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

APPENDIX DOCUMENTS

Introduction

Standard Three
Organization & Governance

Standard Four
Academic Program

Standard Eight
Physical & Technological Resources

Standard Eleven
Integrity

Appendix I.1

(1) Affirmation of Compliance with Federal Regulations Relating to Title IV;

(2) Credit Transfer Policy for the Graduate School

NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES
COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION
209 Burlington Road, Bedford, MA 01730
Voice: (781) 271-0022 Fax: (781) 271-0950 Web: http://cihe.neasc.org

AFFIRMATION OF COMPLIANCE WITH FEDERAL REGULATIONS RELATING TO TITLE IV

Periodically, member institutions are asked to affirm their compliance with federal requirements relating to Title IV program participation, including relevant requirements of the Higher Education Opportunity Act.

1. **Credit Transfer Policies.** The institution's policy on transfer of credit is publicly disclosed through its website and other relevant publications. The institution includes a statement of its criteria for transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (CIHE Policy 95. See also *Standards for Accreditation* 4.44 and 10.5.)

URL	http://web.uconn.edu/transfer/guidelines.htm
Print Publications	The attached is from the 2010-2011 Academic Year Graduate School Catalogue. The policy remains unchanged for the upcoming year.

2. **Public Notification of an Evaluation Visit and Opportunity for Public Comment:** The institution has made an appropriate and timely effort to notify the public of an upcoming comprehensive evaluation and to solicit comments. (CIHE Policy 77.)

URL	N/A for Fifth-Year Review
Print Publications	

3. **Student Complaints.** "Policies on student rights and responsibilities, including grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered." (*Standards for Accreditation* 6.18, 10.5, and 11.8.)

URL	http://www.community.uconn.edu/docs/1112_The_Student_Code.pdf
Print Publications	

4. **Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . .The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (CIHE Policy 95. See also *Standards for Accreditation* 4.42.)

Method(s) used for verification	The University requires a secure login and pass code for all distance learning courses. The University also promotes proctored exams for courses that require at least one exam worth more than 10% of the final grade. No additional charges are required to verify student identity.

5. **Credit Hour:** Federal regulation defines a credit hour as an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutional established equivalence that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. (CIHE Policy 111. See also *Standards for Accreditation* 4.34.)

Institutional policies and procedures for determining the credit hours awarded	Defining what represents a "credit hour" is in our University By-Laws, under the purview of the University Senate. The Provost is working with the University Senate to develop a University definition. Initial plans are to pattern the UConn definition on the University of

	Minnesota definition.

The undersigned affirms that _____ (institution name) meets the above federal requirements relating to Title IV program participation, including those enumerated above.

_____ 8-5-11

Chief Executive Officer Date

UNIVERSITY OF CONNECTICUT

The Graduate School

TRANSFER CREDIT POLICY FOR MASTER'S DEGREE STUDENTS

Up to six credits of advanced course work completed or to be completed at other institutions may be approved for transfer to the student's Master's degree program at the University of Connecticut. Such credits are to be listed "below the line" on the plan of study. The following conditions must be met before final approval of any transfer of credit is granted: (1) the advisory committee must indicate its approval of the transfer of credit by signing the plan of study; (2) the courses must be at a level appropriate for a graduate degree and offered by an accredited institution; and (3) the grades earned in any courses to be transferred must be B (not B-) or higher. Official transcripts of any course work to be transferred must be on file in the Graduate School. When the student's plan of study has gained the approval of the Executive Committee and official transcripts indicating satisfactory completion of the course work to be transferred are received, the transfer of credit is noted on the student's permanent academic record. Any credits transferred to a graduate degree program at the University of Connecticut must not have been used toward a degree elsewhere (already completed or to be completed in the future). [UConn 2010-11 *Graduate Catalog*, *Master's Degree Programs* section.

TRANSFER CREDIT POLICY FOR DOCTOR OF MUSICAL ARTS DEGREE STUDENTS

Transfer of credit for course work completed at other institutions is approved only after the student has demonstrated the ability to do acceptable graduate work at the University of Connecticut. Such ability must be demonstrated by successful completion of graduate level University of Connecticut course work. The maximum number of credits accepted from accredited institutions is six, provided it is of at least B (not B-) quality and contributes to the objectives of the proposed doctoral program. Such graduate work may be approved for transfer provided that the general examination is to be passed and all degree requirements are to be completed within the prescribed period – seven years – from the beginning date of the earliest course, wherever taken, listed on the approved doctoral plan of study. (See "Time Limits.") Transfer credit is not granted for individual courses used for a degree elsewhere(already completed or to be completed in the future). Instead, consideration is given to that degree program as an entity when the doctoral plan of study is being prepared. [UConn 2010-11 *Graduate Catalog*, *The Doctor of Musical Arts Degree* section.

TRANSFER CREDIT POLICY FOR DOCTOR OF PHILOSOPHY DEGREE STUDENTS

Transfer of credit for course work completed at other institutions is approved only after the student has demonstrated the ability to do acceptable graduate work at the University of Connecticut. Such ability must be demonstrated by successful completion of graduate-level, University of Connecticut course work. The equivalent of two years of graduate work completed at accredited institutions may be accepted, provided it is of at least B (not B-) quality and it contributes to the objectives of the proposed doctoral program. Such graduate work may be approved for transfer provided that the general examination is to be passed and all degree requirements are to be completed within the prescribed periods – respectively, four or five years and seven or eight years – from the beginning date of the earliest course, wherever taken, listed on the approved doctoral plan of study. (See "Time Limits.") Transfer credit is not granted for individual courses used toward a degree elsewhere (already completed or to be completed in the future). Instead, consideration is given to that degree program as an entity when the doctoral plan of study is being prepared. [UConn 2010-11 *Graduate Catalog*, *The Doctor of Philosophy Degree* section.

Appendix I.2

Financial Report, including the most recent audited financial statement

University of Connecticut

Financial Report

For the Year Ended June 30, 2010

Message from the Vice President and Chief Financial Officer

Founded in 1881, the University of Connecticut (University) serves as the State's flagship for higher education, meeting the educational needs of undergraduate, graduate, professional, and continuing education students through the integration of teaching, research, service and outreach. The University of Connecticut is a comprehensive institution of higher education which includes the University of Connecticut Health Center (Health Center). Although governed by a single Board of Trustees, the University and its Health Center maintain separate budgets and are by statute separate entities for purposes of maintaining operating funds and state appropriations. The Health Center also has a Board of Directors to whom the Board of Trustees has delegated certain responsibility and authority.

This financial report for the fiscal year ended June 30, 2010 represents the transactions and balances of the University, here defined as all programs except the Health Center. This includes Storrs-based undergraduate and graduate programs, the regional campuses, the School of Law and the School of Social Work. The University's enrollment in fiscal year 2010 was 29,001 students, taught by 1,286 full-time faculty members and an additional 683 part-time faculty and adjuncts. In total, the University employs 4,410 full and part-time faculty and staff (excluding adjuncts). The University has shifted its focus accordingly from managing growth to growing quality. Two other entities also support the mission of the University: The University of Connecticut Foundation, Inc. (Foundation) and the University of Connecticut Law School Foundation, Inc. (Law School Foundation).

The University's Board of Trustees is vested by law with fiscal oversight of the University. The operational authority granted to the University builds upon the successful implementation of several pieces of legislation known as the Flexibility Acts enacted in the early 1990's. These statutory changes enabled the University to become responsible and accountable for its operational decisions independent of many of the previously imposed regulatory requirements. The University is responsible for the budgetary allocation of its state appropriation, check-writing authority, human resource control, purchasing authority and, with the advent of UCONN 2000 in 1995, management of capital projects.

While the University's operational flexibility and capacity has grown, all of these activities also take place within a context of continuing vigilance. The financial statements contained in this report reflect budget execution results consistent with spending plans and operating and capital budgets approved by the University Board of Trustees. The Board of Trustees, through its Joint Audit and Compliance Committee, exercises oversight of all University financial reporting and processes and internal control systems, as well as direct engagement in the approval of independent auditing services to augment the University's internal audit capacity and the work performed by state auditors. An important component of external oversight, the Auditors of Public Accounts, issue an Independent Auditors' Report on the financial statements of the University. They are responsible for auditing its financial operations and their opinion appears in this report.

The fiscal operations of the University are not an end in themselves—rather, the maintenance of fiscal health and stability serves the ultimate goal of enabling the University to achieve its academic, research, service and outreach missions. The growth and diversification of the University's funding streams, combined with the continuing physical transformation through UCONN 2000, have led the University to record enrollments, research success, and significant contributions to the economy of the State of Connecticut.

The financial condition of the University is closely tied to the state's economic condition. There are significant financial and economic challenges facing the state and the nation. Since June 30, 2010, the University experienced an approximate reduction of $0.5 million in state support for fiscal year 2011, and a transfer of $15.0 million to the State from unrestricted funds will occur. These measures come in addition to prior year transfers and reductions of State support that have not been restored to the University. 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.

Among its many accomplishments, for the eleventh consecutive year, the University was named the top public university in New England in the annual *U.S. News and World Report* rankings. In fiscal year 2010, the University was ranked 27th among 164 public universities in the nation.

- Undergraduate enrollment is at an all-time high, while the quality and diversity of students choosing the University has shown a documented rise every year since the mid-1990's. Compared to fall of 1995, fall 2009 freshman enrollment at the main campus was up 59%, minority freshman enrollment was up 119%, and since 1996, average SAT scores were up 99 points. Forty-four percent of these students ranked in the top 10% of their high school class.
- The University's freshman-to-sophomore retention rate at the main campus is 93% and is substantially higher than the 80% average for 424 colleges and universities in the national Consortium for Student Retention Data Exchange. The 6-year graduation rate is 81% and the average time to graduate is 4.2 years among students completing Bachelor's within six years.
- Approximately 6,930 degrees were conferred in the 2009-10 school year for the completion of undergraduate, graduate and professional programs at the Storrs and regional campuses.
- Research awards for the Storrs-based program grew from $55.9 million in fiscal year 1996 to $131.3 million in fiscal year 2010.
- UConn, including both the Health Center and Storrs-based programs, ranked 85/689 among all institutions and 55/414 among public universities nationwide in research and development expenditures, as measured by the National Science Foundation.
- The Foundation's endowment, including both the Health Center and Storrs-based programs, which stood at $43 million at the start of 1995, is now valued at $263 million. Total Foundation net assets reached $348 million. The University received $23.1 million in disbursements in support of scholarships, faculty, programs and facilities from the Foundation in 2010.
- By 2010, the UCONN 2000 program has led to the authorization of 105 projects totaling $1.8 billion in bond proceeds.

Respectfully Submitted,

Richard D. Gray
Vice President and Chief Financial Officer
University of Connecticut

Paul R. McDowell
Chief Financial Officer
Storrs-based Programs

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STATE OF CONNECTICUT

AUDITORS OF PUBLIC ACCOUNTS

STATE CAPITOL

KEVIN P. JOHNSTON | 210 CAPITOL AVENUE | ROBERT G. JAEKLE

HARTFORD, CONNECTICUT 06106-1559

INDEPENDENT AUDITORS' REPORT

The Board of Trustees of the
University of Connecticut

We have audited the accompanying statements of net assets of the University of Connecticut (University) as of June 30, 2010 and 2009, and the related statements of revenues, expenses and changes in net assets and statements of cash flows for the years then ended. The University is a component unit of the University of Connecticut system, which includes the University of Connecticut, the University of Connecticut Health Center and the University of Connecticut Foundation, Inc. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audits. We did not audit the financial statements of the University of Connecticut Law School Foundation, Inc., a discretely presented component unit, which represented .51 percent of the assets of the University as of June 30, 2010 and 2009. The University of Connecticut Law School Foundation, Inc. represented .21 percent of the combined revenues and other additions for the year ended June 30, 2010; it experienced negative revenues that effected a .12 percent reduction in total revenues and other additions for the year ended June 30, 2009. Those financial statements were audited by other auditors whose reports thereon have been furnished to us, and our opinion, insofar as it relates to the amounts included for the University of Connecticut Law School Foundation, Inc., is based solely on the reports of the other auditors. The audits of the University of Connecticut Law School Foundation, Inc. were conducted in accordance with auditing standards generally accepted in the United States of America.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over financial reporting. Accordingly, we express no such opinion. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits and the reports of the other auditors provide a reasonable basis for our opinion.

In our opinion, based upon our audits and the reports of the other auditors, the financial statements referred to above present fairly, in all material respects, the financial position of the University, as of June 30, 2010 and 2009, and the changes in net assets and its cash flows for the years then ended, in conformity with accounting principles generally accepted in the United States of America.

The Management Discussion and Analysis on pages 2 through 15 is not a required part of the basic financial statements of the University, but is supplementary information required by the Governmental Accounting Standards Board. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it. The introductory section has not been subjected to the auditing procedures applied in the audit of the basic financial statements and, accordingly, we express no opinion on it.

Sincerely,

Kevin P. Johnston
Auditor of Public Accounts

Robert G. Jaekle
Auditor of Public Accounts

November 22, 2010
State Capitol
Hartford, Connecticut

MANAGEMENT'S DISCUSSION AND ANALYSIS

Management's Discussion and Analysis

INTRODUCTION

The following Management's Discussion and Analysis (MD&A) is required supplemental information. Its purpose is to provide users of the basic financial statements with a narrative introduction, overview, and analysis of those statements. The MD&A, which is unaudited, includes an analysis of the financial position and results of activities of the University of Connecticut (University, as defined below) for the fiscal year ended June 30, 2010, based on currently known facts, decisions, or conditions. It also includes selected comparative information for the years ended June 30, 2009 and 2008. As the MD&A presentation includes highly summarized information, it should be read in conjunction with the accompanying financial statements and related notes to the financial statements. The financial statements, notes to the financial statements, and this MD&A are the responsibility of management.

