one-third of students who were taking longer to graduate changed majors or added a major or second degree. About one-third of seniors plan to attend graduate school after earning their bachelor's degree.

### **The University of Connecticut, the Media, and Public Disclosure**

It is not an exaggeration to say that the University of Connecticut is one of the most prominent entities in the State of Connecticut. Because the State has made such a huge financial investment in UConn, and because the University has been so prominent in many types of endeavors, ranging from research and education to athletics, events at UConn are regarded as "big news." Indeed, all major media outlets, print and electronic, carry some sort of story involving the University of Connecticut on a daily basis. The University has encouraged this, because of its obligation to serve the interests of the State. However, this very prominence has created some challenges for the University in terms of what information to disclose about events at UConn and when to disclose it. The University has often been called upon in recent years to balance its need to discuss potential plans or employment actions against the desire, particularly on the part of the media, for immediate public disclosure. The University has processes in place to safeguard the privacy and legal rights of employees and/or its contractual rights against other parties. In order to utilize these processes and ascertain the truth of certain charges, there may be a delay in public disclosure of information. However, as a public entity with high standards of integrity, the University of Connecticut is dedicated to public disclosure of correct information.

During this self-study period, there have been at least four highly-publicized occurrences that have triggered the dynamic balance of the University's need to analyze and make responsible investigation before acting with the media's desire for information. These instances include the controversy surrounding the potential construction of a research building owned by Pfizer Corporation on University of Connecticut land in Storrs, a student celebration that got out of hand, allegations of fiscal impropriety at a University research center, and issues with alleged non-compliance with construction code regulations in building projects. While the facts pertaining to these instances vary, they all involved the University of Connecticut taking responsible action to plan and / or ascertain the truth of various allegations. At the conclusion of appropriate investigations or adherence with established employee investigation or student disciplinary procedures, there was a full and fair disclosure of the facts by the University. Further, as a result of each of these occurrences, University of Connecticut policies and procedures were evaluated and changes made to strengthen them, to better serve both the University and the interests of the citizens of the State. ***The creation of a University Ethics Statement and Guide to the State Code of Ethics (Exhibit 10.1) and a University of Connecticut Employee Code of Conduct have reaffirmed the mandate of University employees to serve the interests of the State in an honest and transparent manner.***

*Appraisal*

## Assessment of Communications Activities

University Communications regularly conducts focus groups and surveys to assess public perception of the University in general and in relation to particular issues of interest to the University. The telephone research has been helpful in assessing whether or not the University's messages are reaching and impacting both the Connecticut public and alumni (and the research shows they are). University Communications also conducts focus group research among current and prospective students, guidance counselors and parents to inform the development of communications materials. While there is no formal mechanism per se in place for assessment and/or evaluation of the University's efforts in public disclosure, the very prominence of the University as a "media figure" and a publicly funded institution, plus the large amount of surveying of constituencies, act as assessment mechanisms. Some departments have an assessment process in place but most agreed that little is done by the University as a whole to assess its success in its communication efforts with the public. The recently developed UConn home page was researched, tested, reviewed, and modified with broad constituent involvement across and outside the University.

It should be noted that UConn's website comprises webpages of the University's departments, offices and other units, as well as those of individual UConn faculty, staff and students. The views and opinions expressed by individual faculty, staff and students on these personal webpages are strictly those of the authors. The contents of these personal pages have not been reviewed or approved by the University of Connecticut.

Following are some assessment activities occurring within departments or schools:

- Undergraduate Admissions participates in the Admitted Student Questionnaire on a regular basis to garner feedback from students who are applying to UConn and other schools. The Center for Survey Research and Analysis, as discussed earlier, administers on behalf of the Division of Enrollment Management, an Entry-Level Survey during freshmen orientation, as well as Mid-Career (sophomore/junior) and senior student satisfaction surveys during the spring semester. The results provide critical information about publications, recruitment activity, and overall public perceptions of the University. The department has used this information to improve services and address issues that have been identified in the responses (10.14).
- The Office of Institutional Research completes a graduating student survey annually. The results are used to assess efforts in the specific areas/departments addressed in the survey. (10.7)
- The Office of Admissions meets with groups of high school guidance counselors, current students, prospective students, and parents to assess how well its staff is communicating with high schools and prospective students, both in-state and out-of-state. Comments about publications, verbal communications, newsletters, electronic media effort, etc., are collected in these efforts. These sessions are held at the beginning of every admission season. This year, the Admissions office began tracking to determine which students who received materials from the admissions office actually applied.
- The Lodewick Visitors Center administers an assessment tool with visitors at the end of every tour session to assess satisfaction with the tour experience and with the University more generally.
- The Center for Continuing Studies uses a network of counselors at the Storrs and regional campuses to assess its efforts and tracks responses to its advertising.
- The Law School annually surveys all students who apply inquiring why they did/did not enroll. This allows them to evaluate their recruiting publications.

