

August 9, 2011

Dr. Robert C. Froh  
Associate Director of the Commission  
NEASC CIHE  
209 Burlington Road, Suite 201  
Bedford, MA 01730-1433

Dear Dr. Froh,

Please find the University of Connecticut's fifth-year interim report for NEASC CIHE enclosed. The central administration and I would appreciate any insights or suggestions you could offer to help us better our institutional goals and efforts as we strive toward greater success and excellence with outstanding students, alumni, faculty and staff.

Thank you for your time, willingness and attention to the enclosed document.

Sincerely,

Karla Fox  
Professor and Executive Director

# University of Connecticut Storrs, Connecticut

Regional: Avery Point, Greater Hartford,  
Stamford, Torrington, Waterbury

Health Center: Farmington

## Fifth-Year Self-Study Report

August 22, 2011

Prepared for New England Associate of Schools & Colleges  
Commission on Institutions of Higher Education



## **Introduction**

### **Areas of Particular Emphasis**

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## Introduction

The following pages of the University of Connecticut's Fifth-Year Report cover an exciting and productive time. The report's content spans from 2007-2011, highlighting the continued support of the State of Connecticut, the expansion of the quality and quantity of our students and academic programs, the ongoing improvements and renovations to the Storrs, Law and Regional campuses, and the tenures of former President Michael Hogan, Interim President Philip Austin and the recent arrival of President Susan Herbst in June of 2011. In preparation of future NEASC accreditation visits and reports, the implementation of updated Program Reviews and the advancement of assessing Student Learning Outcomes, the Board of Trustees established the Office of Institutional Effectiveness in April of 2011.

In late 2010, the Provost assigned Dr. Karla H. Fox, the chair of the 2006 Ten-Year Report Committee, with the duty of assembling a Fifth-Year Committee and self-study document. Dr. Anne Hiskes was assigned as co-chair of the committee, responsible for the Areas of Particular Emphasis and Standard Two.

A 17-member Fifth-Year Report Committee was assembled and met in February, April and May of 2011 to discuss the general aims and goals of the report, first drafts and integration and consolidation of the eleven Standards. Committee members shared their insights and resources while working through the drafting process. Many members interviewed different faculty, staff and administrators in their pursuit of accurate and well-researched data and information. The names of the Committee members and their assigned Standard are below:

<b>Standards</b>		<b>Name</b>	<b>Department</b>
<b>1</b>	Mission & Purposes	Karla Fox	Institutional Effectiveness
<b>2</b>	Planning & Evaluation	Anne Hiskes	Philosophy
<b>3</b>	Organization & Governance	David Yalof	Political Science
<b>4</b>	Academic Program		
	Undergraduate	Yuhang Rong	Education
	General Education	Hedley Freake	Nutritional Sciences
	Major or Concentration	Hedley Freake	Nutritional Sciences
	Graduate	Lee Aggison	Graduate School
	Integrity Award Credit	Michael Alfultis	Avery Point Campus
	Assessment	Lauren Schlesselmann	Pharmacy
<b>5</b>	Faculty	Brad Wright	Sociology
<b>6</b>	Students	Denielle Burl	Student Affairs
<b>7</b>	Library & Information Resources	Steve Parks	Institute for Teaching and Learning
<b>8</b>	Physical & Tech. Resources	Cameron Faustman	Agriculture
<b>9</b>	Financial Resources	Suresh Nair	Business
<b>10</b>	Public Disclosure	Randall Walikonis	Physiology & Neurobiology
<b>11</b>	Integrity	Mehdi Anwar	Engineering

<b>Ex Officio</b>	Pam Roelfs	Institutional Research
	Eric Soulsby	Institutional Effectiveness
<b>Staff</b>	Brandon Murray	Institutional Effectiveness

Following the submission of second drafts in May, the Office of Institutional Effectiveness, which encompasses the Office of Accreditation, launched a new accreditation website with drafts of each Standard, names of committee members and their respective Standard, meeting agendas and minutes, the NEASC Fifth-Year Report procedures and instructional letter to former President Hogan and a link to the comment or complaint section on the NEASC CIHE website. The Office of Accreditation, with links to the 2006 and 2011 NEASC Reports, is available here: <http://www.accreditation.uconn.edu/>.

Beyond this introduction, the report consists of the Areas of Particular Emphasis, the eleven Standards and related Appendices. The documents in the Appendices are free-standing, independent of the narrative flow. Within the Standards, Exhibits are referred to, providing detail and data that could not fit within the main narrative of the report. The report, however, is fully comprehensible without the exhibits. Throughout the editing and revising process – and with the implementation of exhibits – the committee strove to meet the goal of staying within the recommended page limit. Regardless, the report that follows represents a united effort by the entire University of Connecticut community, and we look forward to future progress, future successes and many years of life-long learning.

## **Response to Areas Identified for Particular Emphasis**

In addition to providing an update with respect to the eleven standards, the Commission requested that the Five-Year Interim Report specifically address the following issues:

- a. Refining the Academic Plan
- b. Aligning Human Resources, Particularly Faculty Resources, with the Plan
- c. Developing and Implementing Formal Means of Assessing Student Learning
- d. Sustaining Financial Equilibrium in Changing Financial Times

The following sections describe the University's efforts and outcomes in addressing these issues.

### **a. Refining the Academic Plan**

**"It is critical for the University to remain committed to its new planning process and to see that process through to completion"**

At the time of the 2005 Self-Study and visit by the New England Association of Schools and Colleges evaluation team, the University was in the early stages of developing a new academic plan to replace the 2003 Academic Plan which had been deemed lacking in clarity and direction by the NEASC evaluation team. On September 23, 2008 the Board of Trustees adopted a revised plan "Our World, Our People, and Our Future: The University of Connecticut Academic Plan 2009-2014" (<http://academicplan.uconn.edu/>). The plan identifies five academic goals (Undergraduate Education; Graduate and Professional Education; Research, Scholarship, and Creative Activity; Diversity; and Public Engagement) and a sixth goal to establish administrative, infrastructural, and budget systems designed to realize the academic goals. The Plan identifies twenty-three strategies for realizing the six goals and guiding the University in fulfilling its potential as the state's flagship land-grant university and a top-twenty public research university. Appendix I of the plan provides metrics for measuring progress towards the identified goals. The academic plan also identifies three focused interdisciplinary areas of excellence to guide development across the five academic goals. These focused areas of excellence are The Environment; Health and Human Behavior; and Art, Culture, and Society from a Local to a Global Perspective.

Following the adoption of the University's Academic Plan, the Provost asked that each of the twelve schools and colleges of the University, as well as other units reporting to Academic Affairs, create or refine their academic plans to align with the University's. Refinement and development of the University's Academic Plan has been ongoing since its approval in 2008 as the institution seeks effectively to achieve its goals in a changing fiscal environment. The Provost has delegated responsibility for refining and implementing specific areas of the plan to several of the School and College Deans, as described below. Updates on refinements of the Academic Plan and new recommendations for implementation are communicated regularly by the Provost to the Board of Trustees at meetings of the Board of Trustees Academic Affairs Committee, as he did in September of 2009, March, April and August of 2010 and January and September of 2011. Moreover, the Provost updates the University Community through meetings of the University Senate, e-mail notifications, and postings on the Provost's website.

More on alignment with and organizational changes due to the Academic Plan may be found in Standard Two, Planning and Evaluation.

### **Internationalization**

Internationalization is a theme that intersects with each of the five academic goals and the three interdisciplinary areas of focused excellence. Strategy B of Goal 1 for Undergraduate Education calls for preparing our students for success and leadership in an increasingly diverse and global society, and Strategy A of Goal 3 for Research, Scholarship, and Creative Activity calls for developing cultural understanding through research, scholarship, and creative activity involving internationalization. In 2009 the Provost constituted the International Executive Council, chaired by the Dean of the School of Business, to draft a strategic plan for the internationalization of the University. The report of this committee, submitted in July 2010, can be found at <http://provost.uconn.edu/reports/pdf/IEC%20Final%20Report%20v2.pdf>. The report recommends strategies and resources in the four areas of undergraduate education; graduate education; international research; and public engagement. As recommended by the report, an advisory board on internationalization has been established to further advise the Provost on internationalization strategies and metrics.

### **Public Engagement**

In spring 2010 the Provost formally established the Provost's Commission on Public Engagement under the directorship of the Dean of Pharmacy and with the charge to refine the strategies and metrics connected with Academic Plan Goal 5: Public Engagement. Revised metrics for public engagement were approved by the Board of Trustees on September 21, 2010 (<http://academicplan.uconn.edu/>). A major goal and achievement of the Commission was to prepare a successful application for the University to be designated as a Carnegie Engaged Institution. On May 25, 2011 the University was admitted to the 2010 President's Higher Education Community Service Honor Roll with Distinction.

### **Diversity**

In fall 2010 the Provost formally established the Provost's Commission on Institutional Diversity and appointed the Dean of the College of Liberal Arts and Sciences and the Dean of the School of Social Work as co-chairs. The Commission's charge is to refine and advance strategies for Academic Plan Goal 4 on Diversity. The newly formed Commission of twenty faculty and staff is organized into four subcommittees focusing on Retention, Recruitment, Leadership Development, and Creating a Just Community.

### **The Environment**

The Provost has charged the Dean of the College of Agriculture and the Dean of the School of Engineering with developing and implementing strategies for advancing the Environment as a focused interdisciplinary area of excellence. As a result, a new cross-college B.A. program in Environmental

Studies has been drafted and will be submitted to the appropriate faculty review committees in fall 2011.

## **Graduate Education**

Strategy A for Goal 2 on Graduate and Professional Education calls for supporting programs that are in the top-tier or are moving in this direction. Goal 6 on Administrative Organization, Capital Infrastructure, and Budget Process calls for implementing a sunset policy on programs that have not been successful. To implement these strategies, in February 2009 the Provost established the Committee for Excellence in Graduate and Professional Programs, charging it with evaluating all doctoral programs at the University, identifying those that are the strongest, those that are poised to achieve national recognition with additional investment, and those that may be subject to the Sunset Policy outlined in the Academic Plan or may require consolidation. Integral to this task was developing standardized criteria for evaluating programs and collecting relevant data. The committee submitted its report to the Provost in February 2010. Several of the recommendations have been implemented, including a consolidation of the Ph.D. programs in French, German, Italian, and Spanish.

### **b. Aligning Human Resources, Particularly Faculty Resources, with the Academic Plan**

**“The academic plan should provide a platform for the integration of all planning activities and also help ensure that resource allocation decisions are well aligned with key institutional priorities.”**

During the past five years, the University’s trustees, administration, and faculty have used the Academic Plan 2009-2014 to identify academic priorities and guide strategic allocation of resources to bring the University into the top-tier of public universities and meet the evolving needs of the State. Adoption of the revised Academic Plan 2009-2014 with its more specific goals and metrics has served to invigorate and re-focus the University’s strategic allocation and re-allocation of resources.

Beginning in FY2006, the University’s budgetary focus began to shift from allocating resources in support of increasing enrollment to allocating resources in support of enhancing quality in undergraduate instruction, research productivity, and scholarly reputation. The 2009-2010 Academic Plan also directs attention to the areas of the Environment; Health and Human Behavior; Art, Culture, and Society from a Local to a Global Perspective; Diversity; and Public Engagement. The following sub-sections will summarize and provide representative examples of allocating resources to align with the Academic Plan.

### **Alignment of Faculty with the Academic Plan**

Since the quality of an institution’s teaching and research depends on the quality and size of its faculty, a core strategy for enhancing the quality of undergraduate programs, research productivity, and scholarly reputation has been to hire 175 additional full-time teaching faculty by FY12 in areas responding to student demand, offering the greatest research opportunity, and furthering the state’s economic development. The 2009-2014 Academic Plan revised this goal to 145 additional full-time teaching faculties by FY14 to bring the student-faculty ratio to 15:1 from 17:1. As will be noted in Standards Four



and Five, in contradiction to the articulated goal of the University to decrease the student-faculty ratio to 15:1, that ratio has actually increased to 18:1 since the publication of the 2009-2014 Academic Plan. Through internal reallocation of resources, in FY06 the University added 51 net new full-time faculty with a net increase of 42 tenured/tenure track faculty over the previous year. In FY07 the University added another 13 net new full-time faculty through internal reallocation of resources, but with a net loss of 14 tenured/tenure-track faculty from the previous year. In this section “full-time faculty” includes permanent tenured and tenure-track faculty and also nonpermanent faculty.

In FY08 the effort to recruit new faculty was organized into a comprehensive five-year plan. Through \$2 million in reallocated funds and a \$2 million infusion from the State through the Eminent Faculty initiative, the University achieved a net increase of 30 full-time teaching faculty. This includes a net increase of 17 tenured/tenure-track faculty relative to FY07. FY09 saw a further net increase of 30 full-time teaching faculty, including a net increase of 35 tenured and tenure-track faculty, all funded through reallocation. At the close of FY09 the University had made substantial progress towards its goal of 145 net additional full-time faculty by FY12 with a net increase of 124 faculty since FY05. This number includes a net gain of 80 tenured and tenure track faculty.

The economic downturn of FY09 brought a number of challenges to the University, among them the impacts of the state’s Retirement Incentive Program (RIP) for faculty and staff retiring at the end of FY09. Fifty-two faculty and seventy-five professional staff participated in the RIP. Only the most critical and highest priority positions were refilled for FY10, resulting in a net decrease of 38 full-time faculty in FY10 and a net decrease of 53 tenured and tenure-track faculty. Nevertheless, the loss of faculty and staff afforded opportunities to realign faculty more closely with the new academic plan. In FY11 the University hired approximately 55 faculty in tenure-track positions and 55 new staff. With the continuing State budget crisis, we anticipate minimal faculty and staff hiring throughout FY12 and FY13, delaying meeting our revised goal of 145 net new faculty by FY14. See Standard Five for additional data and graphs pertaining to faculty.

### **Alignment of Faculty Hires in the Schools and Colleges**

Much of the budgetary allocation and redirection of funds for faculty hires, according to Academic Plan priorities, occurs in the context of annual budget discussions between the Provost and the individual deans who propose their staffing requests to the Provost. Each school and college has their own academic plan priorities that are aligned with those of the 2009-2014 University Academic Plan. The following are representative examples of how human resources have been allocated in the schools and colleges according to Academic Plan priorities. It should be noted that a number of the faculty hires referred to below represent “replacement hires” for faculty who retired or resigned. For the overall net gains in faculty numbers during the past five years, see the discussion in the Standard Five, Faculty. The overall message in this section is that as replacement or truly new position hires have been made, they have been concentrated in the areas targeted in the Academic Plan.

- The College of Agriculture and Natural Resources redirected two out of six of its new faculty lines to its initiative in Food and Health in line with focused area of excellence in Health and Human Behavior and one new hire towards environmental studies.
- To address state economic needs while also enhancing teaching and scholarship, the School of Business has hired fifty faculty over the past five years, primarily to meet student demand in accounting, finance, and marketing and in response to a new Master's degree program in Financial Risk Management. Six faculty with expertise in innovation and entrepreneurship were also hired.
- The School of Engineering has hired extensively in areas targeted by the University's Academic Plan. Over the past three years the size of the faculty has increased by 18 faculty or 18%. Five out of a total of thirty new faculty hires have been hired in areas related to the Environment, and three in areas related to Health and Human Behavior. All thirty hires contribute to enhancing the quality of undergraduate and graduate programs, research, and community engagement.
- The School of Law has hired 11.5 new faculty over the past five years according to Academic Plan priorities in the areas of Public Engagement, the Environment, and Human Rights. Three faculty have been hired in the area of intellectual property and innovation to work in the Clinic for Intellectual Property and Entrepreneurship begun in 2006-07. There have been five hires in the area of risk and responsibility to support the insurance industry and work with the Insurance Law Center. The School hired two faculty in environmental law and energy to work with the new center for Energy and Environmental Law and 1.5 faculty in the targeted area of Human Rights.
- The College of Liberal Arts and Sciences has invested significantly in new faculty hires in a broad range of environmentally related areas, including the geosciences, geographic information systems, environmental economics, international relations and the environment, and oceanography. In targeted area of excellence in Health and Human Behavior, the College has focused on faculty who engage with developmental issues in language and neurobiology. Hires in the targeted area of Arts, Culture, and Society from a Local to a Global Perspective have focused on faculty with expertise in human rights, international perspectives, and multiculturalism. To advance diversity in faculty hires, the Dean's office provides resources to interview a broader candidate pool and educate faculty on inclusive hiring practices.
- The Neag School of Education has recently focused on hiring experienced faculty researchers in sport management and measurement, assessment, and evaluation to increase external funding of research.
- Over the past five years the School of Pharmacy has been able to add faculty in many clinical specialties in pharmacy practice, thereby advancing goals of the Academic Plan related to Health and Human Behavior.
- Through new or re-aligned resources, the School of Social Work recently hired four new faculty who contribute uniquely to the goals of diversity and public engagement. Three of these faculty are members of racial-ethnic groups underrepresented in higher education, and they all bring diversity into the teaching and scholarship of the School by including areas of urban at-risk

youth and their families, substance abuse among Latino adolescents, and human rights among refugees. To enhance graduate education and research, the School of Social Work created an Office of Research and Scholarship by realigning 100% effort from an existing faculty member to head this office.

## **Diversity**

To achieve goals of the Academic Plan in the area of faculty diversity, the Provost's office initiated the Faculty Excellence and Diversity Program (FEDP) in FY10 (<http://www.ode.uconn.edu/fedp.html>). In the context of a tenure-track faculty search, if a department or program identifies as their top candidate an individual meeting FEDP criteria, they may apply to the Provost to have this candidate's salary paid by the Provost's office. If the candidate is approved for the program, money is thereby freed for the department or program to use for diversity goals. In FY10, the Provost supported two faculty FEDP hires, one in the School of Social Work and one in the Department of Public Policy. The Provost hopes to fund an additional 3-4 faculty hires through FEDP during FY11 and continue the program at the same rate in future years.

## **Staffing for Undergraduate Programs**

The Academic Plan 2009-2014 identifies a number of strategies for enhancing the quality of the undergraduate experience by expanding the Honors Program and increasing opportunities for small-group, experiential, and service learning. The University has invested significantly in these areas through increased staffing and support for faculty to participate in these high impact practices. Additional information regarding undergraduate programs can be found in Standard Four.

## **Undergraduate Enrichment Programs**

The Office of Undergraduate Enrichment Programs includes the Honors Program, the Office of Undergraduate Research, the Office of National Scholarships, and the Pre-Med/Dent/Law Center. Study Abroad will be discussed separately. The Academic Plan 2009-2014 calls for an increase in the number of students entering the Honors Program from 290 in FY08 to 550 (recently revised to a goal of 450 in light of budgetary constraints on faculty hiring). In FY11, 443 new students enrolled in the honors program. The academic plan also calls for an increase in the percentage of students who are in the top 10% of their class and for an increase in SAT scores. To accommodate the increasing size of the Honors Program and the increasing quality of incoming students, the University invested heavily in hiring new enrichment program staff and supporting faculty in teaching honors courses (See Table 1). From FY07 to FY09 the number of staff increased from 11.5 to 13.5, or by 17%, showing the impact of the new Academic Plan. Personnel costs during this period increased by 24%. From FY09 to FY11 the number of staff increased from 13.5 to 18.5, or by 37%, with personnel costs increasing by approximately 50% during this time. Therefore, over the five year period from FY07 to FY11 the number of enrichment staff increased by 61%, and personnel costs increased by approximately 87%. (This is an approximate number, because the expenditures for FY11 are not yet known exactly.) The impact of the new Academic Plan is also evident in the University's support for faculty teaching honors sections with an

increase of 440% in the curriculum budget from FY08 to FY09 and an increase of 1,070% from FY08 to FY11.

**Table 1. Investment in Undergraduate Enrichment**

	FY07	FY08	FY09	FY10	FY11
# FT Staff	11.5	11.5	13.5	13.5	18.5
Personnel Costs	1,030,761	1,201,728	1,282,961	1,563,544	1,930,088 (budgeted)
# Freshmen Honors Students	301	291	337	389	443
# Honors Students	1397	1402	1388	1395	1552
Curriculum Budget	35,586	50,800	274,570	413,209	595,500

### **Service Learning**

The Office of Service Learning was established at the Greater Hartford campus in October 2007, staffed by a full-time, now permanent, Coordinator. The office has been expanded to become the University Office of Service-Learning with the appointment of a full-time director effective July 1, 2011 in addition to retaining the coordinator.

### **Living and Learning Communities**

Over the past four years Living and Learning Communities have been established as an interdisciplinary target of excellence in the Academic Plan. Global House opened in 2007 with the goal of enhancing international awareness. EcoHouse was established in 2009 in line with the targeted area of the Environment, and Public Health House was also established in 2009 in line with the targeted area of Health and Human Behavior. Humanities House will open in fall 2011. Since each house has a .5 FTE faculty Director along with a graduate student or staff program coordinator, these living-learning communities represent a significant investment in terms of faculty and staff. There are an additional twelve Living and Learning Communities that are also supported by faculty and staff.

### **Study Abroad and Global Citizenship**

The Academic Plan 2009-2014 calls for preparing our students for success and leadership in an increasingly diverse and global society. To this end, in fall 2008 the Provost's office established a Global Citizenship Curriculum Committee which receives staff support of 5 hours per week and an operating budget of \$20K in FY10, \$50K in FY11, \$25K in FY12. Among various other activities, the budget supports faculty research abroad that will be used in enriching the curriculum.

The Study Abroad Office, now the Office for Global Programs, has also expanded its staff over the past five years from 3 individuals to 10. In recent years it has been supporting an increasing number of

faculty led programs for niche groups. For example, 10 opera students participated in a faculty led program in Dublin, 34 music students went to Ecuador, and a large group of Marine Science students traveled to Belize in a faculty led program.

### **c. Developing and Implementing Formal Means of Assessing Student Learning**

At the moment of its Decennial Re-accreditation Report in 2006, the University of Connecticut was in an incipient stage of student learning outcome assessment (SLOA). The 2006 Self-Study described a situation of uneven implementation in systematic SLOA, largely explained by whether professional organization accreditation standards had required their adoption. An Assessment Liaison Committee with representatives from all the Schools and Colleges within UConn had been formed, and the university had obtained an electronic databases system, the Online Assessment Tracking System (OATS) to serve as a repository and resource to record SLOA goals, objectives and outcomes. Based on recommendations from the Decennial Review Visitation Team, the NEASC CIHE, in its extension of accreditation letter, highlighted development and implementation of formal means of assessing student learning as one of four areas that it wished UConn to address in its Fifth Year Interim Report.

Pursuant to NEASC CIHE Standards, and in compliance with the specifications of the NEASC CIHE 2007 re-accreditation letter, the University of Connecticut continued in its efforts to deploy and implement a university-wide system of SLOA. By the end of the 2009-10 Academic Year, the electronic OATS system had been populated with the mission, goals and objectives and specified methods for assessing specific learning outcomes for all the professional schools except the School of Fine Arts, and for a number of departments within the College of Liberal Arts and Sciences. Due in large part to leadership transitions of the officials responsible for the SLOA effort in the Provost's Office, and in the Deanship of the College of Liberal Arts and Sciences, by 2009 the SLOA effort had slowed down considerably. In order to accomplish the goals of the Academic Plan and provide for greater university efficiency in a number of areas including Institutional Research, Academic Program Review and SLOA, the Provost created a new office within the Provost's Office organization, the Office of Institutional Effectiveness (OIE). Under the leadership of the Executive Director of the Office of Institutional Effectiveness (EDOIE), Academic Year 2010-11 was characterized by a strong re-invigoration of the SLOA process. The goal of the EDOIE was to "populate OATS" completely by ensuring that all academic departments within all schools and colleges had stated mission, goals and objectives, and specified learning outcomes with specific measurement methodologies, and that the Deans were committed to supporting the requirement of SLOA within their areas of responsibilities. The Provost and the Deans of the College of Liberal Arts and Sciences (CLAS) and the School of Fine Arts (SFA) were strong supporters of this re-invigoration. The CLAS Dean facilitated the EDOIE and the Director of the Office of Assessment unit working with individual department heads to reach the goal of total population of OATS.

As of June of 2011, all departments within the SFA, and the majority of departments within CLAS had populated OATS with their mission, goals and objectives, and outcomes methodologies. However, there was not total success in achieving this goal. Further, effective data collection continued to lag behind expectations. For a comprehensive discussion of the current state of SLOA at the various school and college level, see Exhibit 4.2 contained in Standard Four. The Provost and the OIE are dedicated to

achieving significant forward movement by 2016, the date of the institution's next decennial review. However, there are some significant practical problems which will be a hindrance to the achievement of this goal.

In fall 2010, UITS announced that it did not intend to support the Cold Fusion computer platform on which the OATS SLOA system sits. As OATS is the only UConn system currently using Cold Fusion, it is not an effective use of University resources to maintain it further. Therefore, a timeline for a change in a SLOA database was worked out, whereby the present OATS system will be replaced by the fall of 2012.

As unfortunate as the news regarding the status of the present SLOA database system may sound, in the not too distant future, these events may be regarded as ultimately advantageous. As indicated in Standard Four, there had been a large amount of dissatisfaction with the user-unfriendly nature of the OATS system, as well as the fact that the data in that system was not easily retrievable or manipulable for reporting purposes. The university Central Administration is strongly committed to implementing assessment of student learning outcomes, both as a stand-alone goal, and an important component in the Academic Program Review process. A more modern, efficient and flexible system than OATS will assist the university in the longer-term in better achievement of its goals.

#### **d. Sustaining Financial Equilibrium in Changing Financial Times**

**“A major challenge for the University will be how to sustain and support capital assets, if and when State funds designated for that purpose decrease.... Creative revenue programs will be increasingly demanded of all leaders at UConn.”**

In spite of fiscal challenges brought about by the recent economic downturn, lower returns on endowment investments, decreasing external funding opportunities, and flat or declining State appropriations, the University of Connecticut has been financially stable and has undertaken long-term measures to sustain financial equilibrium while honoring its commitments to affordability, accessibility, and improving the quality of its programs. Past, present and future financial equilibrium and faithfulness to mission are due to a number of factors, including careful long-term financial planning and good stewardship; state commitments for debt service on capital projects; allocation and reallocation of resources according to priorities of the Academic Plan; increasing revenue from tuition and fees, auxiliary enterprises, and entrepreneurial endeavors; increasing philanthropic fundraising efforts; and implementing short-term and long-term cost-cutting strategies, including savings from concessions by unionized and nonunionized employees. Supporting data concerning revenue and expenditures may be found under the discussion of Standard 9.

#### **Budget Balances FY07-FY11.**

Each year between FY07 and FY10 the Storrs-based programs have seen a net gain in revenues over expenditures. (See Table 2). In FY10 the Storrs-based program closed with a net gain of \$2.4 million in unrestricted funds and a net gain of \$.6 million in restricted funds. During the past five years the University has maintained an unrestricted fund balance between 6.3% and 8.4% of the total expenditure budget. In FY10 the unrestricted fund balance of \$71.5 million for Storrs programs represented 8.3% of

the FY10's unrestricted expenditure budget or 30 days worth of operations. Although this is less than the industry standard of maintaining an operating balance of three months, it is typical for public institutions.

The original budget for FY11 projected an operating deficit of \$14 million. As of January 2011, the revised year-end projections were for a net loss of \$12.9 million. It should be noted that this is a planned deficit based on the State's earlier announcement in FY10 of a \$15 million sweep in FY11 of the prior year's fund balance. As a result of the fund sweep, the Current Funds Unrestricted Fund Balance at the end of FY11 is projected to be proportionately lower than in previous years at \$58 million, or 6.3% of the FY11 unrestricted expenditure budget which is the equivalent of funds for 22.6 days. Because the University's long-range planning and good stewardship enable it to maintain a stable fund balance at a reasonable level, it can maintain financial equilibrium in spite of state deficit mitigation through fund balance sweeps. It is important to note that the unrestricted fund balance, while not all technically encumbered, may be committed in a more generic sense as operating capital and reserves to support programs and activities that generate revenue and is not supported by the State appropriation. Table 2 below demonstrates the maintenance of financial equilibrium by the University. Forms in Standard Nine, 9.1-9.3, provide further information on the University's financial position.

**Table 2. Net Gains in Unrestricted Funds and Current Fund Balances Showing Financial Equilibrium<sup>1</sup>**

	FY07	FY08	FY09	FY10	FY11 (projected as of Dec. 31 2010)
Unrestricted net gain (loss) (Revenue – Expenditures)	\$7.9 m	\$10.5m	\$4.8m	\$2.4m	(\$12.9m)
Current Unrestricted Fund Balance Rollover	\$48.7m	\$58.7m	\$69m	\$71.5m	\$58m
Fund Balance as % of expenditure budget	6.4%	7.3%	8.4%	8%	6.3%
Fund Balance as # days	23	27	30.6	30	22.6

<sup>1</sup>Data provided by Chief Financial Officer's Office. See also Standard Nine, Forms.

In FY10 the Health Center saw an operating gain of \$1.9 million after incurring losses in FY07, 08, and 09 between \$23 million and \$26.3 million. The main drivers for this gain were cost containments, an increase in state appropriations to cover the difference in fringe benefits between the John Dempsey Hospital and other Connecticut hospitals, and vacancies in positions due to the state's early retirement program at the end of FY09. The Health Center's FY10 year-end unrestricted operating fund balance was about \$78 million, representing 10% of the FY10 budgeted expenditures or 36.5 day worth of operations.

### **Financial Challenges**

Achieving a net budget gain during FY09 and FY10 is testimony to the University's careful budgeting and efforts by the administration, faculty, and staff to enhance revenues and cut costs. As with most

institutions of higher education, FY09 and FY10 have been particularly challenging financially for the University due to a reduction in the state appropriation for FY09 and reserve fund transfers to the State's General Fund in FY10 and FY11. In FY08 the state began with a surplus and ended with a deficit. As a result, in June 2008 the Storrs state appropriation and fringe benefit support for FY09 was reduced by \$9.4 million or 3%. In response, the University imposed a 3.5% across-the-board permanent reduction in the budgets of all units, with the exception of money budgeted for financial aid, energy, and collective bargaining agreements. In addition, the University imposed a freeze on hiring all but essential personnel and on out-of-state travel. In FY10, the Storrs-based programs experienced a decrease in appropriation support of \$3.4 million relative to the actual appropriation for FY09 as well as a required transfer of \$8 million from the Current Fund Balance to the State General Fund. Therefore for FY09 and FY10 the University was cut by a total of \$18.8 million.

As a response to the state and University budget situation, unionized and management exempt University employees, along with all state employees, agreed to a wage freeze for FY10, resulting in a one-time savings to the University of approximately \$13 million. Employees also agreed to seven furlough days over FY10 and FY11 for further savings of \$3.6 million and \$4.0 million respectively. A total of 211 Storrs-based employees took advantage of an early retirement incentive program, including 52 faculty, 75 professional staff, and 84 classified personnel with a net savings of \$14.1 million in state-supported salaries.

FY11 saw a decrease in appropriations and fringe benefit support of \$.5 million along with a required transfer of \$15 million from the Current Fund Balance to the State General Fund to mitigate the state deficit. Over FY10 and FY11 the Storrs-based programs transferred a total of \$23 million to the state from its fund balance.

The State of Connecticut has been going through a budget crisis. Assuming the ratification of an agreement between the State of Connecticut and the state employees' unions in the summer of 2011, the budget passed by the General Assembly should be balanced. The ratification of this collective bargaining agreement will prevent significant potential lay-offs at the University of Connecticut. The ratification process has been arduous, but it is anticipated that it will be successful, and the University will remain steady-state in terms of numbers of employees.

However, the 2012 state budget leaves a deficit in the University's permanent base budget of approximately \$46 million starting in fiscal year 2012. In order to meet this target, significant reductions in non-academic areas will be made and revenue enhancements such as tuition, room, and board increases and expanded summer school options will be employed. This will still leave a gap of approximately \$17 million that needs to be filled via budget reductions to the schools, colleges, and other units reporting to the Provost's office and via central allocations from the Provost and the Vice President for Research. Also, the University needs to find one-time monies of the order of \$10 million from the fiscal year 2011 budget to help it bridge some of the cuts to fiscal year 2013. This will result in some challenging years ahead.



## **Tuition, Fees, and Enrollments**

Student tuition and fees provide a stable source of revenue that has increased each year between FY07 and FY11 due to modest annual increases of 5% - 6% in rates of tuition and fees and slight increases in enrollments. The era of dramatic growth in undergraduate enrollment ended in FY07, and the University now budgets to enhance quality and academic plan priorities rather than support increasing enrollments. To offset the impact of fee increases and to maintain affordability, the university sets aside approximately 39% of its tuition revenue for financial aid, including about 17% for need-based aid. Even with tuition and fee increases, the University remains competitive with only one public research university in New England having lower in-state tuition and fees.

The increasing quality and reputation of the University's undergraduate programs, as evidenced by the increasing number of applications and increasing percentage of enrolling students who are in the top 10% of their graduating high school class, support the long-term stability of tuition and fees as a revenue source. For AY10-11, there were 22,242 freshmen applications to the Storrs campus for about 3,250 spots, representing an application increase of 12.5% since AY06-07. This year the University went to the common application. As of May 25, 2011 there are 27,242 freshmen applications to the Storrs campus for 3,225 spots for AY11-12. Between AY06-07 and AY10-11 the percentage of entering freshmen who are in the top 10% of their high school class increased from 38% to 44%. To enhance tuition revenue, the University has increased its out-of-state undergraduate enrollment, perhaps as much as is politically feasible. Between AY06-07 and AY10-11, out-of-state enrollment at Storrs increased by 19%, or from 30% of entering freshmen to 35% of entering freshmen.

The University has also increased revenue from auxiliary services by increasing rates for room and board and the number of available beds.

## **On-line Courses, Summer School, and Entrepreneurial Programs**

Faculty, administrators, and staff at the University recognize the necessity of acting according to the NEASC evaluation team's advice to envision and implement creative revenue producing strategies and programs.

Understanding the potential of on-line courses and programs for producing revenue, while also enhancing accessibility and graduation rates, the Provost established the Online Education Taskforce in December 2008 to research and report on the status, methods, and potential of online education at the University. The Task Force's report, submitted June 2009, is available at [http://www.itl.uconn.edu/idd/online\\_taskforce/docs/OnlineTaskForceFinalReport.pdf](http://www.itl.uconn.edu/idd/online_taskforce/docs/OnlineTaskForceFinalReport.pdf). The report identifies five goals and thirteen recommendations to support and encourage the development of high quality on-line courses, including developing a comprehensive business plan for expanding on-line education at the University. Deans and department heads were asked to identify up to thirty high demand courses that could be offered on-line. Outcomes of the task force's recommendations include an on-line course development grant program for faculty, profit-sharing of on-line course revenue, the hiring of an on-line course designer by the College of Liberal Arts and Sciences, and the development of a number of master level degree programs, including one in public policy.

Acting on the recommendation of the University's Costs, Operations & Revenue Efficiencies Task Force (2008-2010), in August 2010 the Provost reconstituted the Committee on Entrepreneurial Programs originally established in 2006. The Provost charged the committee to examine and revise the original committee's draft report of August 2008 with a view towards proposing a viable revenue-sharing structure that would permit entrepreneurial programs to thrive, cover the direct and indirect costs of the programs, and provide a return to the University. The Committee submitted its report to the Provost in January 2011. Among the recommendations is flexibility from the Board of Trustees to set appropriate fees within specified bounds. The 2011 report may be found at [http://provost.uconn.edu/reports/pdf/Entrepreneurial\\_Committee\\_Report\\_Final.pdf](http://provost.uconn.edu/reports/pdf/Entrepreneurial_Committee_Report_Final.pdf).

In addition to promoting the development of on-line courses and entrepreneurial programs, the University has enhanced and promoted summer school offerings. To facilitate and encourage the offering of summer school courses by the departments, administration of the summer school was moved to the registrar's office with a revenue structure that provided returns to the departments as well as the University. As a strategy to encourage enrollment in summer programs, fees for room and board have been reduced for summer 2011. Table 3 shows summer session revenues over the past five years.

**Table 3. Summer Session Revenue**

	FY 07	FY 08	FY 09	FY 10	FY 11
Revenue in millions	\$3.1	\$5.7	\$5.9	\$6.6	\$7.7 as of 05/31/11

The success of these efforts to enhance revenue through summer school and entrepreneurial programs is evidenced in the increasing revenue generated under the category of fees (which also includes a predictable estimate of revenue from the general university fee for full-time students). The FY11 quarterly review for operating and research funds for Storrs-based programs for the six months ending December 31, 2010 reports that fee collections were ahead of budget by \$45.7 million or 50.3%.

### **Energy Savings**

The University has sought ways of cutting the costs of energy used on campus by renovating older buildings and building a combined-cycle cogeneration plant. The energy cogeneration plant was activated in 2006 and supplies electricity to the entire campus as well as heat in the winter and cooling in the summer. Efforts have been made over the years to reduce its natural gas usage, carbon emissions, and water usage. In FY 08, energy expenditures were reduced by \$2.4 million, in FY10 they were reduced by \$2.2 million relative to the budgeted amount.

### **Cost, Operations, and Revenue Efficiencies (CORE) Task Force (2008 – 2010)**

In November 2008, the President established the CORE task force to identify cost savings and revenue enhancements. The task force recommended budget decision-making principles that are rooted in the academic plan and protect student access and program quality. CORE submitted an initial report in

February 2009 with recommendations for \$5-\$7 million in savings and revenue increases on an on-going basis. In February 2010 CORE submitted its second report identifying \$10 million in savings and revenues.

As a result of CORE recommendations, certain operating expenses in categories such as advertising, printing, postage, travel, and consulting fees have decreased by more than \$7 million since FY08. CORE also recommended increasing the number of student beds by 400 in FY09 and by 100 beds in FY10. They recommended that the Division of Student Affairs reorganize so as to save two management positions for a savings of about \$300,000 per year, and that the Student Health Services and the Center for Students with Disabilities create a fee-for-service billing model.

### **McKinsey & Company**

After reviewing proposals from ten firms, in November 2010 the Board of Trustees hired McKinsey & Company to examine the University's operations and recommend savings and revenue enhancement. The firm will focus on evaluating and benchmarking UConn's business practices against standards of best practice and develop action plans in the areas of information technology, facilities operations, public safety, procurement, financial operations and administration, human resources, student affairs, and athletics.

### **Capital Investments, Maintenance, and Equipment**

The NEASC evaluators' report of 2006 stated that "A major challenge for the University will be how to sustain and support capital assets, if and when State funds designated for that purpose decrease."

Over the past five years the University has implemented strategies for addressing this concern in case state support for capital projects decreases. The University is traditionally conservative with regard to savings for debt obligations, maintaining funds at a level of approximately 1.75 times its annual debt payments. As a result, the University's bond rating has remained consistently strong, enabling it to borrow money at a relatively low interest for capital projects, if necessary.

UConn 2000 includes project lines entitled "Equipment, Library Collections and Telecommunications" and also "Deferred Maintenance/Code/ADA Renovation Lump Sum". In the past several years the University shifted all library collections purchases onto operating dollars to free up equipment funds to address other capital needs. The University is working to develop strategies for gradually shifting equipment and some deferred maintenance into the operating budget so as to have a stable funding stream for those needs as well as freeing UConn 2000 money for other projects.

The worry about a decrease in state support for capital projects has been alleviated by an extension of the UConn 2000 program until 2018. The Governor of Connecticut has also presented a new initiative to invest \$864 million in developing Connecticut and the UConn Health Center as a national center for bioscience research and development. The proposal calls for renovating the existing Health Center facilities to increase research capacity and productivity and constructing new patient tower and a new ambulatory care facility. In addition, the Connecticut General Assembly has approved \$18 million in

funding next year for the design, site development, and infrastructure improvements of a Research Park, to be located on the North Storrs campus. The proposed full cost of the Park is estimated to be about \$172.5 million, to be funded through state bonding.

### **The Campaign for UConn**

Decline in state support requires that the University vigorously and strategically pursue a diversity of revenue sources, including philanthropy. As soon as UConn's first capital campaign ended in 2004, the University began planning a second eight-year \$600 million campaign "Our University, Our Moment" and retained the services of a campaign consultant Grenzebach Blier & Associates in the fall of 2006. Campaign strategies include close engagement with the deans in goal setting, training, and donor strategy, formation of a National Development Council to identify future volunteer fundraising leaders, engagement with alumni, and the establishment of the Student Philanthropy Club to cultivate a culture of philanthropy. In spite of the challenges to fundraising brought about by the financial downturn, as of May 31, 2011 the Campaign has raised \$262.25 million in commitments.

### **FY12 and FY13**

The State of Connecticut faces challenges in balancing its budget for FY12 and FY13. Consequently, the University faces a significant reduction in its state appropriation for FY12 and FY13. The Governor's recommended budget for FY12 leaves a deficit in the University's permanent base budget of approximately \$46 million. To close \$29 million of this gap, the University will make significant reductions in nonacademic programs and enhance revenues through a modest increase of 2.5% in the tuition and fee rate, room and board increases, and expanded summer school options. The deans and the Provost have agreed on a process for addressing the remaining gap of \$17 million for FY12 and for bridging some of the cuts to FY13 that gradually imposes reductions in stages to allow for orderly planning and minimal disruption of the academic enterprise. In addition, the President has re-established an executive "Position Review Committee" to review stringently all requests to refill vacant positions and new hires.

The University faces financial challenges similar to those faced by all public institutions of higher education. Nevertheless, through the dedication and ingenuity of its faculty, staff, and administration, the University will not only survive, but continue to thrive and provide value to the state, the nation, and the world through high quality programs of teaching, research, community engagement, and economic development.

## Standard One

### Mission and Purposes

**University of Connecticut Mission Statement (2006):** *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. In 2011, in furtherance of the University's mission, the State of Connecticut added an additional \$864 million in capital project bonding money to build a state-of-the-art Bioscience Research Building at its Health Center, and also a new \$172.5 million Research Park on its north Storrs campus.

Since the drafting of the 1994 University Mission Statement, 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.

The present Mission Statement, adopted by the Board of Trustees in 2006, represents a shared consensus as to the University's mission. There was wide consultation and involvement of university administrators, faculty, staff, students, and alumni while reviewing and updating the previous Mission Statement. The present Mission Statement has been widely embraced by the University of Connecticut community.

### APPRAISAL

The 2006 Mission Statement was initially drafted by a committee of senior university faculty and staff leaders, and underwent over twenty revisions as input was received from pertinent constituencies, including faculty, staff, students, administrators, alumni and the greater community throughout the state. It represents a shared vision of major stakeholders as to the direction the University of Connecticut should take.

## **PROJECTION**

With the arrival of a new university president, review and possible changes to the present Mission Statement may come in the coming months and years. In consonance with NEASC CIHE Standards, it is anticipated that a formal review of the Mission Statement will occur in the year leading up to the Tenth Year Report Self-Study.

## **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**

With the adoption of “Our World, Our People, and Our Future: The University of Connecticut Academic Plan 2009-2014,” the University of Connecticut has renewed and enhanced its commitment to a continuous looping process of planning, implementation, and evaluation which places the priorities of the Academic Plan at the forefront. Flat or declining state support and financial uncertainties of recent years have made this planning process all the more important. With specific strategies and metrics for each of its six goals, the new Academic Plan has strengthened the University’s culture of assessment as the schools, colleges, and other units of the University align their own plans with the University’s Academic Plan priorities and develop similarly precise strategies and metrics. An increasing reliance on metrics to gauge institutional progress has reinforced the importance of collecting data for planning and evaluation, and the Office of Institutional Research has been instrumental in providing necessary and useful data. Consultation and communication with appropriate constituencies during the planning process remains a hallmark of University planning and a signature of its strong system of shared governance. Town meetings led by the Provost and CFO which are videotaped and later posted on the web have been instituted as part of the budget discussions during the past several years. A strong commitment to providing programs of increasing quality and effectiveness as outlined in the Academic Plan motivates the University to regularly assess its activities, programs, and use of resources.

#### **PLANNING**

##### **Aligning Planning with the Academic Plan**

The newly refined Academic Plan 2009-2014 was developed through a process of identifying and incorporating the values, ideas, and comments from relevant University constituencies through focus groups, seminars, public forums, task forces, and websites. Details concerning the content of this plan and its refinement through the use of task forces under the direction of deans have been described in Part a of the Areas Identified for Particular Emphasis. The new Academic Plan, as was the case with its predecessors, grounds and directs all other planning processes at the university, and therefore brings an enhanced focus and rigor to these planning processes as well. Part b of the Areas Identified for Particular Emphasis describes how the new Academic Plan has guided faculty and staff hiring and allocation of their time and effort. Part c of the Areas Identified for Particular Emphasis describes progress of the University towards the goal of assessing student learning outcomes as part of a loop to inform program improvement. Part d of the Areas Identified for Particular Emphasis describes financial planning to provide the equilibrium necessary to maintain and enhance high quality academic programs. Of special note in relation to concerns expressed by the NEASC evaluation team are measures to move equipment and maintenance into the operating budget and out of UCONN 2000 funding.

Recent planning in the areas of the University Libraries, the Division of Student Affairs, and Information Technology, for example, represents the University’s continuous feedback cycle of planning and evaluation and its commitment to make priorities of the Academic Plan central. In response to the Provost’s charge that each unit align its strategic plan with the University’s Academic Plan, the changing

fiscal environment, and developments in mass digitalization and advanced resource sharing, the Vice Provost for University Libraries brought in a consultant firm to advise on reorganizing the Library's work processes in terms of a new focus on customer services. With this advice in mind, the Libraries strategic planning team developed a plan with strategies and metrics to further the five goals of the University Academic Plan 2009-2014 ([http://digitalcommons.uconn.edu/libr\\_pubs/20/](http://digitalcommons.uconn.edu/libr_pubs/20/)). Similarly, in response to the University Academic Plan and new environmental conditions, the Division of Student Affairs (DoSA) developed its "Strategic Plan 2010 – 2015" with strategies and metrics replacing the "Critical Issues" of its earlier plan ([http://www.studentaffairs.uconn.edu/strategic\\_plan.html](http://www.studentaffairs.uconn.edu/strategic_plan.html)). The DoSA strategic plan focuses on student engagement, diversity, community engagement and service, as well as on fostering a culture of assessment. With the arrival of a new Chief Information Officer in January 2010, the University developed an Information Security Master Plan in July 2010 (<http://security.uconn.edu/rfc/information-security-master-plan/>), a project management office in fall 2010, and a five year IT investment portfolio for 2011-2015. In addition, the University has hired McKinsey Consultants to identify strategies for achieving efficiencies in IT infrastructure and services as well as in other areas. For further information about libraries and information technology, see Standard Seven.

### **Organizational Changes to Implement the Academic Plan**

A number of organizational changes have occurred at the University since the 2006 visit by the NEASC evaluation team which directly implement strategies of the new Academic Plan. For example, as recommended by the Plan, a Vice President for Research now oversees the research enterprise across all campuses, colleges, and schools of the University in order to facilitate cross-disciplinary collaborations and increase research productivity. Data are collected to measure the impact of this reorganization. To enhance and integrate diversity-related programming as recommended by the new Academic Plan, in December 2008 the Office of Diversity and Equity (ODE) moved into the Office of the President and the Director position was elevated to the position of Associate Vice President for Diversity and Equity with an expanded portfolio that includes the Health Center and the student-support cultural centers. This organizational change coincided with the elimination of the Office of Multiculturalism and International Affairs (OMIA) and the associated Vice Provost position.