Founded in 1881, the University of Connecticut serves as the State of Connecticut's (State) flagship for higher education, meeting the educational needs of undergraduate, graduate, professional, and continuing education students through the integration of teaching, research, service and outreach. The University of Connecticut is a comprehensive institution of higher education, which includes the University of Connecticut Health Center (Health Center). Although governed by a single Board of Trustees, the University and the Health Center maintain separate budgets and are, by statute, separate entities for purposes of maintaining operating funds and State appropriations. The Health Center also has a Board of Directors to whom the Board of Trustees has delegated certain responsibility and authority.

This financial report for the fiscal year ended June 30, 2010 represents the transactions and balances of the University, here defined as all programs except the Health Center. This includes Storrs-based undergraduate and graduate programs, the regional campuses, the School of Law and the School of Social Work.

During the year ended June 30, 2004, the University adopted Governmental Accounting Standards Board (GASB) Statement No. 39, *Determining Whether Certain Organizations Are Component Units*, which amends GASB Statement No. 14, *The Financial Reporting Entity*. As a result, The University of Connecticut Law School Foundation, Inc. (Law School Foundation) is included as a component unit with the University (see Note 1). A related, but independent, corporate entity, The University of Connecticut Foundation, Inc. (Foundation), operates exclusively for charitable and educational purposes, raising funds to promote, encourage, and assist education and research at the University and the Health Center (see Note 12). The Foundation solicits and accepts donations of properties, monies, and securities and invests and administers these gifts. The Foundation materially supports the mission of both the University and the Health Center which are separately audited, producing their own financial statements. Displaying the Foundation's financial statements as a component unit of either the University or the Health Center would distort its actual contribution or economic benefit to that entity, and therefore the Foundation is not included as a component unit in the accompanying financial statements.

In accordance with GASB Statement No. 51, *Accounting and Financial Reporting for Intangible Assets*, which requires that certain intangible assets be classified as capital assets, the Statement of Net Assets as of June 30, 2009 and the Statement of Revenues, Expenses, and Changes in Net Assets for the year ended June 30, 2009 have been restated in order to retroactively apply the provisions of this statement to also include purchased software which was previously expensed (see Note 16). For the purposes of the MD&A, certain tables and graphs are restated for fiscal years 2009 and 2008.

The University's Board of Trustees is vested by law with fiscal oversight of the University. The operational authority granted to the University builds upon the successful implementation of several pieces of legislation known as the Flexibility Acts, enacted in the early 1990's. These statutory changes enabled the University to become responsible and accountable for its operational decisions independent of many of the previously imposed regulatory requirements. The University is now responsible for the budgetary allocation of its State appropriation, check-writing authority, human resource control, purchasing authority and, with the advent of UCONN 2000 in 1995, management of capital projects.

While the University's operational flexibility and capacity has grown, all of these activities also take place within a context of continuing external review. The financial statements contained in this report reflect budget execution results consistent with spending plans and operating and capital budgets approved by the University's Board of Trustees. The Auditors of Public Accounts issue an Independent Auditors' Report on the financial statements of the University. They are responsible for auditing its financial operations and their opinion appears on page 1.

FINANCIAL HIGHLIGHTS AND ECONOMIC OUTLOOK

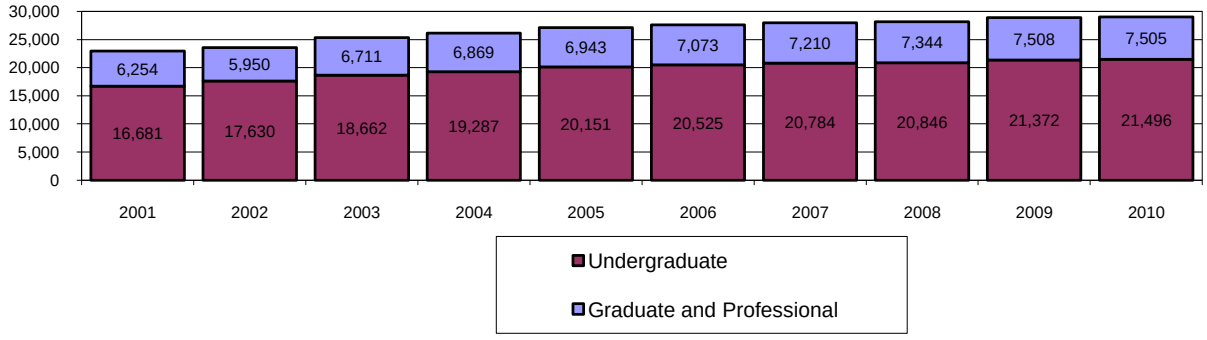
The University submits separate biennial operating and capital budgets to the Governor and General Assembly through the Board of Governors for Higher Education. The General Assembly appropriates and allocates funds directly to the

University. In general, the Governor may reduce State agency allotments by not more than 5%, although in recent years the General Assembly has afforded the Governor certain specified additional reduction authority.

The financial statements contained herein show an operating loss of $363.2 million for the year ending June 30, 2010 (fiscal year 2010) as compared to $406.7 million for the year ending June 30, 2009 (fiscal year 2009), and $402.3 million for the year ending June 30, 2008 (fiscal year 2008). The decrease in operating loss in fiscal year 2010 from fiscal year 2009 was due to an increase in total operating revenues of 6.3%, primarily attributed to increases in undergraduate enrollment, tuition and fees, and room and board fees. It is also due to a reduction of 162 full-time equivalents in fiscal year 2010 over 2009, which resulted from 211 staff participating in the Retirement Incentive Plan (offset by new hires). The increase in operating loss in fiscal year 2009 from fiscal year 2008 was due to an increase in total operating expenses of 5.6%, primarily caused by a 4.7% increase in salaries as a result of a 1.7% increase in full-time equivalent staff and negotiated raises. For public institutions, the measure more indicative of normal and recurring activities is income or loss before other changes in net assets, which includes revenue from State appropriations. The University experienced a loss before other changes in net assets of $38.3 million in fiscal year 2010 as compared to $68.2 million and $53.6 million for fiscal years 2009 and 2008, respectively. Total operating revenues grew $33.2 million in fiscal year 2010 and $45.0 million in fiscal year 2009. At the same time, operating expenses decreased $10.3 million in fiscal year 2010 as compared to an increase in fiscal year 2009 of $49.3 million over fiscal year 2008. Investment income decreased $3.0 million in fiscal year 2010, $6.1 million in fiscal year 2009 and $1.9 million in fiscal year 2008.

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 fiscal year 2009 (2.5% more students in fiscal year 2009 over 2008). At the same time, 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% 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%) as compared to a $24.5 million (9.0%) increase in fiscal year 2009. Sales and services of auxiliary enterprises, before scholarship allowances, increased $12.3 million (8.1%), primarily as a result of an overall increase in room and board fees of 6.48% for undergraduate students and 8.61% for graduate students and an increase in room occupancy of 3.6% over fiscal year 2009. In fiscal year 2009, sales and services of auxiliary enterprises, before scholarship allowances, increased $16.5 million (12.0%), primarily as a result of an overall increase in room and board fees of 7.39% for undergraduate students and graduate students and an increase in room occupancy of 6.1% over fiscal year 2008. Grant and contract revenues increased $14.6 million (11.0%) in fiscal year 2010 as compared to $11.3 million (9.3%) in fiscal year 2009 over 2008.

HEADCOUNT ENROLLMENT IN FALL OF EACH FISCAL YEAR
TEN YEAR COMPARISON



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 (see Note 5), 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.

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.

FINANCIAL STATEMENTS

Effective July 1, 2001, the University adopted GASB Statement No. 35, *Basic Financial Statements - and Management's Discussion and Analysis - for Public Colleges and Universities*, as amended by GASB Statement Nos. 37 and 38. GASB Statement No. 35 establishes standards for financial reporting for public colleges and universities. The University's financial report includes three basic financial statements: Statements of Net Assets; Statements of Revenues, Expenses, and Changes in Net Assets; and Statements of Cash Flows. In addition, the following elements are included with these general-purpose financial statements: Management's Discussion and Analysis and Notes to the Financial Statements. GASB Statement No. 35 focuses on the University as a whole rather than on accountability by individual fund groups and provides accounting and financial reporting guidelines, enhancing the usefulness and comprehension of financial reports by external users. The adoption of these standards resulted in the conversion from fund accounting statements to statements presented in a single-column format.

The financial statements reflect budget execution results consistent with operating budgets and spending plans approved by the University's Board of Trustees. The University prepares and presents its Operating Budget requests and annual Spending Plan in a current funds format.

STATEMENTS OF NET ASSETS

The Statements of Net Assets present the assets, liabilities, and net assets of the University as of the end of the fiscal year, June 30. The Statements of Net Assets are a point in time financial statement – a snapshot – and a measure of the financial condition of the University. These statements present end-of-year data concerning assets, classified as current (those available for use within one year) and noncurrent (those available beyond one year), liabilities, categorized as current (those maturing and due within one year) and noncurrent (those maturing and due after one year), and net assets that represent the difference between total assets and total liabilities. Assets represent what is owned by or what is owed to the University, including payments made to others before a service was received. Assets are recorded at their current value, except for property and equipment that are recorded net of accumulated depreciation and amortization. Liabilities represent what is owed to others or what has been received from others prior to services being provided by the University.

Readers of the Statements of Net Assets are able to determine the assets available to continue the operations of the University. The net asset value of the University is the residual interest or equity in the University's assets after liabilities are deducted. Over time, an increase in net assets is an indicator of the University's improving financial strength.

The following table shows condensed Statements of Net Assets at June 30 (in millions):

	2010	2009*	2008*
Current assets	$ 584.6	$ 532.9	$ 421.2
Noncurrent assets			
State debt service commitment	804.3	780.2	700.1
Investments	9.8	9.5	12.3
Property and equipment, net	1,397.5	1,412.6	1,460.2
Other	19.5	19.5	18.9
Total assets	$2,815.7	$2,754.7	$2,612.7
Current liabilities	$ 290.2	$ 274.6	$ 250.7
Noncurrent liabilities			
Long-term debt and bonds payable	1,058.7	1,039.0	962.7
Other	22.5	21.9	20.2
Total liabilities	$1,371.4	$1,335.5	$1,233.6
Invested in capital assets, net	$1,131.9	$1,143.4	$1,188.0
Restricted	149.6	128.6	55.3
Unrestricted	162.8	147.2	135.8
Total net assets	$1,444.3	$1,419.2	$1,379.1

*As restated

The total assets increased $61.0 million in fiscal year 2010 over 2009 as compared to an increase of $142.0 million in fiscal year 2009 over 2008. The increase in fiscal year 2010 was primarily due to a $25.3 million ($22.4 million in fiscal year 2009) increase in cash and cash equivalents, a $1.4 million decrease in due from State of Connecticut ($2.8 million decrease in fiscal year 2009), a $17.4 million increase in deposit with bond trustee ($94.6 million increase in fiscal year 2009), a $31.9 million increase in the State debt service commitment ($82.0 million increase in fiscal year 2009), a $1.9 million increase in accounts receivable ($2.4 million decrease in fiscal year 2009) and a net decrease of $15.1 million to property and equipment ($47.6 million decrease in fiscal year 2009).

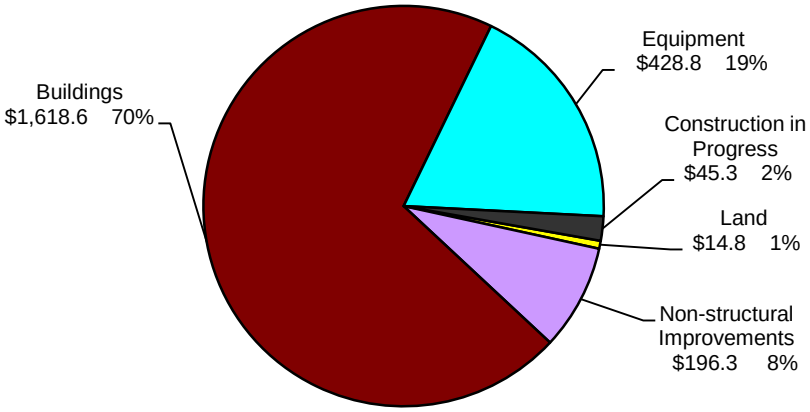
The total liabilities for fiscal year 2010 increased $35.9 million ($101.9 million increase in fiscal year 2009) primarily due to newly acquired debt through the sale of general obligation bonds and bond refundings totaling $191.8 million ($151.6 million in fiscal year 2009) offset by the retirement and refunding of debt on existing bonds and loans of $162.8 million ($73.1 million in fiscal year 2009), an increase in deferred income of $7.8 million ($2.3 million decrease in fiscal year 2009), an increase of $4.7 million in compensated absences ($1.4 million increase in fiscal year 2009) and a decrease in due to affiliate of $4.7 million in fiscal year 2010 ($21.6 million increase in fiscal year 2009). The combination of the increase in total assets of $61.0 million ($142.0 million increase for fiscal year 2009) and total liabilities of $35.9 million ($101.9 million increase for fiscal year 2009) yields an increase in total net assets of $25.1 million ($40.1 million increase in fiscal year 2009).

Capital and Debt Activities

During fiscal year 2010, the University recorded additions to property and equipment totaling $75.7 million ($43.3 million and $73.5 million in fiscal years 2009 and 2008, respectively) of which $51.8 million related to buildings and construction in progress ($18.9 million and $28.7 million in fiscal years 2009 and 2008, respectively). The growth of the University's property and equipment is a direct result of the successful UCONN 2000 program. The third phase of the program, also known as 21st Century UConn, expands and builds on the success of UCONN 2000 with an additional $1.56 billion for improvements to facilities at the University and the Health Center (see Note 5).