## Public Disclosure of Course Offerings

In 2004, the University Senate approved a change in its guidelines to allow courses that were not going to be offered to be temporarily removed from the Undergraduate catalog at the department's request. Previously, a course could not be temporarily removed from the catalogue; any course that was removed would need to go through the multi-level course approval process in order to be restored the catalog. The Registrar's office annually contacts departments with information on when courses were last offered and asks if any should be temporarily removed. The University Senate, recognizing these and other concerns, recently approved a newly revised course numbering system that contains logical sequencing with regard to pre-requisites and students' standing (e.g. freshman, sophomore, junior, senior).

## Reporting of University Data, Information and News

Overall, the University is highly responsive to the media and responds quickly to requests for information, interviews and materials. The Description section above mentions certain instances in which the media has requested information for public disclosure in situations where the University wished to move more slowly in order to ascertain the facts. The Office of University Relations, through its University Communications department, has worked with the media to try to develop mechanisms for official release of University information in the shortest amount of time appropriate.

In addition, taking a proactive stance, the University has a highly developed system, through its University Relations unit, of marketing research and institutional stories to the media. The Communications office at the Health Center also produces a weekly newsletter, and maintains excellent relationships with the Connecticut media both to respond to queries and to market stories.

Another area in which the University must continue to improve is reporting to granting agencies, particularly the federal government, concerning grants and contracts expenditures and the conduct of research. The United States government has comprehensive rules and policies governing disclosure of information connected with its grants. The University of Connecticut, primarily through its Offices of Sponsored Projects and Audit, Compliance and Ethics, will strive to ensure that such compliance reporting is timely and accurate.

### *Projection*

The University of Connecticut exists in an increasingly open society characterized by rapid growth of technological innovation. It must use technology effectively to disclose accurate and consistent information in a user-friendly manner without infringing on the rights of students, faculty and staff.

Several initiatives are necessary to accomplish this:

- The University administration must continue to make electronic media a priority for the institution and allocate appropriate resources to the function of electronic dissemination of information, not only to support the main university webpages, but also those of departments, schools and colleges. Many departments that would like to participate have not done so due to limited resources and the lack of financial support for this purpose.
- The University should continue to develop policy and procedures in support of increased assessment efforts by all University units. Further, UConn should distribute the results and disclose the implementation of recommendations resulting from such assessment. Assessment efforts are only successful when their results are shared and recommended solutions are implemented. The University of Connecticut intends to continue this type of approach, as demonstrated successfully, for example, by the efforts of our ongoing Retention and Graduation Task Force discussed in more detail in Chapter Six of this report. This Task Force has leveraged broad-based representation and information sharing across the University to identify issues in need of addressing and implementing positive change.
- In terms of communicating with the public, media, students, faculty and staff, the future holds increased pressure for instant information. The University must continue to develop its ability to react to any situation so that information is disseminated as quickly as possible, while preserving the legal and privacy rights of individuals associated with UConn whose interests are affected by events. The hiring of a Privacy Officer within the Office of Audit, Compliance and Ethics should help the institution to achieve the highest levels of effectiveness in public disclosure.
- Regarding the importance of assessing student expectations and subsequent satisfaction as we look to the future, the University has begun and intends to continue efforts to leverage ongoing progress in communication strategies in a variety of ways. The Division of Student Affairs, the Division of Enrollment Management and University Communications are in constant contact with each other about ways to communicate more effectively, especially with students (prospective, current and former) and their families.

A good example of addressing student concerns is the Social Security Number Project, which arose out of students' desire to protect their rights of privacy. The University has been committed to reducing the use of the Social Security Number to prevent fraud as well as protect student privacy. A policy was established restricting the use of the SSN to certain legitimate uses (for example, for employment and tax purposes, for financial aid purposes, and where required by an external entity). A task team established to implement the policy has several efforts underway. Among them: creating an action plan for implementation of the policy; publicizing it; defining "legitimate uses" of it; developing a "best practices" document for protecting the privacy of SSN; establishing a public identifier for students, faculty, and

staff; developing a statement to be used whenever SSN is collected; identifying all of the uses of SSN at UConn, and identifying examples of where UConn has stopped using the SSN. As time goes on, a website devoted to this initiative will be updated with information on its progress. The University's One Card ID office will issue new cards to all members of the community in January 2007, excluding Social Security Numbers, per recommendations by the task team.