### **Diversity**

In its discussion of Standard Two, UConn's 2006 NEASC self-study highlighted progress made by the Office of Multiculturalism and International Affairs (OMIA) in implementing a number of recommendations found in the Diversity Action Plan of 2002. While some of this plan's recommendations were implemented or in-progress by 2006, many were not. With the elimination of OMIA, the transition of ODE to the President's Office, a focus on the new Academic Plan, and the distractions of the financial downturn in 2008, many of the recommendations of the Diversity Action Plan of 2002 have remained dormant. The formation of the Provost's Commission on Institutional Diversity, established in spring 2011 with the purpose of refining and implementing diversity goals of the new Academic Plan, promises to change this. First on the agenda of this new commission is an assessment of the status of recommendations of the Diversity Action Plan of 2002 and, for those



recommendations that have not been implemented, an evaluation of their ease of implementation and importance in the context of a new Academic Plan and changing demographics.

### **The Regional Campuses**

The 2007 report of the NEASC evaluation team regarding Standard Two noted the multiple and distinctive missions of the regional campuses and stated “effective planning will require a more commonly shared understanding of these roles, the priorities attached to each of them, and the resources that will be available for their advancement”. The Academic Plan 2009 – 2014 addresses some of these issues by identifying for each campus a unique focus that connects with a particular priority of the Academic Plan. For example, the focus of the Waterbury campus is identified as Civic and Community Engagement, and that of the Stamford campus is identified as International, Business, and Selected Arts and Sciences Programming. These areas of focus shape the allocation of faculty and staff resources. The faculty and academic programs at the regional campuses have also been integrated more closely into the Storrs departments and programs by shifting academic program budgets, faculty hires, and faculty evaluation away from the regional campus director and onto the departments and schools and colleges. Similarly, the libraries and facilities staff report centrally, allowing University-wide planning. The criteria by which director performance is evaluated annually guide the directors in setting their goals for the year. These goals include community outreach and engagement, fiscal management, program management, personnel management, and student life. Individual directors may prioritize some goals over others depending on circumstances and personal preferences.

### **Update on the Mansfield Downtown Partnership**

The University’s 2006 NEASC Self-Study cited the Mansfield Downtown Partnership as an example of a continuous looping of evaluation and planning. Data concerning student dissatisfaction because of a lack of a “university town” adjoining campus led to a partnership in 1999 between the University and the town of Mansfield to plan and develop a university town. Numerous iterations of planning and evaluation have brought the project to the point where the necessary zoning approvals have occurred, a firm has been selected for demolition and remediation, and letters of intent have been received for retail and commercial spaces. Demolition began in May 2011 with construction of phase 1A of building to occur May 2011 – August 2012.

### **APPRAISAL**

The discussion here and in the Areas Identified for Particular Emphasis illustrates the integration of Academic Plan priorities into the fabric of University planning. UConn’s planning has become more precise and data oriented, as well as more intentionally directed towards goals of the Academic Plan. Since its 2006 self-study, the University has improved its plans and planning processes.

## **PROJECTION**

Reductions in State resources, has focused the University's plans of achieving goals that are central to the University's mission and Academic Plan. Given the expectations and demands of the State of Connecticut, the Board of Trustees, parents, students, alumni, faculty, and staff, the University plans to further enhance its data collection and planning processes through integration, cooperation and updates to current data systems. Recommendations and observations in the McKinsey & Company consultants' report, to be realized in August 2011, will serve as a basis for future planning in the areas of Information Technology, Resource Utilization and University Operations.

## **EVALUATION**

Recognizing the paramount importance of planning and evaluation for progress towards institutional goals, the Provost established a new Office of Institutional Effectiveness in April 2010 to ensure that the evaluation necessary for progress occurs. This office is charged with all responsibilities for collecting institutional data, directing assessment activities, coordinating accreditation activities, and managing program review and Center and Institute Review. In particular, it is also charged with re-invigorating the effort to engage academic units with the digital measures initiative for collecting data on faculty activities.

In September 2010, the Provost appointed an Executive Director of this office. Two activities of this new office will be highlighted here, namely coordinating a new process of program review and coordinating the interpretation and follow-up of newly received results of a COACHE survey of pre-tenure tenure track faculty. Progress with the assessment of student learning outcome is discussed in the Areas Identified for Particular Emphasis of this report and in connection with Standard Four. Evaluation of the Graduate School is also presented as an example of how the University has linked evaluation and implementation of the Academic Plan.

### **Reinstituting Program Review**

Between 1998 and 2004 the University assessed approximately 64 academic programs in departments or non-departmentalized schools or colleges. After completing this first round of program reviews, the University turned to evaluating Centers and Institutes to allow time to reflect on the effectiveness of the program review process and consider an alternative process. The University has decided to initiate a new eight year program review cycle piloted by the review of three departments in fall 2012. The purpose of the program review process is to align the goals and action plans of individual units with the University Academic Plan and promote continuous improvement in terms of student learning and research. This new round of program review will be subject to a new "Program Review Oversight Committee" that will assist the Provost in assessing whether the program review process is achieving its overarching goal of facilitating continuous quality improvement. In addition there will be a new "Program Review Steering Committee" that will monitor and suggest appropriate modifications of specific details of the program review process with respect to baseline data provided to departments,

selection of external review teams, and the guidelines for a program's self-study and the external reviewer's reports.

### **COACHE Survey of Pre-tenure Tenure Track Faculty**

In fall 2010 the University contracted with the Collaborative on Academic Careers in Higher Education (COACHE) of the Harvard Graduate School of Education to administer its survey on Tenure Track Faculty Job Satisfaction, report on the survey's results, and assist the University in interpreting and acting on the results. The University had contracted for this survey also in 2007. The survey ascertains the level of faculty satisfaction with respect to University tenure criteria and processes, teaching and research, work-life balance, climate and culture and collegiality, and compensation and benefits. Results are also analyzed for differences in perception by gender and race.

Given that the quality of an institution's teaching and research depends on its ability to recruit and retain a talented and diverse faculty and that faculty satisfaction translates into productivity, it is important for an institution to evaluate the job satisfaction of its pre-tenure faculty so that it can develop plans for addressing any deficiencies. Implementing the COACHE survey is an example of the University's commitment to systematic, data-based evaluation as a guide to planning and continuous improvement. It also manifests the University's commitment to Academic Plan priorities by recruiting and retaining a diverse faculty and supporting them in teaching and research excellence.

Results of the COACHE survey were returned to the institution in June, 2011. One hundred nineteen out of two hundred pre-tenure tenure track UConn faculty completed the survey. The University will now begin a process of strategically using these results to improve faculty satisfaction in alignment with Academic Plan priorities.

### **Evaluation of the Graduate School**

Goal Two of the Academic Plan 2009-2014 calls for sustaining and developing select graduate and professional programs of national and international distinction. In spring 2009 the Provost established the Graduate School Evaluation Committee, charging it to evaluate centralized versus decentralized structures for the graduate school, assess its functions, and identify additional activities necessary to enhance graduate education. The Committee submitted its report and recommendations to the Provost in October 2009, recommending that the centralized structure be retained, but that the position of Vice President for Research and Graduate Education and Dean of the Graduate School be divided into two positions, one being Vice President for Research and the other being Vice Provost and Dean of the Graduate School. In addition, the committee recommended a number of strategies for strengthening the graduate school and enhancing graduate education. The Provost has decided to implement the Committee's recommendations regarding maintaining a centralized structure and appointing a Vice Provost and Dean of the Graduate School (<http://www.provost.uconn.edu/reports/index.html>).

### **APPRAISAL**

As seen in the five-year review schedule with Centers and Institutes and the re-ignition of Program Reviews, the University recognizes the important role of evaluating programs and activities as a basis for on-going planning, improvement, and resource allocation. Evaluation is seen as inherent to implementing the Academic Plan and occurs on an on-going basis. Since the last NEASC review, the University has made great strides in collecting data for use in evaluation. Nevertheless, the University still maintains and refers to the previous Program Review reports, when necessary.

## **PROJECTION**

The Board of Trustees established the Office of Institutional Effectiveness in April of 2011 with a director and staff member. The office is responsible for NEASC and discipline accreditation, Program Reviews, the review of Centers and Institutes, the assessment of student learning outcomes, and implementing digital measures. The University plans – through the Office of Institutional Effectiveness – to centralize and focus its review and accreditation process in the coming years. Data from assessment through OATS and the anticipated new system for fall 2012 accompany the University's overall goal of integration and a central data warehouse.

## **INSTITUTIONAL EFFECTIVENESS**

As the example of program review illustrates, the University sometimes stops to evaluate the effectiveness and purposefulness of a planning and evaluation processes. At this point the University has not chosen to create an office or position that is responsible for evaluating, improving, and coordinating the planning and evaluation processes across the University. The various University offices responsible for specific functions each engage in long-term and short-term planning.

It may be that a centralized office of planning oversight, coordination, and evaluation would accelerate progress toward academic goals. At some point, the newly established Office of Institutional Effectiveness will become responsible for monitoring and assessing planning processes in separate units and coordinating them for a focused impact.

## Standard Three

### Organization and Governance

The University's organizational structure and mode of governance reflects its commitment both to the goals stated in the University's Mission Statement, as well as to the roles and responsibilities of individual members of the University community, as spelled out in the Connecticut State Statutes and Laws, and the *By-Laws and Rules of the University of Connecticut*.

Academically, the University presents proposals and modifications of programs to the state agency, Department of Higher Education (DHE). However, as of July 1, 2011, DHE was dissolved as Connecticut undergoes state-wide reorganization. DHE was replaced by the newly-created Board of Regents for Higher Education and the Office of Finance and Academic Affairs for Higher Education. The implication of these changes for UConn is yet to be known.

#### BOARD OF TRUSTEES

Available on the University's website is an updated list of the University of Connecticut Board of Trustee members, including all relevant contact information. Most of the Board's standing committees regularly meet shortly before each full Board of Trustees meeting occurs; the exception is the Executive/Strategic Planning Committee, which meets intermittently to evaluate the President, the only University official who is both formally appointed and evaluated by the Board. Other special committees tend to feature joint participation by Board members and other individuals in the University community.

The Board of Trustees continues to take its oversight and policy responsibilities very seriously. Since the last NEASC CIHE review, the Board has established at least three new committees in response to internal and external demands that the University of Connecticut assert increased authority over issues that have generated heightened public concern and controversy. One committee (The Construction Management Oversight Committee) was established as an eighth formal standing committee of the Board; the other two committees (the Compensation Committee and Faculty Consulting Oversight Committee) have been established as special committees of the Board.

Responding to numerous controversies that arose in 2005 over the execution of UCONN 2000 construction projects, the Connecticut state legislature in early 2006 passed a law requiring the Board of Trustees to select and appoint independent auditors to annually audit all UCONN 2000 projects going forward. It also established a Construction Management Oversight Committee (CMOC), charged with (1) overseeing UConn's construction policies; and (2) reviewing all projects for compliance with those policies. (Public Act 06-134). The seven-member CMOC includes three board members appointed directly by the Board; in addition, the governor and the top six state legislative leaders also appoint four additional committee members with expertise in construction management, construction project management and/or architectural design. The newly established CMOC was intended to maintain a "commonality of expertise and interest" with the recently established Building, Grounds and Environment Committee of the Board.

Senior administrators' perceived high salaries and the effect those salaries have on public confidence in the overall fiscal management of the University generated considerable discussion at the March 2011

meeting of the Board. At that same meeting the Board of Trustees – in accordance with “industry best practices regarding board governance” -- established a Special Committee on Compensation charged with (1) reviewing organizational changes that result in position upgrades; (2) reviewing all senior administrative salaries; (3) receiving periodic reports concerning the salaries of peer and aspirant institutions of higher education; and (4) promulgating formal guidelines to conduct annual evaluations of the President.

In June 2007, in response to news stories about activities by state employees, the Connecticut legislature enacted Public Act 07-166, which required that numerous modifications be made to the University’s Policy on Consulting. Specifically, the legislation required that (1) the Board of Trustees adopt policies and procedures to ensure that faculty are not inappropriately using proprietary information; (2) the consulting work of faculty members does not interfere with the proper discharge of faculty members’ responsibilities at the University; and (3) faculty not inappropriately use their association with the University in pursuing such consulting activities. Accordingly, the Board established a Faculty Consulting Oversight Committee to craft and promulgate new procedures requiring (1) the disclosure, review and management of conflicts of interest relating to faculty consulting activities; (2) approval of all such activities by the chief academic officer; and (3) sanctions for failure to comply with such policies. These revised consulting approval policies and procedures are now in place and adhered to. In order to increase efficiency for all parties, the consulting approval policy is all online.

## **CHIEF EXECUTIVE OFFICER AND ADMINISTRATION**

The Board of Trustees recently appointed the University’s third President in the past five years. The second of those three, interim president Philip Austin, had previously served as president from 1996 until 2007, and thus helped bring a significant measure of continuity to presidential transition. The willingness of Emeritus President Philip Austin to serve as Interim President after the departure of Michael Hogan has produced stability during this period, along with the stability of other top posts (most notably, the Provost and Executive Vice President of Academic Affairs). This continuity, along with a stable Board of Trustees, has prevented the Presidential changes from disrupting University business in any meaningful way. The individual holding the position of President (or “interim President”) has continued to meet weekly with the University’s senior administration and attend monthly University Senate meetings to receive input from representatives of faculty, staff and students on issues of importance to the University at large.

In its continuing effort to increase institutional accountability, monitoring and reporting, the roster of University officers has also witnessed some minor changes since 2006 in the responsibilities and job functions of its officers. Thus the recently created position of Vice Provost for Undergraduate Education and Regional Campus Administration has been reorganized to include within its jurisdiction oversight of international education, including all international programs. The position continues to serve as the liaison to promote synergy and decrease friction between the regional campuses and the main campus. Meanwhile, directors of regional campuses maintain responsibility for the academic, financial and administrative concerns of their respective campuses.

Another key change further strengthens the centralized structure for graduate education. Responding to an October 2009 report of the Graduate School Evaluation Committee, the position of Vice Provost in charge of Research and also of Graduate Education was formally eliminated, as the VPRGE position had

resulted in neither responsibility receiving the attention that both areas, so vital to the university, deserve. In its place, the University now has a Vice President for Research who oversees research activities at both the UConn Health Center and the other university campuses; and the Provost's Office now features a Vice Provost for Graduate Education, who will also formally and functionally serve as Dean of the Graduate School. The new position will have a seat both on the Dean's Council and at Provost's staff meetings. This new title also sends a clear message to external constituencies and to the university community about the preeminence of graduate education at UConn. Finally, the new position parallels the position of Vice Provost for Undergraduate Education, indicating an equal importance of both graduate and undergraduate education at the University.

Even in difficult economic times, resources at the University continue to be allocated on the basis of annual budget reviews and strategic priorities as defined by the University's Academic Plan. The Provost and the Chief Operating Officer jointly chair the University Building and Grounds Committee, which is responsible for policy and decisionmaking relative to the physical infrastructure and capital projects at the Storrs campus, the regional campuses and the Health Center.

## **APPRAISAL**

The 2006 NEASC self-study correctly predicted that there would be few dramatic changes in the organization and governance of the University in the years immediately to follow. Still, the University of Connecticut's culture of planning and evaluation promises continued reevaluation of structures and relationships, with an emphasis on efforts to forge appropriate links between the Storrs-based programs and the Health Center.

## **PROJECTION**

A new President, Susan Herbst, took office on June 15, 2011. President Herbst was hired by the Board of Trustees after an extensive national search involving a large Search Committee of forty stakeholder representatives. During Academic Year 2011-12, it is anticipated that President Herbst, in consultation with the Board of Trustees, may carry out some administrative reorganizations. She has indicated that she intends to continue the collaborative relationships with major stakeholders in making important decisions such as administrative reorganization.

## **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. With the leadership of a new President, the University plans to continue to maintain a collaborative process of governance and unique responsibility, characterized by effective communication and timely appropriate consultation from internal and external reviewers.

## **EXHIBITS/APPENDICES**

Appendix 3.1: University of Connecticut Organizational Charts

Appendix 3.2: By-Laws of the University of Connecticut

## **Standard Four**

### **The Academic Program**

#### **I. UNDERGRADUATE EDUCATION (GENERAL EDUCATION, MAJORS AND CONCENTRATIONS)**

The governance structure and the composition of the undergraduate programs, including general education, majors, and concentrations, have not experienced significant changes since the 2006 NEASC review. There are, however, several initiatives, which have enhanced the undergraduate experiences at the University.

In 2009, the University developed its five-year Academic Plan. In the area of undergraduate education, the Plan established its goal to “[e]ngage our undergraduates in an intellectually challenging and diverse learning environment that combines excellent opportunities in the liberal arts and sciences with strong pre-professional education, co-curricular activities, and research collaborations with members of the faculty.” Specifically, the University plans to (a) “[f]oster success in undergraduate education through multiple admission pathways that can ensure access for well-prepared students to excellent teaching and outstanding learning environments;” (b) “[p]repare our students for success and leadership in an increasingly diverse and global society, especially by increasing their exposure to the immense variety of cultures in this country and to the peoples, languages, and cultures of the world;” (c) “[d]evelop enhanced degree programming and course opportunities for undergraduates in emerging areas of interdisciplinary excellence and workforce demand;” and (d) “[i]ncrease opportunities for small-group, experiential, and service learning.”

In the area of preparing our students for success and leadership in an increasingly diverse and global society, the Provost established an International Executive Council (IEC) in Fall 2009. The IEC consisted of faculty members from all schools and colleges. In May 2010, in its report to the Provost, the IEC called to make internationalization a core value of the University. Specifically, it advocated for support and building on existing international programs and courses; promotion of global competence for all students in knowledge, skills, attitudes and citizenship as described in University’s Intercultural Student Learning Outcomes; instilling in undergraduate faculty an ethos of internationalization in research, teaching, and service; and providing staff opportunities to participate in the internationalization of undergraduate education.

In the area of increasing opportunities for small-group, experiential, and service learning, the University has established a Commission on Public Engagement. The Dean of the School of Pharmacy has agreed to serve as the Commission’s Director. The Commission has recognized one undergraduate student each year for their public outreach and serving learning efforts. In April 2011, the University established a central office for service learning and appointed a senior administrator to serve as the office’s full-time director.

The revision of the University’s Code of Conduct provided an opportunity to add information about public engagement activities, programs, and procedures to the Code. Information about Engaged Scholarship was also added to the appropriate sections.



The University's Honors Program continues the tradition to have first-year honors seminars taught by leading faculty, have smaller "honors-only" general education and introductory-level classes and interdisciplinary core general education curriculum along with the required Honors thesis. The program continues to engage over 150 faculty members to delivering the courses and events.

The University Library's Learning Commons brings together in one space the tools and support services that enable students to research, develop, enhance, produce and finalize their academic work assignments. The tools included in the Learning Commons are: computer workstations, printers and scanners, research databases, academic software programs, collaborative work areas, even video editing capabilities in specially-equipped multimedia studios on the floor. IT help, reference sources, research advice, and extensive tutoring help are available at various locations, including the Writing Center, Q Center, HuskyTech desk, Learning Resource Center, and Learning Commons desks.

### **General Education**

The University's current General Education Program was launched in fall 2005 and has developed into a large and vigorous curriculum, governed by the faculty through the General Education Oversight Committee (GEOC). The curriculum contains about 350 content area courses and close to 500 skill courses, primarily those emphasizing writing. The GEOC monitors both the overall operation of this curriculum as well as the functioning of individual courses. It reports annually to the Senate (see <http://senate.uconn.edu/20110425.A.geoc.pdf> for the most recent report). About 7800 general education courses sections were offered in the 2010-2011 academic year. Overall, full-time faculty taught about half of these courses, with graduate students making significant contributions at Storrs (25%) and adjunct instructors at the regional campuses (54%). The curriculum has been enriched through the availability of course development grants to faculty, courtesy of the Provost's Office, which enable faculty to develop new or revise existing courses in line with their own expertise and interests as well as the goals of the program. A total of 76 awards have been made over the duration of the program.

The hard work of GEOC and its subcommittees has allowed for continuing evaluation and improvement of this program. For example, whereas content areas were originally defined in terms of what courses were expected to teach, student learning outcomes have now been defined for each of them. In addition, interdisciplinary learning has been encouraged, by allowing individual courses to be certified for more than one content area. The work of defining learning outcomes for general education content areas has been paralleled by similar activities within the majors. As described in more detail in the Assessment section, departments have been guided through a process for defining goals and learning outcomes for their programs and then articulating how those outcomes will be assessed.

One other notable change at the undergraduate program level is the relocation of the interdisciplinary cultural institutes into the College of Liberal Arts and Sciences. Previously these units had reported to the Provost, outside of a school or college structure. These units are very important for the university's goals related to diversity and interdisciplinarity.

### **Undergraduate Program Initiatives**

Academic Calendars. In order to improve the timely accuracy of the undergraduate and graduate catalogs, they are now available only in electronic format. They were last available in hard copy/printed

format in the 2009-2010 academic year. They can be viewed at [catalog.uconn.edu](http://catalog.uconn.edu) and [catalog.grad.uconn.edu/grad\\_catalog.html](http://catalog.grad.uconn.edu/grad_catalog.html).

Teaching, Learning, and Assessment Task Force. In 2006, a Teaching, Learning, and Assessment Task Force was charged by the Provost with recommending ways to: 1) enhance the quality of teaching and learning at the undergraduate and graduate levels; 2) offer opportunities for professional development for faculty; 3) develop assessment tools to inform and improve classroom instruction; and 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. In 2007, the Task Force prepared a report around three main areas: 1) enhancing the value of teaching; 2) opportunities for improving teaching; and 3) the evaluation of teaching. The report was accepted by the Provost and made available to the University community ([www.tlataskforce.uconn.edu](http://www.tlataskforce.uconn.edu)).

In May, 2007 a Teaching, Learning, and Assessment Oversight Committee was appointed and charged with analyzing the feedback in order to revise the Teaching, Learning, and Assessment Task Force's original report and to oversee the implementation of the recommendations of the revised report. After deliberations, the recommendations of the Task Force and the Oversight Committee were subsumed into the appropriate ongoing administrative units, including the Institute for Teaching and Learning, and the Committee disbanded in 2008.

Student Evaluations of Teaching. One of the recommendations from the Teaching, Learning, and Assessment Task Force's Revised Report issued in August 2007 was to replace the existing student ratings of instruction instrument with a more appropriate, reliable, and valid instrument. In response to this recommendation, a University Senate Student Evaluation of Teaching Subcommittee ([senate.uconn.edu/evaluations/teacheval.html](http://senate.uconn.edu/evaluations/teacheval.html)) was established to develop a new Student Evaluation of Teaching form. A group of new Core questions was developed by multiple groups of faculty, University Senate Faculty Standards Committee (FSC) and sub-committee on Student Evaluation of Teaching, The Institute for Teaching and Learning and the Office of Institutional Research from 2007-2008. A pilot survey was done during the last two weeks of the spring semester of 2009 wherein ninety class sections took part concurrently in the Pilot survey and the official SET survey that semester. The questions were found to be both valid and reliable. Comments on the new survey questions from both students and faculty were collected and found to be positive. A subcommittee of the FSC worked to refine the form slightly in response to comments and feedback received. The resulting survey form has student demographic questions, core formative questions about the instruction and an overall question about the instruction. There is a separate section for the survey questions concerning the course and an overall course question. The University Senate approved the new form and reporting in November 2010. Since then, the Office of Institutional Research along with members of the Faculty Standards Committee of the University Senate, and University IT staff have formed a SET Steering Committee and Working Group to determine the needs of the system and security involved in acquiring an on-line reporting system. A Request for Proposal was advertised in Spring 2011 with vendor conference resulting. A concurrent request was sent to University IT for their proposal on the system not inclusive of the reporting portion. The Steering Committee will receive the proposals in Spring 2011.

W Course Review. In addition to the efforts surrounding student evaluation of teaching, a University Senate W Course Task Force was established in 2010 to provide the University Senate's Curricula & Courses (C&C) Committee with findings and recommendations related to the Senate's discussion of a motion to end the writing "W course" requirement in the baccalaureate general education curriculum, based on concerns about the requirement's efficacy and efficiency. Members of the taskforce were

recruited from two campuses, from disciplines across curricula, and from faculty and professional staff. The W Course Taskforce met from early September 2009 until late February 2010. The Taskforce examined: the various formats of W courses; student and faculty perspectives; competencies; curricula; and the role of second and in-discipline W courses, drawing on UConn data to supplement a review of the literature of general education writing and models of general education writing at other institutions. The W Course Taskforce recommended the continuation of the UConn General Education W Course requirements, with certain refinements and further research recommended. The report, with recommendations, is located at [senate.uconn.edu/W.html](http://senate.uconn.edu/W.html).

Service Learning and Community Engagement. “Service-Learning is a teaching and learning strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility, and strengthen communities” (UConn Definition of Service-Learning adopted from the Carnegie Foundation for the Advancement of Teaching from the National Service-Learning Clearinghouse). It is a University academic initiative that combines academic course content and theory with a self-identified meaningful community experience which is combined with critical reflection ([www.advance.uconn.edu/2004/041025/04102510.htm](http://www.advance.uconn.edu/2004/041025/04102510.htm)).

UConn established the Office of Service-Learning in 2008 ([engagement.uconn.edu/service-learning/](http://engagement.uconn.edu/service-learning/)) and the Office of Public Engagement in 2010 ([engagement.uconn.edu](http://engagement.uconn.edu)). Both offices have since been a resource as well as a centralized location for service-learning and Public Engagement throughout the University ([hartford.uconn.edu/sl/](http://hartford.uconn.edu/sl/)). Other programs that encourage service-learning and Public Engagement are 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 [www.studentactivities.uconn.edu/co\\_index.html](http://www.studentactivities.uconn.edu/co_index.html).

In September of 2010, the University applied for the prestigious Carnegie Foundation Classification for Community Engaged Universities and was awarded the designation in January of 2011 for its exceptional service to the community.

Academic Misconduct Policy Revisions. During the spring 2008 semester, the Senate Scholastic Standards Committee proposed a revision of the existing academic misconduct procedures (see Section 13 of the Senate Bylaws) to the Senate. The draft of the proposal was made available to the University community for review and comment during an Academic Integrity Forum ([senate.uconn.edu/SSCminutes/AcademicIntegrity/AcInteg.htm](http://senate.uconn.edu/SSCminutes/AcademicIntegrity/AcInteg.htm)) to discuss the revision of academic misconduct procedures and adoption of the proposed statement on academic integrity in undergraduate education and research. The revised policy on undergraduate academic integrity was adopted by the University Senate on March 31, 2008. The statement on Academic Integrity in Undergraduate Education and Research can be reviewed at [www.community.uconn.edu/student\\_code\\_appendixa.html](http://www.community.uconn.edu/student_code_appendixa.html).

Degree Programs and Certificates for Adult Learning. The Center for Continuing Studies (CCS) developed and began offering a Bachelor of Professional Studies (BPS) degree completion program ([continuingstudies.uconn.edu/bps/index.html](http://continuingstudies.uconn.edu/bps/index.html)) in 2010 to complement the Bachelor of General Studies (BGS) degree completion program ([continuingstudies.uconn.edu/bgs/index.html](http://continuingstudies.uconn.edu/bgs/index.html)) offered for returning adult students. To matriculate into the BGS and BPS programs, students must have an Associate’s degree or have completed 60 credits from a regionally accredited university or college. A minimum

cumulative G.P.A. of 2.0 and an interview with the CCS Counselor are also required. Students who matriculate in the BGS and BPS programs must complete the University of Connecticut general education and competency requirements including a second language. A minimum of 30 credits at the 2000 level or above must be taken at the University of Connecticut.

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 BGS and BPS degrees. 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 degree granting regionally accredited institution of higher education had awarded credit and an official transcript is received from that institution prior to the student's matriculating into the BGS program. These credits are treated as unassigned electives, and are never used to meet general education or other degree program requirements.

The number of graduate certificate programs offered by the University have increased from "at least 10" in 2006 to 27 listed in the 2009-2010 graduate catalog. In order to ensure consistency in the process of development, to protect the University of Connecticut brand in the higher education, and to ensure new initiatives are fiscally sound, the Provost's Office began developing a workflow regarding the approval process for new academic degree and certificate programs in 2011.

## **APPRAISAL OF UNDERGRADUATE EDUCATION**

The University established 20 measurable indicators – such as average freshmen SAT scores, retention rates, class sizes and student –faculty ratios - under each of the four objectives in the Academic Plan. The Academic Plan is located in Appendix 4.1 and online (<http://www.academicplan.uconn.edu/files/UConnAcademicPlan.pdf>). These indicators have provided the institutional community a framework to reach excellence in undergraduate education. Through the above-mentioned efforts, it is evident that the University has launched strategic efforts to increase student contact with people from diverse backgrounds, and expanded student participation in cross-cultural learning opportunities, including study abroad and exchange programs. These offerings have enhanced student access to language and culture programs in areas of their interests.

The introduction of a 4-digit rather than 3-digit numbering system for all University courses has allowed for a more logical and transparent curriculum. It has encouraged faculty to think about the structure of their curricula and the relationships between their courses and has communicated to students more information about the courses. In addition, the report of the Teaching, Learning and Assessment Task Force (<http://www.provost.uconn.edu/reports/index.html>) contained a series of recommendations – such as hire at least 175 faculty to reach the goal of a 15:1 student-faculty ratio, update and provide more high-tech classrooms and develop a more reliable and valid method for student ratings of instruction – to enhance the value of teaching and support and reward faculty for activities in this area. The Institute for Teaching and Learning continues to offer a range of useful services and the Senate has recently approved a new and improved instrument for student evaluation of faculty teaching. Moreover, the Senate is moving to plan and introduce an online student evaluation system.

The University is proceeding with the operation and refinement of its General Education program in a thoughtful and considered manner. A pertinent example of this is the recent report of a Senate Task Force that examined writing extensive courses (W classes). Since W classes are capped at 19 students

and every student has to take at least two of them, one of which must be in the major, this program places enormous resource demands on the departments and faculty. Using a broad range of direct and indirect, qualitative and quantitative approaches, the Task Force concluded that the program was working well and valued by students and faculty alike (<http://senate.uconn.edu/20110425.W.pdf>).

For the general education content areas, the movement from defining criteria for inclusion of courses by teaching goals to instead focusing on learning outcomes is encouraging faculty to be more thoughtful about their pedagogy while at the same time allowing the possibility of directly assessing the success of the program. This process is more fully described in the section on Assessment.

During academic year 2011-2012, the GEOC will review and make recommendations on whether courses will continue to be part of the General Education program. Departments will be asked to evaluate their GE offerings to determine the relationship between the course content and delivery and both the overall and content area specific guidelines for which a course is approved. They will also be asked whether the course contains any means to assess whether students have achieved outcomes related to General Education. While this process currently stops one step short of providing the evidence that the outcomes are met, it should be useful in assisting departments to be thoughtful about their involvement in the General Education program and to assure continued alignment of individual courses with program goals.

The University has established sixteen (16) living and learning communities in emerging areas of interdisciplinary excellence – for example, [EcoHouse](#), [Global House](#), [Community Service House](#), [Public Health House](#). For a list of all 16 living and learning communities, please see Exhibit 4.1 or visit <http://livelearn.uconn.edu/>. Participation in these communities has already exceeded the goals set in the Academic Plan. Through participation in these communities, students have identified their academic passions and areas of curiosity. They have set and reached academic goals, demonstrated knowledge, including awareness of how knowledge is created. Students have demonstrated academic knowledge and skills both within and beyond their academic course work. Students have met the goals of graduation within their major(s), minor(s), concentration(s), General Education requirements, electives, and individualized enrichment experience(s). Students have developed enhanced learning skills, skills within their major(s), minor(s), concentration(s), and other areas of study, and skills enumerated in University's General Education requirements. Students have learned to express themselves effectively through writing, speaking, and some students will also express themselves effectively through the arts. Students have developed professional academic relationships with at least two faculty or staff members or peer mentors within the first year, and continued to develop positive academic relationships beyond the first year. Students have worked with mentors from among the faculty, staff, and peer mentors as they set their goals and monitor their progress.

In the fall of 2010, a total of 1,552 students enrolled in the University's Honors Program. Almost 15% of honors students are pursuing double majors or multiple degrees. Among them, 443 are first-year students. Noteworthy, the number of first-year honors students has increased by 142 over the last five years. 301 honors students entered the Honors Program in 2006-2007, 337 more freshmen entered in 2008-2009, and 389 entered in 2009-2010 before the Honors Program welcomed 443 students in the fall of 2010. The average SAT scores of the honors students is 1393 (Critical Reading + Math); average class rank is 96%; 34 valedictorians and 19 salutatorians; and 15% of the entering first-year students began at the University as sophomores in credit standing. All Honors scholars are involved in undergraduate research; some begin as early as the first year. In 2010, the Summer Undergraduate Research Fund

(SURF) awarded \$192,915 to students for conducting research over the summer. The Office of Undergraduate Research funds travel to professional conferences and research expenses for students through grants. In 2009-2010, these grants awarded \$60,628 to students for research expenses. In 2010, these grants awarded \$29,840 to students for Honors thesis research in the life sciences.

While the previous accreditation report talked of an ambitious plan to hire 175 new faculty, state budgetary problems have not allowed its realization. The Academic Plan set a goal for a student/faculty ratio of 15:1 but it is currently at 18:1. Although the university has maintained the percentage of classes with 20 or fewer students at about 44% over the past 5 years, the percentage of classes with greater than 50 students has risen from 14 to 18%. See further discussion and data in Standard Five and Data Form Five.

Enrollment pressures have become significant in some majors. For example, in biological sciences, the student/faculty ratio is now 22:1 and departments have struggled to meet student needs for upper division courses. For entry-level courses, the University has done a good job of meeting student demand by having a staff member assigned to monitor enrollment requests and add sections of courses, as needed. However, this can be more problematic with advanced courses.

The development of learning outcomes for different majors is a useful and necessary step. As might be expected, progress in this area is variable across the University with the professional schools being in advance of other units due to their own accreditation requirements. There has been an increasing understanding of the purposes and benefits of evaluation of student learning though the process has been hindered by the perception that this represents an additional task for overworked faculty for which little resource is available.

## **PROJECTIONS**

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. The University continues its efforts in strengthening the evaluation of the operation of programs.

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, despite the budget short falls and retirement of senior faculty members, the University has managed to hire **XXX net** new faculty members. The Academic Plan aims to add faculty lines, improving the faculty to student ratio, adding personnel who are needed to integrate general education courses across the required content areas and assisting implementation of the strategic planning goals of the Division of Undergraduate Education and Instruction.

The University is working to assess its effectiveness in implementing the Academic Plan. In the next five years, the well-articulated 13 measurable indicators will be employed to demonstrate the institution's success in achieving the goals related to undergraduate education. These targets appear to be appropriately placed and significant progress has already been made towards meeting many of them (e.g. entering student SAT scores, participation in living learning communities). A few are likely to be problematic. The student/faculty ratio has already been mentioned and the participation in Study Abroad appears to have leveled off short of its target of 30%.

Educational technology will continue to play an increasingly important role at the University. Most courses now include an online component using UConn's learning management software (lms) to complement classroom instruction. Nevertheless, the University continues to upgrade its learning management system, "HuskyCT," as we are beginning the process to implement the new "Blackboard Learn, version 9.1" upgrade. By using these new technologies – like classroom lecture capture systems and our new lms – faculty members are able to post their lectures for students to study and review anytime. While the University has moved cautiously in the direction completely on-line course delivery, faculty increasingly are trying out new forms of blended course delivery that include online components. These approaches are likely to grow. As assessment efforts to determine course effectiveness mature, an important component will be the comparison between different methods of course delivery and the role sound pedagogical use of education technology play in this effort.

Assessment efforts both in General Education and the major fields of study have reached the point where direct evidence of student learning is available on the OATS system. The use of these data to refine and improve course and program delivery will have the additional benefit of helping faculty to more fully embrace these approaches.

## **II. GRADUATE DEGREE PROGRAMS (4.20-4.28)**

The University of Connecticut is the state's only comprehensive public doctoral-granting university and the only public grantor of professional degrees in Audiology, Dental Medicine, Law, Medicine, Nursing, Pharmacy, Physical Therapy, Public Administration, and Public Health. Thus, UConn plays an important role in developing tomorrow's innovators, entrepreneurs, artists, and professionals, as well as the next generation of engineers and faculty in the arts, humanities, law, social sciences, natural sciences, physical sciences, engineering, agricultural sciences, and marine sciences (UConn Academic Plan). In addition to being the state's flagship public research university, UConn is classified as a Carnegie Research Extensive University with very high research activity.

### **Development of Graduate Degree Programs**

Quality graduate education requires research to coexist with classroom instruction. Graduate Faculty members, while dedicated to teaching, maintain and develop 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 UConn graduate students. 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 and contributing to UConn's classification as a Curricular Engagement and Outreach and Partnerships by the Carnegie Foundation. (4.20)

The approval of a new graduate degree program is based on the presentation of evidence in four fundamental areas. These include:

1. **Quality** - quality of the faculty, the quality of the facilities to be used by the program, and the quality of the curriculum.
2. **Need** - evidence of a national and/or local need for the graduates of the new program must be demonstrated.
3. **Strategic importance** – the proposed program must conform to and advance the UConn Academic Plan.



4. **Cost** – the availability of funding for faculty resources (i.e., faculty time), institutional facilities and space, new equipment, and other operational expenditures must be demonstrated to ensure an appropriate high quality program. (4.21)

### **Appointment of Graduate Faculty**

Graduate education at the University of Connecticut is supervised by the more than 1,100 members of the University's Graduate Faculty, which includes some non-University affiliated members. The Graduate School is led by the Vice Provost for Graduate Education & Dean of the Graduate School, and is advised by the Executive Committee of the Graduate School and the fifty-five members of the Graduate Faculty Council (legislative body of the Graduate School). The Executive Committee membership is drawn from the Graduate Faculty Council and from the Graduate Faculty at large. Members represent a diversity of fields of study. Membership to the Graduate Faculty Council is by election to three-year overlapping terms. Two graduate student representatives also serve on the Council. The Graduate Faculty consists of faculty members that have been appointed on the basis of their professional credentials, active participation in research, or other professional activities as determined by their respective departments. (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 Administration 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 Public Health (joint with the Storrs campus), as well as masters degrees in Public Health and Dental Science. These programs are under the jurisdiction of the Graduate School and are administered by an Associate Dean on the Health Center campus who reports to the Vice Provost & Dean of the Graduate School. (4.22)

### **Graduate Admissions**

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 by the academic qualifications of the applicant and the ability of the program to accommodate the interests of the student. A faculty admissions committee within the degree program evaluates each applicant's complete profile. This profile is based on a combination of metrics, which include 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 below the fully qualified level but there is other evidence of scholarly potential, the applicant 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. If the student has performed at the level of 3.0 or better in all courses, the student is granted Regular Status. Otherwise, the student is dismissed from the program. (4.23)

### **Graduate Degree Programs**

The approval process for new graduate degree programs is rigorous and is designed to ensure that new programs meet the highest standards for graduate education and conform to and advance the UConn Academic Plan.

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)

Professional Graduate Degree Programs. 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)

Graduate Degree Requirements and Milestones. The advisory committee plans each graduate student's course of study after consultation with the student. There is considerable flexibility in meeting special needs insofar as these are consistent with the regulations of the Graduate School. The major advisor is responsible for coordinating the supervisory work of the advisory committee. Students' advisory committees are responsible directly to the Dean of the Graduate School. Students are required to maintain in their course program at least a B (3.00) average at all times. Whenever a student's cumulative average falls below 3.00 the academic record is reviewed by the student's advisory committee to determine whether or not the student shall be permitted to continue in the degree program.

### **APPRAISAL**

Graduate programs have recently been reviewed as part of the National Research Council's Assessment

of Research Doctorate Programs and through an internal study conducted by an ad hoc Graduate Faculty committee (Committee for Excellence in Graduate and Professional Programs). The results of the National Research Council's assessment indicate that UConn programs are competitive with other similarly categorized universities. Several programs rank among the highest in the nation.

The charge of the Committee for Excellence in Graduate and Professional Programs (CEGaPP) was to determine:

1. Programs that have achieved distinction at the national level;
2. Programs that have the best potential for achieving national distinction within the next five years;
3. Programs that are less integral to UConn's core academic and research mission, are low in demand, or lack a solid record of student completion and placement.

Based on the CEGaPP study, graduate programs were categorized. Subsequently, some lower performing programs will be sunsetted, or folded into other programs (CEGaPP Report).

In 2009, an ad hoc committee of the Graduate Faculty Council conducted a comprehensive evaluation of the Graduate School (Report of the Graduate School Evaluation Committee). Several recommendations to enhance graduate education emerged from the evaluation, the most significant of which has resulted in the administrative re-organization of the Graduate School. Because of the prominence of graduate education in the UConn Academic Plan, the position of Vice President for Research and Dean of the Graduate School was divided into two positions: 1) Vice President for Research and 2) Vice Provost for Graduate Education and Dean of the Graduate School.

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 (<http://www.smasters.uconn.edu>).

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.

## **PROJECTION**

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 UConn's Academic Plan. 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 continued review of UConn graduate programs ensue, it is expected that some programs will not grow and may even be phased out. Any such actions will be guided by the current University of Connecticut Academic Plan and will result from a thorough analysis of each program's place in the overall mission of the University.

Updated policies and practices within the Graduate School will be implemented in the coming years. These updated policies and procedures will increase efficiency and provide better outcomes in graduate education.

### **III. INTEGRITY IN THE AWARD OF ACADEMIC CREDIT**

Through a well developed oversight and governance process the University of Connecticut continued to examine the administration of its degree and certificate programs, and implemented changes which improved the effectiveness of the oversight and administration of these programs.

Academic programs at the University receive review and evaluation routinely and at several levels. 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. For those programs for which there is no external program accreditation available, the University has developed a Program Review Process based on an eight-year schedule.

#### **Office of Audit, Compliance and Ethics**

At the direction of the Board of Trustees, the University established the Office of Audit, Compliance & Ethics (OACE) to provide resources needed to expand the University's internal audit capacity. The OACE charter was approved by the Joint Audit and Compliance Committee of the Board of Trustees in July 2006. OACE is intended to assist faculty, staff and administrators in promoting the highest legal and ethical standards and to ensure that the University meets or exceeds the increasingly numerous and complex federal and state requirements. The Compliance Department is a valuable resource for compliance-related information and training. In addition, the department will be responsible for developing compliance policies, overseeing and monitoring compliance activities, and identifying weaknesses in our compliance systems. One of OACE's roles includes coordinating compliance with new laws and regulations within the University by providing information to University constituents on what needs to be done to bring the University into compliance, coordinating compliance among University subject matter experts in regards to changes in Federal legislation, and collecting and assimilating evidence regarding the University's effort to meet various compliance requirements. Examples of OACE's activities in this regard include developing a mechanism for students to provide comments and concerns regarding the University to NEASC, and new requirements based on the update to the Federal Higher Education Opportunities Act. In this role, they are responsible for ensuring the University complies with program integrity rules implemented by the Federal Department of Education ([audit.uconn.edu/index.html](http://audit.uconn.edu/index.html)).

On October 29, 2010, the Federal Department of Higher Education published in the Federal Register final regulations on program integrity issues (75 FR 66832). The regulations included a definition of a credit hour under 34 CFR 600.2 for purposes of Federal programs and provisions related to accrediting agencies' assessment of institutions' determinations of credit hours or other measures of student work under 34 CFR 602.24(f) for purposes of the title IV student financial assistance programs. In addition, the regulations revised paragraph (l) of the title IV program clock-to-credit-hour requirements in 34 CFR 668.8(k) and (l) that may be applicable to a nondegree, undergraduate program.

## **APPRAISAL**

In administering oversight of its academic programs, the University adheres to a well developed model of shared governance between the University Senate, Provost, Board of Trustees, and Connecticut Department of Higher Education. Several Senate Subcommittees and Task Forces chartered by either the Provost or University Senate have examined various aspects of the University's academic programs. Findings and recommendations of these Subcommittees/Task Forces are then considered by the Senate for approval before they are forwarded to the Provost. These well developed processes ensure the integrity of the University's academic programs are maintained while continuing finding ways of improving their effectiveness.

Although the University has developed an eight-year schedule of Program Review for those programs for which there is no external program accreditation available, a complete round of program reviews has not occurred since the initial program reviews were conducted between 1998 and 2004. An alternative program review procedure was proposed in 2006, but ultimately abandoned because academic leaders were not convinced that this process would adequately comply with the revised NEASC CIHE accreditation standards. A new program review process was developed by the Office of Institutional Effectiveness in 2010, and has been adopted by the Provost, after discussion with the Deans. This re-invigorated process is scheduled to start in fall of 2012.

Although the Graduate Course Catalog contains all required information and is factually accurate, the existing PDF format makes it difficult to find and access needed information. In addition, future editions in HTML format could create a more "user friendly" catalogue.

While the revised instrument for student ratings of instruction will soon be implemented throughout the University, each academic department should establish its own criteria and procedure for gathering evidence of excellence in teaching that does not rely exclusively on the student evaluations as evidence of good and effective teaching. These additional methods of evaluation could include formative (for the benefit of the instructor alone) as well as summative (for PTR, merit, etc) evaluations, and could include the evaluation of all faculty on schedules considered appropriate by that department: teaching assistants, part-time instructors, assistant professors, associate professors, full professors. The 360-degree approach that includes the use of a (new and improved) student evaluation of teaching, peer (faculty in the department or program) and professional (Institute for Teaching and Learning) observations, the use of a teaching portfolio, and a summary evaluation using all evidence by the department head, designated mentor, PTR committee, or whomever the department decides is appropriate in that instance would be a valuable approach for gathering evidence of teaching excellence. Obviously, the content of a portfolio or what is considered important in a teaching observation will vary by discipline and according to the values of the individual department.

The University is responsible for properly implementing the Federal credit hour regulatory requirements that are effective July 1, 2011. For the 2011-2012 award year, as long as the University is in the process of complying with these provisions, the Office of Post Secondary Education – within the Federal Department of Education – will consider the University to be making a good-faith effort to comply, and Department staff will take this effort into consideration when reviewing the University's implementation of the regulations. Although the University has no official definition of what should constitute a credit hour, our practice seems generally consistent with the Federal definition

## **PROJECTION**

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

The University will continue to validate all programs internally and, where possible obtain additional accreditation through professional societies. The eight year cycle of program assessment and review of programs not accredited through professional societies will be reinvigorated and commence in the fall of 2012, and will be completed by the Fall of 2018.

The OACE, working with University subject matter experts and the Senate, will begin working on a formal credit hour definition that is consistent with the new Federal and upcoming NEASC definitions.