The following pie chart presents the total property and equipment at cost:

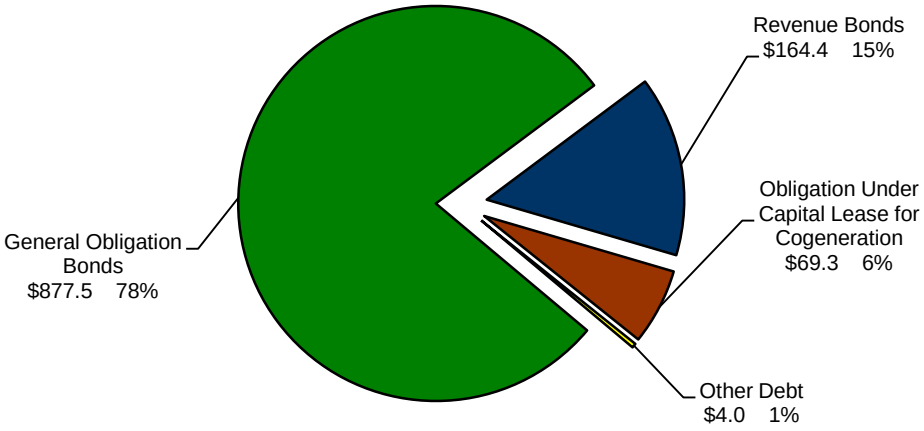
TOTAL PROPERTY AND EQUIPMENT AT COST AT JUNE 30, 2010
($ in Millions) Total $2,303.8



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 Health Center for its UCONN 2000 projects (see Note 5). 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. As the general obligation debt is incurred, the commitment from the State is recorded as a current and noncurrent receivable (State debt service commitment in the accompanying Statements of Net Assets). When bonds are issued, the amount of the commitment for the Health Center is reflected as a liability by the University.

The following chart illustrates the categories of debt as of June 30, 2010, exclusive of premiums, discounts and debt differences due to refunding:

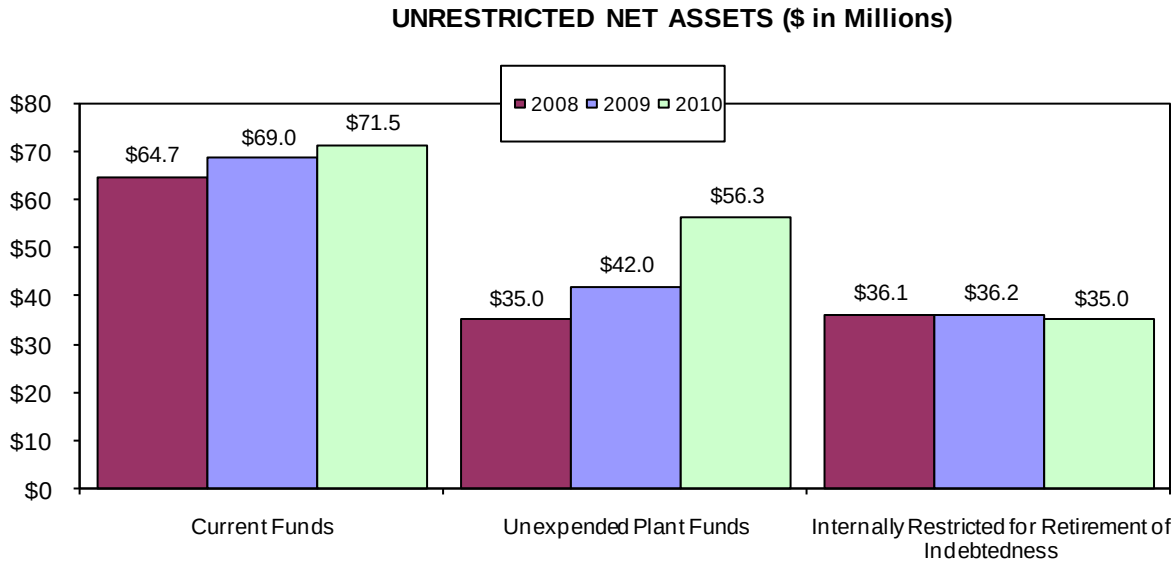
CATEGORIES OF DEBT AT JUNE 30, 2010
($ in millions) Total $1,115.2



See Notes 4 and 5 of the financial statements for further information on capital and debt activities.

Net Assets

Net assets are divided into three major categories. The first category, invested in capital assets, net of related debt, provides the University's equity in property and equipment. The restricted net assets category is subdivided into nonexpendable and expendable. The corpus of restricted nonexpendable resources is only available for investment purposes, and in the University's Statements of Net Assets this amount represents endowment assets. Expendable restricted net assets are available for expenditure by the institution, but must be spent for purposes determined by donors and/or external entities that have placed time or purpose restrictions on the use of the assets. The final category is unrestricted net assets. Unrestricted net assets are defined by GASB Statement No. 35 to include funds not restricted by third-parties, including all unrestricted funds formerly (prior to fiscal year 2002) included in the balances of unrestricted current funds, retirement of indebtedness funds, and plant funds on the Statement of Net Assets. Unrestricted net assets may be designated for specific purposes by action of management or the Board of Trustees or may otherwise be limited by contractual agreements with outside parties. GASB prohibits a breakout of designated unrestricted funds on the face of the Statements of Net Assets. Unrestricted net assets are available to the University for any lawful purpose of the institution. The following shows a comparison between fiscal years by category of unrestricted net assets:



Substantially all unrestricted net assets are internally designated for academic and research programs, capital programs, retirement of debt, and auxiliary enterprise activities.

STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET ASSETS

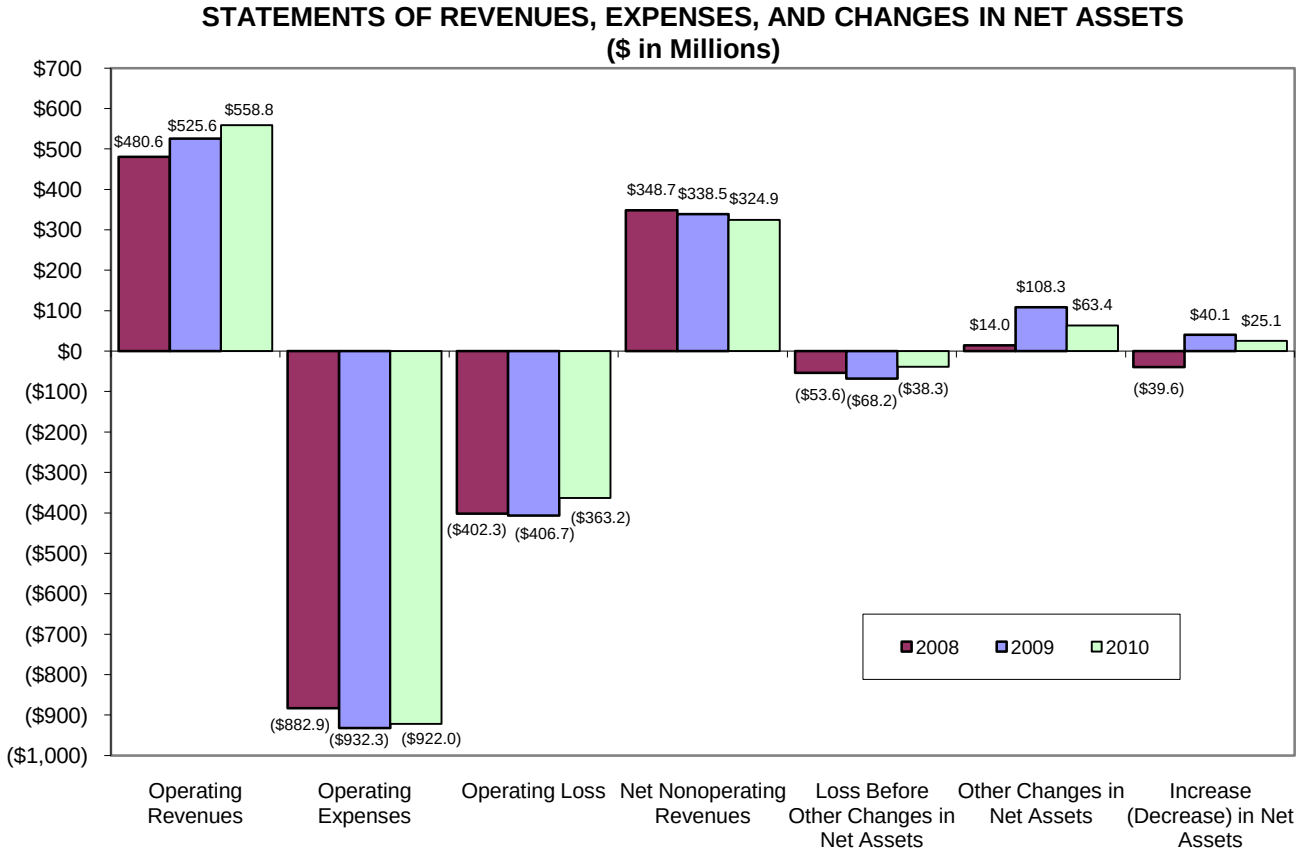
Revenues and expenses are classified as operating, nonoperating, or other changes in net assets according to definitions prescribed by GASB. Significant recurring sources of nonoperating revenues utilized in balancing the operating loss each year include State appropriations for general operations, State debt service commitment for interest, noncapital gifts, and short-term investment income. By its very nature, a State funded institution does not receive tuition, fees, and room and board revenue sufficient to support the operations of the University. Therefore, these nonoperating revenues are essential to the programs and services provided by the University. Unless a significant increase in tuition and fees and room and board revenues occurs, the University will always show a loss from operations.

The following table shows condensed Statements of Revenues, Expenses, and Changes in Net Assets for the fiscal years ended June 30 (in millions):

	2010	2009*	2008
Operating revenues	$ 558.8	$ 525.6	$ 480.6
Operating expenses	922.0	932.3	882.9
Operating loss	(363.2)	(406.7)	(402.3)
Net nonoperating revenues	324.9	338.5	348.7
Loss before other changes in net assets	(38.3)	(68.2)	(53.6)
Net other changes in net assets	63.4	108.3	14.0
Increase (Decrease) in net assets	$ 25.1	$ 40.1	$ (39.6)

*As restated

While the Statements of Net Assets present the financial condition at a point in time, the Statements of Revenues, Expenses, and Changes in Net Assets represent the activity for a period of time – one year. These statements present either an increase or decrease in net assets based on the revenues received by the University, both operating and nonoperating, the expenses paid by the University, operating and nonoperating, and any other revenues, expenses, gains and losses received or spent by the University.



Generally, operating revenues are earned when providing goods and services to the various customers of the University. Operating expenses are incurred in the normal operation of the University and represent those expenses paid to acquire or produce the goods and services provided in return for the operating revenues. Operating expenses also include the provision for estimated depreciation and amortization of property and equipment. The difference between operating revenues and operating expenses is the operating income or loss. As a State funded agency, the University is expected to experience an operating loss each year.

Nonoperating revenues are revenues received for which goods and services are not provided, including State appropriations and State debt service commitment for interest. Such revenues are provided by the State to the University without the State directly receiving commensurate goods and services in exchange for those revenues. Nonoperating revenues (expenses)

also include noncapital gifts, investment income, interest expense, and other expenses not considered in the functional classification of operating expenses.

Other changes in net assets are comprised of the State's debt service commitment for principal payments on general obligation bonds used for capital purposes, capital appropriation, capital grants and gifts, the disposal of property and equipment, additions to permanent endowments, and State match on endowments. The Statements of Revenues, Expenses, and Changes in Net Assets reflect an increase in the net assets of $25.1 million in fiscal year 2010, an increase of $40.1 million in fiscal year 2009 and a decrease of $39.6 million in fiscal year 2008.

Revenues

The following table summarizes operating and nonoperating revenues and other changes in net assets for the fiscal years ended June 30 (in millions):

	2010	2009	2008
Operating revenues:			
Student tuition and fees, net	$ 223.8	$ 215.6	$ 199.7
Grants and contracts	147.2	132.6	121.2
Sales and services of educational departments	15.2	17.2	15.3
Sales and services of auxiliary enterprises, net	161.8	149.5	133.5
Other sources	10.8	10.7	10.9
Total operating revenues	558.8	525.6	480.6
Nonoperating revenues:			
State appropriation	325.5	327.8	328.2
State debt service commitment for interest	38.5	37.8	39.5
Gifts	18.1	21.8	24.8
Investment income	1.3	4.3	10.4
Total nonoperating revenues	383.4	391.7	402.9
Other changes in net assets:			
State debt service commitment for principal	61.7	105.0	-
Capital appropriation	-	-	8.0
Capital grants and gifts	2.4	3.8	6.8
Additions to permanent endowments and State match to endowments	-	-	0.1
Total other changes in net assets	64.1	108.8	14.9
Total revenues	$ 1,006.3	$ 1,026.1	$ 898.4

Revenue highlights, for fiscal years 2010 and 2009 and comparison between fiscal years, including operating and nonoperating revenues and other changes in net assets, presented on the Statements of Revenues, Expenses, and Changes in Net Assets are as follows:

- Student tuition and fees, net of scholarship allowances, increased 3.8% in fiscal year 2010 (8.0% in fiscal year 2009) and 7.4% before scholarship allowances (9.0% in fiscal year 2009). The increase in fiscal year 2010 was due in part to a 0.6% (2.5% in fiscal year 2009) increase in undergraduate enrollment at the University and an increase of 5.87% (5.49% in fiscal year 2009) for undergraduate in-state tuition and mandatory fees charged, and 5.97% (5.5% in fiscal year 2009) for out-of-state tuition and mandatory fees.

- Total grants and contracts increased $14.6 million (11.0%) in fiscal year 2010 ($11.3 million or 9.3% in fiscal year 2009) 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.