In closing, it is appropriate to note that a University-wide Code of Conduct was adopted by the Board of Trustees on April 17, 2006 as part of a compliance program to help faculty, staff, and administrators adhere to federal, state, and local regulations. (See Exhibit 10.2)

The Code was developed by the director of compliance for Storrs-based programs and the compliance, integrity, and privacy officer at the Health Center with input from faculty, the University Senate, administrators, and staff. It outlines standards of behavior, focusing on honesty, integrity, respect, professionalism, and knowledge.

The Code notes that all members of the University community on all campuses, including the Health Center:

- should be truthful and sincere and not intentionally mislead others or provide inaccurate information;
- must adopt behaviors that reflect fundamental moral and ethical values, are beyond reproach, and avoid the fact and appearance of impropriety;
- exhibit behaviors that demonstrate respect for others in terms of civility, collegiality, health, and safety; protect private and confidential information; and create an environment free from harassment and violence.
- apply ethical business practices and professional standards and requirements to academic, research, clinical, administrative, and other functions, and adhere to applicable federal, state, and local government laws and regulations, while also acting as good stewards of resources;
- value truth, the pursuit of truth, intellectual curiosity, and academic freedom.

#### **INSTITUTIONAL EFFECTIVENESS**

The University of Connecticut is dedicated to periodic review of its public disclosure systems. During this self-study period, it has taken extensive measures to review and improve its publications and its interactions with major constituencies, including the media. Due to its status as a public flagship institution that receives large amounts of public monies from both the state and federal governments, the University of Connecticut truly lives in a "glass house" as far as public disclosure is concerned. The institution will continue to strive to be as transparent and open as possible.

## **Standard Eleven**

### **Integrity**

#### **The Integrity Environment at the University of Connecticut**

Integrity is defined as the steadfast adherence to high moral and ethical principles (Encarta, 1999). The University of Connecticut's mission and purposes statement commits the University, through research, teaching, service, and outreach, to "cultivate... integrity... in our students, faculty, staff, and alumni." The University has the policies and practices in place to assure integrity and high ethical standards in the management of its affairs and in all of its dealings with students, faculty, staff, its governing Board, external agencies and organizations, and the general public. This commitment is significantly advanced in the University Guide to the State Code of Ethics (Exhibit 10.1), the University's Ethics Statement (Exhibit 10.1), the University's Employee Code of Conduct (Exhibit 10.2), and Student Code of Conduct (Appendix 6.1). The UConn Creed promotes the practice of personal and academic integrity by our students (Appendix 11.1). Integrity is also expected as a "(q)uality desired in teachers of all ranks" (*Laws, By-Laws and Rules of the University of Connecticut*, XV. J.2.d., Appendix 3.1). (11.1)

#### **Ethics Statement and Code of Conduct**

The University of Connecticut is committed to assuring the highest standard of integrity in all aspects of University life and in all University and University-sponsored activities (President's Letter, Dated 05.24.06 - Exhibit 11.1). It has established a Compliance Program administered by the Office of Audit, Compliance and Ethics to help to adhere to all federal, state, and local regulatory requirements. That office, based on the principles in the University Statement of Ethics, oversees enforcement of a University-wide Code of Conduct that serves to guide the conduct of University activities in support of the University's mission, and is designed to serve three key purposes:

1. To set the basic standards of workplace behavior that the University expects of all faculty, administrators and staff.
2. To state publicly the University's long-term commitment to the highest standards of integrity in education, research, health care and service.
3. To assure that faculty, administrators and staff understand their shared responsibility for keeping the University in full compliance with all applicable laws, regulations, and policies

The standards contained in this Code of Conduct reflect the University of Connecticut's core values, as they have been articulated over time by generations of faculty, staff, administrators, students, and the State of Connecticut. These values are essential and enduring tenets of our organization (President's Letter, Dated 05.24.06 - Exhibit 11.1). The Ethics Statement reflects the University's core values of honesty, integrity, respect, professionalism, and knowledge (Exhibit 10.1).

#### **Compliance**

The University has developed a comprehensive program to ensure adherence to federal, state, and local regulations and requirements. In 2004, the Board of Trustees expanded the role of its Office of Internal Audit and renamed it the Office of Audit, Compliance, and Ethics (OACE). Resources have been dedicated to fund this expanded role, including the addition of staff and other operating dollars. OACE is developing a comprehensive training program required for all University employees.

Compliance staff will be made available to provide guidance for any questions regarding interpretation and implementation of the Code as well as to provide guidance regarding compliance with University policies or procedures. Additionally, as State employees, University faculty, staff and administration are also subject to the State of Connecticut Code of Ethics. This State Code, which focuses on conflict of interest, use of public office for personal financial gain, and relationships with those with whom the University does business, is enforced by the Office of State Ethics. The University is also providing training to its employees for compliance with State requirements. We have designated a liaison with the Office of State Ethics so that we may keep up to date with recent statutory and regulatory changes and seek guidance from that office when questions are raised concerning the conduct of our employees.