The planned award date for the new Student Evaluation of Teaching Survey and reporting system is July 1, 2011. Until the new form and reporting is available, the present system and current form will be in use. There is currently discussion involving the use of an on-line Student Evaluation of Teaching Survey (or choice of on-line or paper survey) in the University Senate Faculty Standards Committee for all courses. Currently only web taught classes are surveyed on-line using the same questions as the paper based survey. Results of the paper and on-line surveys are merged for reporting and that will need to continue as long as there are paper forms in use.

## **IV. ASSESMENT OF STUDENT LEARNING**

For the institution as a whole, assessment efforts continue along an evolutionary path as more is learned and more is communicated to others in regard to implementing an ongoing systematic approach to student learning outcomes and other forms of assessment. Most faculty and staff are aware that assessment is necessary and that efforts in this area will continue.

In regard to student learning outcomes assessment, the Assessment unit within the Provost's Office of Institutional Effectiveness has worked with school/college Assessment Liaisons to develop a format for annual assessment reporting which contains: a program Mission statement, the Goals of the program, the more specific learning Outcomes, information on the Implementation of the learning expectations within the curriculum, Methods for measuring how well students achieve the learning expectations, Results from the measurement, and Action to be taken based on what was learned from doing assessment.

The Online Assessment Tracking System (OATS) – obtained from Georgia Tech in 2006 and subsequently modified/enhanced – was implemented as a means of monitoring assessment of student learning outcomes as well as a means to allow those involved in the assessment effort to share information on the pieces of an assessment plan. An annual assessment reporting cycle was established for OATS with an October 1<sup>st</sup> deadline for annual assessment updates so that assessment information feeds Catalog

changes due in November as well as annual budget cycle deliberations during the end of the fall term. As discussed in Appraisal and Projection sections below, this OATS system is scheduled to be replaced during Academic Year 2011-12.

The Assessment unit within the Provost's Office of Institutional Effectiveness provides oversight and help to degree programs struggling with assessment. In addition, through the oversight of the Vice Provost for Undergraduate Education, the Institute for Teaching & Learning (IT&L) 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. The IDD unit also serves as a resource for course assessment and evaluation.

The Assessment unit, working with Institutional Research, administered the National Survey of Student Engagement (NSSE) in 2009 as part of its biennial approach to monitoring how well students are 'engaged' with the University. Achieving a fairly high response rate of 39%, results showed that UConn students are very much similar to their peers at comparable research-oriented institutions. NSSE 'benchmark score' comparisons to other institutions indicated that UConn slightly lags its peers in the area of active and collaborative learning – information that was shared with the Institute for Teaching & Learning which has offered several workshops to aid faculty teaching large lecture courses, etc. An analysis of the data led to probing into the NSSE Documenting Effective Educational Practice (DEEP) study of comparable research-oriented institutions – information on effective practices at other institutions was discussed in detail within the Undergraduate Education & Instruction division and was presented to deans, associate deans, regional campus directors, advisors, and other school/college personnel most closely associated with undergraduate learning.

For a complete discussion of types of assessment being conducted around the University of Connecticut, see Exhibit 4.3.

## **APPRAISAL**

Assessment of student learning outcomes in undergraduate programs is progressing, but at a slower pace than anticipated. Assessment Liaisons in each of the undergraduate degree programs have worked to refine statements of learning expectations for their majors. Programs with well defined learning outcomes have shifted their efforts to considering methods for measuring how well students meet the learning expectations. Many programs are still in the early stages of assessment, however. Use of OATS has been embraced by some of the schools/colleges, but not by all undergraduate programs. Graduate program assessment of student learning outcomes is just beginning for most programs; although assessment in graduate degree programs in Business and Neag Education schools has taken place.

Overall, much of the assessment effort is in its beginning stages with many programs making slow progress. For some degree programs, indirect measurement methods need to be replaced by direct measures of student learning. For many programs, a single measurement method needs to be augmented with additional methods and triangulation of results needs to take place. Assessment information needs to be raised in priority and it is anticipated that new procedures for Program Review may do so. Use of assessment information in budget decision making has yet to occur in any systematic or widespread manner. Establishing an Institutional Effectiveness culture may help focus assessment efforts.

Resource restrictions within University Information Technology Services (UITs) have made continued support and the making of enhancements to OATS for Institutional Effectiveness needs challenging and perhaps not as cost-effective as a commercial solution. Commercial vendors have created several systems over the past few years that accomplish what OATS is able to do as well as provide a wider coverage of the spectrum of Institutional Effectiveness outcomes-based reporting. Given the UITs resource restrictions, a commercial solution to provide a web-based Institutional Effectiveness management and tracking system needs to be pursued. It is anticipated that a formal replacement for OATS will occur during Academic Year 2011-12.

Use of NSSE has allowed units with the Undergraduate Education & Instruction division to reaffirm that much of what the University has in place is doing what is necessary to provide a learning experience similar to its peer institutions. At the same time, there is a need to not read too much into standardized surveys such as NSSE since ‘institutional comparisons’ are not necessarily valid due to the disciplinary differences inherent with student engagement activities. Nevertheless, efforts aimed at engaging students in significant learning experiences will continue.

Results from the Enrollment Planning and Management surveys have informed a variety of retention and graduation initiatives. Student responses which indicated that they focused on information about academic offerings before choosing to apply here and residential life issues after choosing to enroll here have helped us tailor recruitment, orientation and student transition messages and efforts. Survey results indicating high student expectations has helped us shape our communications regarding differences between high school and college and how we strive to best meet their needs. An annual presentation to new students entitled *UConn’s Real World: A Faculty Perspective* addresses this issue. Feedback from students regarding course availability has been used in developing ‘packaged schedules’ for incoming freshmen and transfer students. Roughly 6,700 student responses to our Summer Session survey displayed the significant demand for this option.

For a comprehensive discussion of individual assessment initiatives within various units of the university, including individual schools and colleges, see Exhibit 4.3.

General Education assessment is inherently problematic due to how the current curriculum was created earlier in the decade whereby criteria for course inclusion rather than expectations for student learning; i.e., learning outcomes, were the driver for establishing the General Education content areas and competencies. As a result, much effort has been spent trying to retrofit learning outcomes to the existing curriculum. While general goals for general education were established, and these may be used to convey learning expectations, criteria for inclusion of courses within specific content areas of the General Education curriculum focused on what a course needs to do to ensure coverage of a variety of possible combinations of these goals rather than from a perspective of what learning students should achieve from the content area. This has made the assessment of student learning outcomes challenging. See Exhibit 4.3 for a discussion of assessment activities and challenges for various parts of the General Education requirements.

Also problematic is the lack of ‘ownership’ of the general education curriculum. While the General Education Oversight Committee has committed members and some funding to enable implementation of its “phased approach” to assessment, motivating faculty teaching General Education courses to participate in the assessment effort has been difficult.

Nevertheless, the phased approach has been useful. The assessment effort is in many ways a practical test of whether the learning objectives are appropriate to all the disciplines in the content area and to the criteria for inclusion in the General Education menu. In some content areas, results indicated that instructors and independent raters viewed courses as meeting the criteria set out by the University Senate very well, but independent raters saw less evidence of student assessment of some of the learning objectives than they saw of teaching that addresses them. Instructors also rated their student assessments somewhat higher than independent raters did. It is certainly the case that instructors have more detailed knowledge of how they assess students, so instructors' ratings may be more accurate. But it also may be the case that instructors teach the criteria without assessing students in the ways specified by the learning objectives. In addition, efforts have shown that some learning outcomes fit some disciplines better than others; i.e., some learning objectives are quite advanced and may need to be re-specified to encompass the range of disciplines within particular content areas better.

## **PROJECTION**

Our projection for student learning outcomes assessment is that all undergraduate programs will be using their articulated assessment methodologies by the time the tenth year comprehensive report is submitted, and that they will be using analyses of the outcomes to make positive changes in instruction based on that feedback. Graduate degree programs will be doing the same, but may lag a bit behind the undergraduate programs.

Institutional Effectiveness involves the integration of information from the collection and analysis of institutional data with the coordination of the assessment of student learning outcomes in academic units, general education, and co-curricular programs and dissemination of assessment results and institutional data to support institutional planning and decision-making to advance quality and innovation in the teaching and learning process, co-curricular programs, and other administrative units. To effectively manage information associated with Institutional Effectiveness, use of web-based assessment management system that can accommodate a variety of data collection, aggregation, and dissemination approaches is desired.

The electronic system to manage assessment reporting and track institutional effectiveness is to gradually replace the current practice of completing assessment plans and reports using OATS. In addition to student learning outcomes assessment, a new system for managing assessment reporting should provide the capability for non-academic units to annually report on how well programs are meeting their stated objectives and for the alignment of reporting with University strategic plans, regional and professional accreditation standards, and program review.

As mentioned above, see Exhibit 4.3 for a discussion of the status and projection of assessment of Student Learning Outcomes in the various Schools and Colleges. As Section in the Areas of Particular Emphasis and the discussion above indicates, the OATS system for tracking student learning outcomes is slated to be replaced in Academic Year 2011-12 with a new system. The decision to go with a replacement was made for two reasons: 1) the UITs (University Information Technology Services) unit has made a decision to no longer support the out-moded Cold Fusion Platform on which OATS is based, rendering it impossible to utilize OATS in the future; and 2) there have been numerous complaints from faculty- and staff-users of OATS that it is so cumbersome and complex that they are hesitant to input data. The primary goals for the new systems will be that it be faculty- and staff-user friendly and be capable of rolling up seamlessly into a data warehouse.



For General Education assessment, the GEOC Assessment Subcommittee has recommended that assessment in all Content Areas follow the staggered and sample approach modeled by the CA3 assessment effort. This approach needs to be adjusted for each specific Content Area, but overall seems to be the best way to begin to bridge the difficulties inherent in the design and implementation of the existing General Education curriculum. It is assumed that as GEOC begins to delineate procedures for recertification of courses for inclusion in the General Education menu that assessment activities will become more focused and as a result there will be a greater participation in the assessment efforts.

The National Survey of Student Engagement (NSSE) will continue to be administered and analyzed. Despite 'engagement' being somewhat discipline- and institution-specific, the NSSE survey seems useful as a means to reaffirm that what students do here at the University is very similar to what goes on at peer institutions. While nationally there have been studies showing that the NSSE is perhaps not as valid a predictor of success, its continued use is anticipated in the near future.

Over the next five years, Enrollment Planning and Management will continue to incorporate input from the various surveys in decision making. In addition, our quantitative and qualitative research, similar to national research, shows males' and underrepresented minority students' achievement, retention and graduation in particular need to improve to close a gap between them and other students. The Retention and Graduation Task Force presented findings regarding this topic to the University Senate and a subcommittee has been convened to pursue this topic further. We will use relevant survey data to inform our research and incorporate these findings in our analyses so that we can continue to enhance progress we already have achieved. In addition, we will keep abreast of new technologies that may further enhance the progress we already have made by transitioning from paper to on-line survey design, administration and analysis.

Within the Division of Student Affairs, existing work on assessment related to the metrics in the DSA Assessment Plan will continue. The DSA Assessment Plan also calls for the creation of departmental outcomes and related assessment measures. This effort will soon be underway. The purpose of outcomes assessment for the Division of Student Affairs is to measure the impact of initiatives in achieving their fundamental purposes, such as student learning or quality of service delivery. While early in this process, several units have already taken the initiative to develop learning or service delivery outcomes.

The University of Connecticut will continue to move forward with its goal of being recognized as one of the top-twenty public institutions of higher education in the country.

## **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.

# Exhibit 4.1

Screenshot of Living and  
Learning Communities  
website:

<http://livelearn.uconn.edu/>



[Home](#) [Communities](#) [Why Live in a LC?](#) [About](#) [FAQ](#) [Links](#) [Contact](#) [Gifts](#) [Apply!](#)

[Go »](#)

*"It was a great experience to make friends for a lifetime and enrich your studies with people taking the same classes."*

~WIMSE Student

## Living & Learning Communities

### Interest Communities

(open to all majors)

-  [Community Service House](#)
-  [Connecting with the Arts](#)
-  [EcoHouse](#)
-  [Global House](#)
-  [Humanities House](#)
-  [Leadership House](#)
-  [Public Health House](#)

### Major or Program Communities

-  [Business Connections](#)
-  [Engineering](#)
-  [Eurotech Program](#)
-  [Fine Arts](#)
-  [Honors Program](#)
-  [Music](#)
-  [Nursing](#)
-  [\(Pre-\)Pharmacy](#)
-  [WiMSE \(Women in Math, Science & Engineering\)](#)


## Other Learning Communities

### Intro to a Major or Profession Class (no living component)

-  [Allied Health](#)
-  [Animal Science](#)
-  [Chemistry](#)
-  [Environmental Science](#)
-  [Exploratory Majors](#)
-  [Exploring Helping Professions](#)
-  [Pathobiology](#)
-  [Physiology & Neurobiology](#)
-  [Pre-Communication Sciences](#)
-  [Pre-Journalism](#)
-  [Pre-Teaching](#)

### SSS Program

### UConn Avery Point Campus:

-  [Local Environments, Global Citizens](#)



[Apply Online](#)

[Photo Gallery](#)

[LC Photo Contest!](#)

What is a

### Learning Community?

Make campus life a more rewarding adventure by choosing to live on a residence hall floor with people who share your interests, lifestyle or commitment to a major. Students become friends and tend to support each other in their coursework and socially. They take a seminar course or course cluster together and get involved in activities and events on campus. In addition, there are unique opportunities to get to know faculty, staff, and student peer mentors in a close-knit community setting.

[More about Learning Communities »](#)

## Links

[Learning Community Institute](#)

[Follow the LC Blog!](#)

[The LC Connection newsletter](#)

[LC on Facebook](#)

[LC News & YouTube](#)

[LC on Twitter](#)

[INTD 1810 Instructor Training](#)

## News

[Spring Break Trip!](#)

February, 22 2011

[Sustainable Living - the UConn Way!](#)

August, 25 2010

[UConn Learning Communities Receive \\$203,000 Grant](#)

July, 26 2010

[View All Posts](#)

## Events

No future events scheduled.

# Exhibit 4.2

Approval of Graduate  
Programs of the University of  
Connecticut

#### **Exhibit 4.2: Approval of Graduate Degree Programs**

The major steps in the approval route include:

1. Academic Department initiates program proposal
2. Department and school/college approves program proposal;
3. Dean of School/College meets with Provost to discuss priorities, enrollment, funding, and other operational and programmatic issues;
4. Based on the discussion with the Provost, a complete DHE proposal is developed;
5. Proposal forwarded to the Vice Provost & Dean of the Graduate School;
6. Approved program forwarded to Vice Provost for Academic Administration for circulation to the Council of Deans and placement on the UConn Board of Trustees agenda;
7. Academic Affairs Committee of the UConn Board of Trustees considers the new program proposal;
8. Board of Trustees considers the new program proposal;
9. Provost's Office submits Board of Trustees approved program for Department of Higher Education (DHE) approval. This includes circulation of the program summary to all institutions of higher education in Connecticut.

The two-step approval is as follows:

- Evaluation of the program by the DHE Advisory Committee on Accreditation (this Committee is comprised of academic officers/faculty representatives from institutions of higher education in the state)
- Recommendation of licensure of the program by the DHE Board of Governors Academic Affairs Committee; followed by the DHE Board of Governors approval of the program

Two years after licensure a program is reconsidered for final Accreditation. Programs generally come up for accreditation two years after they were granted licensure. A degree program cannot award degrees unless it has been accredited. (4.21)

# Exhibit 4.3

Report on Assessment  
Activities in Units of the  
University of Connecticut

### **Exhibit 4.3: Report on Assessment Activities in Units of the University of Connecticut**

Student Engagement (NSSE) in 2009 as part of its biennial approach to monitoring how well students are 'engaged' with the University. Achieving a fairly high response rate of 39%, results showed that UConn students are very much similar to their peers at comparable research-oriented institutions. NSSE 'benchmark score' comparisons to other institutions indicated that UConn slightly lags its peers in the area of active and collaborative learning – information that was shared with the Institute for Teaching & Learning which has offered several workshops to aid faculty teaching large lecture courses, etc. An analysis of the data led to probing into the NSSE Documenting Effective Educational Practice (DEEP) study of comparable research-oriented institutions – information on effective practices at other institutions was discussed in detail within the Undergraduate Education & Instruction division and was presented to deans, associate deans, regional campus directors, advisors, and other school/college personnel most closely associated with undergraduate learning.

The Student Evaluation of Faculty process mandated by the University Senate takes place each semester. 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. As an outgrowth of the recommendations made by the Provost's Teaching, Learning and Assessment task force, a major revision to this survey has taken place over the past couple of years – specifically, there are now sets of diagnostic questions focused on the instructor as well as on the course. The improved survey is expected to lead to better knowledge of the quality of teaching as perceived by student raters of instruction.

The Enrollment Planning and Management division conducts a number of surveys that inform student success initiatives and outcomes. The Entering Student Survey asks new students their reasons for enrolling here, what they are looking forward to most and least, and what they expect of themselves and the University. The Orientation Evaluation Survey garners valuable insights from participants regarding various aspects of the program. The Student Satisfaction Survey addresses issues like course availability and quality of campus programs and services. And, a Summer Session Assessment survey gauges student interest in summer courses.

The Division of Student Affairs (DSA) has created an Assessment Plan with the purpose to document progress in achieving the priorities explicitly identified in the DSA Strategic Plan as well as to provide substantive data for program improvement. The DSA Assessment Plan contains three components: metrics, outcomes assessment, and external review. Metrics include Strategic Plan Metrics, which are directly tied to objectives of the University academic plan; Division Metrics, which include data to be collected and monitored in all units within the Division; and Unit Metrics, which includes data that are of use to a particular unit's continuous improvement efforts.

DSA Strategic Plan Metrics include: percent of students in leadership positions; percent of students in registered student organizations; percentage of units with a working service continuity plan; number of public and private partnerships involving the DSA and external constituencies; percent of students involved in community service and outreach; and number of alumni who participate in programs

sponsored by the Division. Division and Unit Metrics are still evolving but include such assessments as tracking who uses DSA programs, services and facilities; monitoring level of student and clientele satisfaction; examining resource utilization; reviewing response times for service requests; and analyzing costs. Unit Metrics also define the distinctive ways that each department contributes to the DSA strategic priorities.

Examples of the Division of Student Affairs assessment efforts provide insight into the various activities underway as part of the DSA Assessment Plan:

Counseling and Mental Health Services Department (CMHS) ascertains client satisfaction through a survey administered via iPods using an instrument developed by and standardized for CMHS. Using this assessment data, CMHS made changes to the clinical and administrative systems to better accommodate changing student schedules; offered required registration paperwork online for easier and more efficient access by students; increased the number of psychiatric medical service hours available to students; and offered later hour in the day group therapy sessions to students.

Center for Students with Disabilities (CSD) tracks student utilization by disability category, use of specific accommodations, costs and projections for accommodations and services, and revenue generated from enhanced programs. CSD regularly conducts student satisfaction surveys regarding accommodations and services for students with disabilities and to ensure University compliance with the Americans with Disabilities Act. Analysis of survey results has led to dedicating a room within the CSD as a student lounge and waiting area where students and parents can wait privately and maintain their confidentiality; enhancing training of student employees and para-professionals at various stages of service delivery; and providing online delivery of specific accommodations.

The Student Activities Department regularly monitors the grades of student leaders in high-responsibility student organizations (e.g., governance, radio and TV stations, major programming boards). Analyses of these data revealed that the GPAs of some of the leaders dropped substantially during their terms of office. Results of subsequent structured interviews with these student leaders indicated an association between high levels of stress resulting from leadership activities and reductions in overall course grades. Further quantitative assessment using standardized instrumentation indicated that a student's problem solving orientation was related to how much stress they experienced – the staff subsequently engaged in a program of systematic problem solving skill development with student leaders.

Community Standards Department tracks the gender, academic classification, academic major, academic progress, extracurricular involvements, and history of misconduct of students who violate the various elements of the Student Code of Conduct. Analysis of these tracking statistics has been used to develop an individualized intervention program (UCompass) that promotes positive involvement in academic and extracurricular activities. In addition,



examination of these statistics has led to the creation of new educational programs that address misconduct by student organizations.

Program and service satisfaction surveys are regularly conducted by nearly all of the DSA departments. Survey quality has been enhanced by the use of StudentVoice, a third-party assessment platform and consultation service specifically designed for student affairs assessment and research. Since the DSA began using this service in early 2010, 49,900 responses have been received for 95 different surveys. To date, the following departments have been regular users of the StudentVoice service to ascertain student and staff satisfaction: Residential Life, Career Services, Student Activities, Student Affairs Information Technology, Counseling and Mental Health Services, Student Health Services, Student Activities, and Dining Services.

Professional programs responding to accreditation needs, such as the National Council for Accreditation of Teacher Education (NCATE) for Education, ABET, Inc. for Engineering, the Association to Advance Collegiate Schools of Business (AACSB International) for Business, the Commission on Collegiate Nursing Education (CCNE) for Nursing, and the American Council on Pharmacy Education (ACPE) for pharmacy, 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.

Within the College of Agriculture & Natural Resources and the Ratcliffe Hicks School of Agriculture, departmental representatives have been progressing on assessment plans for each of their majors. Degree program competencies and outcomes have been established for each major and at least one method for measuring progress toward these has been identified. The OATS annual reporting system has been populated with program mission, goals, and outcomes. Measurement of student learning outcomes has taken place in some programs and reported in OATS while others are still evaluating measurement approaches. Graduate program assessment has started, with most programs beginning to define statements of learning outcomes.

The School of Business undergraduate programs have identified missions, goals, and learning outcomes that are partitioned into core and major specific areas. All undergraduate programs have collected assessment data for the objectives/outcomes which have been defined. Graduate student learning outcomes assessment in the School of Business is underway. As with the undergraduate programs, objective/outcome data demonstrated areas of strength and areas needing improvement. Measurement methods used vary across the Business disciplines but have typically used a course-embedded approach whereby data is collected from exercises, exams, projects, cases and presentations. Both undergraduate and graduate programs have populated OATS with their assessment information. Across the disciplines, methods continue to be revised to provide better measures of student learning.

The Center for Continuing Studies assessment plan has been developed for the Bachelor of General Studies (BGS) degree program. This includes the mission statement, student goals, learning outcomes and proposed methodologies, all of which have been entered into the OATS system. An integrative capstone course is being used as a primary method of measurement although formal data has not yet been analyzed. In addition, the feasibility of utilizing an e-portfolio system as a means to assess student

work over the course of their program, particularly as it relates to their interdisciplinary studies and goal-setting, is being researched.

Continuing Studies assessment plans for the Master of Professional Studies degree programs are being developed, specifically for the Human Resource Management, Humanitarian Services Administration, and Homeland Security Leadership programs. The six-credit capstone project course will serve as one of the primary methods of measurement. The purpose of the capstone is to reflect the student's development of subject matter expertise in an area related to their field of study.

The Neag School of Education operates an Office of Assessment which enhances the school's assessment culture and encourages evidence-based decisions which may advance knowledge, improve teaching, and transform learning. In addition, the office focuses its efforts on accreditation support, providing annual external and internal reports, facilitating survey and evaluation implementation, and conducting assessment and program evaluation research. Each Neag School of Education undergraduate and graduate program has established a mission, goals, objectives/outcomes, methods of student learning outcomes measurement with corresponding data collection procedures, and a cyclical approach for on-going review. All degree programs have included a summary-level report of assessment activity in OATS. . Highlights from each department in the Neag School of Education are as follows:

Kinesiology. Each of the undergraduate (exercise science, sport management, athletic training and strength & conditioning) and graduate (exercise science, sport management and physical therapy) programs have on-going program assessment. The undergraduate athletic training and doctor of physical therapy programs are accredited by the Commission on Accreditation of Athletic Training Education and the Commission on Accreditation in Physical Therapy Education respectively.

Curriculum and Instruction. Assessments are aligned with the Neag School of Education Conceptual Framework for Preparing Future Leaders in Education and, where appropriate, with the standards detailed by national, professional associations identified by NCATE (*e.g.*, the National Council for the Social Studies, the National Council of Teachers of English, the National Council of Teachers of Mathematics, the International Reading Association). Within program areas (*e.g.*, Elementary Education, Secondary Social Studies Education, Reading and Language Arts Education), faculty members use assessment data to monitor student progress along areas of development, determine student needs, and identify specific program revisions. Annually, across all programs, data collected at specific transition points is examined: 1) admission; 2) completion of the student teaching experience or clinical component; 3) completion of the internship experience, and 4) subsequent to completing the program.

Department of Educational Leadership. Performance data are collected at doctoral program benchmarks requiring candidates to pass comprehensive examinations, successfully defend dissertation proposals, and complete and defend dissertations. The Executive Leadership Program and the University of Connecticut Administrator Preparation Program follow the

guidelines for national and state accreditation as outlined by the National Council for Accreditation of Teacher Education (NCATE). The Educational Leadership Constituent Council (ELCC) standards are used as the basis to assess these two preparation programs – common course assessments aligned ELCC standards are administered annually and scored using common rubrics.

Department of Educational Psychology. Programs in school psychology, counseling, and special education use assessment data collected from their students as well as data gathered by the Neag School of Education Assessment Office for accreditation purposes. Students in School Psychology, for example, are assessed throughout their program: (a) pre-admission assessments; (b) formal evaluations such as course grades; (c) faculty reviews of student progress; (d) performance on the Master's Qualifying Examinations; (e) performance on the General Examination that incorporates both the National School Psychology Examination, and an applied, research-related, examination; (f) assessments of student progress through feedback from practica and internship field-based supervisors; (h) conduction and defense of dissertations; and (i) an Alumni Survey.

The School of Engineering has been doing assessment of student learning outcomes in all its undergraduate programs for over a decade as mandated by ABET, Inc. accreditation. A variety of indirect and direct methods of student learning outcomes assessment have been used by the Engineering programs. Graduate programs are not accredited by ABET, Inc. and therefore there has been little motivation to establish learning outcomes for the MS and PhD programs. Nevertheless, efforts to define the mission, goals, and learning outcomes for each of the graduate programs is underway.

The School of Fine Arts naturally conducts assessment in all of what it does when dealing with students. Focusing on the curriculum, rather than the individual, has been tougher to do. As a result, assessment efforts are underway but moving at a slower pace than some others. Nevertheless, student learning outcomes are being defined and assessment measurement has taken place in several programs.

The College of Liberal Arts & Sciences efforts in assessment of the undergraduate programs have been mixed and uneven. While some programs have defined their mission, goals, and outcomes, many are still struggling in articulating these pieces of an assessment plan. Some have populated OATS, while many have yet to do so. Those few programs that have completed an assessment cycle have benefitted from the information obtained; e.g., History learned of the need to connect earlier course work with its capstone experience. Overall, however, assessment efforts have been slow. In late 2010, the Dean of the College of Liberal Arts and Sciences agreed to work with his Associate Deans to ensure that all CLAS academic departments to ensure that each of them had at a minimum articulated unit missions, goals and learning outcomes, and had populated the OATS database with this information. While there is still a long way to go to meet the university's goal of full implementation of student learning outcomes measurement, implementation of this agreement is a great step forward.

The School of Nursing is fully accredited by the Collegiate Commission on Nursing Education and approved by the Connecticut State Board of Nurse Examiners for Nursing which means that assessment is part of their everyday life. National exams are used as part of the Nursing assessment strategy – students are expected to perform above the national average on the ATI Comprehensive RN Assessment Exam and graduates are expected to pass the NCLEX (National Council Licensure Examination). Internally, undergraduate and graduate programs are reviewed in depth every three years.

The School of Pharmacy operates an Office of Assessment and Accreditation which enhances the school's assessment culture and encourages evidence-based decisions to improve teaching and transform learning. In addition, the office provides accreditation support, provides annual external and internal reporting, and conducts assessment and program evaluation research. The School has implemented the RxOutcome assessment management system which allows mapping of objectives to courses and to ACPE standards along with the ability to compare individual student achievement and to make curricular improvement based on overall student achievement. RxPreceptor (part of same package) also allows for documentation of student clinical activities during experiential rotations, which then maps back to the objectives. As part of their assessment plan, the Doctor of Pharmacy (PharmD) program has established a mission, goals, objectives/outcomes, and methods of student learning outcomes measurement with corresponding data collection procedures. A variety of indirect and direct methods of student learning outcomes assessment are currently utilized in the PharmD program. Graduate programs are not accredited by ACPE and therefore little motivation exists to establish learning outcomes for the MS and PhD programs. Nevertheless, efforts are underway to define the mission, goals, and learning outcomes for each of the graduate programs.

The graduate programs in the School of Law and School of Social Work have begun to focus on assessment. Information on the pieces of an assessment plan has been shared and work is underway to define student learning outcomes for their degree programs. Some of the work associated with accreditation of these graduate programs will impact the assessment work.

The current set of General Education requirements was implemented in 2005. Over the course of the past three Academic Years, the General Education Oversight Committee, guided by its Assessment Subcommittee, has started an evaluation process to determine the extent to which the Gen Ed program is meeting its goals. In consultation with faculty teaching the respective Gen Ed courses, GEOC Subcommittees have translated the original criteria for the approval of courses in each Content Area into sets of student learning outcomes. Assessment documents including these student learning outcomes have been approved by GEOC for the Content Areas 2, 3, and 4 and are available on the GEOC website <http://www.geoc.uconn.edu/Assessment.htm>.

With respect to the actual assessment of Gen Ed Content Areas and Competencies, GEOC's Assessment Subcommittee, with GEOC's approval, has elected a focused approach that concentrates on limited numbers of students in restricted areas of the curriculum. Data gathering has focused and will continue to focus on approaches sufficient in depth and complexity and on samples of instructors and students sufficient in number to allow for valid conclusions and meaningful recommendations for the improvement and strengthening of the Gen Ed program.

Assessment of Writing (W). Under direction by the Director of the Writing Center, assessment of writing-in-the-major courses (final versions of last papers) in the departments of Art History, Human Development & Family Studies, Political Science, Electrical & Computer Engineering, Mechanical Engineering, and the School of Nursing has taken place. This effort established rubrics for discipline-specific writing in several departments each year and has helped the faculty in these departments substantially improve their discipline-specific writing courses. Writing at the first-year level has also taken place in the Freshman English (FE) program at all campuses. This effort confirmed the rigor of writing in the FE program and resulted in recommendations regarding effective writing assignments. Overall, the writing assessment has been designed as discipline-specific projects. While some rubrics are common to writing in general, writing in, for example, the Fine Arts is simply different than writing in the sciences.

Information Literacy Assessment. The Standardized Assessment of Information Literacy Skills (SAILS) test was administered to 823 students in English 110/111, during Fall 2007. Results indicate that SAILS evaluation outcomes of UConn students are generally comparable to – and in some cases ahead of – their peers at other institutions.

Assessment in the Content Areas. Assessment in the Content Areas (CA) has been structured to follow a staggered and sample approach which in each case may be adjusted to address the uniqueness of each CA. Phase I involves an inquiry into the extent to which courses address and assess student learning outcomes; identification of key courses for analysis; interviews with instructors; analysis of course materials; evaluation of resulting data, and sharing of results with participating faculty. Phase II involves either a revisiting and revising of student learning outcomes based on faculty input gathered at faculty forums and/or in focus groups, or the development, application, and evaluation of an appropriate student self-efficacy instrument, student surveys, and/or student focus groups pertaining to the given CA. This is followed by a dissemination of results of Phase I and II in panels or workshops and preparation activity for the assessment of actual student learning in the given CA. Phase III involves the development, application, and evaluation of direct assessment tools that are embedded in writing assignments, exams, reports, etc.; i.e., measuring student learning based on actual student artifacts, followed by recommendations to instructors and GEOC on how to improve student learning based on the results of the data collection and their evaluation with further dissemination of the results. Phase IV involves the development, application, and evaluation of direct assessment tool templates, e.g., question structures to be used in the respective CA courses; refining of the student self-efficacy instrument and new application; specific assessment foci, e.g., lab courses, TA-led discussion sections, etc.; recommendations of improvements in teaching courses in the CA in question; and dissemination of assessment results to CA-specific instructors and GEOC.

Content Area 1 (Arts and the Humanities) (pre-Phase 1). Assessment efforts in CA1 have been slow and suffer in large part from the design of this area of the General Education curriculum. Specifically, courses appropriate to this category must, through historical, critical and/or aesthetic modes of inquiry, introduce to students to and engage them in at least one of five general goals. As a result, there are a wide variety of courses included in this content area, with some or little overlap in the learning expectations. For this reason, defining appropriate learning outcomes for this General Education

content area has been slow and plagued by the nature in which the criteria for course approval was originally set up. Learning outcomes have been defined, but revisions are ongoing in preparation for beginning Phase 1 of the approach being used to assess General Education.

Content Area 2 (Social Sciences) (Phase 1). The assessment effort in CA2 is in the beginning stages with the identification of key courses; interviews with instructors; analysis of course materials; evaluation of resulting data and sharing of results with participating faculty; recommendations to GEOC about how to proceed all to be addressed. Through discussions with nine Storrs instructors of large-enrollment CA2 departments and independent assessments of how these same instructors assess student learning based on syllabi, examinations, and other assignments, it was revealed that some of the learning goals and learning outcomes should be re-specified. For example, the CA2 course criteria of introducing students to “ethical problems social scientists face” and the CA2 learning outcome of “students should be familiar with some methods used in the social sciences including the ethical considerations of their use” means ethics should be discussed as a research methods issue. Instructors, however, discussed many ways that they teach about ethics relevant to their disciplines, but these are not always with reference to research methods or even how research is used.

Content Area 3 (Science and Technology) (Phase III). A student self-efficacy instrument was administered pre- and post-course. Analysis of the results led to recommended changes to the self-efficacy instrument; suggestions for a more in-depth study of negative student responses to CA3 laboratory sections; ideas for implementation of assessment of student learning during a subsequent term; and reporting of the results from the survey during a workshop. Despite initial enthusiasm of the faculty group involved, the actual participation in the assessment of student learning was very low. The suggested course-embedded approach using final exam questions needs to be revisited since the faculty found the actual writing of these questions to be an obstacle.

Content Area 4 (Diversity and Multiculturalism/International) (Phase IIa). The nature of this area, which involves not just knowledge and skills but also attitudes and behaviors, makes it very difficult to assess. Courses within the area are required to meet one out of five possible criteria, allowing for a wide range of subject matter and approaches. Based on the input of faculty interviewed about their addressing and assessing the CA4 learning goals and student learning outcomes in their CA4 courses, it was recommended that the CA4 learning goals and student learning outcomes be revisited and revised with the help of faculty who teach CA4 courses. This effort is ongoing, with revisions being made to the learning outcomes recently completed.

## Standard Five

### Faculty

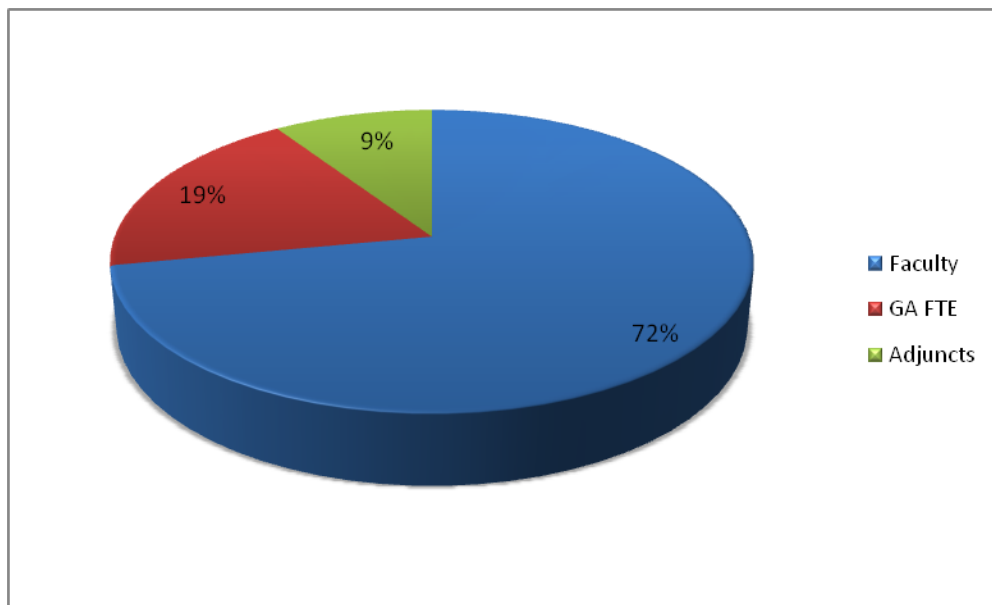
#### FACULTY COMPOSITION, SIZE AND QUALIFICATIONS

##### Composition

As depicted in the chart below, there are three basic categories of instructional faculty at the University of Connecticut: full-time regular payroll (72%), graduate teaching assistants (19%) and adjuncts (9%). It should be noted that a large majority of the graduate teaching assistants already have master's degrees. The heaviest use of adjuncts occurs where there is a need for specialized courses, but not sufficient demand to justify hiring a full-time faculty member.

**Figure: 1 Percent FTE Fall 2010**

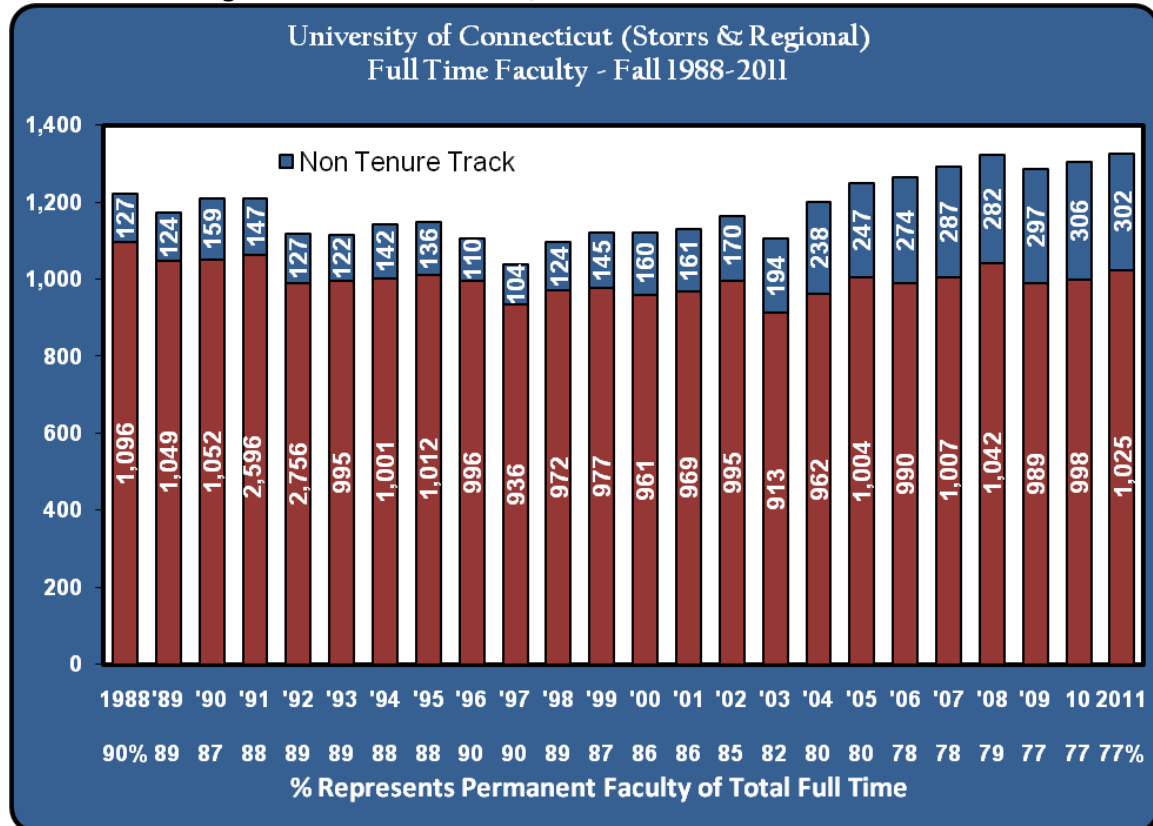
Faculty	GA FTE	Adjuncts
71.99%	18.66%	9.36%



In the 2009-2010 academic year, the percentage of full-time teaching faculty was evenly distributed across the three tenure-track ranks. Twenty-nine percent of the tenure-track faculty were assistant professors, 33% are associate professors, and 35% are full professors. (An additional 3% of teaching faculty are instructors). All told, just under two-thirds, 64%, of the full-time teaching faculty have tenure. This represents a rather “young” faculty, at least as compared to the past several decades. From 1980 to 2000, the average percentage of full-time teaching faculty with tenure was steady at about 73%. See Exhibit 5.1.

It should be noted that within the category of full-time regular payroll faculty, there are two groups: tenured/tenure-track and annual renewal. Between 1988 and 2011, the percentage of tenured/tenure-track faculty decreased from 90% to 77% (estimated).

**Figure 2: Full-time Tenured/Tenure-Track vs. Non Tenure-Track**



While a clear majority of teaching faculty are men, the gender equality of the faculty has steadily increased over the past several years. Currently 63% of the full-time teaching faculty are male; however, this varies considerably by rank. Three-fourths (76%) of the full professors are men, as are 62% of associates, 50% of assistants, 63% of instructors, and 38% of lecturers. The even distribution of gender in the junior ranks suggests that the senior ranks will display more equality in the future. Certainly, gender equality has increased in past decades. In 1970, a full 84% of full-time teaching faculty were men. This dropped to 76% by 1990, and now it's down to 63%. See Exhibit 5.2.

Corresponding to the uneven gender distribution across rank, there is also uneven distribution by tenure. Across all University of Connecticut campuses, including the Law School and School of Social Work, 69% of male faculty members have tenure whereas only 50% of women do. See Exhibit 5.3.

The University of Connecticut Academic Plan measures the percentage of women in tenured or tenure-track positions (which does not include lecturers and instructors, as the full-time teaching position data above do). Currently 33% of all tenured or tenure-track positions are held by women. This is up from 30% just four years ago, but it still falls short of the 40% that is the Academic Plan goal by 2014. See Exhibit 5.3.



In terms of racial and ethnic diversity, currently 20% of the faculty are racial minorities, which is up from 2007, when it was only 18%, and it is approaching the Academic Plan goal for 2014, which is 22%. See Exhibit 5.4.

Another, closely-related concept of racial and ethnic diversity is “underrepresented” faculty. These are faculty who report themselves as Black, Hispanic, or Native American. Using the federal definition, which excludes non-resident aliens, the percentage of underrepresented faculty members was 8% in Fall of 2009. This percentage has been stable over the previous five years. As a way of placing the University of Connecticut’s success in this area into a broader context, we can compare this percentage to that of eight other public universities which have been deemed peer institutions. They are Iowa State University, Ohio State University, Purdue University, Rutgers State University of New Jersey, University of Georgia, University of Iowa, University of Minnesota-Twin Cities, and University of Missouri-Columbia. The average percentage of underrepresented faculty in these peer institutions is 6%, and only Georgia, at 9%, has more underrepresented faculty than does the University of Connecticut. See Exhibit 5.4.

For a comprehensive compilation of data regarding faculty at the University of Connecticut, see Exhibits 5.1-5.9.

## **Size**

As a way of gauging the size of the University of Connecticut faculty, the Storrs campus currently has 1,011 full-time teaching faculty. Fifty-two percent are in the College of Liberal Arts and Science, 11% are in the School of Engineering, 9% are in the School of Business, and the rest are distributed among the remaining schools. In addition, there are 117 faculty at the regional campuses, 45 in the Law School, and 26 at the School of Social Work. See Exhibit 5.5.

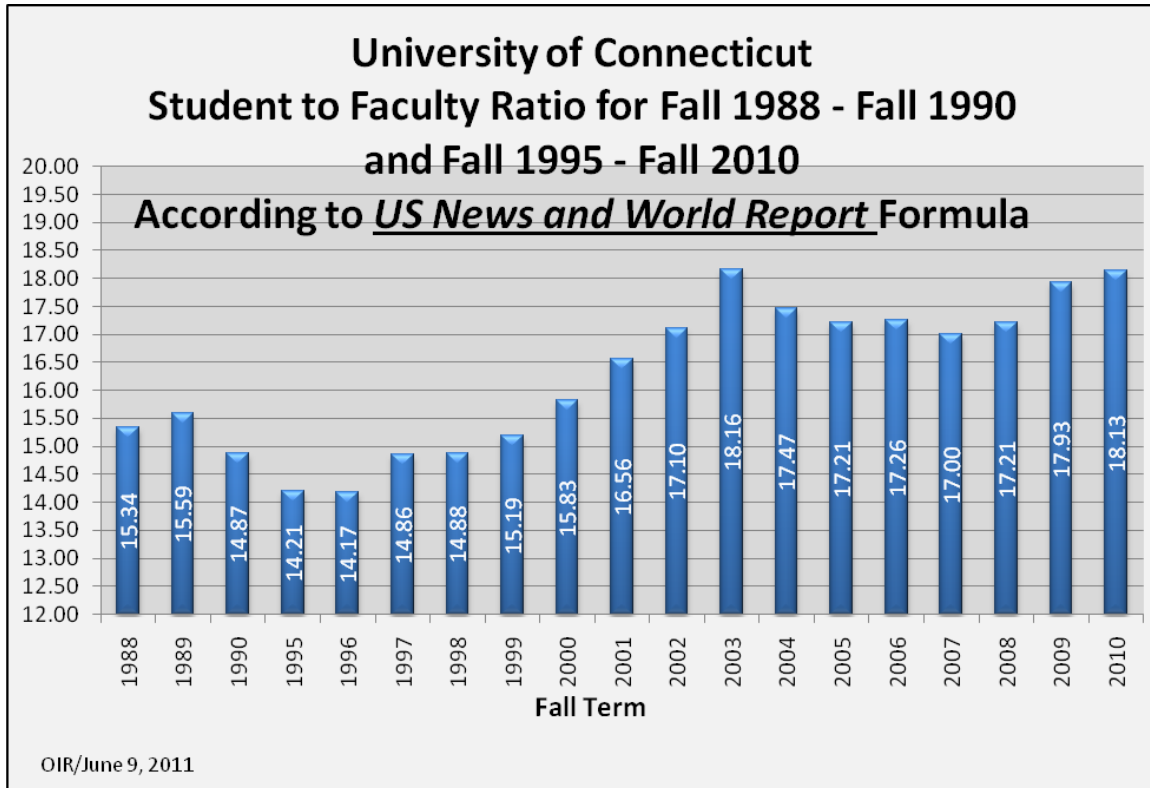
Over the last forty years, the number of full-time teaching faculty at the Storrs campus has displayed a u-shaped pattern. In 1970, there were 1,105 faculty at Storrs, four more than there are currently. However, the number of faculty dropped steadily over the next thirty years, to 991 in 1980, 947 in 1990, and to a nadir of 848 in 2003. Since then, however, the number of full-time teaching faculty has steadily increased, adding about 27 net faculty each year. See Exhibit 5.6.

The Academic Plan goal for new faculty is a net increase of 145 from 2007 to 2014. As of 2010, this increase was at +40—in the right direction, but not currently keeping pace with the goal projections.

Perhaps a more meaningful measure of faculty size is not in terms of raw numbers but rather the ratio of students to faculty. This ratio represents the availability of faculty resources in completing the teaching mission of the University, and presumably the lower the ratio, the more effective the University accomplishes its mission.