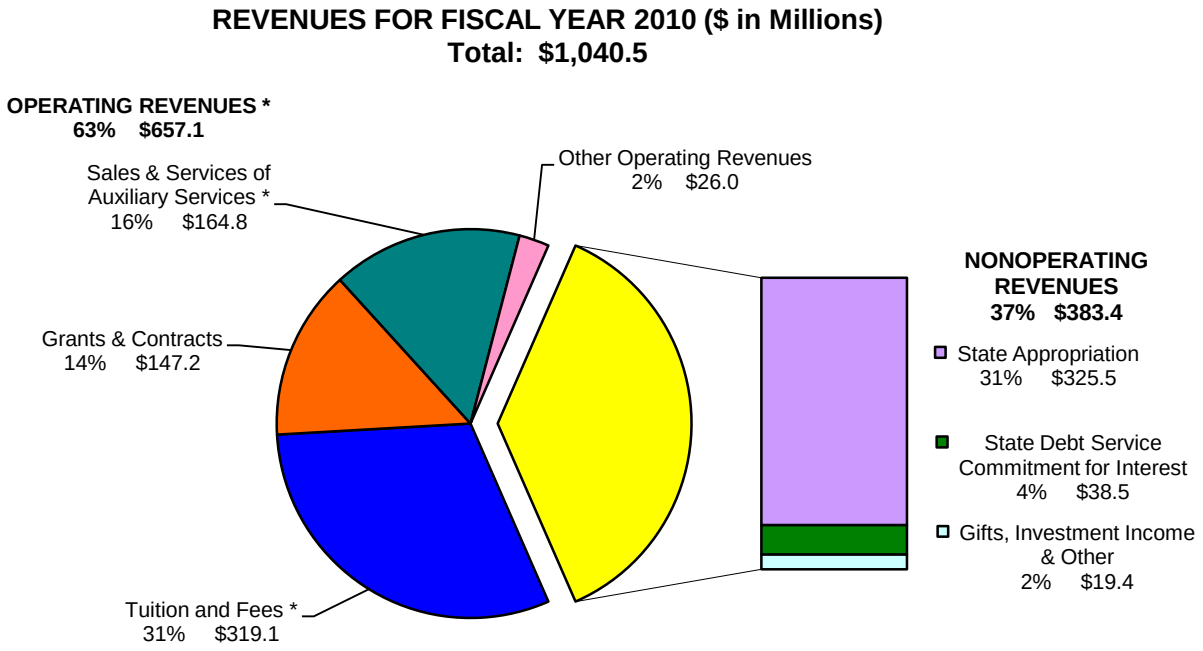
- Sales and services of auxiliary enterprises, net of scholarship allowances, increased approximately 8.2% and 12.0% during fiscal years 2010 and 2009, respectively. The increase in fiscal year 2010 resulted from an increase in fees charged for both room and board of 6.48% for undergraduate students and 8.61% for graduate students and an increase in room occupancy of 3.6% over fiscal year 2009. The increase in fiscal year 2009 resulted from an increase in fees charged for both room and board of 7.39% for undergraduate students and graduate students and an increase in room occupancy of 6.1% over fiscal year 2008.

- The largest source of revenue, State appropriation including fringe benefits, decreased $2.3 million and $0.4 million in fiscal years 2010 and 2009, respectively. The State appropriation is included in the nonoperating section. The State also provides State debt service commitment for the interest payments made annually on

general obligation bonds. State debt service commitment for interest revenue is included with nonoperating revenues and corresponds to the total interest paid and accrued on general obligation bonds. Effectively, this revenue offsets a significant portion of interest expense each year. Also, as general obligation bonds are issued (see Note 5) the State commits to the repayment of the future principal amounts and a receivable is recorded on the Statements of Net Assets to reflect this commitment. This results in revenue that is recorded in other changes in net assets that totaled $61.7 million and $105.0 million in fiscal years 2010 and 2009, respectively.

- Gift revenue, both capital and noncapital, is derived from gifts made directly to the University and from the Foundation and Law School Foundation. These spendable funds are provided to the University for educational, cultural, recreational, and research activities. Both the Foundation and the Law School Foundation disburse funds to the University as requests are made, provided the request is in accordance with donor restrictions, if any. These gifts, including capital gifts, received by the University from both Foundations, totaled approximately $15.8 million in fiscal year 2010 compared to $19.4 million in fiscal year 2009. On a combined basis, both Foundations also paid approximately $3.0 million in fiscal year 2010 ($3.7 million in fiscal year 2009) to third parties on behalf of the University. This amount is not reflected in the University's financial statements. Total nonoperating gifts and capital gifts and grants revenue to the University from all sources amounted to $20.5 million and $25.6 million in fiscal years 2010 and 2009, respectively.

Revenues, excluding other changes in net assets, come from a variety of sources and are illustrated in the following graph:



* Shown here at gross amounts, not netted for student financial aid totaling $98.3 million.

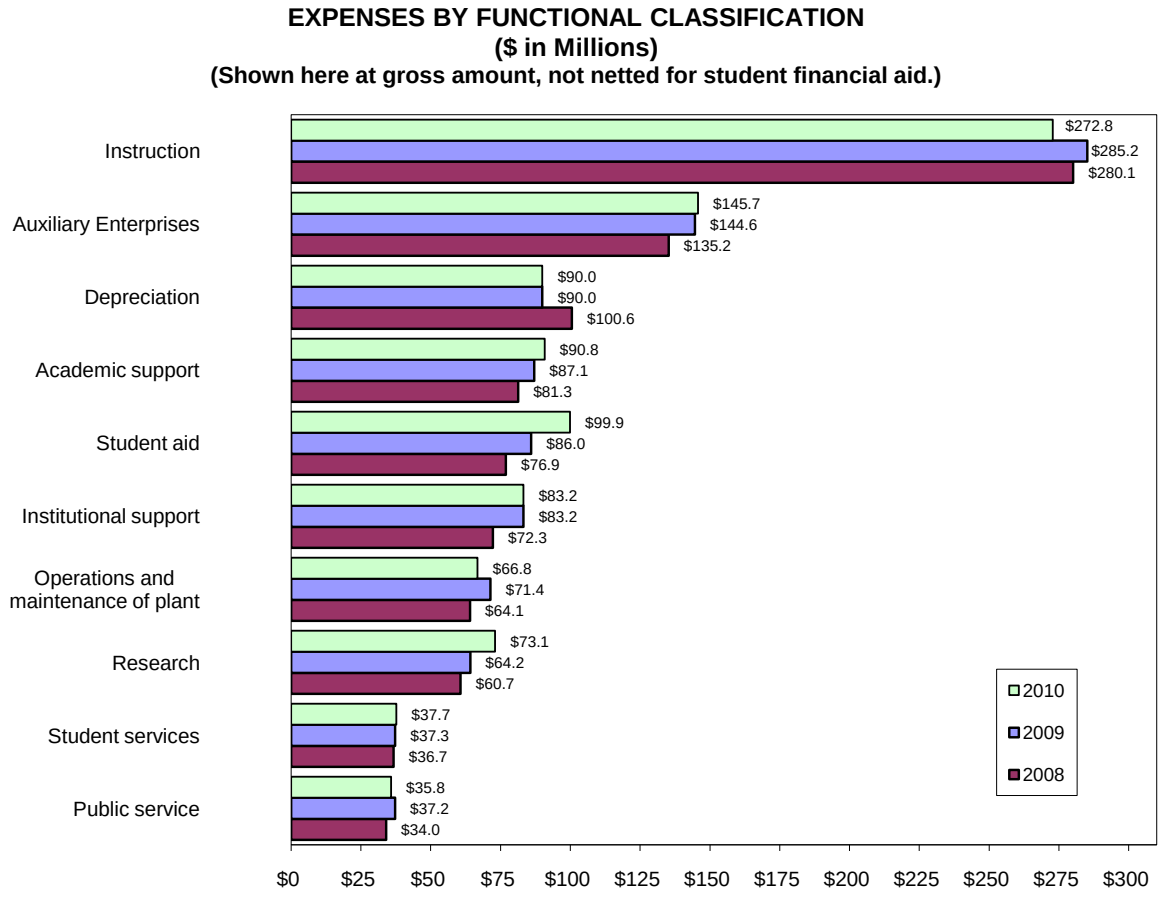
Expenses

The following table summarizes operating and nonoperating expenses and other changes in net assets for the fiscal years ended June 30 (in millions):

	2010	2009*	2008*
Operating expenses:			
Instruction	$ 271.9	$ 284.1	$ 279.0
Research	72.3	64.0	60.3
Operations and maintenance of plant	66.8	71.4	64.1
Auxiliary enterprises	145.4	144.4	135.1
Depreciation and amortization	90.0	90.0	100.6
Other	275.6	278.4	243.8
Total operating expenses	922.0	932.3	882.9
Nonoperating expenses:			
Interest expense	48.6	48.9	51.2
Transfer of reserves to State General Fund	8.0	-	-
Other nonoperating expense, net	2.0	4.3	2.9
Total nonoperating expenses	58.6	53.2	54.1
Other changes in net assets:			
Disposal of property and equipment, net	0.7	0.4	0.9
Total other changes in net assets	0.7	0.4	0.9
Total expenses	$ 981.3	$ 985.9	$ 937.9

*As restated

Operating expenditures are classified by function in the accompanying Statements of Revenues, Expenses, and Changes in Net Assets. These functions directly contribute to the major mission of the University. The following chart depicts comparative functional expenditures of the University. It does not include other operating expenses:



Total operating expenses were $922.0 million and $932.3 million in fiscal years 2010 and 2009, respectively, netted for student financial aid totaling $98.3 million and $84.4 million, respectively. Natural or object classification includes salaries, fringe benefits, utilities, and supplies and other expenses (see Note 14 for operating expenses classified by object).

Highlights of expenses, including operating and nonoperating expenses and other changes in net assets, presented on the Statements of Revenues, Expenses, and Changes in Net Assets are as follows:

- Instruction, the University's largest operating expense, decreased $12.2 million (4.3%) in fiscal year 2010 primarily due to a decrease of approximately 59 full-time equivalent faculty and staff offset by a 4.8% increase in supplies, commodities and other expenditures. 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% offset by a 6.0% decrease in supplies, commodities and other expenditures.

- In fiscal year 2010, research expenses increased $8.3 million or 12.9% ($3.7 million or 6.1% in fiscal year 2009). This is commensurate with an increase in fiscal years 2010 and 2009 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.

- Even with a decrease in fulltime equivalent staff of 2.5%, academic support increased $3.5 million in fiscal year 2010 (increase of $5.5 million in fiscal year 2009). This increase resulted from the timing of purchases for supplies, commodities and other expenditures, which included major periodicals and subscriptions.

- In fiscal year 2010, institutional support did not experience a significant change over fiscal year 2009. This is mainly due to a 2.4% decrease in full-time equivalent staff offset by an increase in contractual services for the replacement of the Foundation's donor database (see Note 12). In fiscal year 2009, institutional support experienced an increase of $10.9 million or 15.0%. This resulted from a 2.8% increase in the number of full-time equivalent staff and an average compensation increase for the bargaining units of approximately 5%.

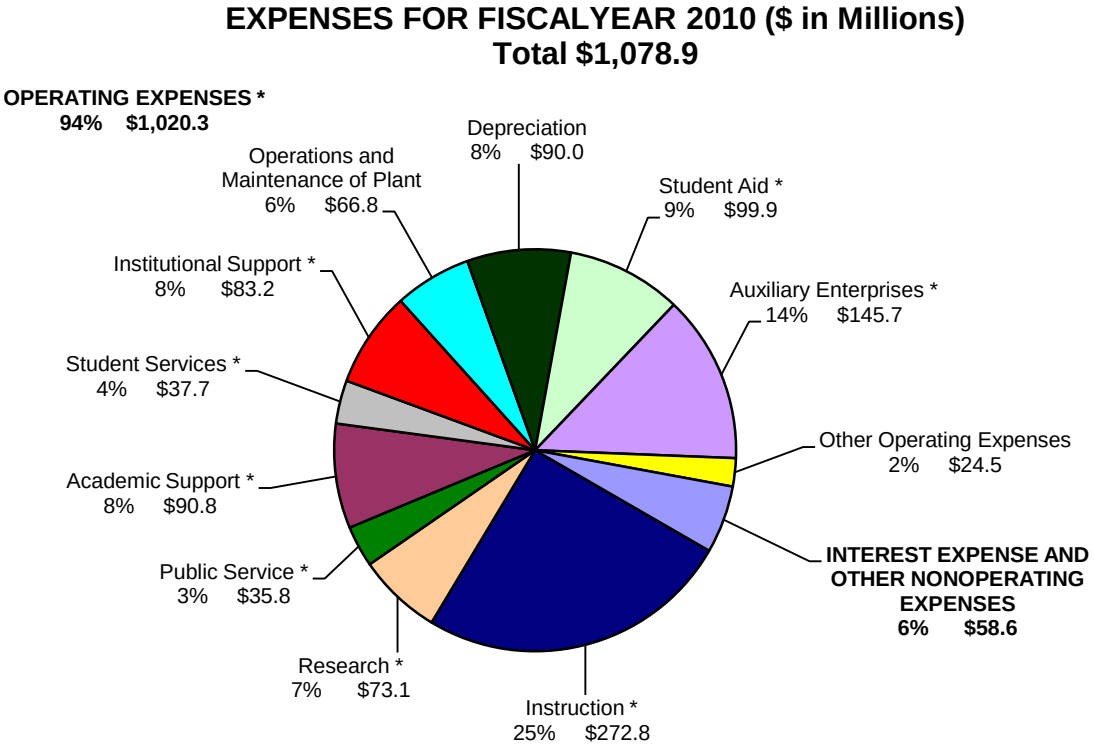
- Operations and maintenance of plant decreased $4.7 million or 6.6% in fiscal year 2010 as compared to a $7.3 million or 11.4% increase in fiscal year 2009. This is primarily attributed to a decrease in natural gas prices of approximately 12.4% in fiscal year 2010 versus an increase of 4.0% in fiscal year 2009. 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. Fiscal years 2010 and 2009 experienced a 22.8% and 14.4% reduction, respectively, in electricity consumption (rates increased approximately 24.2% and 18.8%, including distribution and demand charges). Natural gas consumption, the primary energy source that fuels the cogeneration plant, also decreased 9.1% in fiscal year 2010 as compared to a 14.1% increase in fiscal year 2009.

- Fiscal year 2008 depreciation and amortization expense was higher than fiscal years 2009 and 2010 due to certain adjustments for property additions and changes in the capitalization policy in fiscal year 2008.