#### **Policies of Integrity**



The University now posts all policies for Storrs and the regional campuses on an e-policy website (<http://www.policy.uconn.edu/pages/main.cfm>). In 2005, a new procedure was established for the establishment and review of policies. Each department that generates policies has a designated policy editor. Each department/division does due diligence in developing policy drafts and obtaining approval at the highest level within the department/division. An employee has been designated whose responsibility is to ensure that all University policies are updated, consistent and compliant with federal and state statutes and regulations and reviews any proposed policies drafted by these editors. Communication is sent out to the University community when such policies are finalized. Again, the OACE is a resource to any person that needs guidance on proper implementation of the policy or believes there has been a breach of policy protocol. (11.11)

Included are all policies related to the privacy rights of students and employees. Although the University conducted an extensive study regarding the implementation of HIPAA (<http://www.hhs.gov/ocr/hipaa/>), it was determined that an overall policy regarding privacy should be drafted to encompass all federal and state privacy mandates (including Freedom of Information Act, HIPAA, Federal Education Rights to Privacy Act, and Gramm-Leach-Bliley). Similarly, Information Technology security policies have been implemented to protect such confidential information. The Health Center has a process for creating policies pertinent to its campus, and is under the oversight of the OACE.

### **NCAA Compliance**

Like NEASC, the NCAA requires a self-study for certification of the Division I athletics program on a ten-year rotation. The last self-study was conducted in 1998, and an interim report was submitted in 2003. These two documents are in the Team Resource Room and Library. The University has policies and compliance forms for many areas, including a newly established written University event ticket and admission policy for all employees. There are also written procedures for investigating and reporting NCAA violations. The NCAA imposed no “corrective actions” “conditions for certification” or “strategies for improvement” on the University in its certification decision in 1998. Compliance reviews are conducted annually by external consultants, an outside law firm. These reviews have assisted the University in maintaining an exemplary record of NCAA compliance.

The University annually submits mandated reports to the NCAA regarding academic progress and graduation success rates. Academic eligibility of every intercollegiate student-athlete is reviewed each semester. Admission to the University of all student-athletes follows the same procedures as for all other students. Policies exist regarding absences from classes and missed work for student-athletes as well as all other students. The President’s Athletic Advisory Committee regularly advises the President on all matters relating to athletics, including institutional control as defined by the NCAA. It should be noted that the University of Connecticut was one of the first in the country to develop a comprehensive plan to comply with the gender equity requirements of Title IX. The Title IX Compliance Plan is reviewed and assessed annually.

### **Intellectual Property**

The University has policies dealing with the inventions, copyrights and the ownership of such products that are consistent with U.S. Patent law and Connecticut statute (Appendix 11.2). (11.2)

Ownership: U.S. Patent law specifies that all inventions are owned by the inventor(s) unless the inventor(s) has transferred ownership or title to another entity. This applies to the University of Connecticut. Under Connecticut law (C.G.S., Sec. 102-11-b), the University of Connecticut has the right to own title to any invention conceived by University employees (including but not limited to full-time and part-time faculty, post-doctoral fellows, student employees, research assistants, visiting scientists, and emeritus professors) in the performance of customary or assigned duties or which emerges from any research or other program of the University, or which is conceived or developed wholly, or partly, with the use of University funds, facilities, equipment, or materials. That is, by virtue of employment, employees of the University of Connecticut are required to assign their right, title and interest in inventions to the University.

Copyright Ownership: The University’s copyright policy is also based on Connecticut law (C.G.S., Sec. 10a-110g) which specifies that any literary, artistic, musical or other product of authorship covered by actual or potential copyright belongs to the author(s). In those instances where such works have been produced at the direct request of the University with specific financial support from the institution or with “substantial use” of University resources (equipment, facilities and support staff), the University should seek a reasonable return upon commercialization. To do so, the author may be required to assign rights to such copyright to the University. Such works also include software. (This area of copyright is receiving new and close scrutiny at this time.) Also, if copyrightable material is produced under a grant or sponsored research agreement awarded to the University and the University needs to fulfill a contractual obligation, the author is required to assign rights to such copyright to the University.

**Student Ownership of Inventions:** The University requires students to assign rights to inventions occurring at the University under any of the following conditions: 1. When the student makes “substantial use” of University facilities and/or equipment in developing the invention (“Substantial use” is a term of art and requires a review of the facts in each case); 2. When the student is an employee of the University, performing services in return for monetary compensation, and the invention arises within the scope of that employment; or 3. When the student is participating in sponsored or organized research at the University.