Below is a chart that depicts the change in the student to faculty ratio over time:

Figure 3: Numerical Student-Faculty Ratio



A measure of the student-faculty ratio comes from U.S. News and World Report. It's formula is based on full-time equivalent students and. Using this method, the student-faculty ratio was 17 in the years 2007 to 2009, and currently it's 18:1. During the period 1988 through present, the number of full-time teaching faculty has remained relatively flat, while the number of students has increased significantly. The present student-faculty ratio of 18:1 is above the average of our peer institutions, which in 2008 was 16. It's a larger ratio than found at Iowa State, Ohio State, Purdue, Rutgers, Iowa, but below Georgia, Minnesota, Missouri. The Academic Plan goal for this area is a student-ratio of 15 by the year 2014. This represents a 17% reduction from current levels, and the current trend of steadily increasing student-faculty ratio does not bode well for reaching this goal. See Exhibit 5.7.

### Qualifications

The qualifications of the University of Connecticut faculty are illustrated by the possession of terminal degrees. A full 944 out of 1,003 (94%) full-time faculty members have terminal degrees, which far exceeds that of part-time faculty, of whom 96 out of 330 (29%) have terminal degrees. See Exhibit 5.8.

### FACULTY TERMS OF EMPLOYMENT

The faculty terms of employment are governed by the provisions of the AAUP Collective Bargaining contract.

## **TEACHING AND ADVISING**

### **Advising**

As the logical consequence of an increased student-faculty ratio, faculty members teach increasingly high credit hours per faculty member. This rate is estimated by counting all the student credit hours offered by undergraduate courses at all University of Connecticut campuses and dividing it by the number of full-time faculty. Currently, the number of teaching credit hours taught per faculty is 460 hours. This is up significantly from the previous four years, when it ranged from 436 to 442 hours, but it's still less than the Academic Plan goal of 470 credit hours by 2014.

### **Teaching Load**

Similarly, the graduate and professional credit hours per faculty can be calculated based on the number of credit hours in courses taken by graduate and post-baccalaureate students in all schools and colleges (except Medicine and Dental Medicine). The current rate is 89 credit hours per faculty member. This is up from 85 hours in 2006, and 87 hours in 2009, and it just about reaches the Academic Plan goal of 90 by 2014.

### **Assessment of Teaching Quality and Student Learning Outcomes**

Overall in units within the institution, the quality of teaching currently is judged almost exclusively by using teacher evaluations filled out by students at the end of the semester. The current average for courses at all levels is 8.8 on a scale of 10. This represents an increase over the past decade; from Fall 2000 to Spring 2005, the average was 8.6, and from Fall 2005 to Spring 2008, it was 8.7. It's not entirely clear, however, what prompts this increase. It could reflect more effective teaching, or it could represent faculty who garner lower teaching scores becoming less willing to hand out evaluations, since they are optional. If lower-scoring faculty drop out of the evaluation pool, scores will rise even without a general increase in teaching quality.

The range of teaching evaluation scores varies by class level, with upper-division classes typically getting the highest scores. The average evaluation score for classes at the 0000, 1000, or 2000 level, the so-called "lower division" of typically freshman and sophomore classes, was 8.7. For classes at the 3000, 4000, or 5,000 level, the so-called "upper division" and masters classes, it was 8.9. For doctoral classes at the 6000 level, it was 9.2. Overall, the areas in which faculty received the highest evaluation scores were "preparation", "interest and concern", and "graded fairly," all of which averaged at least 9.0. The areas with the lowest scores were "stimulated interest" and "presentation of material", which scored 8.6 or lower.

In the last several years, the University's Faculty Standards Committee has overseen the creation of new evaluation forms. These forms represent an improvement in several ways. Significantly, they use standard strongly-agree to strongly-disagree Likert scales to measure

students' attitudes. These scales are more intuitive than the previous measuring scale, which had students rank professors from "unacceptable" to "outstanding" on a 10-point scale. Also, the new evaluation forms contain several useful measures of students' general impressions of the course. These include statements about why they took the course, how much they desired to take it, how difficult the course was for them, and how much overall did they learn. Finally, the new evaluations offer separate batteries of questions for the instructor versus the course, thus not penalizing good instructors who teach difficult or unpopular courses nor over-rewarding poor instructors who teach well-liked courses.

The Provost's Office is in the process of soliciting a computer program that will allow for online student evaluation of faculty teaching. This electronic teacher evaluation system will almost certainly not be operational before fall of 2012.

See the Areas of Particular Emphasis and Standard Four for a discussion on the status of assessment of student learning outcomes. See also Standard Seven for more on faculty instructional assistance available through the Institute of Teaching and Learning.

## **SCHOLARSHIP, RESEARCH AND CREATIVE ACTIVITY**

Faculty members' scholarship is measured along several dimensions. Most basic is the number of publications. In the 2009-2010 academic year, University of Connecticut faculty members published 2394 articles in referred journals. This represents a sharp increase over the previous years; in 2007 it was 2,154 articles and in 2008 it was 2,233. The Academic Plan goal is 2400 articles by the year 2014—a goal nearly realized. Book publishing has displayed less steady growth. The number of books published in the 2009-2010 year was 178, which was greater than 2008, with 161 books, but a bit lower than 2007, with 183 books. The goal for 2014 is for University of Connecticut faculty to publish 200 books a year.

Regarding grant-getting activity, the dollars received in extramural funding have considerably increased in recent years. In the last academic year, University of Connecticut faculty brought in 227 million dollars in extramural research awards. This is up from 2007, when it was 186 million, 2008, when it was 194.5 million, and even 2009, when it was 210 million. In fact, the Academic Plan goal for grant funding is 220 million dollars by the year 2014, which has already been exceeded. The research and training grants received came from a variety of federal and other agencies, including the U.S. Department of Agriculture, National Science Foundation, National Institutes of Health, National Endowment for the Humanities, and many others, and from such prestigious private entities as Carnegie Corporation of New York, Donaghue Medical Research Foundation, Ford Foundation, and Andrew W. Mellon Foundation.

In another measure of external funding, the National Science Foundation measure of external research expenditures was \$124,000 per faculty member. This is down slightly from 2007, when it was \$128,000 per faculty member, and the goal for 2014 is \$150,000. This rate of expenditure places us below the average of our peer institutions, which is \$144,000.

## **INSTITUTIONAL SUPPORT OF RESEARCH**

The University of Connecticut supports its faculty members' research in numerous ways, two of which are highlighted here. The Storrs campus has more than 70 different centers and institutes that support research and graduate education. Examples include Biotechnology/Bioservices Center, Center for Environmental Sciences and Engineering, and the Center for Population Research.

Also, the University of Connecticut offers grants that promote collaboration between researchers at the Storrs campus and the Health center. Six of these year-long grants were awarded, and they are evaluated based on proposals' ability to attract external funding, the interdisciplinary nature of the project, and the ability of the proposal to support the University's application for federal agency grants linked to translating scientific research into practical applications in the medical field.

The University also has an extensive Office of Sponsored Programs (OSP) within the Office of the Vice President for Research, which supports faculty sponsored research activities at the University. OSP is the central point of coordination for sponsored projects and the University's authorized representative for grants, contracts and other agreements from government agencies, private industry, and non-profit foundations. The University Health Center operates with a similar office, Office of Research and Sponsored Programs (<http://orsp.uchc.edu>).

## **APPRAISAL**

The University of Connecticut has substantial gender and ethnic diversity. Its full-time faculty has a very high degree of terminal qualifications. Its part-time faculty has a high degree of terminally qualified individuals, if the graduate student Teachings Assistants are removed from the calculation, which is appropriate, since they are by definition not terminally qualified.

In 2008, and again in 2010, the University of Connecticut participated in a survey of tenure-track untenured Assistant Professors conducted by Harvard University's Collaborative on Academic Careers in Higher Education (COACHE). The results of the 2010 survey were received in mid-June 2011 and are still under review. UConn administrators were heartened by the high overall assessment of the institutions by its junior faculty, notably the strengths of tenure practices and expectations. However, as might be expected, the study pointed out a number of areas for improvement: ability to select courses to teach and personal interaction with pre-tenure colleagues. The Provost has expressed strong support for making productive changes to support the concerns of junior faculty. COACHE is planning on launching a related survey aimed at tenured faculty in Academic Year 2011-12, and the University of Connecticut intends to participate. (The 2010 executive summary of the COACHE summary is available in Exhibit 5.10.)

Certain issues regarding faculty instruction need further review. These include augmenting in a systematic way evaluation of teaching effectiveness by extending assessment of teaching to include modalities other than utilization of student teacher evaluation forms; determining whether administration of teacher evaluation forms or some other methods of teaching effectiveness should be made mandatory; and continuing to foster assessment of student learning outcomes.

The student-faculty ratio currently does not seem to be moving towards the Academic Plan's espoused goal of 15:1, although that ratio is certainly well within the NEASC CIHE standards' requirement for an adequate number of faculty to carry out the institution's purposes. Indeed, the student to faculty ratio is virtually identical to what it was in 1970, but this number is misleading. During this period, the percentage of full-time tenured and tenure-track faculty has declined, due to replacements with full-time but not tenure-track appointments.

The significant increase in non-tenured full-time regular payroll faculty, vis-à-vis tenured/tenure-track full-time regular payroll faculty also bears watching in the future.

## **PROJECTION**

The appraisal section identifies a number of issues regarding faculty and their activities. These issues are already well-known to academic administrators, faculty leaders, and the faculty union. It is anticipated that these issues will be addressed to the extent that financial resources permit during the next five years leading up to the decennial re-accreditation review.

## **INSTITUTIONAL EFFECTIVENESS**

Through annual and biennial academic review and 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. 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. The faculty is of very high caliber and very productive. However, the increased student faculty ratio is troubling, along with the need for a strategic dialog about the mix of types of faculty and instructional personnel carrying out the tripartite missions of teaching, research and service.

# Exhibit 5.1

Tenure Status of the Full-time  
Teaching Faculty, by Rank

Selected Years: 1970-1971 to  
2009-2010

University of Connecticut  
(Excluding Health Center)  
Tenure Status of the Full-time Teaching Faculty, by Rank  
Selected Years - 1970-1971 to 2009-2010

Rank	1970-1971		1980-1981		1990-1991		2000-2001		2009-2010	
	N	n ten % ten	N	n ten % ten	N	n ten % ten	N	n ten % ten	N	n ten % ten
Professor	306	282 92.2%	478	460 96.2%	530	513 96.8%	443	435 98.2%	405	392 96.8%
Associate	358	232 64.8%	370	319 86.2%	297	245 82.5%	315	297 94.3%	380	342 90.0%
Assistant	379	59 15.6%	237	58 24.5%	245	39 15.9%	236	15 6.4%	337	7 2.1%
Instructor	139	15 10.8%	47	3 6.4%	14	0 0.0%	13	0 0.0%	30	0 0.0%
<b>4-Rank Total</b>	<b>1,182</b>	<b>588 49.7%</b>	<b>1,132</b>	<b>840 74.2%</b>	<b>1,086</b>	<b>797 73.4%</b>	<b>1,007</b>	<b>747 74.2%</b>	<b>1,152</b>	<b>741 64.3%</b>
Lecturer	20	0 0.0%	42	1 2.4%	36	0 0.0%	34	0 0.0%	47	0 0.0%
<b>5-Rank Total</b>	<b>1,202</b>	<b>538 48.9%</b>	<b>1,174</b>	<b>841 71.6%</b>	<b>1,122</b>	<b>797 71.0%</b>	<b>1,041</b>	<b>747 71.8%</b>	<b>1,199</b>	<b>741 61.8%</b>

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fall09fb.xls

N = total number  
n ten = number tenured  
% ten = percent tenured



## Exhibit 5.2

(1) Full-time Teaching Faculty  
by Rank and Sex, with  
Percentage Distribution  
Among Ranks

1960-1961, 1965-1966,  
1970-1971, and 1974-1975  
to 2009-2010

(2) Total University Full-time  
Faculty, Selected Years,  
Fall 1975-2009

**UNIVERSITY OF CONNECTICUT**  
(Excluding Health Center)  
**Full-time Teaching Faculty by Rank and Sex, with Percentage Distribution Among Ranks**  
**1960-1961, 1965-1966, 1970-1971, and 1974-1975 to 2009-2010**

	Professors*			Associate Professors			Assistant Professors			Instructors			Lecturers			Five Ranks Combined		
	M	F	Total rank % in	M	F	Total rank % in	M	F	Total rank % in	M	F	Total rank % in	M	F	Total rank % in	M	F	Total rank % in
1960 - 1961	0	0	99 17.5	0	0	131 23.5	0	0	174 30.7	0	0	162 28.6	0	0	0 00.0	0	0	566 100.0
1965 - 1966	156	6	162 19.7	181	20	201 24.5	264	44	308 37.6	107	42	149 18.2	0	0	0 00.0	708	112	820 100.0
1970 - 1971	287	19	306 25.4	318	40	358 29.8	299	80	379 31.5	84	55	139 11.6	16	4	20 01.7	1,004	198	1,202 100.0
1974 - 1975	341	26	367 31.8	308	51	359 31.1	228	86	314 27.2	38	35	73 06.3	26	16	42 03.6	941	214	1,155 100.0
1975 - 1976	376	25	401 35.4	290	53	343 30.3	228	77	305 26.9	24	32	56 04.9	16	12	28 02.5	934	199	1,133 100.0
1976 - 1977	389	29	418 36.6	282	56	338 29.6	220	84	304 26.7	19	28	47 04.1	18	18	34 03.0	926	215	1,141 100.0
1977 - 1978	413	33	446 38.9	293	52	345 30.1	194	90	284 24.8	17	25	42 03.7	14	15	29 02.5	931	215	1,146 100.0
1978 - 1979	421	29	450 39.0	295	55	350 30.3	190	90	280 24.3	18	23	41 03.5	18	15	33 02.9	942	212	1,154 100.0
1979 - 1980	432	32	464 40.4	296	59	355 30.9	171	84	255 22.2	18	26	44 03.6	17	14	31 02.7	934	215	1,149 100.0
1980 - 1981	443	35	478 40.7	306	64	370 31.5	155	82	237 20.2	22	25	47 04.0	23	19	42 03.6	949	225	1,174 100.0
1981 - 1982	459	38	497 42.4	297	71	368 31.4	141	89	230 19.6	26	20	46 03.9	15	15	30 02.6	938	233	1,171 100.0
1982 - 1983	471	42	513 45.0	280	71	351 30.8	141	68	209 18.3	20	15	35 03.1	16	17	33 02.9	928	213	1,141 100.0
1983 - 1984	470	48	518 45.7	269	70	339 29.9	143	71	214 18.9	14	12	26 02.3	17	19	36 03.2	913	220	1,133 100.0
1984 - 1985	477	52	529 46.8	269	71	340 30.1	134	73	207 18.3	13	7	20 01.7	16	19	35 03.1	909	222	1,131 100.0
1985 - 1986	484	52	536 47.5	263	75	338 29.9	132	78	210 18.6	8	6	14 01.2	16	16	32 02.8	903	227	1,130 100.0
1986 - 1987	501	54	555 49.1	254	80	334 29.6	125	71	196 17.3	8	5	13 01.2	16	16	32 02.8	904	226	1,130 100.0
1987 - 1988	503	51	554 49.0	256	80	336 29.7	121	75	196 17.4	4	3	7 00.6	16	21	37 03.3	900	230	1,130 100.0
1988 - 1989	490	57	547 48.2	254	76	330 29.0	131	86	217 19.1	8	5	13 01.1	13	16	29 02.6	896	240	1,136 100.0
1989 - 1990	462	58	520 47.7	232	77	309 28.3	134	89	223 20.5	5	5	10 00.9	13	15	28 02.6	846	244	1,090 100.0
1990 - 1991	466	64	530 47.2	225	72	297 26.5	142	103	245 21.8	9	5	14 01.3	15	21	36 03.2	857	265	1,122 100.0
1991 - 1992	465	65	530 47.2	209	77	286 25.4	158	107	265 23.6	2	3	5 00.4	16	22	38 03.4	850	274	1,124 100.0
1992 - 1993	421	67	488 46.7	206	75	281 26.9	132	94	226 21.6	1	6	7 00.7	19	24	43 04.1	779	266	1,045 100.0
1993 - 1994	415	68	483 46.5	217	86	303 29.2	124	83	207 19.9	2	4	6 00.6	17	24	41 03.8	777	262	1,039 100.0
1994 - 1995	405	69	474 44.2	227	97	324 30.2	136	90	226 21.1	7	1	8 00.7	17	24	41 03.8	792	281	1,073 100.0
1995 - 1996	407	72	479 44.9	233	92	325 30.4	126	91	217 20.3	5	4	9 00.8	16	22	38 03.6	787	281	1,068 100.0
1996 - 1997	400	77	477 46.5	241	93	334 32.6	101	71	172 16.8	4	6	10 01.0	12	20	32 03.1	758	267	1,025 100.0
1997 - 1998	348	80	428 44.5	229	93	322 33.5	107	67	174 18.1	5	4	9 00.9	14	15	29 03.0	703	259	962 100.0
1998 - 1999	359	89	448 44.2	215	92	307 30.3	124	92	216 21.3	7	3	10 01.0	13	20	33 03.3	718	296	1,014 100.0
1999 - 2000	360	87	447 42.9	214	92	306 29.3	143	103	246 23.6	8	2	10 01.0	13	21	34 03.3	738	305	1,043 100.0
2000 - 2001	355	88	443 42.6	221	94	315 30.3	130	106	236 22.7	10	3	13 01.2	11	23	34 03.3	727	314	1,041 100.0
2001 - 2002	357	82	439 42.4	226	94	320 30.9	128	104	232 22.4	8	2	10 01.0	10	25	35 03.4	729	307	1,036 100.0
2002 - 2003	353	83	436 40.8	227	103	330 30.9	142	119	261 24.4	6	2	8 00.7	11	22	33 03.1	739	329	1,068 100.0
2003 - 2004	315	83	398 39.1	211	102	313 30.8	144	116	260 25.6	9	4	13 01.3	12	21	33 03.2	691	326	1,017 100.0
2004 - 2005	325	92	417 37.6	232	113	345 31.1	158	131	289 26.1	9	15	24 02.2	10	24	34 03.1	734	375	1,109 100.0
2005 - 2006	329	95	424 36.4	249	123	372 31.9	158	135	293 25.1	18	22	40 03.4	11	26	37 03.2	765	401	1,166 100.0
2006 - 2007	329	99	428 36.3	242	128	370 31.4	157	138	295 25.0	23	24	47 04.0	11	29	40 03.4	762	418	1,180 100.0
2007 - 2008	330	94	424 35.0	243	143	386 31.8	167	143	310 25.6	25	22	47 03.9	16	30	46 03.8	781	432	1,213 100.0
2008 - 2009	329	95	424 34.3	245	148	393 31.8	177	158	335 27.1	19	15	34 02.8	19	30	49 04.0	789	446	1,235 100.0
2009 - 2010	308	97	405 33.8	237	143	380 31.7	170	167	337 28.1	19	11	30 02.5	18	29	47 03.9	752	447	1,199 100.0

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\* University Professors included

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**University of Connecticut**  
**Total University (Excluding Health Center) Full-Time Faculty**<sup>1, 2</sup>  
**Selected Years, Fall 1975-2009**

	Black		Native American		Asian		Hispanic		White		Total Head Count	Number Female	Percent Female	Number Minority	Percent Minority
	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female					
Fall 1975		27									1,168	223	18.1%	63	5.1%
Fall 1979	16	8	0	0	28	5	13	2	956	220	1,176	235	18.8%	72	5.8%
Fall 1981	16	9	0	0	32	4	13	6	937	235	1,172	254	20.3%	80	6.4%
Fall 1983	16	8	1	0	37	5	11	5	906	219	1,125	237	19.6%	83	6.9%
Fall 1985	17	5	1	0	36	7	13	6	899	226	1,125	244	20.2%	85	7.0%
Fall 1987	20	7	1	0	41	8	13	8	883	229	1,112	252	20.8%	98	8.1%
Fall 1989	23	8	1	0	47	9	10	9	823	243	1,066	269	22.9%	107	9.1%
Fall 1991	23	8	1	0	60	11	15	9	816	268	1,084	296	24.4%	127	10.5%
Fall 1993	21	8	2	0	60	10	16	8	741	251	992	277	24.8%	125	11.2%
Fall 1995	25	8	1	0	68	14	20	10	734	268	1,002	300	26.1%	146	12.7%
Fall 1997	25	12	1	1	67	15	20	11	645	243	888	282	27.1%	152	14.6%
Fall 1998	26	13	2	0	70	19	20	15	658	273	931	320	29.2%	165	15.1%
Fall 1999	26	10	2	1	78	23	21	17	668	276	944	327	29.1%	178	15.9%
Fall 2000	24	10	2	1	75	20	21	17	662	289	951	337	30.1%	170	15.2%
Fall 2001	26	9	2	1	76	16	23	17	667	293	960	336	29.7%	170	15.0%
Fall 2002	25	11	2	1	88	18	25	17	671	307	978	354	30.4%	187	16.1%
Fall 2003	21	13	2	1	88	23	23	15	621	300	921	352	31.8%	186	16.8%
Fall 2004	24	10	2	1	90	24	24	16	651	358	1,009	409	34.1%	191	15.9%
Fall 2005	27	18	2	1	86	29	27	19	676	366	1,042	433	34.6%	209	16.7%
Fall 2006	28	18	2	2	89	34	30	21	662	378	1,040	453	35.8%	224	17.7%
Fall 2007	24	17	3	2	97	40	30	22	674	385	1,059	466	36.0%	235	18.2%
Fall 2008	29	20	3	2	102	42	30	20	676	400	1,076	484	36.6%	248	18.7%
Fall 2009	29	21	3	2	107	42	29	19	634	400	1,034	484	37.6%	252	19.6%

<sup>1</sup> Includes Faculty of all functions (instruction, research, administration, and service) including eleven-month faculty who also are assistant or associate deans.  
Includes all campuses except Health Center. Ethnic identity is counted regardless of citizenship status.

<sup>2</sup> White also includes the category of "other" and no ethnic information.

# Exhibit 5.3

Departmental Affiliation, Sex,  
and Tenure Status of the Full-  
time Teaching Faculty, 2009-  
2010

UNIVERSITY OF CONNECTICUT  
(Excluding Health Center)  
Departmental Affiliation, Sex, and Tenure Status of the Full-time Teaching Faculty  
2009-2010

College/School-Department <sup>1</sup>	Male		Female		Total	
	N	n ten	N	n ten	N	n ten
<b>Agriculture &amp; Natural Resources:</b>						
Agricultural & Resource Economics	5	4	3	2	8	6
Allied Health Sciences	2	2	10	3	12	5
Animal Science	8	7	4	2	12	9
Extension	0	0	1	1	1	1
Natural Resources Management & Engineering	11	8	0	0	11	8
Nutritional Sciences	3	2	5	2	8	4
Pathobiology	8	6	1	0	9	6
Plant Science & Landscape Architecture	10	9	6	4	16	13
<b>Sub-total: Agriculture &amp; Natural Resources</b>	<b>47</b>	<b>38</b>	<b>30</b>	<b>14</b>	<b>77</b>	<b>52</b>
<b>Business:</b>						
Accounting	15	9	2	1	17	10
Finance	13	7	0	0	13	7
Management	12	5	5	2	17	7
Marketing	10	4	4	3	14	7
Operations & Information Management	12	10	4	0	16	10
MBA Program - Hartford	1	0	0	0	1	0
MBA Program - Stamford	5	3	2	0	7	3
CT Information Technology Institute - Stamford	3	1	1	1	4	2
<b>Sub-total: Business</b>	<b>71</b>	<b>39</b>	<b>18</b>	<b>7</b>	<b>89</b>	<b>46</b>
<b>Education:</b>						
Curriculum & Instruction	9	6	12	4	21	10
Educational Leadership	3	2	6	1	9	3
Educational Psychology	14	11	12	6	26	17
Kinesiology	5	5	7	4	12	9
Physical Therapy	6	5	3	0	9	5
<b>Sub-total: Education</b>	<b>37</b>	<b>29</b>	<b>40</b>	<b>15</b>	<b>77</b>	<b>44</b>
<b>Engineering:</b>						
Chemical, Materials and Biomolecular Engineering	22	10	3	1	25	11
Civil & Environmental Engineering	19	8	4	2	23	10
Computer Science & Engineering	14	12	5	1	19	13
Electrical & Computer Engineering	19	15	3	1	22	16
Mechanical Engineering	22	13	0	0	22	13
<b>Sub-total: Engineering</b>	<b>96</b>	<b>58</b>	<b>15</b>	<b>5</b>	<b>111</b>	<b>63</b>
<b>Fine Arts:</b>						
Art	10	9	13	13	23	22
Dramatic Arts	10	7	5	3	15	10
Music	14	11	3	2	17	13
<b>Sub-total: Fine Arts</b>	<b>34</b>	<b>27</b>	<b>21</b>	<b>18</b>	<b>55</b>	<b>45</b>

Faculty as of 10/31/2009

(continued)

N = total      n ten = number tenured

<sup>1</sup> Faculty on leave without pay are omitted. Faculty in centers and institutes are counted according to departmental affiliation.

UNIVERSITY OF CONNECTICUT  
(Excluding Health Center)  
Departmental Affiliation, Sex, and Tenure Status of the Full-time Teaching Faculty  
2009-2010

College/School-Department <sup>1</sup>	Male		Female		Total	
	N	n ten	N	n ten	N	n ten
<b>Liberal Arts &amp; Sciences:</b>						
Anthropology	7	6	6	5	13	11
Biological Sciences:						
Ecology & Evolutionary Biology	20	15	8	8	28	23
Molecular & Cell Biology	23	16	10	5	33	21
Physiology & Neurobiology	10	8	6	4	16	12
Chemistry	29	18	4	2	33	20
Communication Sciences <sup>2</sup>	11	7	13	6	24	13
Economics	17	14	5	4	22	18
English	22	19	25	15	47	34
Family Studies	9	6	13	8	22	14
Geography	7	6	3	0	10	6
History	16	12	12	8	28	20
Journalism	5	3	2	1	7	4
Linguistics	6	5	5	3	11	8
Marine Science	9	7	3	2	12	9
Mathematics	34	16	6	3	40	19
Modern & Classical Languages	15	8	19	10	34	18
Philosophy	10	9	2	1	12	10
Physics	21	20	3	2	24	22
Political Science	16	10	11	5	27	15
Psychology	25	20	18	12	43	32
Public Policy - Hartford	5	3	2	1	7	4
Sociology	13	10	12	7	25	17
Statistics	8	6	3	2	11	8
Unaffiliated (no academic department)	0	0	1	0	1	0
<b>Sub-total: Liberal Arts &amp; Sciences</b>	<b>338</b>	<b>244</b>	<b>192</b>	<b>114</b>	<b>530</b>	<b>358</b>
<b>Nursing:</b>	<b>5</b>	<b>2</b>	<b>31</b>	<b>8</b>	<b>36</b>	<b>10</b>
<b>Pharmacy:</b>						
Pharmaceutical Science	11	8	4	3	15	11
Pharmacy Practice	9	4	12	0	21	4
<b>Sub-total: Pharmacy</b>	<b>20</b>	<b>12</b>	<b>16</b>	<b>3</b>	<b>36</b>	<b>15</b>
<b>Law:</b>	<b>27</b>	<b>17</b>	<b>18</b>	<b>7</b>	<b>45</b>	<b>24</b>
<b>Social Work:</b>	<b>5</b>	<b>4</b>	<b>21</b>	<b>14</b>	<b>26</b>	<b>18</b>
<b>University of Connecticut at:</b>						
Avery Point	15	9	5	1	20	10
Hartford	15	12	7	4	22	16
Stamford	27	18	14	6	41	24
Torrington	3	1	5	1	8	2
Waterbury	12	7	14	7	26	14
<b>Sub-total: Regional Campuses</b>	<b>72</b>	<b>47</b>	<b>45</b>	<b>19</b>	<b>117</b>	<b>66</b>
<b>GRAND TOTAL</b>	<b>752</b>	<b>517</b>	<b>447</b>	<b>224</b>	<b>1199</b>	<b>741</b>
<b>Percent Tenured</b>		<b>68.8%</b>		<b>50.1%</b>		<b>61.8%</b>

Faculty as of 10/31/2009

N = total      n ten = number tenured

OIR/December, 2009

<sup>1</sup> Faculty on leave without pay are omitted. Faculty in centers and institutes are counted according to departmental affiliation.

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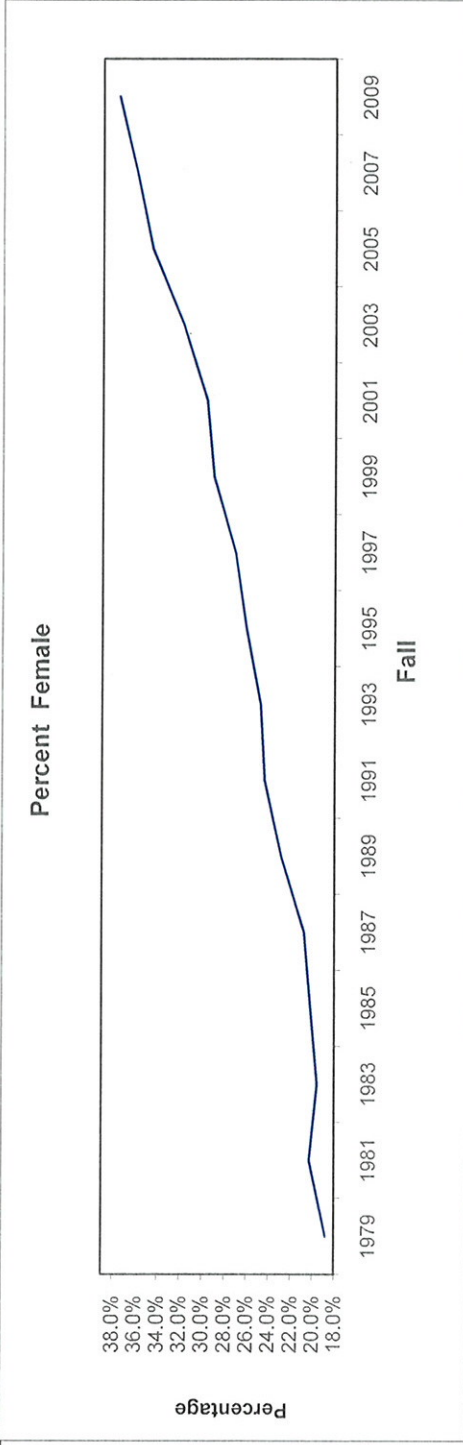
<sup>2</sup> Includes 5 clinical speech pathologists/audiologists.

# Exhibit 5.4

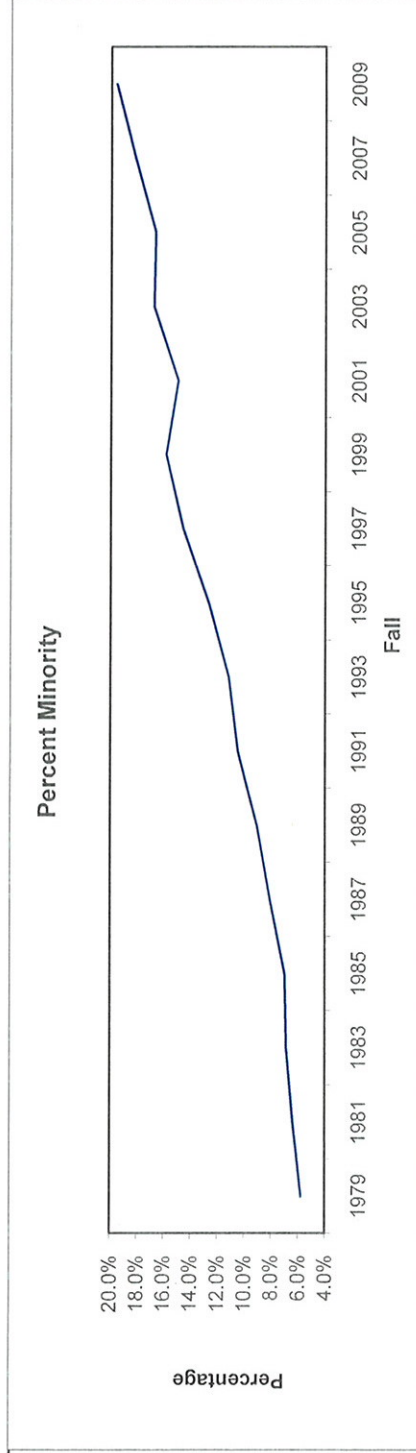
- (1) Percentage of Full-time Faculty Who are Female and Minority
- (2) University Staff By Percent Employed by Gender, Fall, 2010
- (3) University Staff By Ethnic Group, Fall, 2010
- (4) University Staff By Ethnic Group (Non Resident Aliens Included in Ethnic Groups), Fall, 2010

University of Connecticut  
 Percent of Total University (Excluding Health Center) Full-time Faculty Who are Female and Minority  
 Selected Years, Fall 1979-2009

Fall	% Female
1979	18.8%
1981	20.3%
1983	19.6%
1985	20.2%
1987	20.8%
1989	22.9%
1991	24.4%
1993	24.8%
1995	26.1%
1997	27.1%
1999	29.1%
2001	29.7%
2003	31.8%
2005	34.6%
2007	36.0%
2009	37.6%



Fall	% Minority
1979	5.8%
1981	6.4%
1983	6.9%
1985	7.0%
1987	8.1%
1989	9.1%
1991	10.5%
1993	11.2%
1995	12.7%
1997	14.6%
1999	15.9%
2001	15.0%
2003	16.8%
2005	16.7%
2007	18.2%
2009	19.6%



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UNIVERSITY OF CONNECTICUT  
(Excluding Health Center)  
University Staff  
By Percent Employed and By Gender  
Fall, 2010

Storrs Campus <sup>1</sup>

	<i>Full-time</i>	<i>Part-time</i>	<i>Total</i>	<i>Female</i>	<i>Male</i>	<i>Total</i>
Faculty	1,093	38	1,131	423	708	1,131
Executive/Management	91	1	92	31	61	92
Professional	1,708	161	1,869	1178	691	1,869
Classified	830	14	844	377	467	844
<b>Sub-total Storrs</b>	<b>3,722</b>	<b>214</b>	<b>3,936</b>	<b>2,009</b>	<b>1,927</b>	<b>3,936</b>
Graduate Assistants		2162	2,162	1045	1117	2,162
<b>Total Storrs</b>	<b>3,722</b>	<b>2,376</b>	<b>6,098</b>	<b>3,054</b>	<b>3,044</b>	<b>6,098</b>

Other Locations <sup>2</sup>

	<i>Full-time</i>	<i>Part-time</i>	<i>Total</i>	<i>Female</i>	<i>Male</i>	<i>Total</i>
Faculty	211	5	216	104	112	216
Executive/Management	14	-	14	7	7	14
Professional	275	33	308	227	81	308
Classified	99	13	112	59	53	112
<b>Sub-total Other Locations</b>	<b>599</b>	<b>51</b>	<b>650</b>	<b>397</b>	<b>253</b>	<b>650</b>
Graduate Assistants		13	13	9	4	13
<b>Total Other Locations</b>	<b>599</b>	<b>64</b>	<b>663</b>	<b>406</b>	<b>257</b>	<b>663</b>

Total

	<i>Full-time</i>	<i>Part-time</i>	<i>Total</i>	<i>Female</i>	<i>Male</i>	<i>Total</i>
Faculty	1,304	43	1,347	527	820	1,347
Executive/Management	105	1	106	38	68	106
Professional	1,983	194	2,177	1405	772	2,177
Classified	929	27	956	436	520	956
<b>Sub-total</b>	<b>4,321</b>	<b>265</b>	<b>4,586</b>	<b>2,406</b>	<b>2,180</b>	<b>4,586</b>
Graduate Assistants		2,175	2,175	1054	1,121	2,175
<b>University Total</b>	<b>4,321</b>	<b>2,440</b>	<b>6,761</b>	<b>3,460</b>	<b>3,301</b>	<b>6,761</b>

OIR/January, 2011

staff10.xls

<sup>1</sup> The faculty and staff of the Marine Science Department and the MPA Program (Public Policy) are counted as located on the Storrs campus.

<sup>2</sup> Includes the faculty and staff in the Schools of Social Work and Law, and the Hartford and Stamford MBA programs.

UNIVERSITY OF CONNECTICUT  
(Excluding Health Center)  
University Staff  
By Ethnic Group  
Fall, 2010

**Storrs Campus <sup>1</sup>**

	Asian American	African American	Hispanic American	Native American	White	Other	Non Resident Aliens	Total
Faculty	127	36	40	3	860	15	50	1,131
Executive/Management	2	9	1	-	77	3	-	92
Professional	74	65	52	7	1548	39	84	1,869
Classified	8	26	93	2	713	2	-	844
<b>Sub-total Storrs</b>	<b>211</b>	<b>136</b>	<b>186</b>	<b>12</b>	<b>3198</b>	<b>59</b>	<b>134</b>	<b>3,936</b>
Graduate Assistants	75	61	69	6	1055	102	794	2,162
<b>Total Storrs</b>	<b>286</b>	<b>197</b>	<b>255</b>	<b>18</b>	<b>4253</b>	<b>161</b>	<b>928</b>	<b>6,098</b>

**Other Locations <sup>2</sup>**

	Asian American	African American	Hispanic American	Native American	White	Other	Non Resident Aliens	Total
Faculty	10	14	10	2	170	6	4	216
Executive/Management	1	5	-	-	8	-	-	14
Professional	7	29	16	-	255	1	-	308
Classified	1	26	12	-	73	-	-	112
<b>Sub-total Other Locations</b>	<b>19</b>	<b>74</b>	<b>38</b>	<b>2</b>	<b>506</b>	<b>7</b>	<b>4</b>	<b>650</b>
Graduate Assistants	-	2	1	-	5	1	4	13
<b>Total Other Locations</b>	<b>19</b>	<b>74</b>	<b>38</b>	<b>2</b>	<b>511</b>	<b>8</b>	<b>8</b>	<b>663</b>

**Total**

	Asian American	African American	Hispanic American	Native American	White	Other	Non Resident Aliens	Total
Faculty	137	50	50	5	1,030	21	54	1,347
Executive/Management	3	14	1	-	85	3	-	106
Professional	81	94	68	7	1,803	40	84	2,177
Classified	9	52	105	2	786	2	-	956
<b>Sub-total</b>	<b>230</b>	<b>210</b>	<b>224</b>	<b>14</b>	<b>3,704</b>	<b>66</b>	<b>138</b>	<b>4,586</b>
Graduate Assistants	75	63	70	6	1,060	103	798	2,175
<b>University Total</b>	<b>305</b>	<b>273</b>	<b>294</b>	<b>20</b>	<b>4,764</b>	<b>169</b>	<b>936</b>	<b>6,761</b>

OIR/January, 2011

staff10.xls

<sup>1</sup> The faculty and staff of the Marine Science Department and the MPA Program (Public Policy) are counted as located on the Storrs campus.

<sup>2</sup> Includes the faculty and staff in the Schools of Social Work and Law, and the Hartford and Stamford MBA programs.

UNIVERSITY OF CONNECTICUT  
(Excluding Health Center)  
University Staff  
By Ethnic Group  
(Non Resident Aliens Included in Ethnic Groups)  
Fall, 2010

Storrs Campus <sup>1</sup>

	Asian	African	Hispanic	Native American	White	Other	Total
Faculty	150	38	43	4	877	19	1,131
Executive/Management	2	9	1	-	77	3	92
Professional	126	68	53	7	1566	49	1,869
Classified	8	26	93	2	713	2	844
<b>Sub-total Storrs</b>	<b>286</b>	<b>141</b>	<b>190</b>	<b>13</b>	<b>3233</b>	<b>73</b>	<b>3,936</b>
Graduate Assistants	593	102	102	6	1172	187	2,162
<b>Total Storrs</b>	<b>879</b>	<b>243</b>	<b>292</b>	<b>19</b>	<b>4405</b>	<b>260</b>	<b>6,098</b>

Other Locations <sup>2</sup>

	Asian	African	Hispanic	Native American	White	Other	Total
Faculty	12	14	10	2	172	6	216
Executive/Management	1	5	-	-	8	-	14
Professional	7	29	16	-	255	1	308
Classified	1	26	12	-	73	-	112
<b>Sub-total Other Locations</b>	<b>21</b>	<b>74</b>	<b>38</b>	<b>2</b>	<b>508</b>	<b>7</b>	<b>650</b>
Graduate Assistants	2	2	1	-	5	3	13
<b>Total Other Locations</b>	<b>23</b>	<b>76</b>	<b>39</b>	<b>2</b>	<b>513</b>	<b>10</b>	<b>663</b>

Total

	Asian	African	Hispanic	Native American	White	Other	Total
Faculty	162	52	53	6	1,049	25	1,347
Executive/Management	3	14	1	-	85	3	106
Professional	133	97	69	7	1,821	50	2,177
Classified	9	52	105	2	786	2	956
<b>Sub-total</b>	<b>307</b>	<b>215</b>	<b>228</b>	<b>15</b>	<b>3,741</b>	<b>80</b>	<b>4,586</b>
Graduate Assistants	595	104	103	6	1,177	190	2,175
<b>University Total</b>	<b>902</b>	<b>319</b>	<b>331</b>	<b>21</b>	<b>4,918</b>	<b>270</b>	<b>6,761</b>

OIR/January, 2011

staff10.xls

<sup>1</sup> The faculty and staff of the Marine Science Department and the MPA Program (Public Policy) are counted as located on the Storrs campus.

<sup>2</sup> Includes the faculty and staff in the Schools of Social Work and Law, and the Hartford and Stamford MBA programs.

# Exhibit 5.5

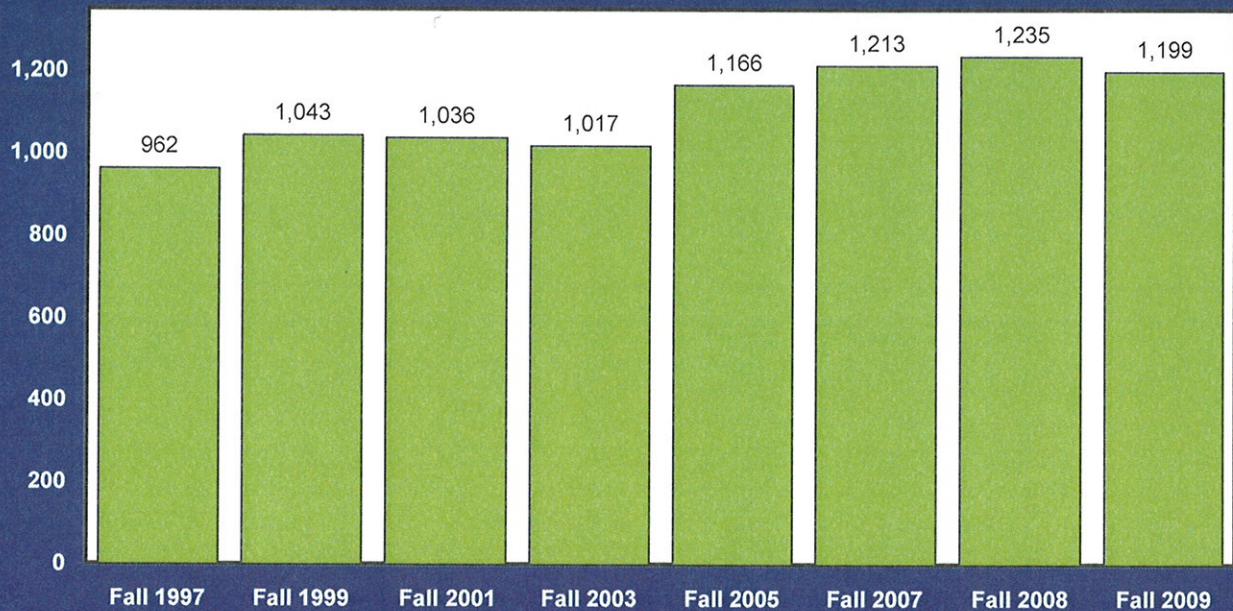
Full-Time Teaching Faculty by  
Discipline – Selected Years



# University of Connecticut (Storrs & Regional Campuses)

## Full-Time Teaching Faculty by Discipline - Selected Years

	<u>Fall 1997</u>	<u>Fall 1999</u>	<u>Fall 2001</u>	<u>Fall 2003</u>	<u>Fall 2005</u>	<u>Fall 2007</u>	<u>Fall 2008</u>	<u>Fall 2009</u>
Agriculture (includes Allied Health Sciences all years)	64	75	74	70	82	76	79	78
Business	72	79	87	89	95	107	104	100
Continuing Studies	0	0	0	0	0	2	0	0
Education (includes Physical Therapy all years)	58	72	70	57	76	79	77	77
Engineering	88	89	88	97	101	104	109	113
Fine Arts	56	58	59	61	65	60	64	57
Law	39	40	37	41	41	49	46	45
Liberal Arts & Sciences (includes Family Studies all years/and unaffiliated faculty teaching LA&S courses)	513	546	542	530	615	638	658	631
Nursing	19	21	24	20	32	32	37	36
Pharmacy	31	36	31	30	32	40	35	36
Social Work	<u>22</u>	<u>27</u>	<u>24</u>	<u>22</u>	<u>27</u>	<u>26</u>	<u>26</u>	<u>26</u>
	<b>962</b>	<b>1,043</b>	<b>1,036</b>	<b>1,017</b>	<b>1,166</b>	<b>1,213</b>	<b>1,235</b>	<b>1,199</b>



# Exhibit 5.6

Storrs and Regional Campuses  
Number of Full-time Teaching  
Faculty, by School/College,  
Selected Years: Fall, 1960 – Fall,  
2009

UNIVERSITY OF CONNECTICUT  
Storrs and Regional Campuses  
Number of Full-time Teaching Faculty, by School/College  
Selected Years - Fall, 1960 to Fall, 2009

Storrs Campus								
Schools/Colleges	1960	1970	1980	1990	1995	2000	2005	2009
Agriculture & Natural Resources	80	100	72	67	60	68	70	77
Allied Health <sup>1</sup>	7	11	17	19	17	19	20	-
Business <sup>2</sup>	27	53	79	74	72	77	88	89
Education	41	118	73	61	60	60	68	77
Engineering	36	81	90	93	95	77	97	111
Family Studies <sup>3</sup>	21	31	26	21	18	18	17	-
Fine Arts	0	64	66	60	56	56	62	55
Liberal Arts & Sciences	234	492	492	495	471	443	498	530
Nursing	16	45	45	34	30	22	31	36
Pharmacy	6	20	31	23	26	36	32	36
No School or College	-	-	-	-	-	-	2	-
<b>Total</b>	<b>468</b>	<b>1,015</b>	<b>991</b>	<b>947</b>	<b>905</b>	<b>876</b>	<b>985</b>	<b>1,011</b>

Storrs and Regional Campuses								
Schools/Colleges	1960	1970	1980	1990	1995	2000	2005	2009
Agriculture & Natural Resources	80	100	72	67	60	68	70	78
Allied Health	7	11	17	19	17	19	20	-
Business	28	53	79	74	72	81	95	100
Education	43	119	74	62	60	60	68	77
Engineering	38	86	96	99	101	83	101	113
Family Studies	22	32	27	21	18	19	22	-
Fine Arts	0	73	75	72	60	60	65	57
Liberal Arts & Sciences	278	592	586	588	559	527	591	631
Nursing	16	45	45	34	30	22	32	36
Pharmacy	6	20	31	23	26	36	32	36
No School or College	-	-	-	-	-	-	2	-
<b>Subtotal</b>	<b>518</b>	<b>1,131</b>	<b>1,102</b>	<b>1,059</b>	<b>1,003</b>	<b>975</b>	<b>1,098</b>	<b>1,128</b>

Storrs and Regional Campuses and Schools of Law and Social Work								
School of Law	n. a.	34	31	37	40	42	41	45
School of Social Work	n. a.	37	41	26	25	24	27	26
<b>Total</b>	<b>566</b>	<b>1,202</b>	<b>1,174</b>	<b>1,122</b>	<b>1,068</b>	<b>1,041</b>	<b>1,166</b>	<b>1,199</b>

OIR/ December 2009

fall09fb.xls

<sup>1</sup> School of Allied Health dissolved 2006; as of 2006, Allied Health Sciences is in the College of Agriculture and Natural Resources, and Physical Therapy is in the School of Education.