- Auxiliary enterprises expenditures increased $1.0 million or 0.7% in fiscal year 2010 (6.9% in fiscal year 2009), primarily due to certain contractual salary increases as well as a 5.3% increase in supplies, commodities, and other expenditures.

- In fiscal years 2010 and 2009, the University expensed $3.3 million and $16.5 million, respectively, in other operating expenses for a project to correct structural deficiencies related to the construction of the Law School Library building. These expenditures will not increase the value of the building or extend its useful life (see Note 4). Also, in fiscal year 2010, a total of $6.7 million was expensed ($8.7 million in fiscal year 2009) in other operating expenses for inspections, fire and safety code updates and other corrective action needed in order to achieve safety goals for all buildings. Furthermore, the University wrote-off costs of $5.2 million in fiscal year 2010 due to a software implementation project in which costs accumulated exceeded the value of the asset. Additional amounts in other operating expenses included costs not capitalized under University policy such as repairs, project management fees, capital project studies, and mold, lead and asbestos removal projects. These expenses totaled $8.4 million in fiscal year 2010 as compared to $4.9 million in fiscal year 2009.

The pie chart below illustrates operating expenses by function, not netted for financial aid, and also includes other operating expenses. A significant portion of student aid is reflected as an allowance against tuition and fees revenue and sales and services of auxiliary enterprises on the Statements of Revenues, Expenses, and Changes in Net Assets. The chart also shows interest expense and other nonoperating expenses.



* Shown here at gross amounts, not netted for financial aid totaling $98.3 million.

STATEMENTS OF CASH FLOWS

The Statements of Cash Flows present detailed information about the cash activity of the University during the year. The first section of these statements, cash flows from operating activities, will always be different from the Statements of Revenues, Expenses, and Changes in Net Assets' operating loss amount. The difference results from noncash items such as depreciation and amortization expense and the use of the accrual basis of accounting in preparing the Statements of Revenues, Expenses, and Changes in Net Assets. These statements show revenues and expenses when incurred, not necessarily when cash is received or used. The Statements of Cash Flows, on the other hand, show cash inflows and outflows without regard to accruals. The Statements of Cash Flows have four additional sections including: cash flows from noncapital financing activities including State appropriation, transfer of reserves to State General Fund, gifts and other nonoperating revenues and expenses; cash flows from capital financing activities that reflect the cash received and used by the University for financing, principally capital in nature, capital grants and gifts, and State debt service commitments for principal and interest; cash flows from investing activities showing the purchases, proceeds and interest received from investing activities; and a reconciliation of operating loss reflected on the Statements of Revenues, Expenses, and Changes in Net Assets to net cash used in operating activities.

The following table shows condensed Statements of Cash Flows for the years ended June 30 (in millions):

	2010	2009*	2008
Cash provided from operating activities	$ 561.2	$ 523.9	$ 466.8
Cash used in operating activities	(864.2)	(846.3)	(779.3)
Net cash used in operating activities	(303.0)	(322.4)	(312.5)
Net cash provided from noncapital financing activities	336.1	345.4	348.3
Net cash provided from (used in) capital financing activities	8.2	88.9	(90.0)
Net cash provided from (used in) investing activities	(16.0)	(89.5)	77.0
Net increase in cash and cash equivalents	$ 25.3	$ 22.4	$ 22.8

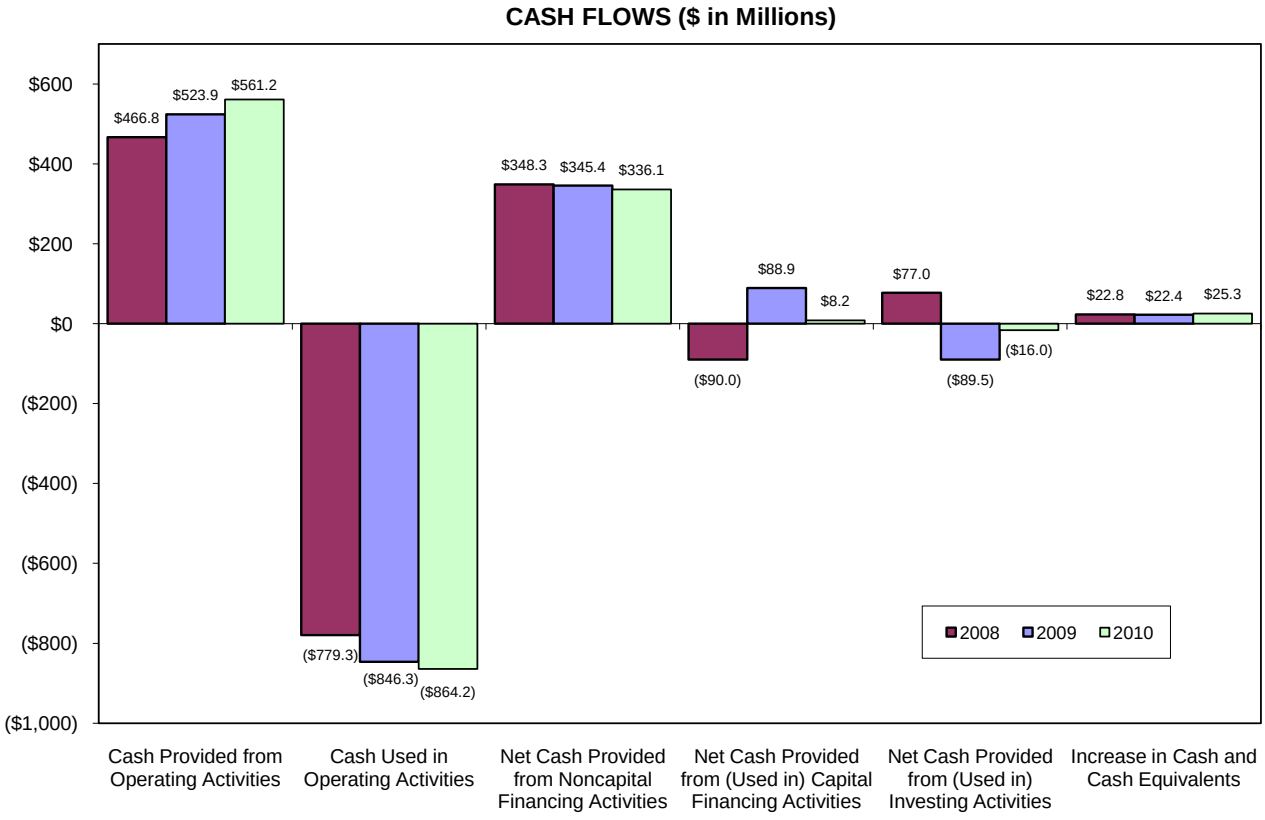
*As restated

Net cash used in operating activities was $303.0 million and $322.4 million in fiscal years 2010 and 2009, respectively, and is consistent with the operating loss discussed earlier after adding back depreciation and amortization, a noncash expense. GASB requires that cash flows from noncapital financing activities include State appropriation and noncapital gifts. Cash flows from these activities totaled $336.1 million in fiscal year 2010 ($345.4 million in fiscal year 2009), a $9.3 million decrease from fiscal year 2009 ($2.8 decrease from fiscal year 2008).

Cash flows provided from capital financing activities was $8.2 million in fiscal year 2010 and $88.9 million in fiscal year 2009. The major difference between fiscal years 2010 and 2009 is a decrease in proceeds from bonds of $45.0 million in fiscal year 2010 ($150.0 million increase in fiscal year 2009) and an increase in the amount of purchases of property and equipment of $24.7 million ($13.1 million decrease in 2009).

Net cash used in investing activities was $16.0 million in fiscal year 2010 and $89.5 million in fiscal year 2009. The major difference between fiscal years 2010 and 2009 is attributed to the decrease in bond proceeds that were received in fiscal year 2010 as compared to fiscal year 2009, which were invested in the deposit with bond trustee.

Total cash and cash equivalents increased $25.3 million and $22.4 million in fiscal years 2010 and 2009, respectively, as a result of these activities. The following bar graph shows the cash flows from and used by major categories and as described in the preceding paragraphs:



FINANCIAL STATEMENTS

UNIVERSITY OF CONNECTICUT
STATEMENTS OF NET ASSETS
As of June 30, 2010 and 2009

	2010	2009 (Restated)
ASSETS		
Current Assets		
Cash and cash equivalents	$ 265,554,579	$ 240,211,599
Accounts receivable, net	30,257,906	28,359,703
Student loans receivable, net	2,268,868	2,573,325
Due from State of Connecticut	44,849,519	46,244,528
Due from related agencies	157,687	59,465
State debt service commitment	87,665,731	79,923,083
Inventories	3,343,263	3,078,130
Deposit with bond trustee	146,323,290	128,909,965
Deferred charges	957,455	1,014,731
Prepaid expenses	3,259,106	2,556,415
Total Current Assets	584,637,404	532,930,944
Noncurrent Assets		
Cash and cash equivalents	1,472,925	1,471,795
Investments	9,799,182	9,497,273
Student loans receivable, net	9,986,153	9,547,902
State debt service commitment	804,310,000	780,167,441
Property and equipment, net	1,397,529,232	1,412,580,658
Deferred charges	7,958,572	8,500,782
Total Noncurrent Assets	2,231,056,064	2,221,765,851
Total Assets	$ 2,815,693,468	$ 2,754,696,795
LIABILITIES		
Current Liabilities		
Accounts payable	$ 24,197,806	$ 21,091,031
Deferred income	27,189,085	19,411,476
Wages payable	50,118,035	52,718,457
Compensated absences	20,473,464	17,363,619
Due to State of Connecticut	17,795,768	19,441,793
Due to affiliate (see Note 5)	30,817,478	35,488,325
Current portion of long-term debt and bonds payable	84,486,321	75,053,811
Other current liabilities	35,084,685	34,077,858
Total Current Liabilities	290,162,642	274,646,370
Noncurrent Liabilities		
Compensated absences	10,713,625	9,087,379
Deposits held for others	2,419,847	3,221,648
Long-term debt and bonds payable	1,058,650,212	1,039,045,777
Refundable for federal loan program	9,419,941	9,450,638
Total Noncurrent Liabilities	1,081,203,625	1,060,805,442
Total Liabilities	$ 1,371,366,267	$ 1,335,451,812
NET ASSETS		
Invested in capital assets, net of related debt	$ 1,131,885,140	$ 1,143,425,785
Restricted nonexpendable	11,122,259	10,819,220
Restricted expendable		
Research, instruction, scholarships and other	15,748,406	15,146,605
Loans	3,944,573	3,758,595
Capital projects	110,838,274	88,449,046
Debt service	7,981,547	10,397,121
Unrestricted (see Note 15)	162,807,002	147,248,611
Total Net Assets	$ 1,444,327,201	$ 1,419,244,983

The accompanying notes are an integral part of these financial statements.

UNIVERSITY OF CONNECTICUT
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET ASSETS
For the Years Ended June 30, 2010 and 2009

	2010	2009 (Restated)
OPERATING REVENUES		
Student tuition and fees (Net of scholarship allowances of $95,347,872 for 2010 and $81,473,702 for 2009. See Note 1.)	$ 223,765,739	$ 215,641,536
Federal grants and contracts	110,021,873	92,375,974
State and local grants and contracts	26,086,262	27,853,272
Nongovernmental grants and contracts	11,075,416	12,347,917
Sales and services of educational departments	15,203,884	17,216,404
Sales and services of auxiliary enterprises (Net of scholarship allowances of $2,990,651 for 2010 and $2,947,782 for 2009. See Note 1.)	161,779,750	149,500,934
Other sources	10,854,684	10,681,689
Total Operating Revenues	558,787,608	525,617,726
OPERATING EXPENSES		
Educational and general		
Instruction	271,938,477	284,036,407
Research	72,285,788	64,028,438
Public service	35,623,219	36,997,632
Academic support	90,592,861	87,046,815
Student services	37,063,394	36,711,365
Institutional support	83,175,410	83,154,603
Operations and maintenance of plant	66,742,254	71,432,217
Depreciation and amortization	90,038,785	90,036,966
Student aid	4,637,480	3,917,207
Auxiliary enterprises	145,413,740	144,375,731
Other operating expenses	24,508,359	30,579,207
Total Operating Expenses	922,019,767	932,316,588
Operating Loss	(363,232,159)	(406,698,862)
NONOPERATING REVENUES (EXPENSES)		
State appropriation	325,461,758	327,751,422
State debt service commitment for interest	38,557,064	37,843,218
Transfer of reserves to State General Fund	(8,000,000)	-
Gifts	18,080,658	21,805,530
Investment income	1,313,379	4,267,674
Interest expense	(48,557,957)	(48,915,717)
Other nonoperating expenses, net	(1,956,883)	(4,247,111)
Net Nonoperating Revenues	324,898,019	338,505,016
Loss Before Other Changes in Net Assets	(38,334,140)	(68,193,846)
OTHER CHANGES IN NET ASSETS		
State debt service commitment for principal	61,714,293	104,910,000
Capital grants and gifts	2,396,433	3,813,671
Disposal of property and equipment, net	(727,240)	(438,433)
Additions to permanent endowments	32,872	19,703
Net Other Changes in Net Assets	63,416,358	108,304,941
Increase in Net Assets	25,082,218	40,111,095
NET ASSETS		
Net Assets-beginning of year, adjusted (see Note 16)	1,419,244,983	1,379,133,888
Net Assets-end of year	$ 1,444,327,201	$ 1,419,244,983

The accompanying notes are an integral part of these financial statements.