**Invention Commercialization:** The University’s intellectual property is commercialized/licensed to interested parties by the University’s technology transfer office, the Center for Science and Technology Commercialization (CSTC). The University is required by Connecticut law (C.G.S., Sec. 10a-110c) to share with the inventor a minimum of 20 percent of the amount of net proceeds (i.e. after the recovery of out-of-pocket expenses, primarily for patenting) generated by commercialization of an invention, provided that the inventor fulfills statutory obligations. These obligations are: 1. Disclose the invention to the CSTC; 2. Cooperate in securing patent protection; 3. Assign rights, title and interest in a patent to the University. In addition, it is expected that employee inventors will cooperate fully with the CSTC in its efforts to commercialize the University’s inventions. Current University policy allocates 33.3 percent of such income to the inventor(s) as personal income, 33.3 to support additional research (fifty percent to the inventor(s)’s active University research program, thirty percent to the inventor(s)’ Department, and twenty percent to the inventor(s)’ Dean) and 33.3 percent to the University.

### **Conflicts of Interest Policy**

The University had adopted a Conflict of Interest in Research Policy consistent with 42 CFR Part 50 and 45 CFR Part 94 (See Exhibit 11.2). In addition, the Code of Ethics for State Employees, amplified in the new University of Connecticut Ethics Statement (Exhibit 10.1), specifies certain conditions and conduct that may cause conflict. These policies and laws relate to accepting gifts, fees or honoraria, personal business obligations versus state responsibilities, acting in an official capacity, accepting contracts without bids, and giving the appearance of conflict. (11.2)

### **The Student Code**

*The Student Code of Conduct* addresses the rights of each member of the academic community, regarding equitable opportunities to participate fully in community life. The expectations for academic integrity are clearly spelled out in Undergraduate Education and Research (Appendix A in the *Student Code*) and in Graduate Education and Research (Appendix B in the *Student Code*). In the instances where there is felt to be academic misconduct, the Rights and Responsibilities of the University and the Student are clearly delineated, in a manner that is deemed to be just and fair for all parties concerned. (See Appendix 6.1) (11.2)

### **Academic Freedom**

The University of Connecticut provides a forum for the free expression of ideas – to search for truth, to explore, discover, question assumptions, to engage in healthy debate and in the interchange of diverse ideas. As stated in the *Laws, By-Laws and Rules of the University of Connecticut*, the University subscribes to the AAUP 1940 Statement of Principles on Academic Freedom (Appendix 11.3). As outlined in its Mission Statement, the University also encourages the dissemination of new knowledge. The right to publish is a basic tenant of academic freedom. Academic freedom also applies to policies relating to intellectual property and the timely filing of patents in order not to impede publication of scholarly works. (11.3)

### **Non-discriminatory policies**

The University of Connecticut is an Equal Employment Opportunity/Affirmative Action Employer in accordance with state and federal laws and regulations. The University prepares an Affirmative Action Plan (available in the Team Resource Room and Library) in compliance with CT Gen. Stat. Sec. 46a-68. The plan articulates the University’s strategy to combat discrimination and implement affirmative action in employment. The plan supports the University’s goal of developing a diverse workforce by ensuring equal employment opportunity. Relevant policies include the Policy Statement on Affirmative Action & Equal Employment Opportunity, the Policy Statement on Harassment, the Policy Statement on People with Disabilities, and the Policy Statement on Diversity (All these policies can be accessed on the e-Policy website, <http://www.policy.uconn.edu/pages/main.cfm>, and in Appendix 11.4). The University has developed procedures for handling discrimination complaints (<http://www.ode.uconn.edu> and Appendix 11.5). Human Resources and the Office of Diversity & Equity have developed policies and procedures surrounding recruiting and hiring faculty and unclassified staff (Appendix.11.6). (11.5) Human Resources also develops and

administers policies and procedures to support Equal Employment Opportunity and Affirmative Action in the employment of classified staff.

The University's policies regarding affirmative action with respect to admissions are reaffirmed in the undergraduate (p. 2), and graduate (p. 2) catalogs. The University subscribes to the Statement of Principles of Good Practice of the National Association for College Admission Counseling.