<sup>2</sup> Includes all MBA Programs at all campuses including Hartford and Stamford. CITI included as of fall 2005.

<sup>3</sup> School of Family Studies dissolved 2006; department in the College of Liberal Arts and Sciences as of fall 2006.



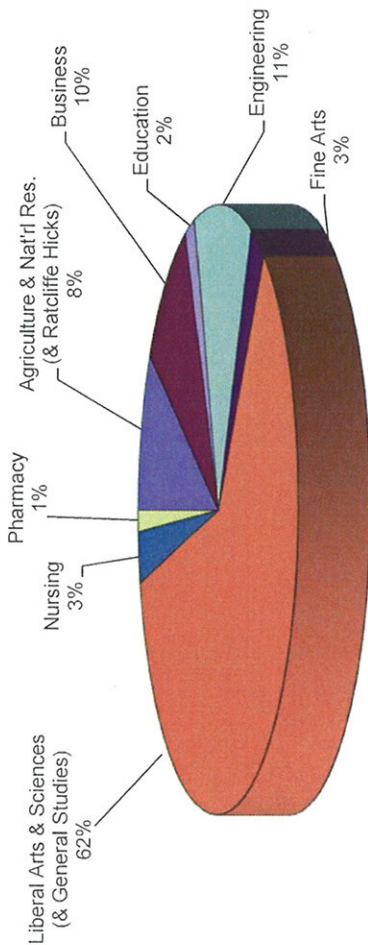
# Exhibit 5.7

- (1) Full-time Degree Seeking Undergraduate and Full-time Teaching Faculty By School and College, Storrs Campus, Fall 2010
- (2) Student/Faculty Ratio, The Academic Plan Metrics



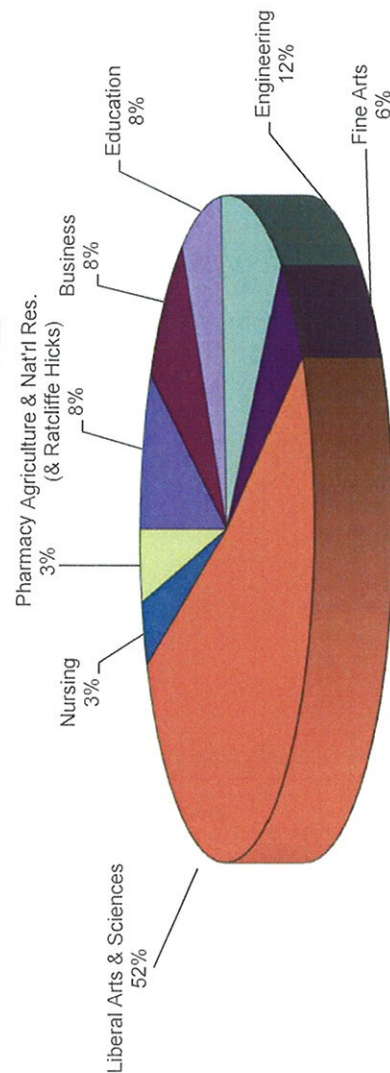
**University of Connecticut**  
**Full-time Degree Seeking Undergraduates and Full-time Teaching Faculty**  
**By School and College, Storrs Campus, Fall 2010**

**Full-time Degree Seeking Enrollment**



School/College	Full-time Enrollment
Agriculture & Nat'l Res. (& Ratcliffe Hicks)	1,386
Business	1,582
Education	327
Engineering	1,905
Fine Arts	475
Liberal Arts & Sciences (& General Studies)	10,181
Nursing	450
Pharmacy	190
<b>Total</b>	<b>16,496</b>

**Full-time Teaching Faculty**



School/College	Full-time Teaching Faculty
Agriculture & Nat'l Res. (& Ratcliffe Hicks)	78
Business	86
Education	78
Engineering	120
Fine Arts	60
Liberal Arts & Sciences	529
Nursing	32
Pharmacy	36
<b>Total</b>	<b>1,019</b>

# THE ACADEMIC PLAN METRICS

University of Connecticut						
Goal 1	Plan	FY08	FY09	FY10	2014	
	Baseline	Fall 2007	Fall 2008	Fall 2009	Goal	
Undergraduate Education						
Freshmen Average SAT (Math & Verbal)	1192	1192	1200	1212	1220	
Students in Top-10% of High School Class	40%	40%	39%	44%	45%	
6-Year Graduation Rate	75%	75%	76%	NA (November calc)	78%	
First-Year Retention Rate	93%	93%	93%	92%	95%	
Annual Guaranteed Admissions Program Transfer Students	0	9	12	23	30	
Study-Abroad Participation Rate	18%	18%	18%	NA (fiscal yr calc)	30%	
Student/Faculty Ratio	17	17	17	18 (prelim estimate)	15	
Undergraduate Credit Hours per Faculty	422	436	438	NA (acad yr calc)	470	
Classes with Less than 20 Students	44%	44%	45%	NA (end of fall term calc)	47%	
Students Entering the Honors Program Annually	290	291	339	402 (prelim estimate)	550	
Students Participating in Internships Annually	2,000	NA (pending)	NA (pending)	NA (pending)	2,300	
First-Year Students Participating in Living & Learning Communities	17%	19%	19%	26%	22%	

35.7

# Exhibit 5.8

Percentage of Full-time  
Tenured Faculty and  
Percentage of Full-time with  
Ph.D. or Terminal Degree  
Faculty

## Total Current Funds Budget FY 2011: \$1.8 billion

### MAIN CAMPUS & REGIONAL CAMPUSES

Revenue	In Millions
State Appropriation	\$235.5
Fringe Benefits	96.6
Student Tuition & Fees	479.7
Gifts, Grants & Contracts	173.7
Sales/Services - Auxiliary Events	31.9
Sales/Services - Educational	14.9
Investment Income	1.2
<b>Total</b>	<b>\$1,033.5</b>

### Expenditures

Academic Services	\$448.5
Research Services	81.4
Student Services	354.7
Operating, Support & Physical Plant Services	162.9
<b>Total<sup>1</sup></b>	<b>\$1,047.5</b>

<sup>1</sup>The \$14.0 million loss is due to the transfer of reserves to the State General Fund.

### HEALTH CENTER

Revenue	In Millions
State Appropriation	\$119.3
Fringe Benefits	61.0
Tuition & Fees	18.4
Gifts, Grants & Contracts	88.3
Auxiliary Enterprises	13.8
Interns & Residents	47.8
Net Patient Care	335.1
Correctional Managed Care	98.6
All other revenues	5.1
<b>Total</b>	<b>\$787.4</b>

### Expenditures

Hospital & Health Services	\$415.8
Academic Services	156.4
Research Services	98.8
Operating, Support & Physical Plant Services	116.4
<b>Total</b>	<b>\$787.4</b>

## Private Giving

- In FY 10, private fundraising receipts totaled \$45.5 million: \$28.2 million for Storrs and the regional campuses, \$7.7 million for the Health Center, and \$9.6 million for Athletics.
- Donors gave \$5.9 million in annual gifts, including the *Fund for UConn*, which provides support for immediate needs across UConn's campuses.
- Alumni contributed \$16.1 million in FY 10. Additional commitments included \$13.0 million from parents and other individuals, \$7.7 million from corporations and \$8.5 million from private foundations and other organizations.
- At the close of FY 10, the University's endowment, which stood at \$42 million at the start of 1995, was valued at approximately \$263 million.
- Forty-five new endowment funds were established through the UConn Foundation for student, faculty and program support in FY 10, bringing the total number of these funds to more than 1,270.
- The University received \$23.1 million through spendable gifts and endowment spending allocation to support scholarships, fellowships and awards (\$7.9 million); faculty and staff (\$8.3 million); programs and research (\$4.3 million); and facilities and equipment (\$2.6 million).
- Currently, there are 84 faculty chairs and professorships at the University funded through private endowments.

## UConn Alumni

- More than 208,500 total Alumni
- More than 117,000 Alumni live in Connecticut
- Among recent bachelor's degree graduates:
  - 96% would recommend UConn to others
  - 90% are either employed or are in graduate/professional school
  - 66% of those working full-time are doing so in Connecticut

## Staff Characteristics (Fall 2010)

Number of Full-time & Part-time Faculty & Staff: 9,604

		Main Campus/Regional 4,586	Health Center 5,018
Faculty:	Female	39%	37%
	Minority	20%	25%
Other Staff:	Female	58%	76%
	Minority	15%	24%
Full-Time:		94%	77%

	Main Campus/Regional	Health Center
Full-time Faculty	1,304	491
Tenured	62%	32%
Full-time faculty with Ph.D. or terminal degree <sup>1</sup>	93%	95%

<sup>1</sup>Percent of faculty with highest degree in field

	Main Campus/Regional	Health Center
Type of Full-time Staff	4,321	3,869
Faculty <sup>2</sup>	30.2%	12.7%
Administrators	2.4%	4.6%
Professional Support	45.9%	45.6%
Secretarial/Clerical	6.0%	15.2%
Para-Professional/Trades	3.8%	17.3%
Service/Maintenance	11.7%	4.6%

<sup>2</sup>At Main Campus, includes 20 faculty members serving as assistant or associate deans.

### Number of Part-time

Faculty and Staff <sup>3</sup>	265	1,149
--------------------------------	-----	-------

<sup>3</sup>An additional 691 adjunct lecturers teach one or more courses at Storrs and Regional Campuses.

### Staff Covered by Collective Bargaining Agreements:

Main & Regional Campuses	92%
Health Center	79%

## Research, Training & Public Service

Nationally ranked 80/697 among all institutions and 55/403 among public institutions by the National Science Foundation in research and development spending for FY 09 (latest report).

### FY 10 external funding, sponsored activities: \$233.2 million (excluding financial aid):

Main & Regional Campuses:	\$131.3 million (56%)
Health Center:	\$101.9 million (44%)

### Total by Funding Source

Federal: 80% State: 9% Private/Other: 11%

### Sponsored Activities at Main & Regional Campuses

Research	82.8%
Education and Training Programs	1.8%
Public Service	15.4%

### Sponsored Activities at the Health Center

Research	88.8%
Industry Support	1.8%
Education and Training Programs	8.3%
Other	1.1%

## University of Connecticut Websites

Main & Regional Campuses [www.uconn.edu](http://www.uconn.edu)  
[today.uconn.edu](http://today.uconn.edu)

Health Center [www.uchc.edu](http://www.uchc.edu)  
[today.uchc.edu](http://today.uchc.edu)

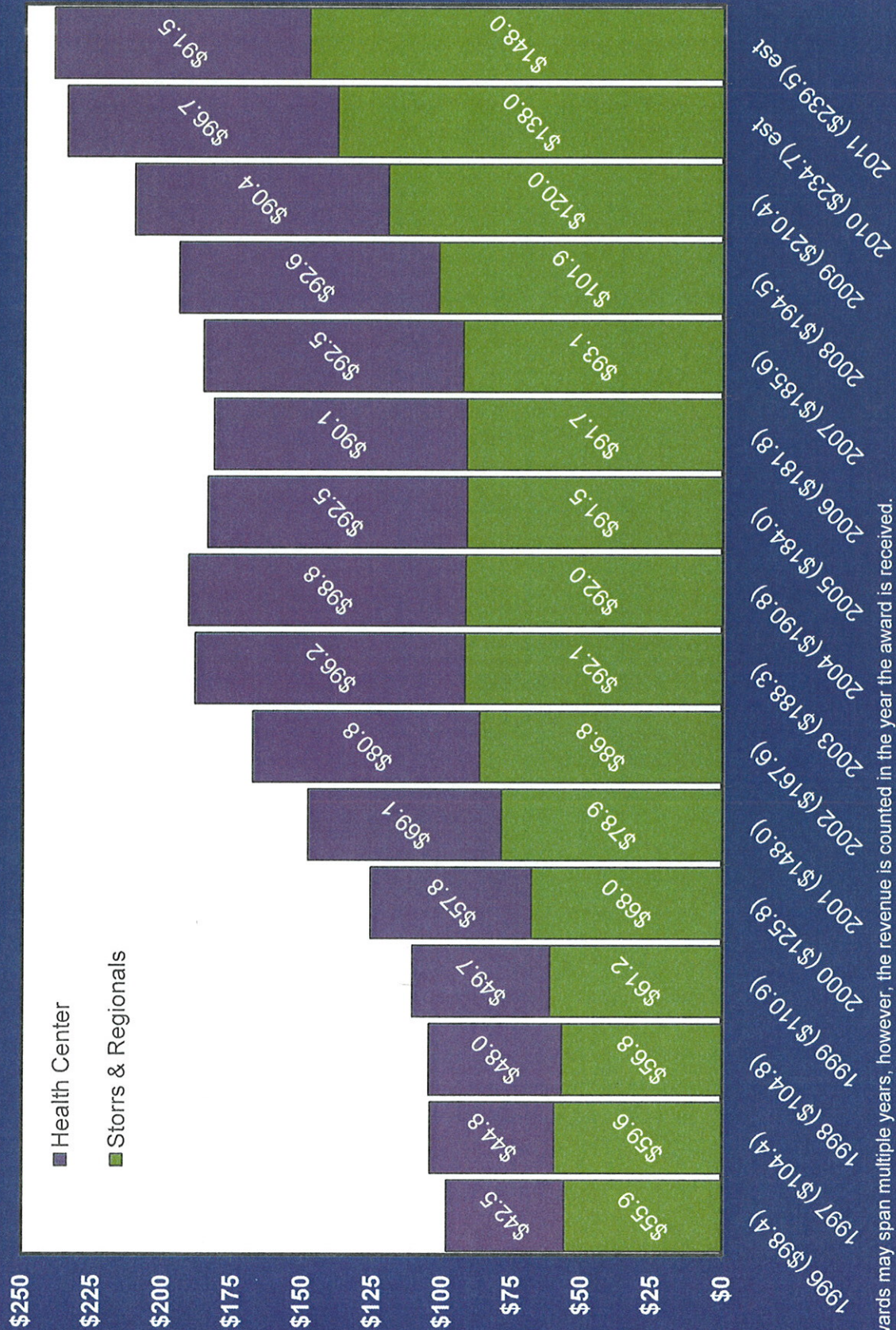
# Exhibit 5.9

- (1) Research, Training & Public Service External Awards (in millions) – Fiscal Years 1996-2011
- (2) Research, Scholarship, and Creative Activities; The Academic Plan Metrics



# University of Connecticut

Research, Training & Public Service External Awards (in millions) - Fiscal Years 1996-2011





## THE ACADEMIC PLAN METRICS

University of Connecticut					
Goal 3	Plan	FY08	FY09	FY10	2014
Research, Scholarship, and Creative Activity	Baseline	Fall 2007	Fall 2008	Fall 2009	Goal
Recruit 145 net additional faculty	0	+43	+73	+35	145
NSF-defined R&D external research expenditures (\$) per full-time faculty - All Campuses	\$128k	\$128k	\$124k		\$150k
OSP-defined total external research expenditures (\$) - Storrs-based only	\$86M	\$90M	\$102M		\$100M
Extramural research awards (\$) - All Campuses	\$186M	\$194.5M	\$210.4M	\$227.0M est.	\$220M
Extramural research awards (\$) Storrs based only		\$101.9M	\$120.0M	\$130.0M est.	
Extramural research awards (\$) UCHC only		\$92.6M	\$90.4M	\$97.0M est.	
Post-doctoral appointees per 100 full-time faculty	14	12	11	12	18
Fellows in national/international learned societies/academies	139	152	138		150
Articles in refereed journals	2,154	2,233	2,394		2,400
Books published	183	161	178		200
Juried shows and curated exhibits	26	21	22		35
Artistic and creative products	770	687	639		850
Annual patent applications	23	30	34		30
Annual commercial development agreements	9	17	14		15

# Exhibit 5.10

## COACHE Tenure-Track Faculty Job Satisfaction Survey Executive Summary



# COACHE

The Collaborative on Academic Careers in Higher Education

The initiative to improve faculty  
recruitment, retention,  
and work/life quality

University of Connecticut  
Tenure-Track Faculty Job  
Satisfaction Survey  
Institutional Report  
2010-2011



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Our member institutions

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# COACHE

The Collaborative on Academic Careers in Higher Education

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## PREFACE

One of the great strengths of an institution of higher education is its faculty. A consensus has emerged that college faculty are affected by their perception of the values and rewards in their workplace, and that supportive environments promote faculty satisfaction, which can lead to increased productivity and retention. With this understanding, the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education developed the *Tenure-Track Faculty Job Satisfaction Survey*.

Since 2003, this core instrument of COACHE has been tested, validated, and continually improved with assistance from participating institutions. Our survey assesses early-career faculty experiences in several areas deemed critical to their success, including:

- Clarity and reasonableness of tenure processes and review
- Workload and support for teaching and research
- Integration and balance of work and home responsibilities
- Climate, culture and collegiality on campus
- Compensation and benefits
- Global satisfaction

The result is this COACHE Institutional Report, a diagnostic and comparative management tool for college and university leaders. This report pinpoints problem areas, whether within a particular policy, practice or demographic. Each of the more than 150 institutions in the Collaborative receives a custom version of this benchmarking report and analysis of our job satisfaction database with responses of over 10,000 pre-tenure faculty nationwide.

Membership in the Collaborative, however, does not conclude with delivery of this document. Our mission to make the academy a more attractive place to work is advanced only when supported by institutional action. To that end, academic leaders use COACHE results to focus attention, spot successes and weaknesses, and then take concrete steps to make policies and practices more effective and more prevalent.

Therefore, for the duration of your membership and beyond, let COACHE be your partner and a resource for maximizing the ability of your data to initiate dialogue, recruit talented new scholars, and further the work satisfaction of *all* faculty at your institution. For our advice on making the most of your participation, please review the supplementary material provided with this report, then, contact us with any questions or new ideas that have emerged.

# COACHE

The Collaborative on Academic Careers in Higher Education

## GUIDE TO YOUR REPORT

The data, summary tables, and visual displays provided here tell the story of your pre-tenure faculty's satisfaction and experiences working at your institution. Your report is comprised of three sections:

### I. Executive summary

The executive summary gives an overview of what your pre-tenure, tenure-track faculty members think about working at your institution. It shows, in a condensed fashion, your institution's strengths and weaknesses, in relation to the five peer institutions you chose for comparison, as well as in relation to all COACHE colleges or universities.

#### *Areas of strength and areas of concern*

Translating the visual displays into text produced these lists of survey dimensions for which your faculty's responses overall ranked your institution particularly well or poorly relative to your peers *and* to comparable COACHE sites. If you read nothing else in this report, you will learn the general thrust of your results from this synopsis.

#### *Improving trends and worsening trends*

For institutions that have administered the survey more than once, we have compared your current survey results to your prior data by highlighting the dimensions that, overall, have improved or worsened by ten percent or more.

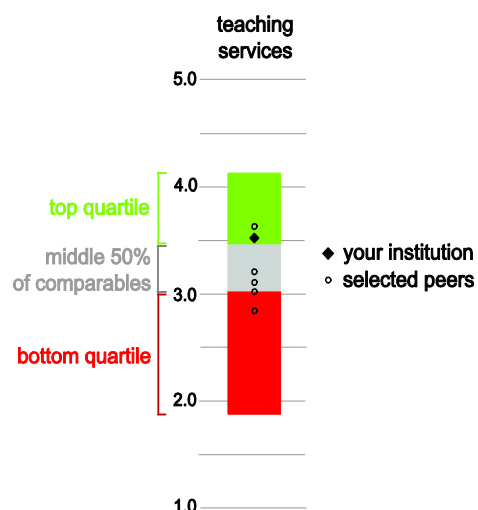
#### *Differences by gender and race*

In addition to comparing your results to peers and your cohort, this section will note any survey dimensions with at least a ten percent difference between men and women and between white faculty and faculty of color at your institution. (These results are reported only if your institution has at least five respondents in *both* comparable subgroups, e.g., men *and* women.)

#### *Dashboards*

The benchmark dashboard identifies your institution's results across the ten COACHE benchmarks of tenure-track faculty success. Each benchmark is the average score—along five-point scales—of several survey dimensions that share a common theme. Additional dashboards present the individual components making up the benchmark scores. All dashboards are simplified views of your absolute and comparative results overall; to grasp the nuances of your results by demographic group and over time (where applicable), we encourage further exploration of the means and frequency data.

The dashboard's visual display represents your mean rating as a black diamond (◆) and your selected peer ratings as circles (○) on a five-point scale. The green box signifies the performance of the



top quartile of campuses in your comparable institutional group; the grey box, the middle 50 percent; and the red box, the bottom quartile.\* As you read across the data display, train your eye on the black diamond to discover a) your highest and lowest scores, and b) whether those scores place your faculty among the top, middle, or bottom of your peers and all others. (Note, however, that comparisons are not available for some questions new to the survey since 2008-09 due to insufficient data.)

### *Index of results*

With this list of overall results for nearly all survey dimensions, we have paired comparisons beyond your walls to comparisons within. Alongside the overall mean results, green (▲) and red (▼) arrows suggest where your results are most positive, most negative, or mixed. This table serves best as an index to the fine-grained data tables of your report.

### *Policies and practices: effectiveness gaps*

For the faculty who rated various policies as important to their success, we report the percentage (and rank order) who rated the policy as effective or ineffective (or not offered) at your institution. Higher percentages in the first chart indicate relatively successful policies, but in the second chart indicate policies currently absent or not working well.

### *Best and worst aspects about working at your institution*

From a list of common characteristics of the academic workplace, your faculty chose two “best” and two “worst” aspects about working at your institution. We report the four aspects (or more, if there are ties) most frequently cited in each case and the percentage of your peers and comparable COACHE sites who share your best or worst qualities.

### *Thematic analysis of open-ended responses*

Your report includes faculty responses to several open-ended survey questions (see below). In this portion of the Executive Summary, we preview the results of the final, open-ended question on improving the workplace by counting the number of times faculty mentioned a particular theme. We include results for your campus and for all comparable institutions since the 2009-10 cohort. Note that responses often touch upon multiple themes, so the total number of comments reported in this thematic summary is likely to exceed the actual number of faculty who responded to this question.

### *Views of global satisfaction*

Several survey dimensions in the Global Satisfaction section of the survey instrument do not utilize a response scheme along a five-point Likert scale, and thus, do not lend themselves to mean comparisons. These survey dimensions are reported here for easier interpretation and comparison to other institutions. These visual displays of items without means will help you to identify quickly differences in *proportion* of faculty responses. Note that, because these items are based on the frequency tables, they represent the aggregate of unweighted responses and that the response set for question 47b includes only the subgroup of faculty who are considering leaving the institution for employment elsewhere.

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\* If you have selected a peer institution outside of your institutional type’s “comparables” (e.g., you are a university and selected a college as a peer in the faculty labor market), some peer symbols (○) may fall outside the shaded percentile boxes. This is because the range of “comparables” includes only institutions of your same type. (See *Appendix A* for a list of institutions in your type.)

## II. Data tables and other results

### *Descriptive data*

We provide the survey response rates for your institution, your peers, and for all comparable sites. You will also find here the range of weights used in calculating your results, as well as the names of the five institutions you selected as your peers. (Peer data, however, is kept anonymous throughout this report.)

### *Demographic data*

This is the report of the survey's initial questions, which ask respondents to provide background information about their careers, family status, and other personal characteristics. COACHE analysts are available for follow-up analysis that takes into account any of these demographics variables.

### *Mean comparisons*

The mean comparisons are based on results from all survey respondents at your institution, at the five peer institutions you selected, and at all other comparable institutions participating in this study (i.e., all colleges or all universities). For each survey dimension, the mean is the weighted arithmetic average of faculty responses on a particular item. Means are provided for your institution overall, for your peer institutions individually and overall, for all comparable institutions overall, and—where population size allows—for groups by gender, by race (white faculty or faculty of color), and by academic area.\* If your institution has administered the survey more than once, the report includes comparisons against your past results. In separate columns, the relative position of your results is provided by a rank against your five peers and by a percentile among all comparable institutions. For further context (i.e., the distribution of results), the means of the institutions at the 75<sup>th</sup> and 25<sup>th</sup> percentiles are provided.

Mean results at your institution are shaded in yellow

The shaded areas contain mean comparisons between groups within your institution. Differences of 10 percent or more (of the response scale's range) are highlighted in green or red, depending on the direction of the difference.

Survey item	GENDER															
	MALES										FEMALES					
	You	All selected peers		All comparables				You	All selected peers	All comparables						
description	mean	mean	peer rank	mean	25th %tile mean	75th %tile mean	your %tile	mean	net diff (vs M)	% diff (vs M)	mean	peer rank	mean	25th %tile mean	75th %tile mean	your %tile
I find the tenure process in my department to be...	3.64	3.78	5	3.74	3.63	3.90	28	3.02	-0.62	-16%	3.34	5	3.65	3.48	3.82	4

The white areas display mean results at your peers and at all comparable institutions. The means of the schools at the 25th and 75th percentiles provide context for your results.

Be sure to consider both your rank among peers and your percentile among all comparables. A favorable result in one comparison could be mitigated by an unfavorable result in another.

### *Frequency distributions*

As with the mean comparisons, these frequency distribution tables are based on results from all survey respondents at your institution and at all other institutions participating in this study. Provided here are the actual (unweighted) number and percentage of faculty responses on each survey dimension. We provide

\* Note that, for any given question, the "All comparables" mean is calculated from the mean ratings of every institution with at least one valid respondent. Your percentile, however, places your mean among "All comparables" with at least five respondents. As a result, the "All comparables" mean may be greater than the "75<sup>th</sup> %tile mean" or lower than the "25<sup>th</sup> %tile mean". This is most likely to happen in questions with small base populations, e.g., where many respondents selected "N/A" or "Decline to answer."

comparisons overall and between the same sub-groups identified in the mean comparisons (i.e., by gender, race/ethnicity, academic area, and current/prior survey administrations).

*A note on interpreting means and frequencies*

Relative frequencies of responses for each item can provide crucial information not given by the mean score alone. While a group's mean score gives valuable information about the group's central tendency, the frequency can tell you the extent to which the group is polarized in their responses. For example, consider two hypothetical cases:

*Case #1:* Half of a group of pre-tenure faculty chose "Very dissatisfied" (1) on a 5-point scale, and half chose "Very satisfied" (5);

*Case #2:* Every respondent in the group chose "Neither satisfied nor dissatisfied" (3).

In both cases, the mean score is 3.0; however, whereas in the second case the mean reflects individuals' attitudes perfectly, in the first case, the mean value ("Neither satisfied nor dissatisfied") does not actually reflect the attitude of *anyone* in the group. Rather, these respondents seem to be made up of two sub-groups with very different attitudes. It is important to take into account the polarization of scores when considering major policy changes in order to accurately anticipate how faculty members will be affected.

*Policies and practices: detail*

These tables provide a deeper glimpse at your faculty's ratings of the importance and effectiveness of twenty policies and practices at your institution.

*Responses to open-ended questions*

This section shows the comments written by your pre-tenure faculty in response to follow-up questions to five survey items and to one open-ended question:

*Q27b. In your opinion, on what non-performance-based criteria are tenure decisions in your department primarily made?* Subjects were asked this follow-up question if they responded "Somewhat disagree" or "Strongly disagree" to Question 27a, which states, "In my opinion, tenure decisions here are made primarily on performance-based criteria (e.g., research/creative work, teaching, and/or service) rather than on non-performance-based criteria (e.g., politics, relationships, and/or demographics)."

*Q44a. Please check the two (and only two) best aspects about working at your institution.* Subjects responding "Other" were asked to specify.

*Q44b. Please check the two (and only two) worst aspects about working at your institution.* Subjects responding "Other" were asked to specify.

*Q46a. Who serves as the chief academic officer at your institution?* Subjects responding "other" were asked to specify.

*Q47b. Why do you plan to remain at your institution for no more than five years (after earning tenure)?* Subjects responding "For no more than 5 years after earning tenure" to Q47 ("Assuming you achieve tenure, how long do you plan to remain at your institution?") were prompted here to specify their reasons.

*Q51. Please use the space below to tell us the number one thing that you, personally, feel your institution could do to improve the workplace.*

### III. Appendices

#### *A. Participating institutions*

A list of institutions, by type, control, and cohort, whose data comprise the COACHE database. If your institutional type is “college,” then your comparables in this report are all colleges; if your type is “university,” your “comparables” are all universities.

#### *B. Survey instrument*

A static, coded version of the web-based instrument is provided in the first appendix. Please note that this medium does not accurately indicate survey “adaptive branching” behavior, where some items are skipped because of responses to previous questions.

#### *C. Suggestions for action*

Selections from COACHE’s extensive policy response database (a resource for COACHE members) are included here to provide a range of possible next steps as you involve your campus in discussions around your COACHE results.

#### *D. Results of custom questions (if applicable)*

For institutions that appended additional, custom questions to the COACHE survey, the results are displayed here in cross-tabulations and/or open-ended narrative.

## METHOD

### *Background*

The principal purposes of the Collaborative on Academic Careers in Higher Education (COACHE) survey are two-fold: (1) to enlighten academic leaders about the experiences and concerns of full-time, tenure-track faculty; and (2) to provide data that lead to informed discussions and appropriate actions to improve the quality of work/life for those faculty. Over time, we hope these steps will make the academy an even more attractive and equitable place for talented scholars and teachers to work.

The core element of COACHE is a web-based survey designed and tested in focus groups and a rigorous pilot study with twelve sites (see *Survey Design* below). The survey asked full-time tenure-track faculty to rate the attractiveness of various terms and conditions of employment and to assess their own level of work satisfaction. While there are many faculty surveys, the COACHE instrument is unique in that it was designed expressly to take account of the concerns and experiences of full-time, pre-tenure, tenure-track faculty, especially with regard to the promotion and tenure process, work-family balance, and organizational climate and culture.

This COACHE *Tenure-Track Job Satisfaction Survey* provides academic leaders with a powerful lever to enhance the quality of work life for pre-tenure faculty. Each report provides not only interesting data, but also actionable diagnoses. The data are a springboard to workplace improvements, more responsive policies and practices, and an earned reputation as a great place for pre-tenure faculty to work.

### *Survey design*

The chief aim in developing the COACHE *Tenure-Track Faculty Job Satisfaction Survey* was to assess, in a comprehensive and quantitative way, pre-tenure faculty’s work-related quality of life. The survey addresses multiple facets of job satisfaction and includes specific questions that would yield unambiguous, actionable



data on key policy-relevant issues. The COACHE instrument was developed and validated in stages over a period of several years.

First, six focus groups were conducted with a total of 57 tenure-track faculty to learn how they view certain work-related issues, including specific institutional policies and practices, work climate, the ability to balance professional and personal lives, issues surrounding tenure, and overall job satisfaction.

Drawing from the focus groups, prior surveys on job satisfaction among academics and other professionals, and consultation with Harvard University and advisory board experts on survey development, COACHE researchers developed a web-based survey prototype that was then tested in a pilot study of 1,188 pre-tenure faculty members at 12 institutions.

COACHE solicited feedback about the survey by conducting follow-up interviews with a sub-sample of the respondents of the pilot study. The survey was revised in light of this feedback. The current version of the survey was revised further, taking into account feedback provided by respondents in survey administrations since the pilot study.

#### *Survey administration*

All eligible subjects at participating institutions were invited to complete the survey. Eligibility was determined according to the following criteria:

- Full-time
- Tenure-track/ladder rank
- Pre-tenure
- Hired prior to 2010 (new hires are unable to respond meaningfully to many questions)
- Not *clinical* faculty in such areas as Medicine, Dentistry, Nursing, Pharmacy, and Veterinary Medicine
- Not in terminal year after being denied tenure

See “Descriptive data” in your report for response rates at your institution overall, by gender, and by race.

Subjects first received a message about the survey from a senior administrator (e.g., president, provost, or dean) at their institution. Next, subjects received an email from COACHE inviting them to complete the survey. Over the course of the survey administration period, up to four automated reminders were sent via email to all subjects who had not completed the survey.

Participants accessed a secure web server through their own unique link provided by COACHE and responded to a series of multiple-choice and open-ended questions (see *Appendix B*). The median survey completion time was approximately 19 minutes; the mode (most frequent) completion time was approximately 14 minutes.

#### *Data conditioning*

In order for a participant to be considered a valid respondent, the responses must meet several criteria. First, the respondent had to provide at least one meaningful response beyond the demographic section of the instrument. Next, the responses of faculty who either terminated the survey before completing the demographic section or chose only *N/A* or *Decline to Respond* for all questions were removed from the data set. The impact of such deletions, however, was relatively small: on average, greater than 90 percent of respondents who enter the COACHE survey go on to complete it in its entirety.

The next step in identifying valid respondents consists of reviewing response patterns for individuals who completed the survey in a significantly shorter time span than the rest of the survey cohort; who chose the same response for at least 85 percent of the survey; or who followed a highly improbable pattern of responses throughout the survey. These “speeders” and “cheaters” were flagged for review and removed from the data when appropriate.

In responses to open-ended questions, individually-identifying words or phrases that would compromise the respondent’s anonymity were either excised or emended by COACHE analysts. Where this occurred, the analyst substituted that portion of the original response with brackets containing an ellipsis or alternate word or phrase (e.g., [...] or [under-represented minority]).

If your institution appended custom open-ended questions, comments were not altered in any way. Prior to completing any open-ended questions, faculty were warned, “You have completed the main questionnaire. Your campus leadership appended the next few questions to delve into specific topics related to your institution. In some cases, these questions ask for open text responses. COACHE reports the full unedited response for these items. Please keep in mind that COACHE never directly links your contact information to a response, however, some comments may inadvertently disclose the identity of respondents. We encourage you to use your best judgment to balance candor and confidentiality.”

## DEFINITIONS

### *All comparables*

Within the report, comparisons between your institution and the comparable cohort group provide context for your results in the broader faculty labor market. Because the experiences, demands, and expectations for faculty vary by institutional type, COACHE differentiates colleges and universities by size and institutional mission and compares your scores with only those schools in your comparable cohort. “Colleges” typically refer to smaller institutions with a primary focus on undergraduate education. “Universities” refer to larger institutions with a greater emphasis on research and graduate degree production.

### *Data weighting or “weight scale”*

A weighting scale was developed for each institution to adjust for the under- or over-representation in the data of subgroups defined by race and gender (e.g., White males, Asian females, etc.). Applying these weights to the data thus allowed the relative proportions of subgroups in the data for each institution to more accurately reflect the proportions in that institution’s actual population of pre-tenure faculty. See “Descriptive Data” in your report for your institution’s weight scale.

In some cases, small numbers of some groups with strong over- or under-representation in the response set can unintentionally influence the mean scores overall and/or within the subgroups. In such cases, the weights of these smaller groups were merged with other subgroups to create weights that are more balanced.

### *Faculty of color*

Any respondent identified by his or her institution or self-identifying in the survey as non-White.

### *n < 5*

To protect the identity of respondents and in accordance with procedures approved by Harvard University’s Committee on the Use of Human Subjects, cells with fewer than five data points (i.e., mean scores for

questions that were answered by fewer than five faculty from a subgroup within an institution) are not reported. Instead, “n < 5” will appear as the result.

### *Percentage difference (% diff)*

In reporting comparisons of means, many studies express the result as a percentage difference based on one of the subgroup means. For example, if females (group1) rated clarity of the tenure criteria at 2.40 on a five-point scale, and males (group2) rated the same dimension at 2.00, one might report that “women find tenure criteria 20 percent clearer than do men.”

$$\frac{\text{group1} - \text{group2}}{\text{group2}}$$

By this method, however, the same difference in rating (0.40) at the higher end of the five-point scale would seem narrower if expressed as a percentage. If we compare a female (group1) mean of 4.40 against a male (group2) mean of 4.00, we find just a 10 percent difference—half the difference of our earlier example—even though the absolute difference between the results is the same. Thus, using a variable divisor (group2) exaggerates differences at the low end of a scale, or conversely, mutes differences at the high end of a scale.

Another problem caused by this method is that the percentage value of the difference changes depending on how you express the comparison: “Women find tenure clarity 20 percent clearer than do men,” but “Men find tenure clarity 16.7 percent less clear than do women.”

Still, expressing comparative results as a percentage is a universal method of deciding whether or not a difference is “important,” “practical,” or “meaningful.” Therefore, your COACHE report expresses differences as a percentage of the *range* on our five point scale.

$$\frac{\text{group1} - \text{group2}}{\text{scale high} - \text{scale low}}$$

To cite the examples above, the 0.40 that separates female and male results—whether at the low or high end of the scale—will always be 10 percent of the range of possible clarity responses, or  $5 - 1 = 4$ . Likewise, a 10 percent difference always translates into a 0.40 difference in means.

Arguably, the fixed divisor could be the number (5), not the range (4) of responses. We provide your data in Excel format, should you wish to substitute your own assumptions. (Be aware that such a change will make smaller the relative differences between groups.) However, we believe that these assumptions strengthen the consistency of the analysis from item to item across the dimensions of the survey.

### *Response rate*

The percent of all eligible pre-tenure faculty, by gender and by race, whose responses, following the data conditioning process, were deemed eligible to be included in this analysis. These response rates determine the weight scale used to balance the sample.

**Please contact COACHE with any additional questions about methodology and definitions, about survey administration, or about any aspects of this institutional report.**



# COACHE

## Tenure-Track Faculty Job Satisfaction Survey Executive Summary

# COACHE

The Collaborative on Academic Careers in Higher Education

## EXECUTIVE SUMMARY

The *COACHE Tenure-Track Faculty Job Satisfaction Survey* was administered online from October 2010 through January 2011. This executive summary highlights faculty responses to most items in the survey, which fall into ten primary survey domains:

Tenure practices	Nature of the work: Overall
Tenure expectations: Clarity	Nature of the work: Teaching
Tenure expectations: Reasonableness	Nature of the work: Research
Work and home	Compensation & Benefits
Climate, Culture, Collegiality	Global Satisfaction

### Population data and completion rates

		Overall	Male	Female	White, non-Hispanic	Faculty of Color
<b>University of Connecticut</b>	<i>population</i>	200	112	88	132	68
	<i>responders</i>	119	63	56	79	40
	<i>response rate</i>	60%	56%	64%	60%	59%
<b>All selected peers</b>	<i>population</i>	1554	924	630	1065	489
	<i>responders</i>	856	463	393	611	245
	<i>response rate</i>	55%	50%	62%	57%	50%
<b>All comparables<sup>1</sup></b>	<i>population</i>	13678	7731	5947	9275	4094
	<i>responders</i>	7732	4134	3598	5385	2186
	<i>response rate</i>	57%	53%	61%	58%	53%

### Peer group

Your institution selected five institutions as peers against whom to compare your survey results. The results of COACHE survey administration at these peer institutions are included throughout this report in the aggregate or, when cited individually, in a randomized order. Your peer institutions are:

- Iowa State University
- Indiana University
- University of Iowa
- University of Missouri - Columbia
- University of North Carolina at Chapel Hill

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<sup>1</sup> Comparisons between your institution and the comparable cohort group provide context for your results. COACHE differentiates colleges and universities by size and institutional mission and compares your scores with only those comparable schools.

## Areas of strength

Your faculty's ratings of the following survey dimensions placed your institution **first or second (out of six) compared to peers and in the top quartile** compared to all comparable COACHE participants. We recommend sharing these findings (e.g., in job postings, with search committees and prospective faculty) as compelling aspects of your institution as a workplace.

### *Tenure practices*

- clarity of tenure process
- clarity of tenure criteria
- clarity of tenure standards
- clarity of tenure body of evidence
- clarity of sense of achieving tenure
- consistent messages about tenure from tenured colleagues
- tenure decisions based on performance
- upper limit on committee assignments
- periodic, formal performance reviews
- written summary of performance reviews

### *Tenure expectations: Clarity*

- clarity of expectations: scholar
- clarity of expectations: teacher
- clarity of expectations: advisor
- clarity of expectations: colleague in department
- clarity of expectations: member of community

### *Tenure expectations: Reasonableness*

- reasonableness of expectations: scholar
- reasonableness of expectations: teacher
- reasonableness of expectations: advisor
- reasonableness of expectations: colleague in department

### *Nature of the work: Overall*

- clerical/administrative services

### *Nature of the work: Research*

- travel funds
- paid/unpaid research leave

### *Nature of the work: Teaching*

- upper limit on teaching obligations

### *Work and home*

- childcare
- stop-the-clock
- paid/unpaid personal leave
- institution makes having children and tenure-track compatible
- colleagues make having children and tenure-track compatible
- colleagues make raising children and tenure-track compatible

## Areas of concern

Your faculty's ratings of the following survey dimensions placed your institution **fifth or sixth (out of six) compared to peers and in the bottom quartile** compared to all comparable COACHE participants. We recommend targeting these areas for intervention.

### *Nature of the work: Teaching*

degree of influence over which courses you teach

### *Climate, culture, collegiality*

amount of personal interaction with pre-tenure colleagues

## Improving trends

Compared to your prior survey results, the following dimensions appear to have improved to an extent you might consider meaningful (i.e., by 10% or more).

### *Nature of the work: Research*

professional assistance in obtaining grants

paid/unpaid research leave

### *Work and home*

childcare

stop-the-clock

institution makes raising children and tenure-track compatible

## Worsening trends

Compared to your prior survey results, the following dimension appears to have worsened to an extent you might consider meaningful (i.e., by 10% or more).

### *Compensation and benefits*

compensation

## Differences by gender at your institution

Female faculty at your institution did not rate any survey dimensions **at least 10% higher** than male faculty at your institution.

Male faculty at your institution rated the following survey dimensions **at least 10% higher** than did female faculty at your institution.

### *Tenure practices*

clarity of tenure body of evidence

### *Nature of the work: Overall*

amount of access to TA's, RA's, etc.



***Nature of the work: Research***

amount of time to conduct research

***Work and home***

institution makes raising children and tenure-track compatible

colleagues are respectful of efforts to balance work/home

***Climate, culture, collegiality***

opportunities to collaborate with tenured faculty

amount of professional interaction with tenured colleagues

amount of professional interaction with pre-tenure colleagues

***Global satisfaction***

CAO cares about quality of life for pre-tenure faculty

**Differences by race/ethnicity at your institution**

Faculty of color at your institution rated the following survey dimensions **at least 10% higher** than did white faculty at your institution.

***Work and home***

childcare

institution makes raising children and tenure-track compatible

White faculty at your institution rated the following survey dimensions **at least 10% higher** than did faculty of color at your institution.

***Nature of the work: Teaching***

quality of graduate students

***Work and home***

spousal/partner hiring program

paid/unpaid personal leave

***Climate, culture, collegiality***

fairness of immediate supervisor's evaluations

interest tenured faculty take in your professional development

value faculty in your department place on your work

amount of professional interaction with tenured colleagues

amount of personal interaction with tenured colleagues

amount of professional interaction with pre-tenure colleagues

amount of personal interaction with pre-tenure colleagues

how well you fit

***Compensation and benefits***

compensation

***Global satisfaction***

would again choose to work at this institution



# Benchmarks



The Collaborative on Academic Careers in Higher Education  
Tenure-Track Faculty Job Satisfaction Survey  
Survey Administration 2010-11

This table summarizes your mean results for each survey dimension. The overall mean is shown. In the "vs others" column, a green arrow signifies that your institution places **first or second amongst peers** *and in the top quartile overall*; a red arrow indicates that you ranked **fifth or sixth amongst peers** *and the bottom quartile overall*. In all other columns, the arrows demonstrate that the mean is better (green) or worse (red) than the comparable group's mean **by 10 percent or more**.