UNIVERSITY OF CONNECTICUT
STATEMENTS OF CASH FLOWS
For the Years Ended June 30, 2010 and 2009

	2010	2009 (Restated)
CASH FLOWS FROM OPERATING ACTIVITIES		
Student tuition and fees	$ 222,804,432	$ 211,124,206
Grants and contracts	146,815,832	131,954,380
Sales and services of auxiliary enterprises	163,182,468	148,826,102
Sales and services of educational departments	16,005,197	16,841,653
Payments to suppliers and others	(264,167,037)	(245,040,480)
Payments to employees	(442,591,404)	(450,102,952)
Payments for benefits	(155,494,380)	(149,393,011)
Loans issued to students	(1,918,289)	(1,756,703)
Collection of loans to students	1,784,495	1,539,729
Other receipts, net	10,605,579	13,613,254
Net Cash Used in Operating Activities	(302,973,107)	(322,393,822)
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES		
State appropriation	326,640,604	322,996,059
Transfer of reserves to State General Fund	(8,000,000)	-
Gifts	17,665,607	22,989,941
Other nonoperating expenses, net	(196,073)	(535,366)
Net Cash Provided from Noncapital Financing Activities	336,110,138	345,450,634
CASH FLOWS FROM CAPITAL FINANCING ACTIVITIES		
Proceeds from bonds	105,000,000	150,000,000
State debt service commitment	103,996,856	100,743,059
Purchases of property and equipment	(75,090,499)	(50,403,569)
Proceeds from sale of property and equipment	-	396,048
Principal paid on debt and bonds payable	(75,759,480)	(71,859,929)
Interest paid on debt and bonds payable	(51,158,957)	(49,733,299)
Capital appropriations	607,910	7,558,121
Capital grants and gifts	594,760	2,182,405
Net Cash Provided from Capital Financing Activities	8,190,590	88,882,836
CASH FLOWS FROM INVESTING ACTIVITIES		
Purchase of investments, net	(52,151)	(36,942)
Interest on investments	1,481,965	5,164,818
Deposit with bond trustee	(17,413,325)	(94,626,298)
Net Cash Used in Investing Activities	(15,983,511)	(89,498,422)
INCREASE IN CASH AND CASH EQUIVALENTS	25,344,110	22,441,226
BEGINNING CASH AND CASH EQUIVALENTS	241,683,394	219,242,168
ENDING CASH AND CASH EQUIVALENTS	$ 267,027,504	$ 241,683,394
ACCOMPANYING SCHEDULE OF NON-CASH TRANSACTIONS		
Obligations under capital leases	$ -	$ 322,112

The accompanying notes are an integral part of these financial statements.

UNIVERSITY OF CONNECTICUT
STATEMENTS OF CASH FLOWS (Continued)
For the Years Ended June 30, 2010 and 2009

	2010	2009 (Restated)
RECONCILIATION OF OPERATING LOSS TO NET CASH USED IN OPERATING ACTIVITIES		
Operating Loss	$ (363,232,159)	$ (406,698,862)
Adjustments to Reconcile Operating Loss to Net Cash Used in Operating Activities:		
Depreciation and amortization expense	90,038,785	90,036,966
Property and equipment	28,243	4,332,444
Investments	-	(100,000)
Changes in Assets and Liabilities:		
Receivables, net	(1,630,675)	349,937
Inventories	(265,132)	(296,971)
Prepaid expenses	(702,691)	2,300,601
Accounts payable, wages payable and compensated absences	3,672,304	3,298,189
Deferred income	7,777,609	(2,284,155)
Deferred charges	48,656	1,425
Deposits	(801,802)	736,836
Due from State of Connecticut	(2,037,771)	1,867,129
Due to affiliate	(37,377,210)	(18,327,996)
Due from related agencies	(111,306)	(76,858)
Other liabilities	1,753,836	2,684,467
Loans to students	(133,794)	(216,974)
Net Cash Used in Operating Activities	$ (302,973,107)	$ (322,393,822)

The accompanying notes are an integral part of these financial statements.

UNIVERSITY OF CONNECTICUT
COMPONENT UNIT
THE UNIVERSITY OF CONNECTICUT LAW SCHOOL FOUNDATION, INC.
STATEMENTS OF FINANCIAL POSITION
As of June 30, 2010 and 2009

ASSETS	2010	2009
Current Assets		
Cash and cash equivalents	$ 966,227	$ 769,736
Pledges receivable, net of allowance	544,887	479,045
Other receivable	61,237	75,230
Prepaid expenses	32,251	20,122
Total Current Assets	1,604,602	1,344,133
Noncurrent Assets		
Pledges receivable, net of allowance	29,159	75,027
Investments	12,991,647	12,589,103
Property and equipment, net of accumulated depreciation of $109,064 for 2010 and $97,856 for 2009	20,703	26,412
Total Noncurrent Assets	$ 13,041,509	$ 12,690,542
Total Assets	$ 14,646,111	$ 14,034,675
LIABILITIES AND NET ASSETS		
Current Liabilities		
Accounts payable	$ 10,248	$ 2,403
NET ASSETS		
Unrestricted	1,151,735	1,157,947
Temporarily restricted	1,458,878	1,141,320
Permanently restricted	12,025,250	11,733,005
Total Net Assets	14,635,863	14,032,272
Total Liabilities and Net Assets	$ 14,646,111	$ 14,034,675

STATEMENTS OF ACTIVITIES
For the Years Ended June 30, 2010 and 2009

	Unrestricted	Temporarily Restricted	Permanently Restricted	2010 Total	2009 Total
REVENUES AND SUPPORT					
Contributions and grants	$ 452,380	$ 202,035	$ 292,245	$ 946,660	$ 985,155
Interest and dividends	25,039	391,696	-	416,735	408,303
Net realized and unrealized gains (losses)	(22,643)	799,552	-	776,909	(2,634,222)
Net assets released from restrictions	1,075,725	(1,075,725)	-	-	-
Total Revenues and Support	1,530,501	317,558	292,245	2,140,304	(1,240,764)
EXPENSES					
Program Expenses					
Scholarships and awards	186,750	-	-	186,750	197,150
Student support and faculty support	644,740	-	-	644,740	476,622
Alumni and graduate relations	179,746	-	-	179,746	121,905
Total Program Expenses	1,011,236			1,011,236	795,677
Support Expenses					
Management and general	423,298	-	-	423,298	379,925
Fundraising	102,179	-	-	102,179	87,608
Total Support Expenses	525,477	-	-	525,477	467,533
Total Expenses	1,536,713	-	-	1,536,713	1,263,210
Changes in Net Assets	(6,212)	317,558	292,245	603,591	(2,503,974)
Net Assets-beginning of year	1,157,947	1,141,320	11,733,005	14,032,272	16,536,246
Net Assets-end of year	$ 1,151,735	$ 1,458,878	$ 12,025,250	$ 14,635,863	$ 14,032,272

The accompanying notes are an integral part of these financial statements.

NOTES TO FINANCIAL STATEMENTS

Notes to Financial Statements
For the Years Ended June 30, 2010 and 2009

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Related Entities

The University of Connecticut is a comprehensive institution of higher education, which includes the University of Connecticut Health Center (Health Center). Although governed by a single Board of Trustees, the University of Connecticut and its Health Center maintain separate budgets and are by statute separate entities for purposes of maintaining operating funds and appropriations from the State of Connecticut (State). The Health Center also has a Board of Directors to whom the Board of Trustees has delegated certain responsibility and authority. This financial report for the fiscal years ended June 30, 2010 and 2009 represents the transactions and balances of the University of Connecticut (University), here defined as all programs except the Health Center.

Two related, but independent, corporate entities support the mission of the University: The University of Connecticut Foundation, Inc. (Foundation) (see Note 12) and The University of Connecticut Law School Foundation, Inc. (Law School Foundation). These Foundations raise funds to promote, encourage, and assist education and research at the University and the Health Center.

Governmental Accounting Standards Board (GASB) Statement No. 14, *The Financial Reporting Entity*, as amended by Statement No. 39, *Determining Whether Certain Organizations Are Component Units*, requires that legally separate and tax exempt entities be presented as component units of the reporting entity if they meet all of the following criteria: the economic resources of the organization are entirely or almost entirely for the direct benefit of the reporting unit; the reporting unit is entitled to access all or a majority of the economic resources received or held by the organization; and the economic resources received or held by the organization are significant to the reporting unit. As a result, the Law School Foundation, which is organized for the benefit of the University and whose economic resources can only be used by or for the benefit of the University, is included as a component unit of the University.

The Foundation materially supports the mission of the University and the Health Center, which are separately audited, producing their own financial statements. Displaying the Foundation's financial statements as a component unit of either the University or the Health Center would distort its actual contribution or economic benefit to that entity, and therefore, the Foundation is not included as a component unit in the accompanying financial statements.

Financial Statement Presentation

The financial statements have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America, as prescribed by the GASB. The University has the option to apply Financial Accounting Standards Board (FASB) pronouncements issued after November 30, 1989, unless the FASB conflicts with GASB. The University has elected to not apply FASB pronouncements issued after the applicable date.

Effective July 1, 2001, the University adopted GASB Statement No. 35, *Basic Financial Statements - and Management's Discussion and Analysis - for Public Colleges and Universities*, as amended by GASB Statement Nos. 37 and 38. GASB Statement No. 35 establishes standards for financial reporting for public colleges and universities. These reporting standards focus on the University as a whole rather than on accountability by individual fund groups and provide accounting and financial reporting guidelines, enhancing the usefulness and comprehension of financial reports by external users. To that end, GASB requires that resources be classified for accounting and reporting purposes into the following net asset categories:

- **Invested in capital assets, net of related debt:** Capital assets, net of accumulated depreciation and amortization, and reduced by outstanding principal balances of bonds (net of State debt service commitment) and notes that are attributable to the acquisition, construction, or improvement of those assets.

- **Restricted nonexpendable:** Represents endowment and similar type assets in which donors or outside sources have stipulated, as a condition of the gift instrument, that the principal is to be maintained inviolate and in perpetuity and invested for the purpose of producing present and future income, which may be expended or reinvested in principal.

- **Restricted expendable:** Net assets that are expendable but where the University is legally or contractually obligated to spend the resources in accordance with restrictions imposed by external third parties.

- **Unrestricted:** Consists of net assets that do not meet the definition of "restricted" or "invested in capital assets, net of related debt." These assets are not subject to externally imposed stipulations. These assets, while not restricted, are generally designated to support instruction, research, auxiliary enterprises, capital projects, and retirement of indebtedness (see Note 15).

The University follows the "business-type activities" (BTA) requirements of GASB Statement No. 35. BTAs are defined as those that are financed in whole or in part by fees charged to external parties for goods or services. In accordance with BTA reporting, the University presents Management's Discussion and Analysis; a Statement of Net Assets; a Statement of Revenues, Expenses, and Changes in Net Assets; a Statement of Cash Flows; and Notes to the Financial Statements. All significant intra-agency transactions have been eliminated.

Expenses are charged to either restricted or unrestricted net assets based on a variety of factors, including consideration of prior or future revenue sources, the type of expense incurred, the University's budgetary policies surrounding the various revenue sources or whether the expense is a recurring cost.

GASB Statement No. 45, *Accounting and Reporting by Employers for Postemployment Benefits Other Than Pensions*, was adopted by most universities as of July 1, 2007. The State funds the postretirement benefits of University employees and, therefore, no liability is recorded in the University's financial statements (see Note 8).

For reporting periods beginning after June 15, 2005, GASB Statement No. 47, *Accounting for Termination Benefits*, is required for universities. This statement requires employers to recognize a liability and expense for voluntary termination benefits when the termination offer is accepted and the amount of the benefits can be estimated. Any pension liability related to early retirement is the State's responsibility and therefore none is recorded by the University (see Note 6). However, an accrual for compensated absences is recorded as of June 30, 2010 in the Statements of Net Assets that includes a component that is related to a retirement incentive plan (see Note 7).

Effective for reporting periods beginning after December 15, 2006, GASB Statement No. 48, *Sales and Pledges of Receivables and Future Revenues and Intra-Entity Transfers of Assets and Future Revenues,* requires the University to disclose in the notes to the financial statements additional information about pledged revenues (see Note 5).

The University adopted GASB Statement No. 49, *Accounting and Financial Reporting for Pollution Remediation Obligations* as of July 1, 2007. This statement requires that outlays for pollution remediation obligations should be accrued as a liability and expensed if reasonably estimable, and disclosed in the notes to the financial statements (see Note 4).

GASB Statement No. 50, *Pension Disclosures,* was adopted by most universities as of July 1, 2007. This statement expands the footnote disclosures required for pension obligations in GASB Statement No. 27, *Accounting for Pensions by State and Local Governmental Employers*. The State is responsible for and separately funds the pension benefits of University employees. Therefore, no liability is recorded in the University's financial statements (see Note 6).

GASB Statement No. 51, *Accounting and Financial Reporting for Intangible Assets*, requires that certain intangible assets be classified as capital assets. The University had previously capitalized costs related to internally generated software according to the provisions of this statement. However, the Statement of Net Assets as of June 30, 2009 and the Statement of Revenues, Expenses, and Changes in Net Assets for the year ended June 30, 2009 have been restated in order to retroactively apply the provisions of this statement to also include purchased software which was previously expensed (see Note 16).

Certain reclassifications were made to the Statement of Cash Flows for the year ended June 30, 2009 to reflect changes in the classification of operating activities. These changes have no effect on net assets and ending cash balance for the year ended June 30, 2009.

In order to ensure observance of limitations and restrictions placed on the use of the resources available to the University, the accounts of the University are maintained internally following the principles of "fund accounting." This is the procedure by which resources for various purposes are classified for accounting and reporting purposes into funds that are in accordance with specified activities or objectives.

Cash Equivalents (see Note 2)
For the purposes of the Statements of Cash Flows, the University considers all highly liquid investments with an original maturity of three months or less to be cash equivalents. Funds invested in the State of Connecticut Treasurer's Short Term Investment Fund are considered cash equivalents.

Investments (see Note 2)
The University accounts for its investments at fair value in accordance with GASB Statement No. 3, *Deposits with Financial Institutions, Investments (including Repurchase Agreements), and Reverse Repurchase Agreements* and GASB Statement No. 40, *Deposit and Investment Risk Disclosures*, an amendment of GASB Statement No. 3. Changes in the unrealized gain (loss) on the carrying value are recorded in Nonoperating Revenues (Expenses) in the accompanying Statements of Revenues, Expenses, and Changes in Net Assets. Noncurrent investments are externally restricted by donors or outside sources that have stipulated as a condition of the gift instrument that the principal be maintained inviolate and in perpetuity. Noncurrent investments also include those amounts restricted by creditors for certain debt service payments (see Note 5).