### **Integrity in Administrative Operations**

The University applies its commitment to honesty and integrity to all of its operations and branches including admissions, undergraduate and graduate education, research, and construction and general operations. There have been instances over the past ten years when the University has discovered problems in such areas as the construction programs, handling of hazardous wastes, and sponsored research accounting. The University has reaffirmed sound practices while adapting to new issues as they have arisen. It recognized areas needing improvement and the need to strengthen compliance and oversight activities, and has made appropriate policy, organizational and administrative changes to prevent a recurrence of these issues. (See Exhibit 8.6- COO plan for correcting construction program issues and Exhibit 8.7 – Description of new building program processes). See the discussion in Chapter Eight concerning capital construction processes and procedures.

### **Conferences, Institutes, and Workshops**

The University of Connecticut is dedicated to excellence in higher education and demonstrates its commitment to its land-grant mandate and lifelong learning through its statewide program of continuing education and extension services. The University sponsors conferences, institutes, workshops and other educational programs that enrich the lives of Connecticut's citizens.

### **Integrity Policies Relating to Workforce and Collective Bargaining Agreements and the Department of Human Resources**

In addition to Federal and State law, the *Laws, By-Laws and Rules of the University of Connecticut* and codes of conduct issued by the University, most of the faculty and staff are governed by collective bargaining agreements (CBAs). Two of these agreements are University-negotiated and approved by the University Board of Trustees and the State legislature: the contracts with the American Association of University Professors (AAUP) and the University of Connecticut Professional Employees Association (UCPEA). Staff in statewide classified bargaining units are governed by agreements negotiated by the State Office of Labor Relations under the Office of Policy and Management (OPM). Managerial and confidential staff, faculty at the School of Law and the Health Center, and students are not covered by collective bargaining.

The University's Department of Human Resources (HR) is charged with contract administration of all CBA's and with negotiating the AAUP and UCPEA agreements. It is the responsibility of HR to provide such services, under the guidelines provided by State and Federal law and the CBA itself.

The AAUP collective bargaining agreement recognizes the authority of the *Laws, By-Laws and Rules of the University of Connecticut* and the prerogatives of the Board of Trustees, along with the principle of shared governance. (Article 4) Collegiality and academic freedom are specified and upheld (Articles 3 and 4), as well as a commitment by the University and the AAUP to uphold with integrity the principles of non-discrimination (Article 5), diversity and affirmative action (Articles 5 and 6). University management commits to exercising its rights, responsibilities and prerogatives consistent with the specific terms and provisions of the CBA (Article 7). Standards of integrity require that the University honor due process for faculty to protect against "discrimination, prejudice and distortion in their records pertaining to evaluation for promotion, tenure and any other University personnel matter." (Article 8) The University honors with the strictest integrity the implementation and practice of the procedures of the CBA, such as contractual grievances (Articles 10, 11), the content of personnel files (Article 12), appointment and evaluation procedures (Articles 13, 15), reduction of staff (Article 14), salary and benefits (Articles 18, 19, 24, 25, 26, 29), disciplinary procedures (Articles 13, 24, 26, 27) and the rights of the AAUP. (Articles 9, 16, 17)

The professional employees' association, UCPEA, is likewise governed by a CBA which recognizes that standards of integrity must be part and parcel of implementing the provisions of the union contract. The CBA recognizes the professional freedom of staff (Article 4), principles of non-discrimination (Article 5), maintenance of salary, benefits, job security, union rights and security and just cause in disciplinary matters.

The University conducts performance appraisals for classified and unclassified staff, and for the promotion, tenure, and reappointment of faculty according to the relevant collective bargaining agreements as well as the *Laws, By-Laws and Rules of the University of Connecticut*. (Appendix 3.1)

Grievance procedures for faculty and staff, which are outlined in the several collective bargaining agreements, continue to be adhered to in the administration of contractual requirements. The Labor Relations Unit at the Department of Human Resources ensures the equitable application of these procedures. Staff in collective bargaining units have access to union advocates and stewards at each step of the grievance, up to and including arbitration by an outside arbitrator. Unrepresented staff follow the procedures of the *Laws, By-Laws and Rules of the University of Connecticut*. In Article XV "University Staff", Sections E, F and G provide detailed procedures for terminations, dismissals, suspensions and terminal salary that govern University practices in relevant professional staff cases. Appeals and grievances may also be filed by unrepresented faculty, managerial and confidential staff using the steps of the *Laws, By-Laws and Rules*. This class of employees may retain personal legal counsel if they choose. The administration continues to apply *By-Law* procedures uniformly to all cases brought before them and oversees implementation with legal counsel where appropriate.

The Department of Human Resources exercises the highest standards of professionalism in administering sound human resources policies, procedures and programs that support the University's mission (Mission Statement). The department staff commits to integrity in all matters, including customer service, communication and productivity, exercising confidentiality at all times without exception (General Standards).