		OVERALL RESULTS			SUBGROUPS	
ITEM	NAME	mean	vs others	vs prior	females vs males	faculty of color vs white
Tenure practices						
Q19	clarity of tenure process	4.00	▲			
Q20	clarity of tenure criteria	3.95	▲			
Q21	clarity of tenure standards	3.70	▲			
Q22	clarity of tenure body of evidence	3.85	▲		▼	
Q23	clarity of sense of achieving tenure	3.83	▲			
Q26	consistent messages about tenure from tenured colleagues	3.69	▲			
Q27A	tenure decisions based on performance	4.20	▲			
Q34B3	periodic, formal performance reviews	3.67	▲			
Q34B4	written summary of performance reviews	3.56	▲			
Q34B10	upper limit on committee assignments	3.62	▲			
Tenure expectations: Clarity						
Q24A	clarity of expectations: scholar	4.00	▲			
Q24B	clarity of expectations: teacher	3.80	▲			
Q24C	clarity of expectations: advisor	3.39	▲			
Q24D	clarity of expectations: colleague in department	3.39	▲			
Q24E	clarity of expectations: campus citizen	3.07				
Q24F	clarity of expectations: member of community	3.04	▲			
Tenure expectations: Reasonableness						
Q25A	reasonableness of expectations: scholar	3.86	▲			
Q25B	reasonableness of expectations: teacher	4.02	▲			
Q25C	reasonableness of expectations: advisor	3.69	▲			
Q25D	reasonableness of expectations: colleague in department	3.68	▲			
Q25E	reasonableness of expectations: campus citizen	3.45				
Q25F	reasonableness of expectations: member of community	3.35				
Nature of the work: Overall						
Q28	way you spend your time as a faculty member	3.67				
Q28B	number of hours you work as a faculty member	3.58	N/A	N/A		
Q31	quality of facilities	3.31				
Q32	amount of access to TA's, RA's, etc.	3.04			▼	
Q33A	clerical/administrative services	3.77	▲			
Q33D	computing services	3.54				
Nature of the work: Teaching						
Q29A	level of courses you teach	3.97				
Q29B	number of courses you teach	4.04				
Q29C	degree of influence over which courses you teach	4.02	▼			
Q29D	discretion over course content	4.47				
Q29E	number of students you teach	3.73				
Q29F	quality of undergraduate students	3.43				
Q29G	quality of graduate students	3.75				▼
Q33C	teaching services	3.64				
Q34B6	professional assistance for improving teaching	3.41				
Q34B11	upper limit on teaching obligations	3.88	▲			

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ITEM	NAME	OVERALL RESULTS			SUBGROUPS	
		mean	vs others	vs prior	females vs males	faculty of color vs white
Nature of the work: Research						
Q30B	amount of time to conduct research	3.08			▼	
Q30C	expectations for finding external funding	3.24				
Q30D	influence over focus of research	4.33				
Q33B	research services	3.39				
Q34B5	professional assistance in obtaining grants	3.01		▲		
Q34B7	travel funds	3.94	▲			
Q34B8	paid/unpaid research leave	3.67	▲	▲		
Work and home						
Q34B9	paid/unpaid personal leave	3.77	▲			▼
Q34B13	childcare	3.05	▲	▲		▲
Q34B15	stop-the-clock	4.12	▲	▲		
Q34B16	spousal/partner hiring program	2.68				▼
Q34B17	elder care	3.07	N/A	N/A		
Q34B19	modified duties for parental or other family reasons	3.42	N/A	N/A		
Q34B20	part-time tenure-track position	2.83	N/A	N/A		
Q35A	institution makes having children and tenure-track compatible	3.55	▲			
Q35B	institution makes raising children and tenure-track compatible	3.43		▲	▼	▲
Q35C	colleagues make having children and tenure-track compatible	3.86	▲			
Q35D	colleagues make raising children and tenure-track compatible	3.78	▲			
Q35E	colleagues are respectful of efforts to balance work/home	3.97	N/A	N/A	▼	
Q37	ability to balance between professional and personal time	3.00				
Climate, culture, and collegiality						
Q34B1	formal mentoring	2.88				
Q34B2	informal mentoring	3.46				
Q34B12	peer reviews of teaching or research	3.28				
Q38A	fairness of immediate supervisor's evaluations	3.92				▼
Q38B	interest tenured faculty take in your professional development	3.41				▼
Q38C	opportunities to collaborate with tenured faculty	3.46			▼	
Q38D	value faculty in your department place on your work	3.57	N/A	N/A		▼
Q39A	amount of professional interaction with tenured colleagues	3.54			▼	▼
Q39B	amount of personal interaction with tenured colleagues	3.60				▼
Q39C	amount of professional interaction with pre-tenure colleagues	3.80			▼	▼
Q39D	amount of personal interaction with pre-tenure colleagues	3.71	▼			▼
Q40	how well you fit	3.77				▼
Q41	intellectual vitality of tenured colleagues	3.55				
Q41A	intellectual vitality of pre-tenure colleagues	4.03	N/A	N/A		
Q41B	participation in governance of institution	3.59	N/A	N/A		
Q41C	participation in governance of department	3.68	N/A	N/A		
Q42	on the whole, institution is collegial	4.15	N/A	N/A		
Compensation and benefits						
Q34B14	financial assistance with housing	2.23				
Q34B18	tuition waivers	3.90	N/A	N/A		
Q36	compensation	3.30		▼		▼
Global satisfaction						
Q45A	department as a place to work	3.92				
Q45B	institution as a place to work	3.73				
Q46B	CAO cares about quality of life for pre-tenure faculty	3.23			▼	
Q48	would again choose to work at this institution	4.02				▼
Q50	overall rating of institution	3.91				

# Tenure Practices



## Tenure Expectations: Clarity



## Tenure Expectations: Reasonableness

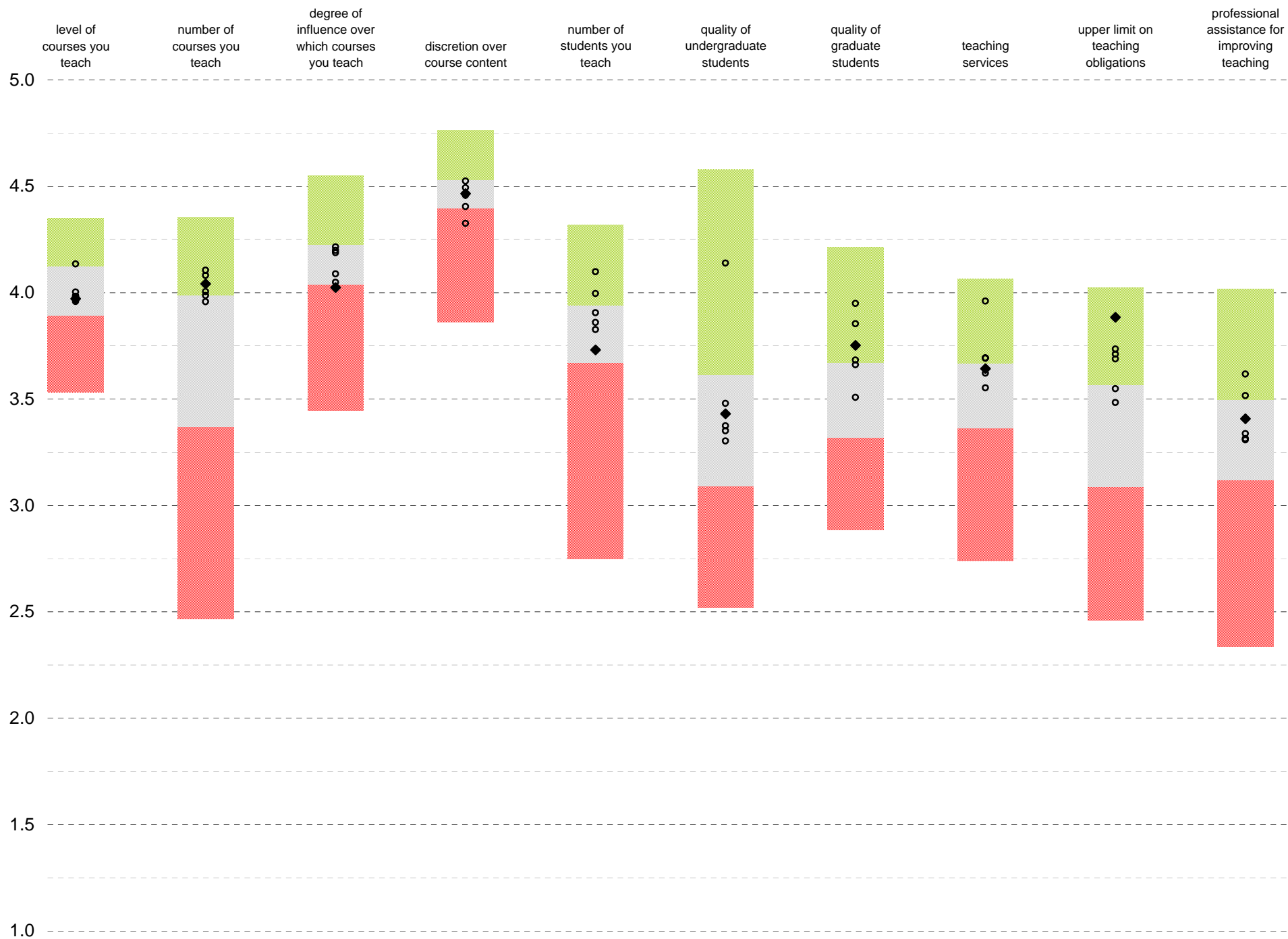




## Nature of Work: Overall



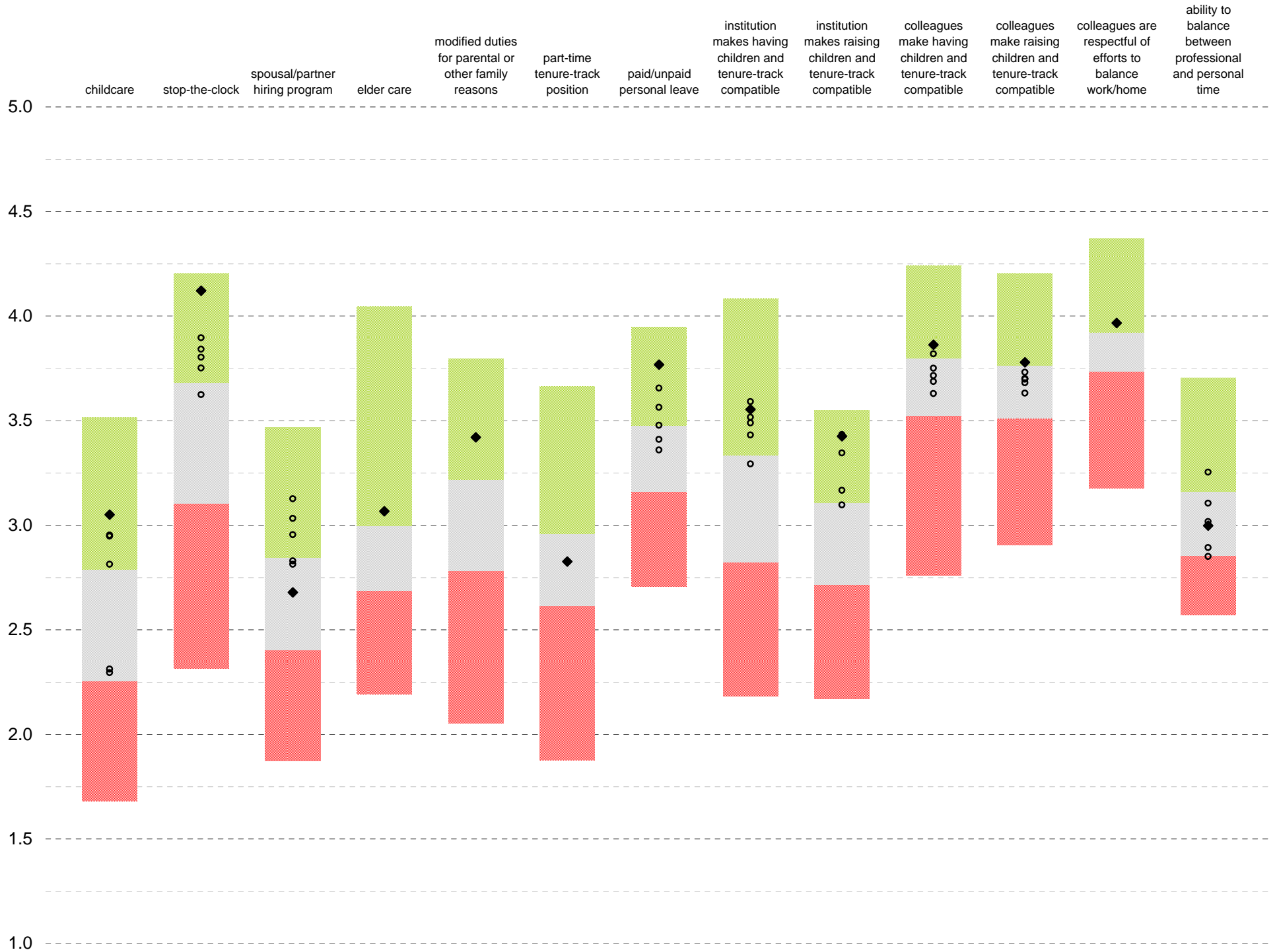
## Nature of Work: Teaching



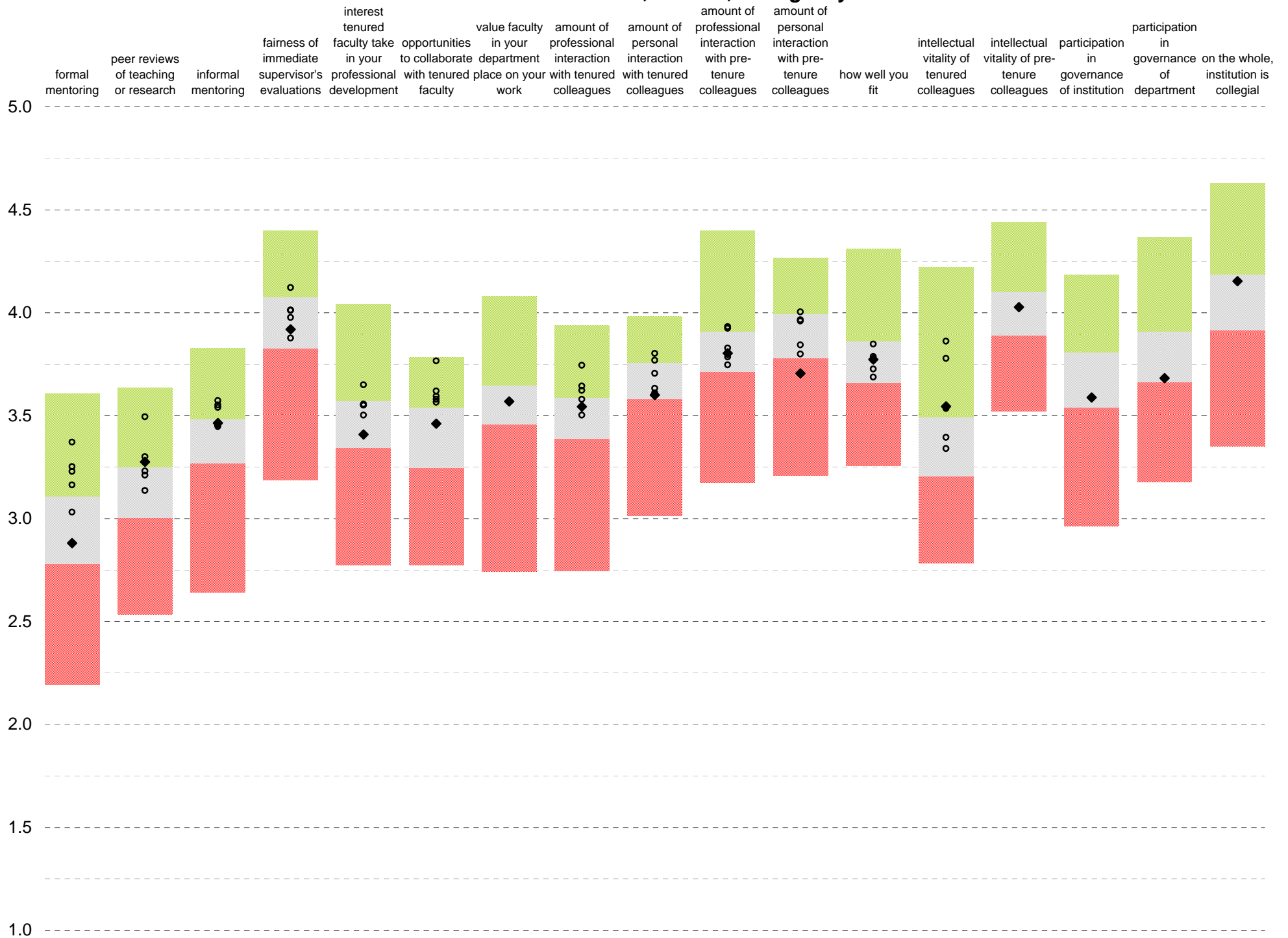
## Nature of Work: Research



## Work and Home



# Climate, Culture, Collegiality



# Compensation and Benefits



# Global Satisfaction

CAO cares  
about  
quality of  
life for pre-  
tenure  
faculty

would  
again  
choose to  
work at this  
institution

department  
as a place  
to work

institution  
as a place  
to work

overall  
rating of  
institution



**Table 1. Policies rated by faculty as *important* and *effective***

This table shows, for each of 20 policies, 1) the number of faculty who provided a valid response for both the importance and the effectiveness questions (34a and 34b); and 2) the percent of your junior faculty (overall and by subgroups) who rated the policy as **important or very important to their success**, and **effective or very effective**. The policies and practices with the highest percent of faculty with this response pattern can be viewed as exemplars of successful policies at your institution.

Policy/Practice	Valid <i>n</i>	At Your Institution				
		Overall	Males	Females	White Faculty	Faculty of Color
Stop-the-clock for parental or other family reasons	78	78% (1*)	66% (3)	90% (1)	82% (1)	70% (4)
Travel funds to present papers or conduct research	113	78% (1*)	83% (2)	72% (2)	77% (2)	81% (1)
An upper limit on teaching obligations	109	75% (3)	87% (1)	60% (5)	75% (3)	74% (3)
Periodic, formal performance reviews	113	65% (4)	64% (4)	66% (3*)	60% (4)	75% (2)
Tuition waivers (e.g., for child, spouse/partner)	69	58% (5)	52% (8)	66% (3*)	54% (8)	65% (5)
Written summary of periodic performance reviews	107	56% (6*)	60% (5)	52% (10)	53% (9)	62% (6)
Paid or unpaid research leave	88	56% (6*)	55% (6*)	57% (6)	56% (7)	55% (8)
An upper limit on committee assignments for tenure-track faculty	100	55% (8)	55% (6*)	54% (7*)	52% (10)	60% (7)
Informal mentoring	107	51% (9*)	49% (9)	53% (9)	59% (5)	35% (14)
Paid or unpaid personal leave	72	51% (9*)	47% (10)	54% (7*)	58% (6)	38% (13)
Professional assistance for improving teaching	99	44% (11)	39% (13)	49% (11)	44% (12)	43% (10*)
Modified duties for parental or other family reasons (e.g., course release)	55	43% (12)	44% (11)	42% (12)	45% (11)	39% (12)
Childcare	64	37% (13)	35% (14)	38% (13)	33% (13*)	43% (10*)
Peer reviews of teaching or research/creative work	100	36% (14)	40% (12)	31% (15)	32% (15)	44% (9)
Professional assistance in obtaining externally funded grants	101	31% (15)	27% (15)	36% (14)	33% (13*)	27% (16)
Spousal/partner hiring program	53	21% (16)	17% (16)	24% (17)	20% (16)	22% (18)
Formal mentoring program	103	19% (17)	15% (17*)	25% (16)	17% (17)	24% (17)
Elder care	32	14% (18)	15% (17*)	14% (18)	5% (18)	28% (15)
Part-time tenure-track position	38	9% (19)	6% (19)	12% (19)	4% (19)	16% (19)
Financial assistance with housing	79	6% (20)	5% (20)	6% (20)	2% (20)	13% (20)

**Table 2. Policies rated by faculty as *important*, but *ineffective***

This table shows, for each of 20 policies, 1) the number of faculty who provided a valid response for both the importance and the effectiveness questions (34a and 34b); and 2) the percent of your junior faculty (overall and by subgroups) who rated the policy as **important or very important to their success**, but **ineffective or very ineffective (or not offered)** at your institution. The policies and practices with the highest percent of faculty with this response pattern should be targeted for improvement.

Policy/Practice	Valid <i>n</i>	At Your Institution				
		Overall	Males	Females	White Faculty	Faculty of Color
Spousal/partner hiring program	53	48% (1)	42% (1)	54% (1)	35% (4)	68% (1)
Financial assistance with housing	79	44% (2)	39% (2)	50% (2)	39% (3)	53% (2)
Formal mentoring program	103	42% (3)	37% (3)	48% (3)	49% (1)	28% (5)
Childcare	64	40% (4)	33% (4)	47% (4)	44% (2)	33% (3)
Professional assistance in obtaining externally funded grants	101	31% (5)	27% (5)	35% (6)	32% (5*)	29% (4)
Peer reviews of teaching or research/creative work	100	29% (6)	23% (6)	36% (5)	32% (5*)	23% (6)
Modified duties for parental or other family reasons (e.g., course release)	55	25% (7)	21% (7*)	30% (7*)	29% (7)	19% (8*)
An upper limit on committee assignments for tenure-track faculty	100	21% (8*)	19% (9)	23% (10*)	27% (8)	9% (17*)
Paid or unpaid research leave	88	21% (8*)	15% (11*)	28% (9)	21% (10)	20% (7)
Informal mentoring	107	20% (10)	21% (7*)	19% (12)	24% (9)	13% (13)
Part-time tenure-track position	38	18% (11)	5% (18*)	30% (7*)	16% (12*)	19% (8*)
An upper limit on teaching obligations	109	17% (12)	12% (14)	23% (10*)	16% (12*)	18% (10)
Written summary of periodic performance reviews	107	16% (13)	16% (10)	16% (13)	19% (11)	10% (15*)
Elder care	32	15% (14)	15% (11*)	15% (14)	16% (12*)	14% (11*)
Periodic, formal performance reviews	113	13% (15)	13% (13)	13% (15*)	15% (15)	10% (15*)
Travel funds to present papers or conduct research	113	9% (16*)	8% (15)	10% (18)	9% (16)	9% (17*)
Tuition waivers (e.g., for child, spouse/partner)	69	9% (16*)	5% (18*)	13% (15*)	7% (17)	12% (14)
Professional assistance for improving teaching	99	8% (18)	6% (16*)	11% (17)	5% (19)	14% (11*)
Stop-the-clock for parental or other family reasons	78	5% (19)	6% (16*)	4% (20)	6% (18)	3% (20)
Paid or unpaid personal leave	72	3% (20)	0% (20)	7% (19)	2% (20)	5% (19)

Note: The values in parenthesis indicate the vertical rank of that response. A "\*" indicates a tie.



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**Most frequently cited *best aspects* about working at your institution (Q44a)**

**% of institutions where item ranked  
among the top four responses**

	<i>rank</i>	<i>category</i>	<i>name</i>	<i>Selected peers</i>	<i>All comparables</i>
<b>Overall</b>	1	climate, culture and collegiality	quality of colleagues	80%	56%
	2	nature of the work	academic freedom	20%	46%
	2	climate, culture and collegiality	support of colleagues	60%	68%
	4	external factors	geographic location	20%	59%
<b>Male</b>	1	climate, culture and collegiality	quality of colleagues	100%	66%
	2	climate, culture and collegiality	support of colleagues	20%	54%
	2	nature of the work	academic freedom	0%	56%
	4	external factors	geographic location	40%	63%
<b>Female</b>	1	external factors	geographic location	20%	52%
	2	nature of the work	academic freedom	60%	45%
	3	climate, culture and collegiality	support of colleagues	80%	68%
	4	climate, culture and collegiality	quality of colleagues	80%	52%
<b>White Faculty</b>	1	climate, culture and collegiality	quality of colleagues	100%	65%
	2	external factors	geographic location	40%	63%
	3	climate, culture and collegiality	support of colleagues	40%	59%
	4	nature of the work	academic freedom	20%	48%
<b>Faculty of Color</b>	1	nature of the work	academic freedom	60%	46%
	2	nature of the work	teaching load	0%	21%
	3	climate, culture and collegiality	support of colleagues	60%	56%
	4	climate, culture and collegiality	my sense of "fit" here	20%	51%
	4	climate, culture and collegiality	opportunities to collaborate with colleagues	40%	12%

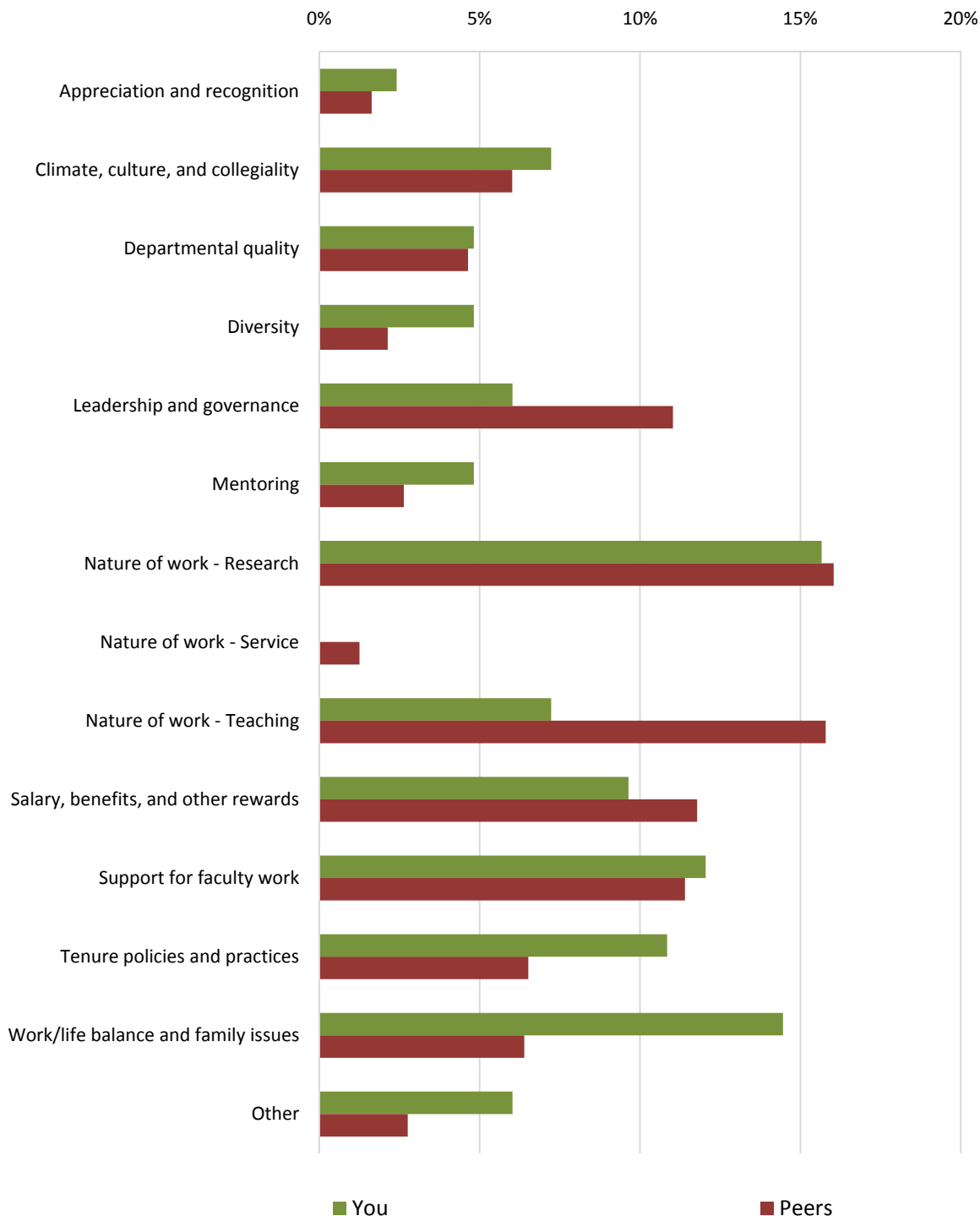
Most frequently cited **worst aspects** about working at your institution (Q44b)

% of institutions where item ranked  
among the top four responses

	rank	category	name	Selected peers	All comparables
Overall	1	policies and practices	compensation	100%	72%
	1	external factors	cost of living	0%	27%
	3	nature of the work	quality of facilities	20%	43%
	4	nature of the work	lack of assistance for grant proposals	0%	7%
Male	1	nature of the work	lack of assistance for grant proposals	20%	9%
	1	external factors	cost of living	0%	32%
	3	external factors	geographic location	80%	29%
	4	nature of the work	quality of undergraduate students	0%	32%
Female	1	policies and practices	compensation	60%	52%
	2	nature of the work	quality of facilities	20%	29%
	3	external factors	cost of living	0%	20%
	4	external factors	commute	0%	10%
	4	tenure	tenure criteria clarity	20%	12%
White Faculty	1	nature of the work	lack of assistance for grant proposals	0%	9%
	2	nature of the work	quality of facilities	20%	45%
	2	policies and practices	compensation	100%	61%
	4	external factors	geographic location	80%	27%
	4	external factors	cost of living	0%	24%
	4	external factors	commute	0%	9%
Faculty of Color	1	external factors	cost of living	0%	29%
	2	policies and practices	compensation	60%	55%
	3	policies and practices	spousal/partner hiring program (or lack thereof)	40%	20%
	4	nature of the work	quality of facilities	0%	20%
	4	climate, culture and collegiality	lack of diversity	60%	28%
	4	external factors	commute	0%	10%

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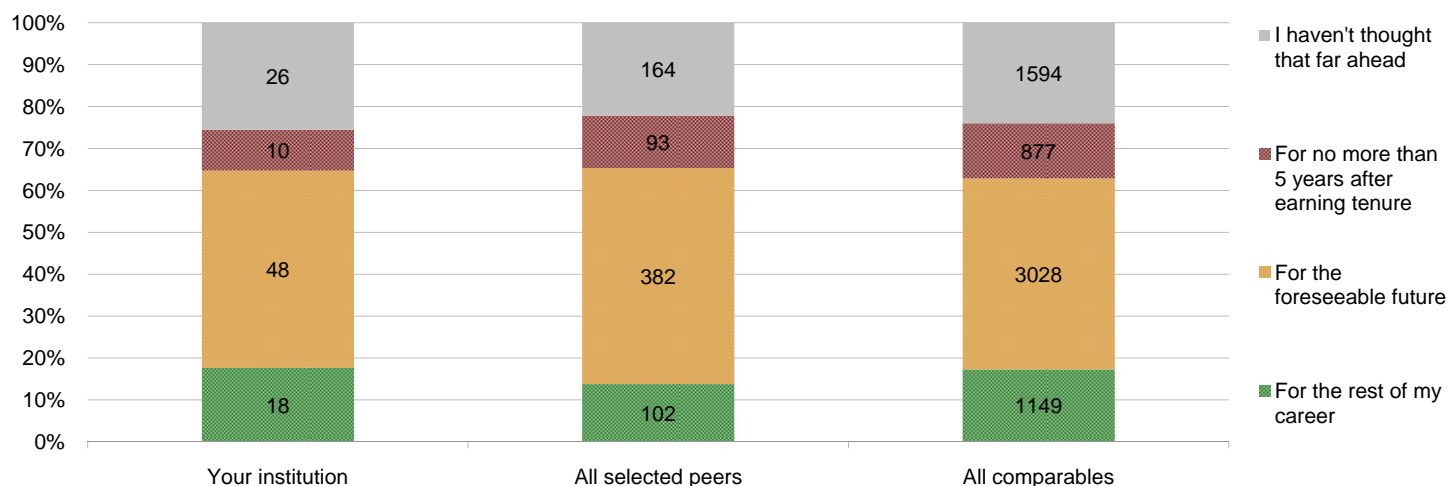
The chart below summarizes the responses to the final question in the survey which asks about the **one thing** your institution can do to improve the workplace for faculty. Open text responses were coded and summarized for your institution (green) and your peers (red).



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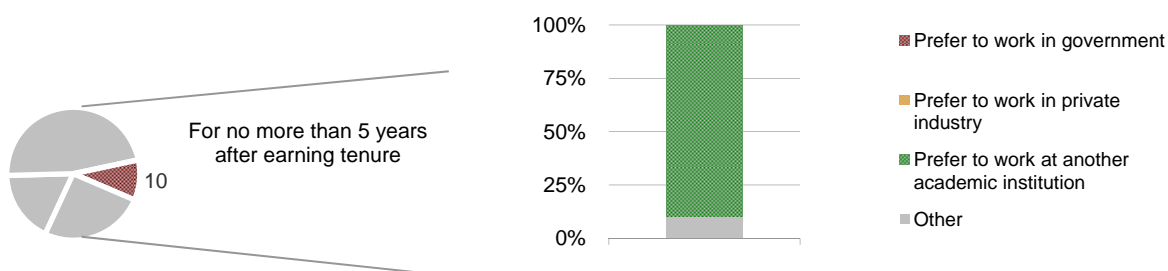
The following charts report data for non-likert survey items (Q47, Q47b, and Q49). For Items Q47 and Q49, the graphs display the distribution of responses for your institution, your peers, and all respondents in your cohort. Q47b examines the subgroup of respondents to Q47 who do not plan to remain at your institution for more than five years after receiving tenure.

Q47. Assuming you achieve tenure, how long do you plan to remain at your institution?

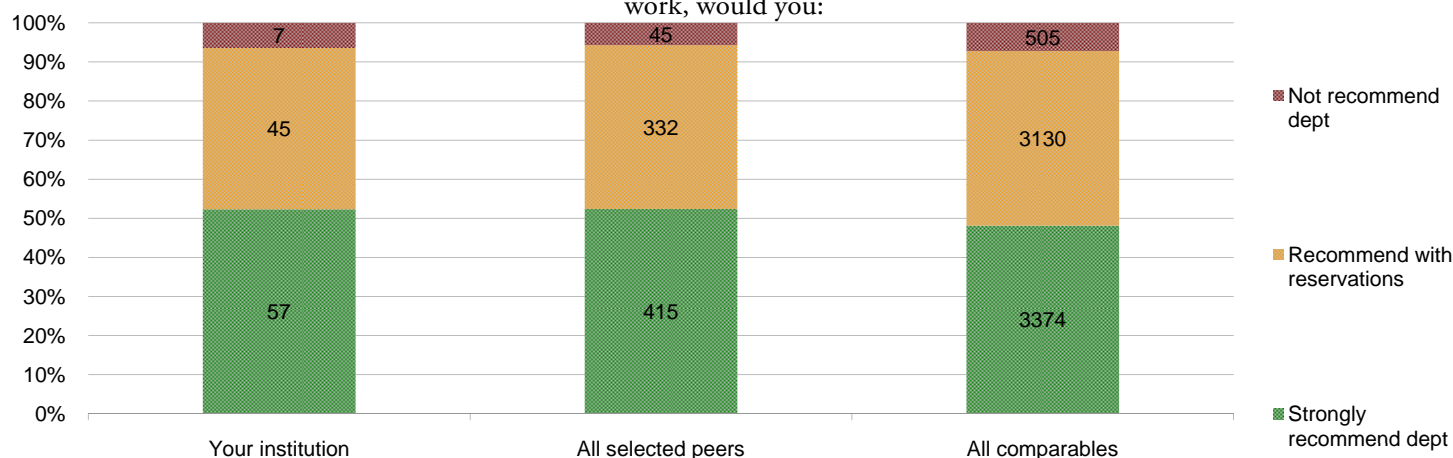


Q47. Assuming you achieve tenure, how long do you plan to remain at your institution?

Q47b. Why do you plan to remain at your institution for no more than five years after earning



Q49. If a candidate for a tenure-track faculty position asked you about your department as a place to work, would you:









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**HARVARD**  
GRADUATE SCHOOL OF EDUCATION

## Standard Six

### Students

The future depends on offering diverse, well-prepared students access to rigorous academic programs in an environment structured to foster self-discovery and nurture individual success. Early meaningful academic and social engagement is essential for our primarily traditional age population's transition to college life, so we offer programs and services designed to facilitate that connection between student and campus. We also stress the importance of maintaining a balanced approach throughout their journey at the University during which they are encouraged to stay on top of their coursework while taking advantage of our broad array of enrichment, support and extracurricular opportunities.

Guided by University policy regarding admissions criteria and enrollment targets, prospects who meet qualifications are strategically identified to build applicant pools reflecting quality, size and diversity. Admissions standards ensure student qualifications and expectations are compatible with institutional objectives, and admits demonstrate potential for success in the programs to which they are admitted. (6.1, 6.2) As the table below indicates, total enrollment increased modestly between 1995 and 2000, followed by significant growth between 2000 and 2005 and moderate but steady growth over the past five years. This growth over time has occurred at the undergraduate level.

TABLE 6.1

<b>Storrs &amp; Regionals</b>	<b>1995</b>	<b>2000</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>
Total Enrollment	22,973	23,419	28,083	28,481	28,677	29,383	29,517	30,034
Undergraduates	14,667	16,681	20,525	20,784	20,846	21,372	21,496	21,881
Total Graduate & Professional (incl. M.D. and D.M.D.)	8,306	6,738	7,558	7,697	7,831	8,011	8,021	8,153

### ADMISSIONS

The University has become more selective in admissions as student demand has increased. We endeavor to admit and integrate specifically recruited populations into the larger student population and assure comparable academic experiences. As called for in the *University Diversity Task Force Report*, we have initiated recruitment programs targeted towards attracting high caliber underrepresented students. The table below illustrates the growth in our freshman minority enrollment. (6.2, 6.4)

TABLE 6.2

<b>Storrs &amp; Regionals</b>	<b>1995</b>	<b>2000</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>
Minority Freshmen	480	662	981	940	936	1,104	1,046	1,296

### 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, described in greater detail supra in the section entitled “Student Services.”

### First Year Programs

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. [First Year Programs](#) houses three initiatives: (1) an introductory one-credit “university skills” course that nearly eighty percent of freshmen enrolled in during the fall 2010 semester; (2) The Academic Achievement Center (AAC); and (3) [UCONN Connects](#) which provides one on one support to help students on academic probation or who are subject to academic dismissal in their first two years.

### Transfer Credit

A Statewide Transfer and Articulation Committee, under the auspices of the Connecticut Department of Higher Education, recommend policies that maximize transferability of collegiate credit toward completion of degree requirements at the receiving public institution. Recommendations include programmatic articulation between the public two and four-year institutions such as the Pathway Program in Engineering, and the Guaranteed Admission Program (GAP), designed for transfer students who enroll in a Liberal Arts transfer program at one of Connecticut's community colleges. Students who plan to continue their studies to earn a bachelor's degree in Liberal Arts and Sciences, Agriculture and Natural Resources or Business are guaranteed admission to the University of Connecticut once the associate degree has been earned, appropriate courses have been completed, and minimum grades and requirements for the selected program have been achieved.

### 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 designated guidelines. 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 for a depiction of the amount spent on student financial aid. (6.11) For more information on student financial aid services offered by the University of Connecticut, please see Exhibit 6.1.

Table 6.3

<b>FY11 Financial Aid Budget (\$M)</b>	
Storrs & Regional Campuses	
Need-Based Grants	\$71.4
University Scholarships	37.1
Non-University Scholarships	13.1
Work Study/Student Labor	17.7
Tuition Waivers	<u>47.4</u>
Subtotal	\$186.7
Loans (federal & private)	<u>171.7</u>
<b>Total Financial Aid</b>	<b>\$358.4</b>



## APPRAISAL

Table 6.4 illustrates our recruitment success. The number of admissions applications continues to rise, as do average SAT scores, percent of freshmen from the top 10% of their high school class and new freshman and transfer student enrollment. The aforementioned Guaranteed Admissions Program agreement we signed with Connecticut's community colleges in November of 2007 has contributed to the increase in the number of transfer students.

TABLE 6.4

<b>Storrs</b>	<b>1995</b>	<b>2000</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>
Freshmen Applied	9,874	12,120	18,608	19,778	21,105	21,058	21,999	22,142
Freshmen Enrolled	2,021	2,836	3,260	3,241	3,179	3,604	3,221	3,339
SAT	n/a	1140	1189	1195	1192	1200	1212	1221
Top 10% HS Class	n/a	23%	37%	38%	40%	39%	44%	44%
New Transfers	640	572	636	683	706	690	779	770

A breakdown of new enrollment by Storrs and regional campuses is presented in the two tables below.

Between fall 1995 and fall 2010, the number of minority freshmen at Storrs increased by 172%. The percent of incoming freshmen that are minorities increased from 15% in 1995 to 25% in 2010. Since our reaccreditation five years ago, the percentage of minority incoming freshmen has increased from 20% to 25%.

TABLE 6.5

<b>Storrs</b>	<b>1995</b>	<b>2000</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>
All Freshmen	2,021	2,836	3,260	3,241	3,179	3,604	3,221	3,339
Minority Freshmen	308	474	650	600	617	710	673	838
% Minority	15%	17%	20%	19%	19%	20%	21%	25%

Between fall 1995 and fall 2010, the number of minority freshmen at regional campuses increased by 166%. The percent of incoming freshmen who are minorities increased from 26% to 37%. And, like our main campus, the percentage of minority incoming freshmen at the regional campuses has increased since 2005.

TABLE 6.6

<b>Regionals</b>	<b>1995</b>	<b>2000</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>
All Freshmen	668	749	986	1,140	1,147	1,254	1,141	1,241
Minority Freshmen	172	188	331	340	319	394	373	458
% Minority	26%	25%	34%	30%	28%	31%	33%	37%

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 1416 on the SAT. The fall 2010 Honors Program enrollment is 456. Concerted efforts to recruit underrepresented minorities resulted in approximately 30% of the 456 incoming Honors students being underrepresented minority students.

Regarding student aid, from fall 2006 and 2009, total aid grew from \$254.7 million to \$343.2 million. While state need-based aid increased from \$9.7 to \$13.3 million and institutional tuition funded aid went from \$83.6 to \$103.3 million, university-supported need-based aid grew from \$34.4 million to \$39.7 million. And student loans, partially due to increased eligibility from the Ensuring Continuing Access to Student Loans Act (ECASLA) from \$118.1 to \$162 million. At the same time, undergraduate recruitment scholarships, or merit-based aid, increased from \$11.4 million to \$18.4 million.

## **PROJECTION**

The University of Connecticut will continue to apply strategic techniques to distribution of financial aid that optimize benefits to the student, university, community, and to the state. State-of-the-art technology will continue to be used to model optimization strategies. We will continue to use financial aid to enhance 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, 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 undergraduate recruitment goals include ongoing enhancement of the impressive quality of our incoming freshman classes at Storrs, with targets of an average SAT of 1220+, 110 valedictorians and salutatorians per year, and 40+ percent of incoming freshmen coming from the top 10% 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 Storrs campus and strive for only slight growth at the regional campuses.

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; expanding visibility and services to Connecticut community colleges; having 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 nurturing additional professional relationships with Connecticut guidance counselors.

## **RETENTION AND GRADUATION**

In addition to the positive impact the University's academic programs and variety of enrichment and support programs' ongoing efforts on our persistence and completion results, our broadly represented Retention and Graduation Task Force develops data-driven, research-based recommendations to improve completion rates through a longitudinal database that allows stacking and tracking quantitative and phone survey data regarding freshman, sophomore and transfer students at Storrs and the regional campuses, the Task Force is better able to understand factors contributing to persistence and attrition and forward recommendations to senior management.

The Task Force also conducts and reviews results from student surveys, including an Entry Level Survey administered during freshman orientation regarding students' expectations; a mid-career and senior student satisfaction survey; and, an annual survey of recent graduates. The group also reviews national surveys administered to UConn students including the National Survey for Student Engagement (NSSE) and the Freshman Norms Survey and First-Year Survey developed by the Cooperative Institutional Research Program (CIRP).

New Student and Parent Orientation. The Orientation program facilitates integration and transition of new students and their parents into the academic, cultural, and social climate of the University. The intent is to introduce participants to key services, resources and opportunities and to prepare students for their scholarly pursuits.

Retention Support. The University provides many services to support the academic success of our students. (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) For a full list of the programs and services that aid in retention, see Exhibits 6.3 – 6.9.

In 2008 the Office of the Registrar added a position of Retention and Graduation Outreach Coordinator who assists students who are considering leaving the University; helps facilitate the return of students who have left; and works with students who have left just short of graduation to complete their studies.

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 disclosure policies take into consideration individual rights of privacy as well as the needs of the institution. The Office of the Registrar has the overall responsibility for student records and follows the legal standards identified in state and federal laws, including the Family Educational Rights and Privacy Act of 1974. PeopleSoft, 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 University Information Technology Services security officer and the Office of the Provost. Specific time frames are identified for the retention and disposition of student related documents in accordance with [state record retention policies](#). 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, there is a University Privacy Officer, located in the Office of Audit, Compliance and Ethics. (6.16)

## **APPRAISAL**

Over the past decade, not only have we enrolled more, and more qualified students, we also have retained and graduated them at higher rates (Table 6.7). This is true for minority students, as well (Table 6.8).

Table 6.7

Storrs All Retention & Graduation

<b>Entering Freshman Year</b>	<b>1995</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>	<b>2006</b>
4-Yr Graduation Rate	43%	45%	50%	53%	54%	56%	61%	66%	68%	67%
5-Yr Graduation Rate	66%	67%	69%	71%	72%	74%	76%	79%	81%	
6-Yr Graduation Rate	70%	71%	72%	74%	75%	76%	78%	81%		

Table 6.8

Storrs Minority Retention and Graduation

<b>Entering Freshman Year</b>	<b>1995</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>	<b>2006</b>
4-Yr Graduation Rate	32%	38%	42%	44%	43%	42%	51%	54%	55%	57%
5-Yr Graduation Rate	58%	62%	62%	65%	64%	66%	69%	69%	73%	
6-Yr Graduation Rate	65%	67%	66%	69%	68%	70%	72%	72%		

Timely graduation has been improved by a number of initiatives that have enabled UConn to establish a culture of success. “Finish in Four” is a program that encourages and facilitates timely graduation by stressing to entering students that they are the Class of 2015, for example; making course numbering more easily understandable; providing packaged scheduling for prescriptive programs, and encouraging summer enrollment when possible to stay on course or get on course to timely graduation. Another 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, which has proven to be popular among students. (6.4, 6.6)

Results of extensive research have informed our efforts. For a description of research results, see Exhibit 6.10.

Our structured approach to retention and graduation on our part has garnered national recognition. The Educational Policy Institute (EPI), an international non-profit, non-partisan research organization dedicated to policy-based research on educational opportunity for all students awarded the University of Connecticut the 2006 Outstanding Retention Program Award. Aspects of our efforts viewed as integral to student success based on studies and practice nationally and here at UConn include

designating a visible individual to coordinate a campus-wide Retention Planning Team, conducting systematic analyses of academic and non-academic characteristics and needs of students who persist or leave, conducting retention outreach to students, providing early warning to students struggling in courses and suggesting solutions, and monitoring courses with high percentages of low grades and offering pedagogical support. For the retention rates and graduation rates for the entering freshmen classes, please see Exhibit 6.2.

## PROJECTION

We are guided in our retention and graduation efforts by goals set forth in our Academic Plan listed below:

UConn Academic Plan: Update on Progress Toward Fall 2014 Goals			
Entering Freshman Class Metrics	Fall 2007	Fall 2010	Goal
Freshman Average SAT (Math & Verbal)	1192	1221	1220
% Students in top-10% of high school class	40%	44%	45%
Freshman Retention Metrics (Fall Entering Cohort)	Fall 2005	Fall 2009	Goal
First-year retention rate	93%	93%	95%
First-year minority retention rate	91%	92%	95%
Graduation Metrics (Fall Entering Cohort)	Fall 2000	Fall 2004	Goal
Six-year graduation rate	74%	81%	78%
Six-year minority graduation rate	69%	72%	78%

Thus far, we have exceeded two of our six goals (average SAT and six-year graduation rate) and are making progress toward others. As we look ahead, we will continue to address the issue of retention and graduation by race/ethnicity and gender at the University of Connecticut. The Retention and Graduation Task Force will continue to discuss and research this topic and is setting up a subcommittee with representation from experts and those interacting with the general population and selected subpopulations to develop recommendations and goals for enhancing degree completion of males and underrepresented minorities.

Retention and graduation rates are important outcomes associated with higher education, but only with the assurance that a college diploma reflects the highest standards of academic quality. Academic quality is the principle that guides our University's efforts in recruitment, retention and graduation.