Accounts and Student Loans Receivable (see Note 3)
Accounts receivable consist of tuition, fees, auxiliary enterprises service fees charged to students, faculty, staff and others, and amounts due from state and federal governments for grants and contracts. Student loans receivable consist primarily of amounts due from students under the Federal Perkins Loan Program, which are subject to significant restrictions. The student loans receivable are classified as current and noncurrent based on the amount estimated to be collected from students in one year and beyond one year. Accounts and student loans receivable are recorded net of an estimated allowance for doubtful accounts.

Inventories
Consumable supplies are expensed when received with the exception of certain central inventories. Inventory is valued at cost as determined by various methods, including the first-in, first-out method.

Deposit with Bond Trustee (see Note 5)
Tax-exempt bond proceeds are deposited to various accounts held by the Trustee Bank as required by certain trust indentures. The funds are invested and disbursed as directed by the University. The University's bond proceeds investment policy is to balance an appropriate risk-return level, heavily weighted towards safety of assets, as defined and permitted under the relative indentures and Connecticut General Statutes.

The University directs the Trustee Bank to invest UCONN 2000 General Obligation construction fund proceeds in the State Treasurer's Short Term Investment Fund. Similarly, the University has directed the Trustee Bank to invest the debt service funds and cost of issuance for the special obligation bonds in dedicated Short Term Investment Fund accounts.

Investment earnings from UCONN 2000 General Obligation bond proceeds are retained by the State Treasurer's Office and do not flow to the University or to the Trustee Bank. The Student Fee Revenue Bonds investment earnings are part of the Pledged Revenues and are directly retained by the Trustee Bank to pay debt service on the bonds or for other indenture permitted purposes. The earnings on the UCONN 2000 General Obligation Debt Service Commitment Refunding Bonds and the Special Obligation Student Fee Revenue Refunding Redemption Fund escrows form part of the irrevocable escrows and are used by the Trustee Bank to meet the debt service payments on the defeased bonds until called.

Deferred Charges – Current and Noncurrent (see Note 10)
Deferred charges consist of payments made in advance of revenues being earned. Deferred charges also represent the cost of issuance which will be amortized over the terms of the respective bond issues.

Noncurrent Cash and Cash Equivalents (see Note 2)
Noncurrent cash and cash equivalents are related to endowment assets and are externally restricted as to use.

Property and Equipment (see Note 4)
Property and equipment are reported at cost at date of acquisition or fair value at date of donation as in the case of gifts. Property and equipment that are exchanged for other assets are recorded based on the fair value of the asset given up or the fair value of the asset received, whichever value is most clearly evident. Renovations that significantly increase the value or useful life of an asset are capitalized. Routine repairs and maintenance, and certain library materials, are charged to operating expense in the year the expenditure was incurred. Building components and non-structural improvements have estimated useful lives of 2 years to 60 years. Equipment has estimated useful lives of 3 years to 30 years.

Deferred Income (see Note 10)
Deferred income includes amounts received for services rendered in a future accounting period including tuition and fee revenues and event ticket sales. It also includes amounts received for certain restricted research grants that are included in revenue when the funds are expended.

Compensated Absences (see Note 7)
Employee vacation, holiday, compensatory, and sick leave is accrued at year-end for financial statement purposes. The liability and expense incurred are recorded at year-end as compensated absences in the Statements of Net Assets and in the various expense functions on the Statements of Revenues, Expenses, and Changes in Net Assets. The liability for compensated absences is also classified as current and noncurrent based on the amount estimated to be paid to employees in one year and beyond one year.

Noncurrent Liabilities
Noncurrent liabilities include the long-term portion of compensated absences, deposits held for others that are included in the assets of the University, principal payments due on bonds (net of unamortized premiums and discounts), loans and capital leases with a maturity of more than one year, and governmental advances for revolving loan programs that would be returned to the federal government upon cessation of the student loan program.

Revenues and Expenses
Operating revenues consist of tuition and fees, state and federal grants and contracts, sales and services of educational activities, auxiliary enterprises revenue and other sources of revenue. GASB Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions*, requires recipients of government-mandated and voluntary nonexchange transactions to recognize revenue when all applicable eligibility requirements are met for these transactions. Restricted grant revenue that does not meet the nonexchange transaction definition is recognized to the extent expended or in the case of fixed price contracts, when the contract terms are met or completed.

Operating expenses, except for depreciation and amortization and other operating expenses, are reported using functional classification, including those under educational and general and auxiliary enterprises. See Note 14 for operating expenses by object. All other revenues and expenses of the University are reported as nonoperating revenues and expenses including State appropriation and debt service commitment, noncapital gifts, investment income, and interest expense, and other changes in net assets. Revenues are recognized when earned and expenses are recognized when incurred.

GASB Statement No. 35 requires that revenues be reported net of discounts and scholarship allowances. Student aid for scholarships and fellowships, recorded in the Statements of Revenues, Expenses and Changes in Net Assets, includes payments made directly to students. Any aid applied directly to the students' accounts in payment of tuition and fees, housing charges and dining services is reflected as a scholarship allowance and deducted from the University's revenues. Certain governmental grants, such as Pell grants, and other federal, state or nongovernmental programs, are recorded as operating revenues in the University's financial statements. To the extent that revenues from such programs are used to satisfy tuition and fees and other student charges, the University has recorded a scholarship allowance.

Component Unit
The Law School Foundation prepares its financial statements on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America. Net assets, revenues and expenses are classified based on the terms of donor-imposed restrictions, if any. Accordingly, the Law School Foundation's net assets and changes therein are classified and reported as follows:

- **Unrestricted Net Assets:** Net assets that are not subject to donor-imposed restrictions.
- **Temporarily Restricted Net Assets:** Net assets subject to donor-imposed stipulations that may or will be met, either by actions of the Law School Foundation and/or passage of time. When the restriction expires, temporarily restricted net assets are reclassified to unrestricted net assets.
- **Permanently Restricted Net Assets:** Net assets subject to donor-imposed stipulations that they be maintained permanently by the Law School Foundation. Generally, the donors of these assets permit the Foundation to use all or part of the income earned on related investments for general or specific purposes.

Contributions, including unconditional promises to give, are recognized as revenue in the period received. Conditional promises to give are not recognized as revenue until the conditions on which they depend are substantially met. Investments are reported at fair value based upon quoted market prices. Certain amounts reported in 2009 have been reclassified in order to conform to the current year presentations.

2. CASH AND CASH EQUIVALENTS AND INVESTMENTS

GASB Statement No. 40 requires governmental entities to disclose credit risk associated with cash deposits and investment balances, and investment policies applied to mitigate such risks, especially as they relate to uninsured and unregistered investments for which the securities are held by the broker or dealer, or by its trust department or agent, but not in the University's name.

The University's total cash and cash equivalents balance was $267,027,504 and $241,683,394 as of June 30, 2010 and 2009, respectively, and included the following:

	2010	2009
Cash maintained by State of Connecticut Treasurer	$ 243,342,403	$ 218,195,602
Invested in State of Connecticut Investment Pool	16,837,019	18,730,752
Invested in State of Connecticut Investment Pool - Endowments	1,472,925	1,471,795
Invested in Short-term Corporate Notes	4,998,896	2,772,576
Deposits with Financial Institutions and Other	376,261	512,669
Total cash and cash equivalents	267,027,504	241,683,394
Less: current balance	265,554,579	240,211,599
Total noncurrent balance	$ 1,472,925	$ 1,471,795

Collateralized deposits are protected by Connecticut statute. Under this statute, any bank holding public deposits must at all times maintain, segregated from its other assets, eligible collateral in an amount equal to at least a certain percentage of its public deposits. The applicable percentage is determined based on the bank's risk-based capital ratio – a measure of the bank's financial condition. The collateral is kept in the custody of the trust department of either the pledging bank or another bank in the name of the pledging bank. Portions of the bank balance of the State are insured by the Federal Deposit Insurance Corporation or collateralized. As a State agency, the University benefits from this protection, though the extent to which the deposits of an individual State agency such as the University are protected cannot be readily determined.

The University's cash management investment policy permits the University to invest in the State Treasurer's Short Term Investment Fund, United States Treasury bills, United States Treasury notes and bonds, United States Government Agency obligations, banker's acceptances, certificates of deposit (including EURO Dollars), commercial paper, money market funds, repurchase agreements, and savings accounts. The $16,837,019 and $1,472,925 invested in the State of Connecticut Investment Pool is invested by the State Treasurer in its Short-term Investment Fund and had a Standard and Poor's rating of AAAm during fiscal year 2010. The $4,998,896 invested in Short-term Corporate Notes includes repurchase agreements held with a financial institution and is collateralized by the Federal National Mortgage Association with an AAA Standard and Poor's rating.

The University designated the Foundation as the manager of the University's endowment funds. Gifts that are internally designated as endowments, and externally designated endowment gifts that are to be processed for transfer to the Foundation, are included in cash and cash equivalents (see table above for total amounts). The Foundation makes spending allocation distributions to the University for each participating endowment. The distribution is spent by the University in accordance with the respective purposes of the endowments, the policies and procedures of the University and State statutes, as well as in accordance with the Foundation's endowment spending policy described below.

The endowment spending policy adopted by the Foundation's Board of Directors, in conjunction with the strategic asset allocation policy for the long-term pooled investment portfolio, is designed to provide reliable growth in annual spending allocation levels and to preserve or increase the real value of the endowment principal over time. To meet these objectives, the Foundation utilizes a total return investment approach, with total return consisting of interest and dividends as well as realized and unrealized gains and losses.

Prior to Connecticut's adoption of the Uniform Prudent Management of Institutional Funds Act (UPMIFA), the Foundation's endowment spending allocation policy adhered to the predecessor Uniform Management of Institutional Funds Act (UMIFA) which restricted spending from an endowment fund if its fair value had fallen below its historic dollar value. UPMIFA considers prudence, maintaining an endowment fund in perpetuity and eliminates the historic dollar value concept. Therefore, spending can occur from an endowment fund whose fair value is below its historic value as long as the governing body has determined that its policies will continue the perpetual nature of the endowment over time. The Foundation amended its endowment spending allocation policy in February 2009 in recognition of the change in approach to spending under UPMIFA. Calculations are performed for individual endowment funds at a rate of 4.25% of the rolling 12 quarter average market value on a unitized basis on March 31st each year for the following fiscal year beginning July 1st. The corresponding calculated spending allocations are distributed in equal quarterly installments on the first day of each quarter from the accumulated net total investment return for individual endowment funds where available, otherwise from principal.

An administrative fee is assessed to fund expenses incurred in meeting the Foundation's fiduciary and fundraising responsibilities to donors and the University. This on-going administrative fee is also assessed based on a rolling 12 quarter unitized market value calculated on March 31st for the following fiscal year beginning July 1st at a rate of 1.25% to cover the estimated cost of meeting the fiduciary responsibilities associated with each endowment. The calculated fee is charged in equal quarterly installments on the first day of each quarter from the accumulated net total investment return for individual endowment funds where available, otherwise from principal.

The endowment spending allocation and administrative fee taken together cannot exceed 6.5% or fall below 3.0% of the fair value of endowment funds at March 31st. Should this occur, the calculated amounts will be decreased or increased, respectively, on a pro rata basis.

Over the long term, the Foundation expects the current spending allocation and administrative fee policies to allow endowments to grow an average of 3% annually. This is consistent with the organization's objective of providing resources for the underlying purposes of endowment assets over the life of the endowments whether in perpetuity or for a specified term, as well as to provide additional growth through new gifts and investment return.

The cost and fair value of the University's investments including those managed by the Foundation at June 30, 2010 and 2009 are:

	2010		2009	
	Cost	Fair Value	Cost	Fair Value
Endowments:				
Foundation Managed	$ 9,478,224	$ 9,649,334	$ 9,426,073	$ 9,347,425
Other:				
Campus Associates Limited Partnership Interest	149,848	149,848	149,848	149,848
Total Investments	$ 9,628,072	$ 9,799,182	$ 9,575,921	$ 9,497,273

University endowment investments are managed by the Foundation in its pooled portfolio, which is actively managed by professional investment managers as determined by the Investment Committee of the Foundation's Board of Directors. The Foundation has established asset allocation guidelines for its pooled investment portfolio, which provides that the maximum exposure with any one manager would be 20% for liquid assets and 5% for illiquid assets. The Foundation Board of Directors also established an asset allocation policy for the long-term pooled investment portfolio (see following table). The Foundation expects that portfolios will be invested in only the strategies described in the table, not above or below the individual strategy percentage and its total percentage by objective, unless otherwise specified by its Board of Directors.

Investment Objective/Strategies	Allocation Range as Percentage of Market Value
Growth	
High yield fixed income	0% - 10%
Global equities – high beta	20% - 60%
Private capital	0% - 20%
Long/short equities	0% - 15%
Global macro strategies	0% - 10%
Event driven strategies (ex diversified)	0% - 10%
Real estate (public & private)	0% - 10%
Other opportunistic	0% - 10%
Total Growth	40% - 85%
Inflation Hedge	
TIPS	0% - 10%
Natural resources/commodities	0% - 15%
Other inflation hedging strategies	0% - 10%
Total Inflation Hedge	5% - 25%
Risk Minimizing	
Investment grade fixed income	0% - 20%
Relative value/Event driven (diversified)	0% - 15%
Cash equivalents	0% - 10%
Other low volatility strategies	0% - 10%
Total Risk Minimizing	5% - 40%

The endowments invested with the Foundation are subject to risk due to the uncollateralized nature of most of its investments. Certain investments of the Foundation include external investment pools. The bond mutual funds had average credit quality of Aa1/AA (Moody's and Standard and Poor's) and pooled investments of high yield fixed income had an average credit quality of B1/B+ (Moody's and Standard and Poor's). A portion of the University's endowment pool is also invested with WCM Investment Management (WCM) in a separate account with U.S. Bank as custodian, and inherent in such investments is custodial credit risk. These investments are all publicly traded U.S. equities and money market accounts and are uncollateralized. The value of the equities at June 30, 2010 and 2009 was $112,262 and $149,147, respectively. The money market balance held in the account available for WCM to use for purchases was $3,573 at June 30, 2010 and $2,397 at June 30, 2009. The University's endowment invested by the Foundation also has investments in foreign publicly traded equities totaling $1,310,717 and $861,556 and there are amounts included in private capital investments totaling approximately $1,425,167 and $1,194,641 at June 30, 2010 and 2009, respectively.