The Department of Human Resources launched a New Employee Orientation early in 2005. This program includes a presentation on University employment-related policies, as well as a basic overview of the payroll, human resources, diversity and equity, information technology, environmental health and safety and parking procedures. Written materials are provided to all new administrative and support staff with phone numbers and websites which they may reference for guidance on specific issues.

The Department of Human Resources developed an Employee Handbook which is housed on the Human Resources website at <http://www.hr.uconn.edu/emptitle.html>. The web version provides a format to continually update materials as procedures, benefits and union contracts are renegotiated. (See discussion of the Faculty Handbook, which is maintained electronically by Human Resources, in Chapter 5.)

#### *Appraisal*

### **Progress Since the 1996 Self Study**

The University has recently accelerated its efforts in promoting its commitment to integrity in all aspects of University life. Since the 1996 self-study, the University Senate adopted policies regarding the timeliness of course deletions. Throughout the University, a program of assessment is being developed (see Chapter Four for more information). The student Code of Conduct went through major revision in 1999-2000 and other revisions are currently being considered. The Dean of Students Office has a procedure for handling complaints by students regarding faculty and grading. Although this procedure is not formalized, this approach seems appropriate at this time. Also, both the undergraduate and graduate catalogs provide guidance on the "Appeals of Assigned Course Grades." The University has developed copyright compliance guidelines for library reserve materials. (Appendix 11.7) Also, a comprehensive articulation agreement with community colleges is being developed.

Since 1997, the number of full-time faculty at the University has risen from 1040 (fall 1997, excluding UCHC) to 1,251 as of the fall of 2005. The proportion of faculty that are female has risen from 27 percent to 34.6 percent. The proportion of administrators (non-faculty titles) that are female has fluctuated from twenty-four to thirty-nine percent since 1995, and is currently thirty percent. If female department heads and assistant/associate deans/directors are added, the percentage increases to fifty-five percent. Minority enrollment at the University has increased by 111 percent for freshmen since 1995. Thus, most projections from the 1996 self study have been achieved. As guided by the Diversity Plan, the University is committed to increasing diversity and fostering an appreciation of diversity. (See Appendix 2.4) The Office of the Vice Provost for Multicultural and International Affairs (VPMIA) and the Office of Diversity and Equity (ODE) monitor implementation of the University's Diversity Plan and the Affirmative Action Plan.

The Office of Diversity and Equity (ODE) advises the President and senior executives on matters related to civil rights, social equity, and performs multiple affirmative action law-related compliance functions. For instance, ODE staff conducts in-stream, affirmative action reviews of recruiting and hiring activities for faculty and professional staff positions. Human Resources performs this in-stream review for classified staff recruiting and hiring. ODE is also charged, by statute, with investigating all internal discrimination and sexual harassment complaints filed against

employees for the Storrs and regional campuses (excluding the Health Center), reporting investigatory findings to the President, and recommending remedial and disciplinary action if warranted. Discrimination complaints originating from external agencies are addressed by the Department of Human Resources. The ODE Director serves as the University's Americans with Disabilities Act (ADA) compliance officer and assists in monitoring Title IX compliance. ODE staff drafts the University's annual Affirmative Action Plan which is submitted to external civil rights enforcement agencies.

ODE is characterized, by statute, as a neutral investigatory unit accountable for issuing objective conclusions following thorough investigations into internal discrimination complaints, and the independence of the office is amplified by its reporting structure to the President and Vice Provost for Multicultural & International Affairs. At the direction of the President and Vice Provost for the Office of Multicultural & International Affairs, ODE overhauled the University's internal discrimination complaint management system with the goal of improving workforce confidence in internal mechanisms to address discrimination and sexual harassment complaints. The office was also charged with increasing external civil rights enforcement agencies' confidence in the University's commitment to aligning investigation activities and case decisions with current law and standards of review. ODE's track record for successful resolution of complaints, and affirmations of its decisions by external civil rights enforcement agencies, has resulted in employee confidence and reliance on ODE, with a concomitant increase in the filing of complaints. Consequently, ODE's case management staff is severely strained to handle the new workload demands. In order to maintain the high degree of confidence in the University's commitment to diversity and equity, consideration should be given to increasing ODE's staff.

The University has a long tradition of extending its educational resources into the community. UConn's schools, colleges, institutes, centers and regional campuses offer a wide range of non-credit learning experiences to thousands of individuals across the state each year. The University strives to position itself as a major intellectual resource for individuals, business and industry, professional associations, nonprofit organizations, labor and government. The University of Connecticut ensures that regardless of sex, race, creed, age, national origin, or physical condition, all the people of Connecticut have effective access to these programs and services.