## STUDENT SERVICES

*Academic Support, Professional Development, Health and Safety and Information Technology*

Creating a system of academic support and development for students is a shared responsibility between academic departments, [Academic Center for Exploratory Students \(ACES\)](#), the [Institute for Student](#)

Success, the Academic Advisory Center of the College of Liberal Arts and Sciences, The Division of Student Affairs, Counseling Program for Intercollegiate Athletes, as well as advisors and departments in other schools and colleges. For a full description of the breadth of academic services available to University students, please see Exhibit 6.3. Professional development for students is primarily coordinated through the Department of Career Services, whose work is described in more detail in Exhibit 6.4. (6.2, 6.3, 6.8)

The responsibility of ensuring the health and wellbeing of our residential and nonresidential students is shared between the University's Division of Public Safety, which houses the University Police, Fire Department and emergency response, the Student Health Center including Counseling and Mental Health Services and the Department of Wellness and Prevention. A description of their initiatives may be found in Exhibits 6.5 and 6.6. (6.8, 6.9)

#### *Promoting Cultural Competence in a Diverse and Global Environment*

An emphasis on diversity and cultural competency is woven throughout our Academic Plan. To increase opportunities for diversity and to provide opportunities for students to experience different perspectives, the University intentionally encourages enrollment of students from all parts of the world. Undergraduate Admissions actively recruits international student, and the Department of International Services and Programs (DISP) provides cultural advising and programming to support international students' adjustment to living and studying at UConn. DISP's staff of immigration advisors addresses concerns regarding immigration and academic adjustment. The University of Connecticut American English Language Institute (UCAELI), housed in the Center for Continuing Studies, offers a full service intensive English program for students with English as a second language. The International Center at DISP is open to all interested in learning more about the many cultures in the University community. (6.8)

The Office of the Associate Vice President for Diversity & Equity is charged with providing leadership on issues of diversity, multiculturalism, access and equity in terms of teaching and learning, scholarship, retention, campus climate, and preparing all students to live and work in a diverse world. To support students and provide a conduit for all students to benefit from the presence of diverse individuals and cultures, the unit includes centers of excellence—namely, the African-American Cultural Center, Asian-American Cultural Center, Puerto-Rican/Latin American Cultural Center, Rainbow Center and Women's Center. The unit's centers work collaboratively with each other, and with other academic and administrative units, to develop and sponsor programs and services related to matters of recruiting, retention, scholarship, and campus climate. (6.8)

#### *Providing Comprehensive Opportunities for Student Development, Involvement and Leadership*

The Division of Student Affairs ("The Division") plays an integral role in the success of the Academic Plan by contributing to the creation of a learning environment that increases the likelihood of student success and promotes institutional effectiveness. Made up of thirteen departments (described in detail in Exhibit 6.6), the Division is guided by the "Division Values and Guiding Principles," published each year in its Annual Report, which set forth the ethical standards by which student services are delivered. Included within these principles is a focus on responsibility, ownership and integrity, which mandate transparency, not only in the delivery of student services but in students' rights and responsibilities as well. These rights and responsibilities are reflected in the University's various policies, contracts, and regulations, including The Student Code, publicized through orientation, in various student services and online. (6.7, 6.8, 6.15)

The Department of Student Activities assures that our residential, local and commuting students are afforded a rich and diverse array of co- and extra-curricular choices for student involvement, service,

and leadership development that support the academic mission of the University. Resources in student activities are used in three primary ways: (1) for personnel to support the students; (2) training and support of the student leaders, who then use additional Student Activities financial resources to (3) plan and implement the programs for the student body. Student Activities has a set of approximately 200 learning outcomes that are used to guide the training and development of student leaders involved in serving fellow students and community organizations. (6.9, 6.12)

Students may join any of the 540 student-created student organizations, including 40 club sports, and 18 governing bodies (one for undergraduates, one for graduate students, and one for residence hall students, plus 15 individual area residence hall governance associations), 11 media groups, 144 academic groups, and other groups that address multicultural, fine arts, social justice, fitness, religious, and environmental interests. (For a full listing of student organizations, please see: <http://www.studentactivities.uconn.edu/vdStuOrg/index.cfm>.) All group leaders are trained by Student Activities staff members, and learning outcomes are the content base of the training workshops and corresponding assessment. (6.9, 6.12, 6.14)

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

As articulated in the Academic Plan, each of our regional campuses has a unique focus that complements the work carried out at the Storrs campus and the Health Center. However, there is some variation in how advising is delivered at different campuses based on the unique structure of each campus. Each regional campus has a writing coordinator to provide assistance to students. To support student academic success, regional campuses provides tutoring, supplemental instruction, individual and group study space, and access to technology. (6.8)

#### *Student Athletics and Recreation*

UConn athletic and recreational programs are a vital component of the educational mission of the University and are predicated upon the principle that the educational welfare of the participating student-athlete is of primary concern. Consistent with its NCAA membership, the University strives for equitable participation and competitive excellence, encouraging sportsmanship and ethical conduct, and developing positive societal attitudes in all of its athletic endeavors. Athletic opportunities at UConn are generally divided into three components: (1) our membership in the [NCAA Division 1 level Athletics](#) program; (2) [Recreational Programs](#); and (3) [The Club Sports Program](#). These programs are described in greater detail in Exhibit 6.9. (6.13)

### **APPRAISAL**

The Division of Student Affairs Strategic Plan provides strategic direction to the Division of Student Affairs to ensure alignment between the Division's portfolio of programs and services, the Mission of the University of Connecticut, and the priorities articulated in the University of Connecticut Academic Plan for 2009 – 2014. It enables the Division to ensure that the appropriate facilities, technology and funding are adequate to implement the institution's student serve policies and procedures, as informed by the Academic Plan and other institutional policies.

One of the first initiatives stemming from the Strategic Plan was the creation and implementation of an Assessment Plan, designed to help Student Affairs departments examine and review their overall efficacy and provide a framework to enable departments to report assessment findings and resultant actions. All components of the Assessment Model are grounded in the Division of Student Affairs Mission to provide programs, services, and co-curricular experiences that enhance student success. Strategic Plan Metrics were identified and baseline data were collected in FY 2009 and described more thoroughly in this Standard's Institutional Effectiveness section.

In an effort to more effectively align its programs and services with those highlighted in the Academic Plan, the Division of Student Affairs underwent reorganization in 2010. This reorganization transferred the role and responsibilities of the former Dean of Students Office to the [Office of Student Services and Advocacy](#) (OSSA), which serves as an advocate for students and as a centralized resource for connecting students with appropriate university and community programs, offices and individuals. Included within the purview of this office is [Off Campus Student Services](#), which serves as a resource for off-campus students. This was created in response to a need to further improve town-gown relations following an increase in the number of independent, off-campus rentals being made available to students.

Student housing is a particularly important topic at the University of Connecticut. The [Department of Residential Life](#) houses the fifth largest residential population of students in the country. On campus housing has been expanded during the past three years to maximize the total number of students living in the residence halls. This expansion through capacity changes has allowed for the elimination of the housing lottery. In an effort to improve student service, Residential Life created and opened a 24 hour call center in 2009. “The Front Desk” call center is available 24 hours a day, 365 days a year, providing an immediate response and point of contact for students, parents and/or UConn community members. Facilities upgrades/refurbishment is another area of focus during the past five years. Across campus, windows have been replaced to provide more energy efficiency in our buildings. Exterior surfaces have been painted and bathrooms have been refurbished. This focus on facilities helps students to have pride in their on-campus housing experience. There has been some friction caused by students moving into formerly single-family homes in Mansfield. These issues are being addressed in co-operation with the Mansfield Town Government.

The University Academic Plan calls for the establishment of Living and Learning Communities ([www.lc.uconn.edu](http://www.lc.uconn.edu)) in emerging areas of interdisciplinary excellence to increase opportunities for small-group, experiential, and service learning for students early in their college career. To that end, a metric goal of incoming class participation was set at 25%. Student participation in Learning Communities more than doubled in one year, exceeding the Academic Plan metric goal. The integration of new and returning students, living together in a building and sharing academic coursework focused on a common topic provides a rich residential learning experience and the Department of Residential Life continues to explore additional opportunities for collaboration across the University to enhance the overall student experience. For more information on Living and Learning Communities at UConn, please see Standard Four, Academic Programs: Undergraduate.

## **PROJECTION**

Student services and programs at the University of Connecticut provide students with the requisite foundation to engender the academic and personal development necessary to enable them to make relevant contributions to their larger community. Towards that end, the institution continues to invest the development and construction of top-rate facilities that are responsive to the needs of our growing student body. However, the current financial situation will present a real challenge to the institution’s desire to maintain its current and construct new facilities.

While the institution has begun construction of two new academic buildings, other much-needed facilities wait in the queue. Discussions have proceeded about the possibility of construction of a new Student Health Services as well as a new recreational facility, but given current fiscal challenge, cost and timing remain as issues for further review and consideration.

Finally, a vital point of projection for the coming years will be the institution’s need to anticipate and respond to the goals of a new president. The Division of Student Affairs and other departments whose mission is to provide support services are perfectly positioned to facilitate conversation between the



incoming president and the student body. Understanding and carrying out her vision will be a critical function for student services in the coming years.

### **INSTITUTIONAL EFFECTIVENESS**

Over the last decade and a half, 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 top public institutions of higher education in the country.

# Exhibit 6.1

Student Financial Aid Services  
at the University of Connecticut

### **Exhibit 6.1: Student Financial Aid Services at the University of Connecticut**

The Office of Student Financial Aid Services oversees merit-based aid and coordinates the University's various scholarship and non-need-based grant and award programs. Need based aid includes: Federal Pell Grants, Federal Academic Competitiveness Grants (through FY11), National Science and Mathematics Access to Retain Talent Grant (through FY11), 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. 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. All incoming freshman are considered for merit-based aid according to a holistic review of their application for admission. 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 Federal Direct Subsidized and Unsubsidized Stafford Loans (FDSL) offered to students attending the University at least half-time. To qualify for the Federal Direct Subsidized Loan, 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 a Federal Direct Unsubsidized Loan. 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 financial aid package. Job opportunities are listed on the [Student Employment](#) website. 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.

# Exhibit 6.2

Most Recent Retention Rates  
and Graduation Rates for  
Entering Freshmen Classes By  
Campus as of Fall 2010

**Exhibit 6.2: Most Recent Retention Rates and Graduation Rates for  
Entering Freshmen Classes By Campus as of Fall 2010**

Storrs Campus					<p>Please Note: Retention percentages include early graduates.</p> <p>Graduation rates are calculated according to Federal Student Right to Know legislation and the NCAA Graduation Rates Policy. Graduation rates include students graduating in the summer session of the sixth year of study. Beginning Fall 2005, retention rates are calculated based on full-time, baccalaureate entering classes.</p>
Freshmen Entering Class of:	Retention After 1 yr.	2 year Retention	3 year Retention	Graduated in 6 yrs.	
Fall 2009	93				
Fall 2008	92	87			
Fall 2007	93	88	86		
Fall 2006	93	87	85		
Fall 2005	93	88	86		
Fall 2004	92	85	83	81	
Fall 2003	90	84	80	78	
Fall 2002	88	82	79	76	
Fall 2001	88	81	78	75	
Fall 2000	89	80	78	74	
Fall 1999	88	79	75	72	
Total Five Regional Campuses					Stamford Campus

Freshmen Entering Class of:	Retention After 1 yr.	2 year Retention	3 year Retention	Graduated in 6 yrs.
Fall 2009	82			
Fall 2008	80	64		
Fall 2007	78	66	61	
Fall 2006	79	65	58	
Fall 2005	79	62	58	
Fall 2004	79	65	59	50
Fall 2003	79	66	59	52
Fall 2002	76	61	56	48
Fall 2001	77	60	53	46
Fall 2000	74	60	53	46
Fall 1999	74	56	52	42

Freshmen Entering Class of:	Retention After 1 yr.	2 year Retention	3 year Retention	Graduated in 6 yrs.
Fall 2009	81			
Fall 2008	81	60		
Fall 2007	83	75	69	
Fall 2006	79	74	67	
Fall 2005	80	67	66	
Fall 2004	82	70	64	55
Fall 2003	81	72	60	55
Fall 2002	71	61	59	49
Fall 2001	78	67	62	55
Fall 2000	78	70	64	57
Fall 1999	74	60	55	46

#### Avery Point Campus

Freshmen Entering Class of:	Retention After 1 yr.	2 year Retention	3 year Retention	Graduated in 6 yrs.
Fall 2009	77			

#### Torrington Campus

Freshmen Entering Class of:	Retention After 1 yr.	2 year Retention	3 year Retention	Graduated in 6 yrs.
Fall	85			

							2009				
Fall 2008	79	63					Fall 2008	73	57		
Fall 2007	76	59	55				Fall 2007	63	53	45	
Fall 2006	82	64	56				Fall 2006	70	50	43	
Fall 2005	75	56	52				Fall 2005	67	54	44	
Fall 2004	75	59	56	45			Fall 2004	73	63	47	39
Fall 2003	80	65	60	53			Fall 2003	82	73	66	55
Fall 2002	81	60	52	44			Fall 2002	74	62	50	47
Fall 2001	70	43	37	32			Fall 2001	75	53	49	47
Fall 2000	71	51	43	38			Fall 2000	68	63	52	58
Fall 1999	72	48	48	37			Fall 1999	77	56	50	44

## Hartford Campus

Freshmen Entering Class of:	Retention After 1 yr.	2 year Retention	3 year Retention	Graduated in 6 yrs.
Fall 2009	85			
Fall 2008	79	66		
Fall 2007	80	71	65	

## Waterbury Campus

Freshmen Entering Class of:	Retention After 1 yr.	2 year Reten tion	3 year Rete ntion	Gradu ated in 6 yrs.
Fall 2009	82			
Fall 2008	81	69		
Fall	78	62	57	

Entering Freshmen Class:												
	Retention after One Year	Retention after Two Years	Retention after Three Years	Graduated in Four Years	Graduated in Five Years	Graduated in Six Years						
								Retention after Two Years	Retention after Three Years	Graduated in Four Years	Graduated in Five Years	Graduated in Six Years



Fall				41				68				53
1983	87%	79%	76%	%	66%	70%	84%	%	62%	24%	47%	%
Fall				38				56				39
1984	85%	76%	73%	%	62%	66%	71%	%	51%	18%	35%	%
Fall				36				67				47
1985	88%	79%	75%	%	64%	69%	83%	%	62%	18%	39%	%
Fall				37				69				53
1986	86%	79%	75%	%	64%	68%	84%	%	61%	23%	48%	%
Fall				42				73				57
1987	89%	81%	77%	%	68%	72%	84%	%	68%	26%	52%	%
Fall				40				71				53
1988	87%	78%	75%	%	64%	68%	88%	%	67%	24%	47%	%
Fall				40				72				51
1989	87%	80%	76%	%	65%	70%	82%	%	64%	27%	47%	%
Fall				39				73				57
1990	86%	77%	73%	%	63%	68%	80%	%	66%	24%	50%	%
Fall				40				74				54
1991	87%	77%	73%	%	63%	68%	85%	%	65%	24%	47%	%
Fall				40				76				59
1992	85%	76%	72%	%	62%	66%	82%	%	71%	27%	53%	%
Fall				38				72				58
1993	88%	78%	75%	%	64%	68%	85%	%	68%	28%	53%	%
Fall				38				73				58
1994	86%	76%	73%	%	63%	68%	84%	%	68%	26%	49%	%
Fall				43				80				65
1995	87%	78%	75%	%	66%	70%	88%	%	71%	32%	58%	%
Fall				43				77				65
1996	87%	77%	73%	%	66%	69%	86%	%	71%	33%	59%	%

Fall				46				81				69	
1997	87%	78%	75%	%	66%	70%		90%	%	76%	36%	62%	%
Fall				45				80				67	
1998	86%	79%	75%	%	67%	71%		88%	%	75%	38%	62%	%
Fall				50				80				66	
1999	88%	79%	75%	%	69%	72%		87%	%	73%	42%	62%	%
Fall				53				79				69	
2000	89%	80%	78%	%	71%	74%		89%	%	77%	44%	65%	%
Fall				54				78				68	
2001	88%	81%	78%	%	72%	75%		87%	%	76%	43%	64%	%
Fall				56				78				70	
2002	88%	82%	79%	%	74%	76%		88%	%	75%	42%	66%	%
Fall				61				82				72	
2003	90%	84%	80%	%	76%	78%		89%	%	77%	51%	69%	%
Fall				66				82				72	
2004	92%	85%	83%	%	79%	81%		93%	%	77%	54%	69%	%
Fall				68				85				73	
2005	93%	88%	86%	%	81%			91%	%	81%	55%	73	
Fall				67				83				57	
2006	93%	87%	85%	%				91%	%	82%	57		
Fall								88				86	
2007	93%	88%	86%					92%	%	86			
Fall										88			
2008	92%	87						94%	%				
Fall													
2009	93							92					

<sup>1</sup> Graduation rates are calculated according to Federal Student Right to Know legislation guidelines of the U.S. Department of Education, and the NCAA Graduation Rates Policy.

Graduation rates include students graduating in the summer session of the sixth year of study.

# Exhibit 6.3

## Academic Support Services

### Exhibit 6.3: Academic Support Services

The University offers specific services, programs, and initiatives designed to enhance the success of students recruited from underrepresented backgrounds. 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. 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) Non-traditional students may also enroll in the University's Bachelor of General Studies program. (See BGS discussion in Standard Four).

The University maintains the appropriate technological infrastructure to support students in their academic, professional and extracurricular pursuits. Students have three primary sources of support for their technology use at the University. The [University Information Technology Systems](#) (UITS) provides support for student authentication accounts, the student email system, and institutional enterprise applications. The [Learning Resource Center](#) (LRC) strives to elevate student proficiency utilizing academic information technology by providing direct assistance to students through a number of modules. Finally, [HuskyTech](#), a unit of Student Affairs, provides direct technical support to students, serves as a liaison between students and UITS and works with UITS to resolve central network access issues. (6.8) For a full description of the ways in which the University assists students in resolving educational and technological problems, please see Exhibit 6.5. For a broader conversation on the use of information technology at the University of Connecticut, please see Standard Seven, Library and Information Resources.

In addition to those noted in the Description, additional academic support services available to students include the following:

- Academic advising and counseling 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. 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 and the Academic Center for Exploratory Students provide 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.
- Specialized tutoring centers in Chemistry, Engineering, Life Sciences, Physics, Spanish and Reading-Language Arts and "Q" (Quantitative) and "W" (Writing) assistance centers.
- First Year Experience Program, an introductory one-credit "university skills" course that acquaints 80% of first year students with the University, expand their learning experiences to adjust to new expectations, and enhance academic and interpersonal skills.
- Students access CAP through four constituent programs: Educational Talent Search (ETS), Gear Up, Upward Bound and Student Support Services (SSS). ETS, Gear Up and Upward Bound

provide programming to increase middle and high school students' college access and future retention.

- The SSS program has an academic year component and a pre-collegiate six-week summer program. During the six-week program, students are required to take University courses for which they earn college credits. Some of the offered courses include English, mathematics, and sociology. Students continually benefit from counseling, advisement, tutoring, and student success seminars throughout their tenure at the University.
- The [Engineering Diversity Program](#) (EDP) provides academic support and outreach activities designed to recruit, retain, and increase the number of graduating underrepresented minority and women engineering students.
- [BRIDGE](#) is a five-week residential summer program for our newly admitted freshmen underrepresented minorities and women. BRIDGE prepares students for engineering through classes in calculus, chemistry, physics, and computer programming. The program includes evening study sessions, group activities, and on-site industry visits.
- During the academic year, EDP and the School of Engineering provide group study sessions and supplemental instruction primarily for freshmen and sophomores by hiring undergraduate and graduate peer tutors and facilitators.
- The [Pre-Engineering Program](#) (PEP) is a pre-college engineering enrichment opportunity for 7th, 8th, and 9th grade students. This program is designed principally for underrepresented students, most of who are from inner-city (urban) school districts. This program utilizes our undergraduate under-represented engineering students as instructors and/or mentors. These older students help guide the younger students with hands-on projects and act as their mentors and role models.
- [Multiply Your Options](#) (MYO) is a one-day conference for 8th grade girls held each spring. MYO introduces middle school girls to science, mathematics, and engineering careers through hands-on workshops conducted by female role models in these fields.
- EDP encourages our upper level students to apply to graduate school and specifically to the GEM program. This national program (GEM) offers accepted underrepresented students full financial assistance and paid summer internships.
- The Pre-College Enrichment Program (PCEP) supports students who aspire to pursue careers in medicine. It is a six-week summer residential experience, designed to increase the number of underrepresented students enrolled in medical, dental, biomedical sciences, allied health, nursing, and pharmacy programs. During college, students benefit from counseling, advisement, and tutoring through the SSS program. The goal of this program is to build an academic foundation for students through an extensive introduction to college-level mathematics and chemistry in addition to seminars related to health professions and clinical experiences at the UConn Health Center.
- The Center for Students with Disabilities (CSD) enhances the educational experience for students with disabilities by ensuring a comprehensively accessible experience where individuals with disabilities have the same access to programs, opportunities and activities as all others. In 2008, the Center for Students with Disabilities (CSD) and the University Program for College Students with Learning Disabilities (UPLD) merged to form one office serving all students with disabilities.

- Counselors from the Counseling Program for Intercollegiate Athletes meet regularly with student athletes and also serve as liaison between a student's academic advisor, coach, and academic support personnel. Tutors and study hall are provided as required.
- Student Academic Services at the 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 who 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.

# Exhibit 6.4

## Career Services



#### **Exhibit 6.4: Career Services**

The department of Career Services assists students in gaining and applying knowledge and skills to make well-informed career decisions by advising them through the process of identifying a major, exploring career interests, and securing post-graduate opportunities. This is accomplished through helping students facilitate the career development process which includes learning about themselves, exploring majors and careers, gaining relevant experiences, and implementing a post-graduation plan. Career Services assists in this process by offering one-on-one career counseling, workshops, print- and web-based career and post-graduate information. In accordance with the academic plan, Career Services provides students valuable educational opportunities including, but not limited to: career counseling, résumé and cover letter writing, and interview skill development, all which help students to obtain the tools necessary to become successful and contributing members of the workforce.

Recognizing a need to provide a welcoming and accessible service to a diverse student body, Career Services has partnered with the Asian American and Puerto Rican/Latin American Cultural Centers to provide résumé critiques within the Cultural Centers. This allows students' career-related needs to be met in the environment that is most comfortable for them. Also, ongoing relationship-building with Student Support Services and the Center for Students with Disabilities speaks to Career Services' desire to continually provide relevant and necessary services to student populations who are traditionally underserved or who may have special needs.

Students at UConn are increasingly seeking out internships and other Experiential Learning opportunities. Many faculty and staff assist their students in the internship search and oversight process. Because UConn is such a large University, Career Services has devoted a professional staff position to the coordination of internship resources within the department. The individual in this position also serves as a point person for faculty and staff as they navigate this potentially confusing process. This is an extremely valuable position within the University as students who have internship experience are more likely to get a job offer than those who do not.

Within the structure set up by the Division of Student Affairs around assessing outcomes and student learning, Career Services has been actively assessing student learning for several years. Assessment, a part of the culture in the Department, allows staff to determine if learning outcomes are being met-and if not, how to navigate and alter programming to ensure student learning.

Career Services was recently moved from ledger 2, a state funded tuition-based budget line, to ledger 3, a General University Fund (GUF) account, where the annual budget is reviewed and recommendations made to the Board of Trustees.

# Exhibit 6.5

Information Technology at the  
University of Connecticut

### **Exhibit 6.5: Information Technology at the University of Connecticut**

Technology use is necessary for student success at the University of Connecticut. Email is the official communication mode between the University and students. Student information, including biographical information and grades, is kept in the StudentAdmin enterprise application; StudentAdmin also is the tool used by students for class scheduling. HuskyCT is the campus learning management system required for full participation and success in a majority of classes. Almost all information about University services can be discovered on the campus web site suite. Students develop relationships with their peers, instructors, future employers, and administrative contact staff through their use of technology. Many academic programs require students to purchase laptop computers and specialized software.

Students have multiple sources of support for their use of technology at the University. The campus wired and wireless networks are managed and secured by University Information Technology Systems (UITS). UITS provides support for student authentication accounts, the student email system, and enterprise applications such as StudentAdmin and HuskyCT. UITS also manages the purchase of numerous academic software applications used in many classes across campus. UITS supports campus telephone and cable television video systems.

The Homer Babbidge library provides extensive technology resources and support for use of these resources. Many advanced and/or specialized technology-based activities are possible through tools and guidance provided by Library employees. Additionally, there are many academic resources available through internet services provided by the Library.

The University of Connecticut's Learning Resource Center (LRC) strives to elevate student proficiency utilizing academic information technology. The LRC provides direct assistance to students via peer tutoring, workshops, on-demand assistance through a help desk, and the creation of innovative learning modules. Housed on level one of the Homer Babbidge Library, the LRC provides support for Storrs and Regional Campus students with information technology that impacts the completion of their academic assignments. The help desk is staffed by Student Educational Technology Assistants (SETAs) who are trained to offer basic support for campus academic information technologies. They help students with HuskyCT (Husky Course Tools), E-portfolio, Huskymail, PeopleSoft's Student Administration module and the Computer Technology Competency general education requirements.

HuskyTech is a student service provided by the Division of Student Affairs Information Technology department. HuskyTech's focus is to enable the use of student-owned devices in the campus technology environment. Located in two buildings, McMahon Residence Hall and the Homer Babbidge Library Learning Commons, HuskyTech assists students having trouble with their technology equipment and/or connecting to the University wired or wireless network. Student technology equipment supported by HuskyTech includes laptop computers, desktop computers, smartphones, wireless access points, wired routers and switches, and game consoles. HuskyTech works closely with Orientation Programs to educate new students about University technology support options. They also work closely with University Information Technology Services to resolve central network access issues, with the Learning Resource Center to support student use of academic software tools, and with many schools and colleges to support the use of laptops by their students. Students may call HuskyTech for support (12,000 calls during the previous year), visit a technician with their device, or leave the device with HuskyTech technicians. Service hours are 8 a.m. through 8 p.m. Monday through Thursday and 8 a.m. through 5 p.m. on Friday. Most services are provided by continuously trained students.

# Exhibit 6.6

The Division of Student Affairs

## **Exhibit 6.6: The Division of Student Affairs**

The Division of Student Affairs is comprised of the following department and service areas:

Career Services. Career Services' mission is to assist students in gaining and applying knowledge and skills to make well-informed career decisions by advising them through the process of identifying a major, exploring career interests, and securing post-graduate opportunities.

Community Standards. The University of Connecticut seeks to balance the needs and the rights of the individual student with the welfare of the community as a whole. Students and student organizations are expected to conduct themselves in a manner that is consistent with the values embraced by the University community and reflected in Responsibilities of Community Life: The Student Code and The UConn Creed. The Office of Community Standards supports the rights of both students and other members of the University of Connecticut community by supporting the University mission. Our goal is to help students succeed at the University of Connecticut and beyond. This is accomplished through educational outreach, resolution of student conduct cases, and connecting students to the community through creative sanctioning.

Center for Students with Disabilities. Through the integration of teaching, research, and service, it is the mission of the University of Connecticut to provide an outstanding educational experience for each student. The mission of the Center for Students with Disabilities (CSD) is to enhance this experience for students with disabilities. Our goal is to ensure a comprehensively accessible University experience where individuals with disabilities have the same access to programs, opportunities and activities as all others. The Center is also committed to promoting access and awareness as a resource to all members of the community. While complying with the letter of the law, the CSD also embraces its spirit by providing services to all students with permanent or temporary disabilities to ensure that all University programs and activities are accessible. The Center can assist students to maximize their potential while helping them develop and maintain independence. Our philosophy is one that promotes self-awareness, self-determination, and self-advocacy in a comprehensively accessible environment.

Counseling and Mental Health Services. The mission of Counseling and Mental Health Services is to provide the highest quality clinical services to promote the emotional, relational and academic potential of all students. We are committed to the core values of respect, responsiveness, innovation and quality to enhance the unique experience of each individual at the University of Connecticut.

Dining Services. The Department of Dining Services' purpose is to nourish the University community by providing quality, diverse and nutritious foods with consideration for our environment. We believe that successful business and individual responsibility for sustainable development go hand-in-hand. Together, we can help sustain the planet.

Office of Fraternity and Sorority Life. It is the mission of the Office of Fraternity and Sorority Life to foster a quality fraternal experience for members and contribute to the University community by: enhancing student development through membership in fraternities and sororities; promoting the development of a community comprised of values-based organizations, including both individual chapters and the governing councils; engaging students in values-based decision making and programming consistent with the four pillars of Greek life – Academic Excellence, Leadership Development, Community Service, and Brotherhood/Sisterhood.

Office of Student Services and Advocacy. The primary function of the Office of Student Services & Advocacy is to help students and their families get answers and solutions to those tough college-life questions or problems that students may have. They may include life decisions (personal or academic), navigating the bureaucracy of a large institution and/or learning self-advocacy. As the place to go when

you don't know where to go, we pride ourselves as being an office where students can see a professional on a walk-in basis and when they leave our office they will have an answer to their question, a solution to their problem, or an effective referral to the office or professional who can answer their question. Off-Campus Student Services, part of the Office of Student Services and Advocacy, offers resources and advocacy for UConn students' off-campus living and/or commuting experience.

Residential Life. Residential Life plays a vital role in the success of the University of Connecticut and of its students by providing quality facilities, personnel, services, and programs which contribute to the mission of the University. Within the residential learning environment individuals are challenged and supported to develop into productive community members who are prepared to enrich society.

Senior Transition and Engagement Program. The Senior Year Experience promotes a successful transition for college students to the world beyond the University. This program, balanced with academic and programmatic initiatives, provides an opportunity for reflection to determine the meaning and value of the undergraduate experience and the student's growing role as a productive and valued citizen and university alumnus.

Student Activities. The Department of Student Activities enriches the intellectual, ethical and social development of our students by engaging them in community involvement and leadership opportunities. We are committed to providing excellent programs and services that promote student self-governance, respect for diversity, civic responsibility and life-long learning.

Student Affairs Information Technology. The Student Affairs Information Technology Department (SAIT) provides information technology services to departments within the Division of Student Affairs and all University of Connecticut students. We believe that it is our responsibility to help employees and students excel in their work through the thoughtful and appropriate use of information technology. We do this by continually assessing and improving the quality of our service, taking a proactive approach to meeting technology needs and preventing problems, and incorporating best practices gleaned from the technology industry and higher education.

Student Health Services. Health Services at the University of Connecticut is a health care facility, fully accredited by the Accreditation Association of Ambulatory Health Care Facilities. A wide range of services are offered to students here, including primary health care, acute care (non-life-threatening), counseling and mental health, in-patient care, laboratory, radiology, and pharmacy. Included within Student Health Services is Counseling and Mental Health Services, the mission of which is to provide the highest quality clinical services to promote the emotional, relational and academic potential of all students. For more information on both departments, see Exhibit 6.7.

Student Union. The Student Union is a department within the Division of Student Affairs, and in partnership with the Policy Council of the Student Union Board of Governors, is responsible for the management of the Student Union facility. The Student Union is the center of activity for students, faculty and staff and is designed to enhance the quality of student life, support co-curricular activities and contribute to the University's educational mission.

The Department of Wellness and Prevention Services. Our Department is committed to providing resources, opportunities, information, and education to the University community about health and wellness. We strive to create an environment that promotes, encourages and supports healthy decisions and behaviors in the area of alcohol and other drugs, sexual health, stress management, nutrition and physical activity. Our goal is to promote and help students achieve a balance of lifelong physical, emotional, social, environmental, intellectual, spiritual and cultural well-being through various services.

Our services include prevention and education in the following areas: alcohol and other drug, nutrition, physical activity, peer education, sexual health and stress management.

# Exhibit 6.7

## Students' Health and Wellbeing



### **Exhibit 6.7: Students' Health and Wellbeing**

The University of Connecticut Student Health Services is fully accredited by the Accreditation Association of Ambulatory Health Care Facilities. A wide range of services are offered to students, including primary health care, acute care (non-life-threatening), in-patient care, laboratory, radiology, and pharmacy. Specialized services and programs include a women's clinic, allergy and travel clinic, sports medicine, nutritional counseling and a cold self-care center. Other functions include enforcement of compliance with state immunization and health regulations; outbreak containment management and a variety of public health and wellness functions. The mission of the University of Connecticut Student Health Services is to promote the lifelong physical and emotional well-being of our students. Our multi-disciplinary team provides high quality, cost-effective Primary Care, Health Promotion and Educational Outreach in order to support the academic mission of the university and allow students to reach their full potential. Services are available 24 hours per day, 7 days per week when school is in session. Approximately 12,500 distinct individuals are served each year by our staff.

Counseling and Mental Health Services (CMHS) is an integration model counseling center providing the Storrs campus with direct clinical services including: individual/group/couples counseling; psychiatric medical services; alcohol and other drug intervention; psychological assessment. CMHS also provides psycho-educational prevention programming and training services. Additionally, CMHS serves as the mental health crisis and emergency service for the campus and the broader student community. CMHS coordinates a broad Storrs campus mental health network with the two campus mental health training clinics and coordinates with the UConn Regional campus mental health service providers. CMHS has a state licensed, interdisciplinary, and richly multicultural staff. CMHS directly supports the academic mission of the University through its robust training program for doctoral-level psychology and masters-level social work students in addition to developing a pre-doctoral internship in professional psychology. CMHS has applied for accreditation through the International Association of Counseling Services (IACS) and is a member center with the Association of University and College Counseling Center Directors; the Association of Counseling Center Training Agencies, the Association of Counseling Center Coordinators of Clinical Services; and the Center for Collegiate Mental Health. CMHS provides direct clinical services annually to 10% of the student body in addition to providing prevention services to 3500 members of the campus annually. CMHS also assists UConn in meeting its obligations to Connecticut state law requiring campuses to provide staff and faculty training for recognizing and responding to students in distress. CMHS charges co-payment level fees for direct clinical services generating income for the University. Complete information about CMHS as well as metric data may be found at: [www.counseling.uconn.edu/annualreports.html](http://www.counseling.uconn.edu/annualreports.html).

The Department of Wellness and Prevention is committed to providing resources, opportunities, information, and education to the university community about health and wellness. We strive to create an environment that promotes, encourages and supports healthy decisions and behaviors in the area of alcohol and other drugs, sexual health, stress management, nutrition and physical activity. Our goal is to promote and help students achieve a balance of lifelong physical, emotional, social, environmental, intellectual, spiritual and cultural well-being through various services. Our services include prevention and education in the following areas: alcohol and other drug, nutrition, physical activity, peer education, sexual health and stress management.

The UConn Fire Department is a full-time career fire department that is comprised of three divisions: Emergency Operations-Storrs Campus, Emergency Operations-Health Center Campus in Farmington, and the Office of Fire Marshal. There are a total of 54 uniformed firefighters, including the management staff, that are assigned to the three divisions. Emergency services include: fire suppression, hazardous materials response, confined space rescue, water rescue, and response to medical emergencies. When

not responding to emergency incidents, firefighters assigned to Operations are responsible for conducting fire inspections, pre-fire planning and conducting fire drills at their assigned campuses. The mission of the Office of Fire Marshal is to conduct fire code enforcement, fire inspections, fire code plan review for new construction and renovations, and is responsible for fire investigations at Storrs, the Health Center and the UConn Branch Campuses. In calendar year 2010, the UConn Fire Department responded to 7,224 calls for service.

The UConn Police Department is a full service police department that provides all police services for the approximately 40,000 students and employees at the University of Connecticut, as well as visitors. The UConn Police Department is an accredited agency; through the Commission on Accreditation for Law Enforcement Agencies (CALEA), the International Association for College Law Enforcement Administrators (IACLEA), and the CT Police Officer Standards and Training Council (CTPOST); a process that ensures professionalism and standardization of practice. UConn Police conduct general patrols and are responsible for investigating criminal and suspicious incidents along with enforcing all laws of the State of Connecticut, both criminal and motor vehicle, at the UConn campuses located at Storrs, Avery Point (Groton), Hartford Regional, Waterbury, Torrington, and Stamford. In the calendar year 2010, UConn Police made over 450 criminal arrests and investigated over 250 motor vehicle accidents, along with conducting over 26,000 calls for service.

# Exhibit 6.8

Initiatives by Center for Student  
with Disabilities

### **Exhibit 6.8: Initiatives by Center for Student with Disabilities**

In fall 2009, the Center for Students with Disabilities launched a series of student support programs called Beyond Access programs that go beyond the core mission of the Center of providing accessible accommodations, as guided by the Americans with Disabilities Act of 1990. The Beyond Access programs were conceived of in response to growing need to provide a continuum of services that extend the scope of support, while addressing individual student needs. Currently, Beyond Access consist for four programs: (1) Building opportunities for Students with Learning Disabilities and Attention Deficit Hyperactivity Disorder (BOLD); (2) Focused Academic Skills Training (FAST); (3) Strategic Education for students with Autism Spectrum Disorders (SEAD); and (4) Tutoring PLUS. Some of these programs, in particular, BOLD and SEAD are specifically designed to address the unique needs of students with specific types of disabilities as suggested by their title; while FAST and Tutoring PLUS are more generic in nature. The Beyond Access programs also offer the Center an opportunity to mentor student para-professionals in the field of special education and higher education student affairs. The programs offer individual one-on-one sessions for students, conducted by Strategy Instructors. The Strategy Instructors are trained Masters and Doctoral level students who are supervised by CSD professional staff. Since these are enhanced service programs, there is a fee for service.

In just the year and one half since its launch, the Beyond Access programs have grown significantly. Student enrollment has more than doubled after the first semester and continues to grow. As a result, more strategy instructors have been hired. Just last year, the BOLD program was cited in the Huffington Post as one of the top ten programs for students with learning disabilities in the country. Program evaluation by CSD confirms the initial positive feedback from students and parents alike.

Another enhanced service program being offered for the first time this year is the UC PREP program, which is a one week residential program for rising high school juniors and seniors. The program offers high school students with disabilities a “taste of college” and preparation for the transition from high school to college. This program is being offered as a result of increasing enquiries by prospective parents and students regarding resources and training regarding preparedness for college.

# Exhibit 6.9

Athletic Opportunities at the  
University of Connecticut

### **Exhibit 6.9: Athletic Opportunities at the University of Connecticut**

Athletics offers twenty-four varsity sports with approximately 725 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 and is available online at the Division website. During the past five years the University has earned multiple NCAA national championships in women's and men's basketball, played in multiple bowl games (including a BCS Bowl game in 2011) in football and participated in a NCAA Final Four in Field Hockey. In addition, many of the division sport programs have earned Big East Conference Championships during this same time period. All of these significant achievements have enhanced the visibility of the University. The Division employs four full-time staff members to provide NCAA compliance 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. The Division Compliance 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 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. In addition CPIA 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 Office of the Provost 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 Student Activity and Service Fee 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 have proceeded about the possibility of construction of a new recreational facility, but size, cost and location remain as issues for further review and consideration.

### *Club Sports*

The Club Sports Office in the Department of Student Activities facilitates the development of athletically based student organizations. All UConn Club Sports are student run organizations that compete on varying intercollegiate levels. The UConn Club Sports program is consistently experiencing much successful growth in program visibility, student participation and ongoing collaborations. Currently 41 clubs (registered tier 2 student organizations), over 1200 student-athletes make up the UConn Club Sports program ranging from baseball, ballroom dance, rugby, skydiving, crew and equestrian groups.

Some clubs such as equestrian, polo, and dressage are partnerships between the UConn Club Sports program and the College of Agriculture and Natural Resources, while clubs such as timber team, archery and sailing also have strong academic ties with their respective departments and faculty advisors. The UConn Club Sports program also encompasses two graduate assistantships that function as partnerships with our NEAG School of Kinesiology in Athletic Training and the College of Agriculture and Natural Resources, Turfgrass Science program; these graduate students are completing research and practicum hours while working within the UConn Club Sports Program.

Student Athletes hold leadership positions within their clubs and function as the point of contact for the program staff; clubs are required to fund raise and complete community service projects, along with advisor meetings to stay active within the Club Sports Program. The UConn Club Sports Program also works with Community Outreach on such events, such as the Special Olympics Soccer Tournament, Hoops for Hope, and other charity 'sport' tournaments. The Club Sports Program and Athletes strive to represent the University on and off the field, at home and away. In order to accommodate the growing number of field club sports, and to create a revenue source for the office, the Department recently renovated its recreational fields by creating two new playing fields and adding anti-light-pollution lights, accessible bathrooms, and concession stands.



# Exhibit 6.10

## Student Research Results

### **Exhibit 6.10: Student Research Results**

We know that among freshmen, sophomores and transfer students who leave from Storrs or the regional campuses, significantly more do so voluntarily than involuntarily. Males and underrepresented minority students were more likely to be academically dismissed (leave involuntarily). Freshmen from out-of-state have been more likely to choose to leave. Out-of-state freshman leavers cited cost, distance from home, large size of the campus and rural location as a primary reason for leaving. Sophomore leavers from Storrs and the regional campuses were more likely to mention not being admitted into their desired major or uncertainty regarding their major. In-state students who transfer out generally enroll at a Connecticut State University school or at one of the state's 12 community colleges. Out-of-state students who leave largely enrolled at schools in their home state. (6.5) Our findings also indicate that females and students who enter with advanced credits are more likely to finish their degree in four years. Freshman year sees the highest rate of attrition.

Results of drilldown analyses focusing on specific segments of the student population also have provided interesting insights. For example, Fall 2003 Storrs entering freshmen who graduated with a double major had a four-year graduation rate seven percentage points higher than the overall average, contradicting a commonly held assumption that double majors are more likely to take longer to graduate. Fall 2007 Storrs incoming freshman Honors Program students had a 96% freshman retention rate, higher than the 93% general population rate, as might be expected. And, Fall 2008 Storrs and regional campus students supported by the Center for Students with Disabilities freshman retention rates were 91% at Storrs and 86% at the regional campuses, comparable to the rates of the general student population at Storrs and the regional campuses. Fall 2008 incoming freshmen retention rates are somewhat higher than their timely progress toward a degree (average of 15 credits per semester). This reflects the importance of tracking credits earned on average per semester per student in assessing progress toward a degree. Freshman year retention rates for Fall 2008 Storrs students who received scholastic warning or scholastic probation status and agreed to participate in UConn Connects academic support program exceeded the retention rate of students who were invited but did not participate by ten percentage points. And, a follow-up study of Fall 2000 campus incoming freshmen conducted in Fall 2008 using National Student Clearinghouse Student Data identified an additional 9% of Storrs students and an additional 12% of regional campus students had earned their bachelor's degrees elsewhere. These are just a sample of the many drilldown analyses conducted in support of the Task Force's efforts.

Survey findings also have provided valuable insights. For example, entering freshmen have very high expectations of themselves and us when they enter UConn, so our ability to deliver on our promise to meet their needs coupled with informing them about differences between high school and college will help them succeed and increase their satisfaction. Results of our satisfaction surveys indicated three-fourths of sophomores, juniors and seniors were satisfied or more than satisfied with academic advising. And, when seniors were asked to reflect on their experience at UConn, one-third of those not graduating in 4 years cited changing majors or earning a second degree as a reason. Another important recent survey was our Summer Session 2007 Assessment which garnered 6,675 student responses. This show of interest in summer enrollment reflected many respondents' desire to stay on track toward graduation, according to students' responses. As a result of this survey and related efforts, summer enrollment has increased dramatically in the past few years, enabling more students to graduate on time.

## **Standard Seven**

### **Library and Information Resources**

The information technology infrastructure and services at the University of Connecticut support administrative, academic, and research computing needs. There are four 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), the Institute for Teaching and Learning (ITL), and Student Affairs Information Technology (SAIT). In addition, units based in schools, colleges, and departments also provide information technology infrastructure and services.

The University's Associate Vice President & Chief Information Officer has overall responsibility for University Information Technology security, planning, and policy. The Office of the Chief Information Officer (OCIO) includes the Chief Information Security Officer, Director of IT Plans, Policy and Operations, Director of Technology Infrastructure, Director of Enterprise Applications, and the Director of Informatics (currently vacant). The OCIO staff also directs UITs, which provides central infrastructure support and services including Computing Technology Infrastructure Support, Data Center Operations, Help Desk, Application Management, Project Management, Network Engineering and Telecommunications. UITs also directly supports and staffs the Connecticut Education Network Advanced Services Center (CEN-ASC). The Associate Vice President and Chief Information Officer 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 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 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.

### **APPRAISAL**

While the CIO has general oversight of university-wide Information Technology, the decentralized nature of IT at the University allows individual schools, colleges, and departments autonomy in

implementing IT solutions, services, and technologies. For enterprise-wide initiatives, the University has historically relied on UITs to implement and support these solutions. As the University continues to work toward the goals identified in our 2006 report, we have taken positive steps to improve coordination between the various IT units on campus. In January 2010, the University hired a new Associate Vice President & Chief Information Officer and has started the process of taking a more comprehensive approach to Information Technology at the University. In February 2011, the University hired McKinsey & Company to review IT at UConn and recommend strategies to improve service and reduce costs across the University. It is expected that McKinsey & Company will provide information that will lead into improved governance and increased emphasis on strategic planning, architecture, and IT policy.

Since our 2006 report, the University has significantly improved its network infrastructure to include the wide adoption of wireless access, mobile computing, and high-technology classrooms. In the past 12 months, the University has implemented server virtualization as a service and is positioned to offer storage as a service. Current projects include improving the University's HR and Payroll process by implementing PeopleSoft HCM, implementing best practices in financial management supported by a new finance system, Quali Financials, and modernizing student email. The university is also actively addressing the requirements of HIPAA, PCI, and overall IT security compliance.

The University is aggressively looking to upgrade and replace its aging data centers. We are looking to make the required investments in the current data centers to address immediate risks and are planning for a new data center in 2016.

## **PROJECTION**

UConn will continue to improve the quantity, quality, and availability of services provided by UITs while looking for opportunities to reduce the overall cost of IT. We fully expect local IT units will continue to support the unique needs of our schools and colleges but with improved coordination, collaboration, and more shared services. Efficiencies and improvements will come through the implementation of best practices and IT management tools, establishing service catalogues, developing service level agreements, and modernizing core infrastructure. The University will have increased emphasis on academic and research computing to retain a competitive advantage over peer institutions. Investments in business intelligence over the next five years will allow the University to make better and timelier decisions. More broadly the Associate Vice President & CIO anticipates the following changes to the technology environment at UConn over the next five years:

- Changes in IT Investment Portfolio Management and Governance
- New administrative support systems in HR, Payroll, Finance, and Procurement
- Improvements in information security and systems security
- Ability to offer infrastructure as a service
- Better data management, integration, and reporting systems
- A continuing refinement to the centralized/decentralized model that UConn has adopted
- Increased use of voice over IP and unified communications tools
- Role-based technological provisioning (Identity Management)
- Better data warehousing

- Investment in Business Intelligence

## THE INSTITUTE FOR TEACHING & LEARNING

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 and teaching assistants 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 AV Technological Services provide technology solutions and support to the instructional mission. Undergraduate students are helped directly through the Learning Resources Center and by tutoring from the University Writing and Quantitative Centers. The Early College Experience Program provides the administrative structure to support students at Connecticut High Schools with University-quality courses. The Director of the Institute for Teaching and Learning reports to the Vice Provost for Undergraduate Education and Regional Campuses.