In addition to excellence in content, the University strives to fulfill its outreach mission by ensuring the integrity of its program management, honesty in its marketing communications, and continuous improvement in its quality through needs assessment and program evaluation.

Consistent and clear institutional procedures and policies are essential to quality programs and honest management. The University regularly communicates its management policies and procedures with members of the University community by e-mail messages with links to the University's website where critical management policies and procedures are published. Employees without computer access receive hard copies of relevant policies and procedures.

Under the auspices of the Office of Audit, Compliance and Ethics, the University of Connecticut has recently entered into an agreement to provide ethical and code of conduct training to all University employees. In addition, the Office of Diversity and Equity has been conducting sexual harassment and diversity workshops for some time. The Vice Provost for Research and Graduate Education sponsors a "Helpline" that trains the elected Graduate Council of senior research faculty in a variety of topics, including integrity in research and compliance with federal and state regulations regarding carrying on research and reporting results. The offices responsible for training have limited resources, so keeping a changing faculty and staff appropriately trained is a challenge. The University of Connecticut is, however, committed to this training and is pursuing it aggressively.

#### *Projection*

There are several training and discussion venues for University employees on integrity-related issues. These include the CITI program sponsored by the Office of Sponsored Programs, a regular program of training and professional development for University employees sponsored by Human Resources, diversity training sessions sponsored by the Office of Diversity and Equity, department head training programs sponsored by the Provost's Office, and the formal ethics training program sponsored by the Office of Audit, Compliance and Ethics (OACE). As mentioned above, the Office of Audit, Compliance and Ethics staff is working on developing a comprehensive ethics training program for University employees. All employees will be mandated to participate; in fact, an attestation of attendance will be required by each employee.

As of June 19, 2006, the University has in place a "report line" service. This service is available twenty-four hours a day, seven days a week. Any member of the University community is able to report, without fear of retaliation, any wrongdoing perceived. The Compliance Office will then be able to follow-up, investigate, and appropriately deal with

such allegations. Interpreters are provided for those for whom English is not their first language. It is anticipated that identification of wrongdoing will not only serve as a deterrent, but will provide an opportunity to put into place improved policies, procedures, and training on such issues.

The University will continue to promulgate policies for faculty and staff. In addition to the current e-mail and newsletter announcements, the offering of additional educational workshops at regular intervals would serve constituents well. Workshops would present the administration's interpretation of policies, provide opportunity for clarification and serve to unify understanding among faculty and staff. There would also be a foundation for an authoritative standard for issues that are vulnerable to being interpreted in differing ways. To that end, the Department of Human Resources is partnering with the University Controller's Office to design, develop and deliver a comprehensive training institute for key business and administrative staff on a complete range of fiscal and administrative functions. The institute will be run twice a year and will better equip administrative and business staff to comply with University policies and procedures as well as enhance their understanding of the legal and regulatory foundations of those procedures.

Over the coming months the "General Rules of Conduct" are expected to be incorporated into the University's Code of Ethics to provide clear statements for faculty and staff members. The Department of Human Resources' New Employee Orientation program will continue to be the standard for providing relevant employment-related policy statements and selected general procedures to all administrative and support staff from the very first day of employment. Ongoing evaluation of this program will ensure timely adaptation of topics that will serve the need to inform new employees of updated policy information.

### **Integrity and Public Disclosure**

Above is a discussion of the dynamic tension felt by the University of Connecticut and caused by the need to balance the privacy rights of individuals associated with the University and the University's need to investigate misconduct allegations with the demands for public disclosure to appropriate authorities, and/or to the media. As its Mission and Ethics Statement point out, the University of Connecticut is dedicated to the highest ethical standards. During the period since the last NEASC review, the University of Connecticut faced challenges involving allegations of misfeasance, malfeasance and/or nonfeasance by a few isolated employees or students. Many actions have been taken recently to communicate and bolster the University's commitment to integrity in all its endeavors, including adoption of the Employee Ethics Statement and Code of Conduct, the strengthening of the Office of Audit, Compliance and Ethics, the establishment of a Construction Assurance Office, and the creation of a twenty-four hour "report line" to receive allegations of alleged violations of laws or regulations. The University of Connecticut takes seriously its responsibility to the citizens of the State and its donors, grantors and other constituencies. It constantly endeavors to strengthen its responsiveness to the public trust.

### **INSTITUTIONAL EFFECTIVENESS**

During this self-study period, through a few highly publicized occurrences, the University of Connecticut has had the opportunity to test its commitment to integrity. In every instance, it has acknowledged the unfortunate events, analyzed their cause, and made process improvements, including hiring more personnel in some areas, making policy changes and increasing monitoring and enforcement mechanisms. Its actions exemplify its commitment to integrity in all of its operations.