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

- |  |                                     |
|--|-------------------------------------|
| • AV Technology Services (AVT)             | • Learning Resources Center (LRC)   |
| • Early College Experience (ECE)           | • Media Design (MD)                 |
| • Faculty Development Programs (FDP)       | • Quantitative Learning Center (Q)  |
| • Instructional Design & Development (IDD) | • Teaching Assistant Programs (TAP) |
| • Instructional Resource Center (IRC)      | • University Writing Center (W)     |

## Staffing

The administration of ITL consists of a director and an assistant director, supported by staff assistants and student office workers. In addition there is a director of Faculty Development Programs. The Instructional Design and Development group has a staff of five, including a manager, plus sometime support from graduate and undergraduate students. The Teaching Assistant Program has a manager, an administrator, one full-time staff member, and several student workers. The Instructional Resource Center and Learning Resource Center have a staff of five, including a director, and also employ graduate and undergraduate student workers. AV Technology has a staff of eight, including a manager, an administrator, and a number of technicians and technical staff members. Two full-time staff members coordinate interactive TV support. The Writing Center has a director and associate director and employs many graduate students. The Q Center has a director, an associate director, a part-time adjunct faculty member and employs a number of graduate students. The Early College Experience group has a staff of six, including a director. Our Media Design group has seven members including a director.

## 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.

Almost every unit in ITL has grown and expanded its reach since 2006. Some units, like the Q Center have experienced phenomenal growth, going from tutoring approximately 600 students per semester in 2005 to more than 11,000 students per semester in 2011. The Early College Experience program has also grown tremendously, now serving more than 9,000 Connecticut students.

## **PROJECTION**

ITL will continue to play a critical role in support of good pedagogy through instructional technology and materials. One of the challenges for ITL's staff is to stay ahead of the learning curve with the explosion of Web 2.0 technologies since 2006. As faculty and students inquire about new technologies, staff must evaluate their appropriateness and value for pedagogical purposes.

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 about \$6 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 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, vast 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 Master's in Accounting on-line, where the distance-learning medium is used for credit and non-credit courses that generate additional revenues.

## **UNIVERSITY LIBRARIES**

The libraries of the University of Connecticut serve as the primary gateways for the delivery of information resources to the local academic community and also serve the citizenry of the State of Connecticut. The University Libraries (including five regional campus and two branch libraries) are under the direction of the Vice Provost for University Libraries who reports to the Provost and Chief Academic Officer. The Associate Dean for Library and Technology at the University of Connecticut Law

School reports to the Dean of the Law School. And the Director of the Library at the Health Center reports to the Health Center's Chief Information Officer.

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

Despite rapid growth in the availability of electronic information resources, the Library continues to be an important physical space on all the University's campuses. Since 1995, new facilities have been built that house the Music, Pharmacy, Stamford and Waterbury libraries. The Thomas J. Dodd Research Center, which houses University Archives and Special Collections, was constructed in 1995 and Homer Babbidge Library was remodeled and rededicated in 1998. The Avery Point and Greater Hartford Campus libraries were renovated in 2010/2011; furniture and lighting improvements have been accomplished at the Torrington Library and plans are being made to update that facility. The Health Center Library was significantly remodeled and updated in 2008 and there is a new library on the Law School Campus that was re-dedicated in 2010.

The UConn Libraries are among the forefront of Association of Research Libraries (ARL) in their conversion to electronic collections. Approximately 90% of the University's collections budget is dedicated to electronic resources in FY 2011 and the academic community has access to almost 70,000 unique serial titles. The Libraries also offer about 450,000 electronic books in FY 2011 and add approximately 40,000 print volumes annually. The Libraries are instituting a pilot project in patron-driven acquisitions in 2011.

The Libraries continue to engage in critical partnerships, notably the Boston Library Consortium (BLC), to share monographic resources quickly and the RAPID Consortium to accelerate electronic delivery of journal articles. 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 fifteen hours for a journal article to three days for a monograph. The University Libraries are also members of the Association of Research Libraries (ARL) and the Center for Research Libraries. The University's electronic institutional repository, the DigitalCommons@UConn (<http://digitalcommons.uconn.edu>) has rapidly grown to include more than 7,500 documents generated by UConn faculty, staff, and students. The Digital Commons serves a variety of functions in the scholarly communication process including the ability to e-publish journals. Documents in the Commons include journal articles, theses and dissertations, audio and video files, official University documents including Board of Trustees minutes, and conference proceedings by University of Connecticut faculty, staff and students that are World Wide Web searchable by such common engines as Google and Yahoo.

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

The budget for library materials has increased five per cent annually each year for the last five years, while journal inflation has slowed to an average of five to seven percent. No major journal cancellation projects have been necessary in the last five years and the University's collections budget is no longer dependent on capital funding. The source of funding for the collections budget shifted from capital funds to University-supported (Ledger 2) funding in 2007.

Library staff have received salary increases averaging five percent each year since 2006 except one, 2009/2010. The number of library staff declined in FY 2009 and FY 2010 due to a retirement incentive plan and a State-imposed hiring freeze. Library staff size returned to FY 2006 levels in FY 2011, although overall spending for staff decreased as long-time staff were replaced by newer staff at lower salaries. The UConn Libraries continue to have a small staff relative to other comparable Research I institutions,

particularly when the number of physical library facilities are factored in. Overall, the budget for the UConn Libraries increased only slightly between FY 2006 and FY 2011 .

The Libraries continue to use the ExLibris Voyager integrated library system that was purchased in 1999. It has been updated with new releases annually. The Libraries have purchased ContentDM and xtf for its digital collections and, in addition to Voyager, utilize World Cat Local and the EBSCO Discovery Service for searching and discovery of library collections at UConn, in the BLC, and beyond. The Libraries have implemented OCLC's Navigator Resource Engine (NRE) in conjunction with other BLC libraries to facilitate interlibrary loan and have also implemented ILLiad for electronic interlibrary loan management and ARES for electronic reserve management. The Libraries began incorporating streaming video services in 2009 and more than 50 classes incorporated streaming video through the Libraries in 2009/2010.

The Libraries have invested heavily in technology and currently budget \$90,000 a year for infrastructure upgrades and \$87,000 annually for computer workstation and printer replacement. Hundreds of electrical outlets have been added during the last three years in library study areas to accommodate students using laptop computers and other mobile devices.

The Learning Commons in Babbidge Library, offered by the library in conjunction with the Institute for Teaching and Learning and HuskyTech, has been a successful initiative, particularly for undergraduate students. Learning Commons spaces are also offered now at the regional campus libraries. A less extensive Graduate Commons is opening in 2011.

The Libraries participated in ARL's LibQUAL+® in 2008 and 2010. LibQUAL+® overall average scores increased from 4.08 in FY 2004 to 4.13 in 2008 to 4.22 in 2010 on a five point scale. Scores increased in 2010 at all locations, for all twenty-two questions, and for each user group (i.e., undergraduates, graduate students, and faculty). On a nine point scale, UConn's LibQUAL+® overall service quality scores (7.53, 7.56, and 7.87) were the highest in comparison to its eight peers for all users combined, graduate students, and faculty. UConn's score for undergraduates (7.48) was the second highest among its eight peers.

## **PROJECTION**

The Libraries adopted a new strategic plan, modeled after the University's Academic Plan, in 2009 for the period 2009-2014. The Libraries also implemented a new organizational structure in 2009 aligned with the major program areas identified in the University's Academic Plan. The library staff annually tracks the successful completion of goals and strategies in the Libraries' strategic plan; and, at the completion of the second full year, many of the goals have been accomplished and accompanying metrics are generally on-track to either be achieved by 2014 or have already been met in 2011.

Through staff retirements and attrition and the recruitment of more contemporary informationist skill sets, UConn library staff are well prepared for the increasingly digital information environment and the delivery of library services through mobile devices and social media. The Libraries currently have a designated emerging technologies librarian, four digital programs professionals, and ten information-technology staff. The number of technical services, or processing staff, have been reduced dramatically; the reference desk has been closed and the print reference collection has been eliminated or transferred to general collections to make room for the Learning Commons. The number of librarians directly serving undergraduates, graduate students, and faculty has increased between 2006-2011.



The University faces significant budgetary challenges in Fiscal Years 2012 and 2013. As long as budget cuts are moderate and the collections budget is protected to the extent possible by the University, the Libraries are reasonably well-positioned to continue service improvements and offer strong collections in support of the University's research, teaching, and learning programs.

## **STUDENT AFFAIRS INFORMATION TECHNOLOGY (SAIT)**

Student Affairs Information Technology (SAIT) provides technology support to Division of Student Affairs departments and University of Connecticut students. SAIT was created in 2005 when all Division technology employees were moved into the new department; this consolidation was the primary response to a 2003 report provided by the Pappas auditors. Five SAIT teams provide services: system administration, technical support, customer service, application development, and web site management. There have been many positive results from the formation of SAIT:

- All departments receive equitable, consistent, and predictable technology services
- Elimination of service duplication
- Specialization of technology employees' skills into realms previously unavailable because of the need for every employee to provide all types of service; such realms include web site development, software application development, and database administration
- Secure and reliable technology tools and environment
- Increased influence on the goals and activities of other technology support units
- Planned and routine hardware replacements
- Consistent and predictable budget
- All departments have all services available for their use
- Extension of student services to non-residential students

SAIT provides all types of technology services to our departments. The needs of Student Affairs are often arcane and specialized, and appropriate technology tools often are not easily and/or commercially available. SAIT excels at identifying these needs and creating appropriate solutions to support the activities of departments. SAIT has created and manages about 80 information systems for our departments. The goal of SAIT is to use University Information Technology Services (UITS) for as many common and campus-wide services as possible. Thus far, SAIT relies on UITS for:

- Data storage (UITS Storage Area Network) and tape backup services
- Server hosting services (MSB)
- Network services in offices and residence halls
- Email and calendar services (Exchange)
- Authentication services (NetID, CAS)
- Service log management and monitoring (Splunk)

The HuskyTech student technology support service is operated by SAIT. All Storrs students are able to utilize this service, at no charge, for assistance with network connections, device security, and problem identification and troubleshooting. HuskyTech is the modern form of the former ResNet service; the name was changed in 2009 to reflect that all students could use their services, including both residential and commuter students.

## **PROJECTION**

Through 2016, Student Affairs Information Technology (SAIT) will continue to build and manage reliable, task-oriented, and secure information technology systems. SAIT will have three general suites of tasks and responsibilities during the next five years:

- Maintenance and repair of Division technology systems
- Identification of unmet Division technology needs and implementation of appropriate solutions
- Management task process improvement to maximize the efficient use of personnel, data security, and legal/policy compliance

Several factors will have a significant influence on future SAIT goals and activities. Economic problems are reducing the SAIT budget; some services have already been scaled back and more services will be impacted if budget cuts continue. The McKinsey consulting group report will likely make recommendations that, if implemented, will change University information technology components. SAIT is poised to handle both areas of possible changes, and is committed to supporting the Division Strategic Plan and University Academic Plan; major activities to be conducted by SAIT during the next five years include:

- Support of University efforts to better manage and develop information technology on campus
- Collaboration with other campus units, including UITS, LRC, and Homer Babbidge Library, to coordinate and improve student technology support
- Further collaboration between SAIT and UITS in providing technology services and support to the Division
- Closer and more task-oriented relationships with departments
- Identification and implementation of more efficient and secure management models and practices
- Further analysis of state and University legal and policy requirements and changes needed to become fully compliant
- Utilization of UITS services for virtual server hosting and storage/tape backup/hosting redundancy
- Upgrades to currently available versions of desktop computer and server software.

## **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 endeavored 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 Academic Plan, *Our World, Our People, Our Future*, was adopted following the previous NEASC site visit. It covers the five-year period of 2009 to 2014 and states the following aspiration.

*Our goal is to continue to improve our performance in teaching, research, and service; and our aspiration is to emerge as one of the top-20 public universities in the nation. This Academic Plan will guide our progress in these directions over the next five years, as will our dedication to a set of shared values and standards. These include a commitment to academic freedom and shared governance, to honesty and fair play in all that we do, to high expectations and demanding standards, and to a learning environment that values critical thinking, constructive dialogue, mutual respect, and cooperation. In our research and teaching, as in our outreach, we envision an inclusive community that celebrates diversity, promotes civility, advances global awareness, and cultivates leadership, integrity, and engaged citizenship in our students, faculty, and staff. And in our role as a land and sea grant institution, we seek to promote the state's economic development and social well-being by advancing new science, improving the cultural fabric, protecting the natural environment, and enhancing the quality of healthcare.*

#### Physical Resources

Pursuit of these broad and specific goals have been made possible by the state of Connecticut's commitment to the physical and technological resources which was first passed as Public Act 95-230, the so-called "UConn 2000" legislation, in June 1995. This legislation 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. To date, 105 major projects have been completed or authorized accounting for more than 10 million new and renovated square feet of space.

Some concern has been expressed about a decrease in state support for capital projects as the original deadlines of 2015 approached. However, there has been an extension of the UConn 2000 program until 2018. In further important new developments, the Governor of Connecticut has also presented and the General Assembly supported a new initiative to invest \$864 million in developing Connecticut and the UConn Health Center as a national center for bioscience research and development. The proposal calls for renovating the existing Health Center facilities to increase research capacity and productivity and constructing a new patient tower and a new ambulatory care facility. In addition, the Connecticut General Assembly has approved \$18 million in funding for the design, site development, and infrastructure improvements for a new Research Park on the main UConn campus in Storrs. The proposed full cost of the Park is estimated to be about \$172.5 million, to be funded through state bonding.

#### Technological Resources

Many of the University's technological resources are managed by University Information Technology Services, or 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 Standard Seven for further discussion of the functions of UITS.

The University Library system relies heavily on technology for internal use and patron service. See Standard Seven for a discussion of the Library and technology.

Primary responsibility for ensuring that classroom resources are sufficient to support modern teaching practices lies with the Institute for Teaching and Learning, or ITL. For further discussion of the ITL, see Standard Seven.

## **APPRAISAL**

Significant progress has been made in upgrading the University's physical facilities and technological resources since the last NEASC accreditation report five years ago. A major guiding document for continued rejuvenation of the campus has been the campus Master Plan (2006; Appendix 8.1) which was updated with the Fine Arts Master Plan (2009; Appendix 8.2) and the Landscape Master Plan (2010; Appendix 8.3). The recently published (January 2011) *UConn-2000 5-Year Progress Report (2006-2010)* provides detailed descriptions of the various projects funded by this building program and is available at [http://www.uc2000.uconn.edu/reports/five\\_year\\_2011/UC2000\\_5\\_year\\_2011.pdf](http://www.uc2000.uconn.edu/reports/five_year_2011/UC2000_5_year_2011.pdf) and in Appendix 8.4. A spreadsheet depicting all named UCONN 2000 projects (Phase I-III) is presented in Exhibit 8.1 and contains a compendium of University websites regarding various aspects of the building program.

Two challenges concerned with physical facilities have emerged since the previous NEASC site visit. The first of these dealt with the unanticipated need to develop and implement a corrective action plan to rectify code discrepancies identified in 57 different campus buildings by the Office of the State Fire Marshal (OSFM). This 3-year project, OSFM Legacy Code Remediation, was funded at a level of \$9 million from deferred maintenance funds and is scheduled for completion in calendar year 2011.

The second challenge deals with the fact that we are nearing the 2016 completion date that marks the end of state's financial commitment to UCONN 2000. Sufficient funds do not exist to finish all of the projects originally identified as high priorities. This has occurred because the original estimates for project costs were calculated well in advance of the anticipated dates for initiation of construction, and rising costs associated with fuel and building materials have made it impossible, in many circumstances, to undertake projects at the originally budgeted allocation. For example, the Floriculture Greenhouse building was identified as a priority in 2002 and \$3 million was assigned for its needs. Subsequent planning and cost estimates by the architecture firm hired to develop this project resulted in a figure of \$5 million being necessary. Recently, bids for the project were received and the lowest of these exceeded the architect's estimates by approximately \$1 million and so a total of \$6 million has now been appropriated for this project. In some cases, a re-evaluation of projects has led to the decision to refurbish rather than replace as was originally proposed; this has been the case with the buildings that support biological sciences and fine arts.

The University's commitment to sustainable construction has been highlighted by several projects and initiatives in the past five years. Especially noteworthy have been the construction of a green roof on the Gant Plaza, the adoption of a Campus Landscape Plan, construction of a compost facility for treating agricultural animal manures and landscaping waste, and planning for a water reclamation facility. The water reclamation facility will recycle water from the University's waste water treatment plant for non-potable water-intensive users (e.g.,

Cogeneration Plant, future irrigation). As noted above, the passage by the 2011 session of the General Assembly of a total of \$1036.50 million in bonding to construct a new Research Park at Storrs and a new Health Center expansion in Farmington had indicated a continuing significant state commitment to UConn.

Resources related to instruction are adequate to meet campus needs. See further appraisal of ITL resources and needs in Standard Seven. Similarly, although there is stress on Library resources due to ever-increasing materials' costs, through its use of consortia and a strong financial commitment from the central administration, its technological resources are strong.

In regard to the technological resources of the UITs, there are needs for both equipment hardware and software, and also for permanent personnel. In late 2010, the University of Connecticut hired consultants McKinsey & Company to look at all aspects of administrative costs, with a special emphasis on information technology and UITs. A point of controversy has been achieving the appropriate balance between centralizing information technology functions under UITs, or maintaining information technology resources distributed among the various academic and administrative units. The McKinsey report is due in the summer of 2011 and will contain specific recommendations concerning allocation of resources to information technology.

## **PROJECTION**

### **Physical Facilities**

The UCONN 2000 program has had, and continues to have, a profound effect on the University. The results of this major capital investment program have been transformative for all campuses of the University. Initially conceived and funded at \$1.0 billion in 1995 for a ten year period, the first phase of UCONN 2000 emphasized new construction. New resident halls and classroom buildings headlined the work done during this period. In 2002 the State Legislature approved the second round of UCONN 2000. This round authorized an additional \$1.3 billion in capital spending. Covering the period of 2005-2015, which has subsequently been extended to 2018, this second phase included for the first time the University of Connecticut's Health Center. Approximately three hundred million dollars have been allocated in UCONN 2000 for building improvements on the Health Center's Farmington campus. The new construction of a Research Park in Storrs and an expanded Health Center in Farmington demonstrates a commitment to keep the University of Connecticut moving forward as a leader in research.

The current phase of UCONN 2000 emphasizes building renovations. The goal is to improve the life safety, energy efficiency, utilization and appearance of a number of buildings on the Storrs, Law School and Regional campuses. To date, over \$600 million has been spent or allocated to achieve this goal with two notable exceptions. Currently under construction on the Storrs campus are two classroom and faculty office buildings that will replace two aging classroom buildings built in the late 1950's. The first classroom building is scheduled to open for the 2011-12 academic year, in fall, 2011. The second building is scheduled to open one year later, in fall, 2012. The two buildings will have almost two hundred thousand square feet of classrooms, faculty offices and auditoria. In addition, programmatic implementation of the Campus Landscape Plan and of the Access Management Plan will continue. The broad goal of the Access Management Plan is to standardize policies regarding parking and pedestrian/vehicular conflict, improve the physical condition of campus by structuring where vehicular traffic is and is not allowed, and develop an information and education campaign that will alter behavior in a positive manner.

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 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.

### **Technological Resources**

As discussed in the Financial Resources section, Standard Nine, as is true in states across the nation, Connecticut and its flagship university are facing severe financial challenges at the present moment. Within the University, library and instructional resources have thus far kept at a good level for a comprehensive research university, while the support for the centralized information services in UITS is in need of planning and augmenting. It is hoped that the recommendations of a nationally-recognized higher education consulting firm with its report in summer of 2011 will assist in guiding the Board of Trustees and the Central Administration in determining the optimal manner to ensure that UConn has a good standard of information technology available.

### **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.

### **EXHIBITS/APPENDICIES**

Exhibit 8.1: Spreadsheet depicting all named UCONN 2000 projects (Phase I-III)

Appendix 8.1: Master Plan (2006)

Appendix 8.2 : Fine Arts Master Plan (2009)

Appendix 8.3 : Landscape Master Plan (2010)

Appendix 8.4 : *UConn 2000, 5-Year Progress Report* (2006-2011)

# Exhibit 8.1

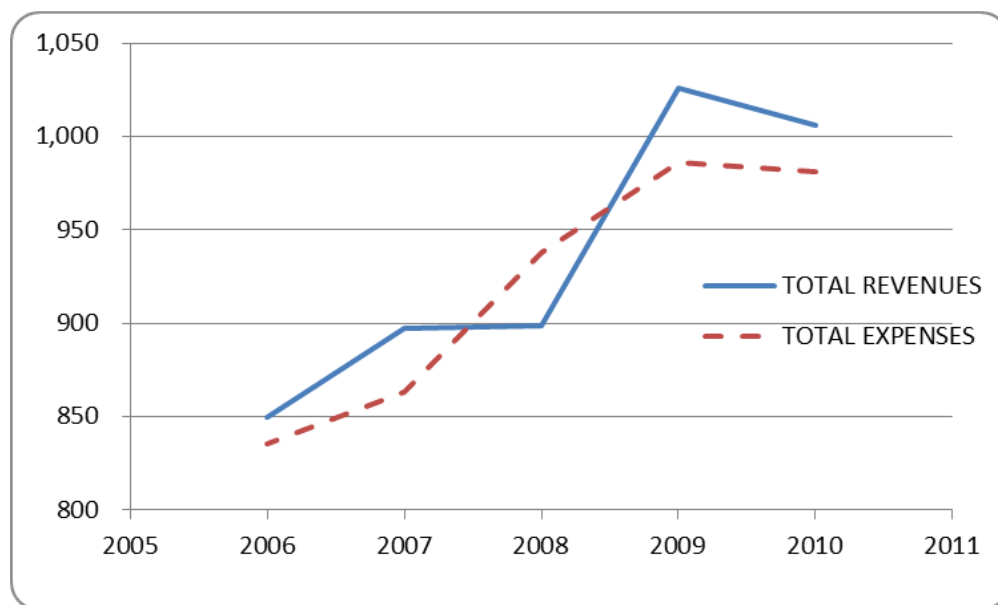
Spreadsheet depicting all  
named UCONN 2000 projects  
(Phase I-III)

PLEASE NOTE: Due to physical  
size, Exhibit only available in  
hardcopy

## Standard Nine

### Financial Resources

The fundamental requirements of Standard Nine of the Accreditation Standards are that a higher education institution is financially stable and that this stability has not been achieved at the expense of educational quality. Further, a primary requirement is that the institution's financial resources are sufficient to sustain achievement of its educational objectives and advance institutional improvement now and in the foreseeable future. As the contents of this section of the report will indicate, the University of Connecticut is and has been financially stable, has processes in place to allocate resources as necessary to achieve its objectives and purposes, and has the ability to respond to financial emergencies in unforeseen circumstances.



**Figure 9.1: Total Revenues and Expenses for UConn, in \$ millions**

During the last five years, the University of Connecticut has maintained financial stability. It has continued to offer high quality educational services to its students, while supporting faculty research. The University has mechanisms in place to ensure maintenance of financial stability, and is undergoing continuous improvement of these processes.

The University is financially stable in that the majority of its primary revenue streams are shielded from substantial variations due to economic vicissitudes. The University derives its financial resources from various sources, including state legislative appropriations, student tuition and fees, grants and contracts funding and revenues from auxiliary enterprises such as the Continuing Studies Program and the Dairy Bar.



	2010	2009	2008	2007	2006
<b>Operating revenues:</b>					
Student tuition and fees, net	224	215	200	184	177
Grants and contracts	147	133	121	112	107
Sales and services of educational departments	15	17	15	15	16
Sales and services of auxiliary enterprises, net	162	149	133	127	119
Other sources	11	11	11	11	10
<b>Total operating revenues</b>	<b>559</b>	<b>525</b>	<b>480</b>	<b>449</b>	<b>429</b>
<b>Nonoperating revenues:</b>					
State appropriation	325	328	328	306	286
State debt service commitment for interest	39	38	40	36	33
Gifts	18	22	25	25	21
Investment income	1	4	10	12	9
<b>Total nonoperating revenues</b>	<b>383</b>	<b>392</b>	<b>403</b>	<b>379</b>	<b>349</b>
<b>Other changes in net assets:</b>					
State debt service commitment for principal	62	105	-	65	62
Capital appropriation	-	-	8	-	-
Capital grants and gifts	2	4	7	3	10
Other changes in net assets	-	-	-	2	-
<b>Total other changes in net assets</b>	<b>64</b>	<b>109</b>	<b>15</b>	<b>70</b>	<b>72</b>
<b>TOTAL REVENUES</b>	<b>1,006</b>	<b>1,026</b>	<b>898</b>	<b>898</b>	<b>850</b>

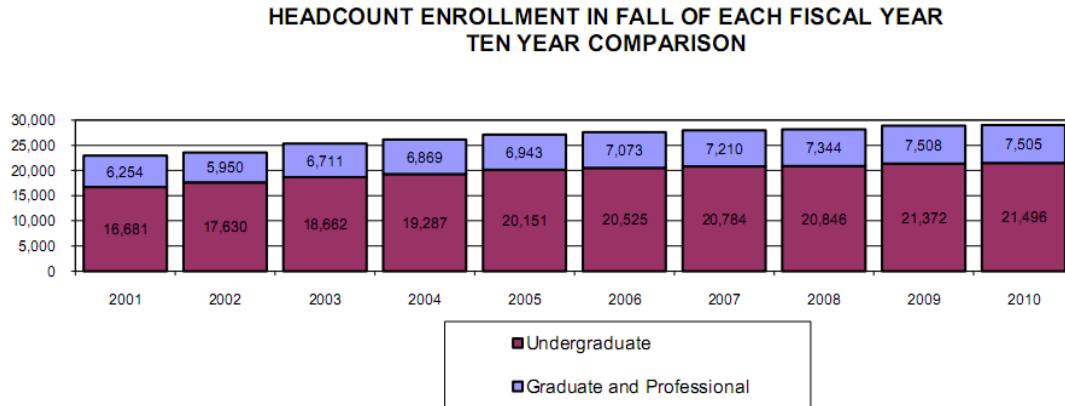
**Table 9.1: Total Revenues for UConn, in \$ millions**

Because the University's revenues are not sole-sourced, it has the ability to operate at a fundamentally stable level, even though there may be variations in the amount of the revenues from the various sources.

## REVENUES

Sources of recurring revenues continued to exhibit strength, with increases in operating revenues for the past three fiscal years. The University's total enrollment in fiscal year 2003 topped 25,000 students and grew to 29,001 students in fiscal year 2010. These students are taught by 1,286 full-time faculty members (a decrease of 38 faculty over the prior year) and an additional 683 part-time faculty and adjuncts. Undergraduate enrollment at the University reached 21,496 students in fiscal year 2010, 0.6% more than in fiscal year 2009.

Total revenues have increased from \$850 million in 2006 to \$1,006 million in 2010 (see Table 9.1). An in-state tuition and mandatory fee increase of 5.87% and an out-of-state increase of 5.97% were approved for fiscal year 2010. Graduate and professional enrollment decreased by 0.04% in 2010 with an in-state tuition and mandatory fee increase of 5.97% and an out-of-state increase of 6.03%. The increased enrollment of all students, when combined with the tuition and mandatory fee increases, resulted in an increase in tuition and fee revenue, before scholarship allowances, of \$22.0 million (7.4%) in 2010. Sales and services of auxiliary enterprises, before scholarship allowances, increased \$12.3 million in 2010 (8.1%),



**Figure 9.2: Student Enrollment at UConn**

primarily as a result of an overall increase in room and board fees and an increase in room occupancy. Grant and contract revenues increased \$14.6 million (11.0%) in 2010 as a result of higher than anticipated financial aid and an increase in federal grants, including funding from the Federal American Recovery and Reinvestment Act.

The largest source of revenue, state appropriation including fringe benefits increased from \$286 million in 2006 to \$325 million in 2010. The State also provides state debt service commitment for the interest payments made annually on general obligation bonds. Effectively, this revenue offsets a significant portion of interest expense each year. Total nonoperating gifts revenue to the University from all sources stayed about steady at \$21 million between 2006 and 2010.

In fiscal year 2010, the University issued UCONN 2000 general obligation bonds with a face value of \$97.1 million (\$144.9 million in fiscal year 2009) of which \$35.6 million was committed (\$39.9 million in fiscal year 2009) to the University of Connecticut Health Center (UHC) for its UCONN 2000 projects. The State has made a commitment to fund the University for all principal and interest payments due on UCONN 2000 general obligation debt, inclusive of 21st Century UConn. The 21st Century UConn program, also known as Phase III of UCONN 2000, began in fiscal year 2005 and was amended in fiscal years 2008 and 2010. As amended, it represents a \$1.56 billion, 13-year extension of the original UCONN 2000 program, and provided \$1.0 billion for facilities improvements at Storrs, the regional campuses, the School of Law and the School of Social Work. It also provided for \$512.4 million for improvements at the Health Center. This commitment from the State provides long-term funds for capital enhancement and preservation and will allow the University to provide quality facilities commensurate with the enrollment growth experienced in recent years.

## EXPENSES

Instruction, the University's largest operating expense, increased from \$246 million in 2006 to \$272 million in 2010 (see Table 9.2). The reduction from 2009 was primarily due to a decrease of approximately 59 full-time equivalent faculty and staff. In fiscal year 2009, instruction increased \$5.1 million (1.8%) primarily due to an increase of approximately 29 full-time equivalent faculty and staff, and an average compensation increase for the bargaining units of approximately 5%.

	2010	2009	2008	2007	2006
<b>Operating expenses:</b>					
Instruction	272	284	279	256	246
Research	72	64	60	60	56
Operations and maintenance of plant	67	71	64	60	66
Auxiliary enterprises	145	144	135	127	122
Depreciation and amortization	90	90	101	88	86
Other	276	279	244	221	201
<b>Total operating expenses</b>	<b>922</b>	<b>932</b>	<b>883</b>	<b>812</b>	<b>777</b>
<b>Nonoperating expenses:</b>					
Interest expense	48	49	51	48	43
Transfer of reserves to State General Fund	8	-	-	-	-
Other nonoperating expense, net	2	4	3	1	4
<b>Total nonoperating expenses</b>	<b>58</b>	<b>53</b>	<b>54</b>	<b>49</b>	<b>47</b>
<b>Other changes in net assets:</b>					
Disposal of property and equipment, net	1	1	1	3	1
Other changes in net assets	-	-	-	-	11
<b>Total other changes in net assets</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>3</b>	<b>12</b>
<b>TOTAL EXPENSES</b>	<b>981</b>	<b>986</b>	<b>938</b>	<b>864</b>	<b>836</b>

**Table 9.2: Total Expenses for UConn, in \$ millions**

Research expenses increased from \$56 million in 2006 to \$72 million in 2010. This is commensurate with an increase in associated research revenues. These expenditures are related primarily to sponsored research revenues and are affected by the timing of salaries and the purchase of supplies and commodities that can be charged to grants. Operations and maintenance of plant stayed steady at approximately \$66 million between 2006 and 2010. The reduction from 2009 is primarily attributed to a decrease in natural gas prices. Furthermore, the University began providing on-site generation of electricity, steam and chilled water for heating and cooling for the University at its Storrs campus in fiscal year 2006, with fiscal year 2007 the first full year of operation.

Auxiliary enterprises expenditures increased from \$122 million in 2006 to \$145 million in 2010, due primarily to contractual salary increases as well as increases in supplies, commodities, and other expenditures.

	2010	2009	2008	2007	2006
Invested in capital assets, net	1,132	1,143	1,188	1,200	1,229
Restricted	149	129	55	96	61
Unrestricted	163	147	136	122	94
<b>Total net assets</b>	<b>1,444</b>	<b>1,419</b>	<b>1,379</b>	<b>1,418</b>	<b>1,384</b>

**Table 9.3: Total Net Assets, in \$ millions**

## APPRAISAL

The financial condition of the University is closely tied to the State's economy. There are significant financial and economic challenges facing the State and the nation. In fiscal year 2010,

the University transferred \$8.0 million from unrestricted funds to the State's General Fund as a result of a deficit mitigation plan implemented by the State. In fiscal year 2009, the University also experienced an approximate \$15.7 million decrease in State support due to an appropriation rescission and an associated reduction in fringe benefit support. These funds have not been restored to the University's appropriation and an additional transfer of \$15.0 million from unrestricted funds will occur in fiscal year 2011. The University will continue to face a very difficult financial climate as further reductions are possible. A Costs, Operations, and Revenue Efficiencies (CORE) Task Force was convened in November 2008 to address this severe economic downturn. Approximately \$7 million in savings or new revenues were identified by this task force through fiscal year 2010. Although future reductions in State funding are possible, the University is committed to continue its high standard of service to its students and the citizens of the State.

The University's Unrestricted Net Assets have grown from \$94 million in 2006 to \$163 million in 2010. The Restricted Net Assets have similarly grown from \$61 million to \$149 million in the past five years. Unrestricted Net Assets represent funds that can be used for targeted improvements in the services that the University provides.

The Academic Plan 2009-2014 gives a vision and set of goals and steps for the University to achieve excellence in five areas: Undergraduate Education; Graduate and Professional Education; Research, Scholarship and Creativity; Diversity and Public Engagement.

The Academic Plan also lays out strategies for Administrative Organization, Capital Infrastructure, and Budget Processes. These are:

Strategy A: Establish an administrative structure to oversee and implement the Academic Plan across all UConn programs and campuses.

Strategy B: Ensure that planning related to UConn's capital infrastructure is aligned with the goals of the Academic Plan.

Strategy C: Pursue new revenue streams while refining existing budget processes to support the goals of the Academic Plan.

Strategy D: Examine the utility and efficiency of existing units, systems, policies, and governance bodies, with particular attention to their capacity to support the priorities identified in the Academic Plan.

Both the Storrs and regional campuses and the UCHC, like other research-intensive universities, face flat or declining budgets among most major extramural sources of funding for our research, scholarship, and creative activities. This is particularly true of the National Science Foundation and the National Institutes of Health, both major funding sources for UConn scientists. In this competitive funding environment, it will become more challenging to maintain our research revenues, which comprise about 15% of revenues at the Storrs and regional campuses and about 11% of revenues at UCHC. The University is already taking measures to address these challenges. It has created a new Vice President for Research to help the President and Provost establish a coherent vision for its research enterprise and to develop a stronger infrastructure to assist faculty, staff, and students in identifying grant opportunities and successfully pursuing them. Additionally, the University will review the research infrastructure across all campuses to ensure the most efficient administrative operations and to facilitate all forms of disciplinary and interdisciplinary research, scholarship, and creative work.

The University of Connecticut Foundation's endowed and non-endowed investments, including both the Health Center and Storrs-based programs, which stood at \$321 million at the end of 2006, were valued at \$337 million as of December 31, 2010. The growth was hindered by adverse market conditions. The Campaign for UConn that is under way has a goal of raising \$600 million of which \$256 million has been raised since 2006.

## **PROJECTION**

The State of Connecticut has been going through a budget crisis. Assuming the ratification of an agreement between the State of Connecticut and the state employees' unions in the summer of 2011, the budget passed by the General Assembly should be balanced. The ratification of this collective bargaining agreement will prevent significant potential lay-offs at the University of Connecticut. The ratification process has been arduous, but it is anticipated that it will be successful, and the University will remain steady-state in terms of numbers of employees.

However, the 2012 state budget leaves a deficit in the University's permanent base budget of approximately \$46 million starting in fiscal year 2012. In order to meet this target, significant reductions in non-academic areas will be made and revenue enhancements such as tuition, room, and board increases and expanded summer school options will be employed. This will still leave a gap of approximately \$17 million that needs to be filled via budget reductions to the schools, colleges, and other units reporting to the Provost's office and via central allocations from the Provost and the Vice President for Research. Also, the University needs to find one-time monies of the order of \$10 million from the fiscal year 2011 budget to help it bridge some of the cuts to fiscal year 2013. This will result in some challenging years ahead.

## **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. When issues are identified, particularly in regard to the massive building endeavors of the University, they have been addressed. The University of Connecticut consistently strives to 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**

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. The knowledge a university generates and the information it garners is of little value unless shared or disclosed. Furthermore, timely, accurate information is necessary for students to make informed decisions regarding their education. The University of Connecticut has endeavored through a number of modalities to make activities, issues, and events on all campuses as transparent as possible.

The University of Connecticut is considered a state agency under the executive branch and therefore is accountable for certain public disclosure and reporting requirements. For example, the University is subject to the Connecticut Freedom of Information Act, meaning that most University records are subject to public disclosure upon request. In addition, as an institution of higher education that receives federal funding, the University is also obligated to make certain disclosures and issue reports. For example, the University makes necessary disclosures under the Clery Act to notify the public about issues surrounding safety and security on campus. At the same time, the University is also subject to numerous and ever-evolving laws and regulations regarding privacy and data security. The University is required to ensure that it complies with the requirements of the Family Educational Rights and Privacy Act (FERPA), the Gramm-Leach-Bliley Act (GLBA), the Health Insurance Portability and Accountability Act (HIPAA), as amended by the Health Information Technology for Economic and Clinical Health Act (HITECH), the Red Flags Rule regulations regarding identity theft protection, Payment Card Industry Data Security Standards (PCIDSS), and other similar state, federal and industry requirements and standards. University-wide and department-specific training is performed with appropriate University faculty, staff, and students to ensure that the obligations of these rules are met. University policies and procedures reflect the University's commitment to such obligations, and the requirement that we balance the sometimes competing requirements placed upon the University with regard to public accountability and transparency, while at the same time maintaining appropriate confidentiality of certain University records and information.

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 newsworthy. 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 while at the same time meeting its obligations regarding transparency, public accountability and disclosure.

### **APPRAISAL**

The University is committed to maintaining cutting-edge, state-of-the-art means of providing access to its public information. In an age dominated by instant exchange of information, multitasking

smartphones, iPads and iPods, social networking, downloadable apps, Facebook and Twitter, there is tremendous opportunity for sharing information efficiently and expeditiously.

The University's website, <http://www.uconn.edu>, is a major portal for public dispersal of information about the institution. The University's home page contains links to audience-specific home pages, meeting the unique and shared needs of populations including future students, current students, parents, alumni, faculty and staff, and visitors. It contains readily-accessible 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. A digital repository for manuscripts, theses, and publications of the University faculty and students provides a site for preserving and dispersing the intellectual output of the University. 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. The University has also implemented an automatic alert banner that appears on all University web pages in the event of an emergency. The alert banners are linked to an alert website that provides additional information. This is coupled to sending text messages regarding the emergency to cell phones, and sirens and spoken alerts via outdoor loudspeakers.

In compliance with the Higher Education Opportunities Act (HEOA), a Student Consumer Information website has been developed (<http://www.heoa.uconn.edu>) that provides transparency for students regarding educational costs as well as information regarding financial aid, student policies, student outcomes, health and safety, and FERPA.

University Communications has recently developed the UConn Today website (<http://today.uconn.edu>) that has become the primary source for news and information about the University. The site contains University news stories, links to University resources and publications, events calendars, news releases and contact information for journalists, and means for University faculty and staff to submit story ideas. The use of a web-based news site allows for rapid updating and dissemination of news. Furthermore, the use of a website for dispersing news allows assessment of the number of times specific stories are viewed. An example of this is the recent change in University policy concerning Spring Weekend, an off-campus academic year-end event. The website listed the change of policy for the weekend, and the story received some 17,000 page views within 24 hours of its posting. Similarly, the University uses social media such as Twitter and Facebook. UConn Today has some 12,000 followers on Facebook, so a significant population receives instant updates when news is posted.

The University measures its effectiveness in numerous ways. 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. Other means of assessing University effectiveness include surveys of applicants and graduates, high school guidance counselors and parents to gain feedback on recruitment activity, departmental efforts, and communication with prospective students. Accountability Performance Measures are 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 <http://www.ctdhe.org/info/pdfs/2011/Accountability2011.pdf>.

In order to improve its effectiveness in a number of areas, including public data disclosure, in 2010, the Provost, with the approval of the Board of Trustees, created the Office of Institutional Effectiveness. Its responsibilities include supervisory control over the Office of Institutional Research, oversight of the Student Learning Outcomes Assessment and Program Review Processes, and responsibility for the system of periodic review and renewal of academic Centers and Institutes.

## **PROJECTION**

The University of Connecticut exists in an increasingly open society characterized by rapid dissemination of information. It will continue to explore the use of technology to effectively disclose accurate information without infringing on the privacy rights of students, faculty and staff.

The University will implement the upcoming Program Integrity Rules as required by the U.S. Department of Education. These rules are designed to strengthen the integrity of the Title IV programs. They provide guidelines to ensure accuracy of the information included on the University website, including accurate graduation rates, debt levels of its graduates, job placement rates, and clarifying the courses that are eligible for federal aid. The University is currently training administrators and faculty on the requirements of the Program Integrity Rules.

The University remains dedicated to periodic review of its public disclosure systems. Due to its status as a public flagship institution that receives significant amounts of public monies from both the state and the federal governments, the University has an obligation to be as transparent and open as possible.

## **INSTITUTIONAL EFFECTIVENES**

The University of Connecticut is dedicated to periodic review of its public disclosure systems. It has taken extensive measures to constantly 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

Personal, professional and institutional integrity is vital to ensure that the University of Connecticut will act responsibly. This means that the institution will conduct all business with clarity, truthfulness and fairness in dealing with all constituencies internal and external to the institution. Appropriate policies and procedures are in place to ensure issues associated with the practice and implementation of integrity. The institutional commitment based upon the policies and practices already in place 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.

#### 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,”* wrote Emeritus President Philip Austin in a letter dated May 24, 2006 to the University community. Directed by the Board of Trustees, the University of Connecticut has established a Compliance Program administered by the Office of Audit, Compliance and Ethics to serve three key purposes:

- Set the basic standards of workplace behavior that the University expects of all faculty, administrators and staff.
- State publicly the University’s long-term commitment to the highest standards of integrity in education, research, health care and service.
- 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 its 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 (<http://www.audit.uconn.edu/doc/codeofconduct.pdf>).

#### POLICIES OF INTEGRITY

The University has made great strides by making available all relevant policies online along with appropriate links to make information mining user friendly. The Faculty and Staff Resource Guide (<http://resource.uconn.edu>) allows the user to navigate and get familiar with issues related to: Audit, Compliance and Ethics; the Code of Conduct; Diversity and Equity; Intellectual Property and Copyright; Graduate Students and Post-Docs; and Research.

The development of this policy guide helps ensure integrity along with the articulating processes and procedures to safeguard integrity within the institution. It was formulated by UConn faculty, staff and administrators facilitated by external consultants; is mutually understood and centrally administered.

#### INTELLECTUAL PROPERTY

Under the *By-Laws* of the University of Connecticut, the University "shall be entitled to own, or to participate in the ownership of, any invention" under certain conditions, also outlined in the *By-Laws*. The *By-Laws* also outline the management of intellectual property, including filing and prosecuting patent applications and obtaining patents of discoveries and inventions. (<http://resource.uconn.edu/intellectual/index.html>)

### **Code of Conduct - Intellectual Property**

- Research materials, inventions or devices developed through the use of University resources are the property of the University. Rights to such property may be transferred to other parties (such as commercial sponsors) only with express written authorization. Materials subject to copyright are generally not the property of the University.
- Research data are considered the property of the principal investigator or the joint property of collaborating individuals when research data are generated by a principal investigator working in collaboration with one or more faculty colleagues. Research data generated by postdoctoral fellows, graduate students, research trainees or others who have had significant intellectual input, shall be considered the joint property of the collaborating individuals.

The Center for Science and Technology Commercialization (CSTC) protects faculty inventions, licenses them and distributes revenue following University policy allowing for faculty to share in compensation earned from their inventive activity.

### **Invention/Technology 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 twenty 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 that accommodates (a) policy on faculty consulting and (b) policy on individual conflicts on interest in research. The Policy on Individual Conflicts of Interest in Research (<http://policy.uconn.edu/findPolicy.php?PolicyID=334>) provides guidelines, based on federal regulations, for relationships between the University of Connecticut investigators and private industry, federal and state government, and the nonprofit sector in order to

ensure primacy of academic integrity. The Conflict of Interest Committee is the designated body to identify, mitigate, manage or eliminate conflicts. Certain situations may require the creation of a situation specific Management Committee (<http://compliance.uconn.edu/conflict.cfm>).

## **ACADEMIC INTEGRITY/STUDENT CODE**

*The Student Code* addresses the rights of each member of the academic community, regarding equitable opportunities to participate fully in community life ([http://resource.uconn.edu/student\\_interactions/student\\_conduct\\_code.html](http://resource.uconn.edu/student_interactions/student_conduct_code.html)). The expectations for academic integrity are clearly spelled out in *Academic Integrity Undergraduate Education and Research* and in *Academic Integrity Graduate Education and Research* ([http://resource.uconn.edu/student\\_interactions/academic\\_integrity.html](http://resource.uconn.edu/student_interactions/academic_integrity.html)). 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.

## **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 11.1). 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.

## **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 Division of Diversity and Equity (<http://ode.uconn.edu>) clearly articulates the adopted policy and its implementation. The letter signed by President Michael Hogan, dated December 3, 2009, clearly states the University's commitment to uphold affirmative action while addressing problems when they appear, recruit employees vigorously and affirmatively while retaining employees who facilitate the process (<http://ode.uconn.edu/docs/AA%20and%20EEO%20Policy.pdf>). The University prepares an Affirmative Action Plan in compliance with CT Gen. Stat. Sec. 46a-68 (<http://ode.uconn.edu/aa/>). 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.

## **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. The workshops/conferences span a wide spectrum from technical to social sciences and education issues dealing with trans-disciplinary topics reflecting the rich research/education culture present at the University of Connecticut.

## **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 are integral to 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.

Grievance procedures for faculty and staff, which are outlined in the several collective bargaining agreements, are 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.

## **APPRAISAL**

The University of Connecticut has clearly demonstrated its willingness to define policies and procedures along with their implementation to foster an environment that values integrity. The policies, procedures and contact information of appropriate personnel are available online. Under the auspices of the Office of Audit, Compliance and Ethics, the University of Connecticut has offered training on ethical practices and code of conduct to all University employees. It is to be noted that 100% of all faculty/staff participated in the trainings. 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. Most of the training modules are available on-line to facilitate participation.

Recently, the University became aware of the U.S. Department of Education's expansion of the "misrepresentation" policy. This policy prohibits "any statement that has the likelihood or tendency to deceive or confuse" students, prospective students, their families, any member of the public, a state agency, an accrediting agency or the Department of Education regarding the nature of a program, the nature of financial charges, and the employment of graduates. As the university understands that misrepresentations can be made through any communication, whether written, visual, oral or through other means by the University or a University representative, it has distributed guidelines for implementation. All Deans, Directors, and Department Heads are considering the following guidelines, recommended by the National Association of College and University Attorneys:

- Review all written materials for accuracy of information, including catalogs, marketing materials, websites and correspondence;

- Remind employees of what they can and cannot say to students, prospective students and any member of the public; and
- Review and tighten requirements on any third parties who may represent the University to students, prospective students and the public.

## **PROJECTION**

The University will continue to review integrity 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. It is expected that such interpretations will facilitate the researchers' ability to pursue knowledge while adhering to all ethical and legal parameters.

The "General Rules of Conduct" and their articulation to the University community through training material will be refined in consultation with the University community. 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.

## **INSTITUTIONAL EFFECTIVENESS**

The University of Connecticut is dedicated to the highest level of Integrity. Whenever issues of ethics are involved, the University of Connecticut acknowledges a problem, analyzes its cause, and makes 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.