Certain other funds are held by outside fiscal agents and are not under the direct control of the University. Accordingly, the assets of these funds are not included in the financial statements. The fair value of these funds was $10,918,043 and $10,260,341 as of June 30, 2010 and 2009, respectively. Investment income earned on these assets is transferred to the University in accordance with applicable trust agreements. Income received from those sources for the years ended June 30, 2010 and 2009 was $427,289 and $467,853, respectively.

3. ACCOUNTS AND STUDENT LOANS RECEIVABLE

Accounts receivable at June 30, 2010 and 2009 consisted of the following:

	2010	2009
Grants and contracts	$ 19,651,813	$ 16,864,814
Student and general	14,884,083	15,701,380
Investment income	155,803	311,304
Allowance for doubtful accounts	(4,433,793)	(4,517,795)
Total accounts receivable, net	$ 30,257,906	$ 28,359,703

Student loans receivable are substantially comprised of amounts owed from students under the Federal Perkins Loan Program and are reported separately from accounts receivable on the Statement of Net Assets, net of an allowance for doubtful accounts of $905,244 and $857,874 at June 30, 2010 and 2009, respectively.

4. PROPERTY AND EQUIPMENT

Land, buildings, non-structural improvements, and equipment are reported at cost at date of acquisition or fair value at date of donation as in the case of gifts. Property and equipment that are exchanged for other assets are recorded based on the fair value of the asset given up or the fair value of the asset received, whichever value is most clearly evident. Any gains or losses on the exchange are recognized immediately.

Depreciation and amortization are recorded on a straight-line basis over the estimated useful lives of the respective assets. Building components and non-structural improvements have estimated useful lives of 2 years to 60 years. Equipment has estimated useful lives of 3 years to 30 years. Library materials have an estimated useful life of 15 years. The value of library materials, before depreciation and amortization, is $78,510,571 and $77,947,457 at June 30, 2010 and 2009, respectively. Historical collections and art are recognized at their estimated fair values at the time of donation, and are not depreciated. Historical collections and art totaled $52,474,777 and $50,815,253 at June 30, 2010 and 2009, respectively. Capitalized software has an estimated life of 3 years to 5 years. The value of capitalized software, before depreciation and amortization, is $15,124,028 and $25,028,075 at June 30, 2010 and 2009, respectively. Library materials, historical collections and art, and capitalized software are all included in equipment in the schedule of Changes in Property and Equipment.

For the years ended June 30, 2010 and 2009, a total of $3,316,346 and $16,472,807, respectively, was expensed in the accompanying Statements of Revenues, Expenses, and Changes in Net Assets in other operating expenses for a project to correct structural deficiencies related to the construction of the Law School Library building. These expenditures will not increase the value of the building or extend its useful life. While the University intends to pursue remedies from the original construction and design professionals involved in the original construction of the building, the total amount that may be recovered is unknown as of the date of these financial statements.

In the accompanying Statements of Net Assets, an accrual for estimated expenditures totaling $340,182 and $499,541 at June 30, 2010 and 2009, respectively, is recorded in other current liabilities to complete a project to close and remediate an existing landfill. The project involves capping and diversion of water from its vicinity, and expenditures primarily include professional fees, preparation for capping, and contouring of surrounding land. The total project expenditures of $28,123,049 have been expensed in other operating expenses from fiscal year ending June 30, 2004 through fiscal year ending June 30, 2009.

For the year ended June 30, 2010, a total of $312,584 was expensed in the accompanying Statements of Revenues, Expenses, and Changes in Net Assets in other operating expenses for estimated outlays to remove contaminated soil from the old Waterbury campus according to the provisions of GASB Statement No. 49. At June 30, 2010 and 2009, an accrual for estimated costs to complete the remediation totaling $570,424 and $624,892, respectively, is recorded in other current liabilities in the Statement of Net Assets.

For the years ended June 30, 2010 and 2009, a total of $6,686,694 and $8,652,156, respectively, was expensed in the accompanying Statements of Revenues, Expenses, and Changes in Net Assets in other operating expenses for inspections, fire and safety code updates and other corrective action needed in order to achieve safety goals for all buildings. At June 30, 2010 and 2009, an accrual for estimated expenditures to complete these projects totaling $18,131,152 and $15,492,877,

respectively, is recorded in other current liabilities in the Statement of Net Assets. While the University intends to pursue the recovery of costs related to the code updates and corrective work, the total amount to be recovered is unknown as of the date of these financial statements.

For the year ended June 30, 2010, a total of $5,200,988 was expensed in other operating expenses in the accompanying Statements of Revenues, Expenses, and Changes in Net Assets for costs related to the implementation of certain software. The amount written-off represents costs accumulated that were determined to exceed the value of the implementation project to date.

In the following table, adjustments were made to the balances as of July 1, 2008, and to the changes in Property and Equipment for the year ended June 30, 2009 as a result of the retroactive application of GASB Statement No. 51 requirements to capitalize certain intangible assets (see Note 16).

The following table describes the changes in property and equipment for the years ended June 30, 2010 and 2009.

Changes in Property and Equipment for the Year Ended June 30, 2010:

	Balance July 1, 2009	Additions	Retirements	Transfers and Other	Balance June 30, 2010
Property and equipment:					
Land	$ 14,826,476	$ -	$ -	$ -	$ 14,826,476
Non-structural improvements	193,757,185	1,598,393	(412,431)	1,339,096	196,282,243
Buildings	1,590,324,316	23,302,485	-	4,990,811	1,618,617,612
Equipment	428,019,393	22,338,509	(21,622,286)	-	428,735,616
Construction in progress	23,184,870	28,475,212	-	(6,329,907)	45,330,175
Total property and equipment	2,250,112,240	75,714,599	(22,034,717)	-	2,303,792,122
Less accumulated depreciation and amortization:					
Non-structural improvements	83,910,632	7,937,673	(43,549)	-	91,804,756
Buildings	509,882,449	55,432,344	-	-	565,314,793
Equipment	243,738,501	26,668,768	(21,263,928)	-	249,143,341
Total accumulated depreciation and amortization	837,531,582	90,038,785	(21,307,477)	-	906,262,890
Property and equipment, net:					
Land	14,826,476	-	-	-	14,826,476
Non-structural improvements	109,846,553	(6,339,280)	(368,882)	1,339,096	104,477,487
Buildings	1,080,441,867	(32,129,859)	-	4,990,811	1,053,302,819
Equipment	184,280,892	(4,330,259)	(358,358)	-	179,592,275
Construction in progress	23,184,870	28,475,212	-	(6,329,907)	45,330,175
Property and equipment, net:	$ 1,412,580,658	$ (14,324,186)	$ (727,240)	$ -	$ 1,397,529,232

Changes in Property and Equipment for the Year Ended June 30, 2009 (Restated):

	Balance July 1, 2008	Additions	Retirements	Transfers and Other	Balance June 30, 2009
Property and equipment:					
Land	$ 14,826,476	$ -	$ -	$ -	$ 14,826,476
Non-structural improvements	188,051,215	4,896,762	-	809,208	193,757,185
Buildings	1,571,665,366	10,219,659	(49,437)	8,488,728	1,590,324,316
Equipment	440,980,723	19,430,871	(32,392,201)	-	428,019,393
Construction in progress	23,758,837	8,723,969	-	(9,297,936)	23,184,870
Total property and equipment	2,239,282,617	43,271,261	(32,441,638)	-	2,250,112,240
Less accumulated depreciation and amortization:					
Non-structural improvements	75,863,612	8,047,020	-	-	83,910,632
Buildings	453,206,775	56,705,976	(30,302)	-	509,882,449
Equipment	250,031,386	25,283,970	(31,576,855)	-	243,738,501
Total accumulated depreciation and amortization	779,101,773	90,036,966	(31,607,157)	-	837,531,582
Property and equipment, net:					
Land	14,826,476	-	-	-	14,826,476
Non-structural improvements	112,187,603	(3,150,258)	-	809,208	109,846,553
Buildings	1,118,458,591	(46,486,317)	(19,135)	8,488,728	1,080,441,867
Equipment	190,949,337	(5,853,099)	(815,346)	-	184,280,892
Construction in progress	23,758,837	8,723,969	-	(9,297,936)	23,184,870
Property and equipment, net:	$ 1,460,180,844	$ (46,765,705)	$ (834,481)	$ -	$ 1,412,580,658

5. LONG-TERM DEBT PAYABLE

Public Act No. 95-230 enabled the University to borrow money in its own name for a special ten year capital improvement program (UCONN 2000) designed to modernize, rehabilitate, and expand the physical plant of the University. It authorized projects for Phases I and II of UCONN 2000, estimated to cost $1,250,000,000, of which $962,000,000 was to be financed by bonds of the University; $18,000,000 was to be funded by State general obligation bonds; and the balance of $270,000,000 to be financed by gifts, other revenue, or borrowing resources of the University.

In fiscal year 2002, the General Assembly of the State of Connecticut enacted and the Governor signed into law Public Act No. 02-3, An Act Concerning 21st Century UConn (Act), also known as Phase III. This Act amended Public Act No. 95-230 and extended the UCONN 2000 financing program that was scheduled to end in 2005, for an additional 10 years to June 30, 2015. The 21st Century UConn program was amended in fiscal year 2008, extending it an additional year to June 30, 2016, without any change in the total amount. In fiscal year 2010, the Act was amended again including a $25 million reallocation from existing UCONN 2000 Health Center allocations, and a $207 million increase in UCONN 2000 debt service commitment authorizations for the UConn Health Network. This also extended the UCONN 2000 program two additional years to fiscal year 2018. The new Act, as amended, authorized additional projects for the University and the Health Center at an estimated cost of $1,555,400,000, of which $1,507,000,000 is to be financed by bonds of the University and $48,400,000 is to be financed by the issuance of special obligation bonds of the University, from gifts, other revenue or borrowing resources of the University, or through the deferring of projects or achieved savings. The project costs authorized are $512,400,000 for the Health Center and $1,043,000,000 for the University. The total estimated cost for the UCONN 2000 program, including Phases I, II and III, is $2,805,400,000.

General obligation bonds issued to finance UCONN 2000 projects as of June 30, 2010 are (see subsequent schedule on page 37 for outstanding balances):

1996 Series A	$ 83,929,715
1997 Series A	124,392,432
1998 Series A	99,520,000
1999 Series A	79,735,000
2000 Series A	130,850,000
2001 Series A	100,000,000
2002 Series A	100,000,000
2003 Series A	96,210,000
2004 Series A	97,845,000
2005 Series A	98,110,000
2006 Series A	77,145,000
2007 Series A	89,355,000
2009 Series A	144,855,000
2010 Series A	97,115,000
Total issued	$1,419,062,147

The University has also issued several series of general obligation refunding bonds, providing debt service savings for bonds refunded in advance of maturity. Sufficient proceeds were deposited into irrevocable escrow accounts held by the Trustee Bank to meet all obligations on the refunded debt (see Note 1). These bonds are general obligations of the University, for which its full faith and credit are pledged, and are payable from all assured revenues. The bonds are additionally secured by the pledge of and a lien upon the State Debt Service Commitment. The State Debt Service Commitment is the commitment by the State to pay an annual amount of debt service on securities issued as general obligations of the University. The University, consistent with the Act, is relying upon the receipt of the annual amount of the pledged State Debt Service Commitment for the payment of the bonds and, accordingly, is not planning to budget any revenues for the payment of these bonds. Under the Master Indenture, the University expects to issue additional bonds to finance UCONN 2000 projects secured by the State Debt Service Commitment.

For the 2010 and 2009 Series A bonds, the principal amounts of $97,115,000 and $144,855,000, recorded as State debt service commitment for principal, together with part of the respective original issue premium, resulted in total proceeds of $105,000,000 and $150,000,000. The proceeds included $35,610,000 and $39,945,000 to finance projects for the Health Center for fiscal years 2010 and 2009 respectively. As noted above, Phase III of UCONN 2000 includes a commitment to fund projects totaling $305,400,000 for the Health Center. As bonds are issued, the amount of the commitment for the

Health Center is reflected as an offset to the revenue for the University. In fiscal years 2010 and 2009, this offset to finance projects for the Health Center, resulted in net revenue of $61,714,293 and $104,910,000, respectively, recorded in the Other Changes in Net Assets section of the Statements of Revenues, Expenses, and Changes in Net Assets of these financial statements. The net revenue amount for the year ended June 30, 2010 also includes offsets for debt differences resulting from the 2010 Series A refunding. A corresponding liability is recorded in due to affiliate in the Statement of Net Assets for the unspent portion of the bonds due to the Health Center ($30,817,478 and $35,488,325 at June 30, 2010 and 2009, respectively). Also, for the years ended June 30, 2010 and 2009, nonoperating revenues include State debt service commitment for interest on general obligation bonds of $38,557,064 and $37,843,218, respectively. A portion of interest on general obligation bonds is associated with Health Center projects.

In addition to the 2010 Series A bonds, in May of 2010 the University issued the 2010 Refunding Series A bonds to refund portions of the previously issued Series A General Obligation Bonds in advance of maturity. The face value of the refunding bonds is $36,095,000 and these bonds have a final maturity date of February 2021. Proceeds from the sale of the bonds totaled $38,704,429 and comprised the face value plus the net premium, less the costs of issuance. The proceeds were deposited with the Escrow Agent and are held by the Trustee Bank in an irrevocable Redemption Fund escrow and invested in U.S. Treasury, State and Local Government Securities and cash in accordance with the Escrow Agreement. This will provide amounts sufficient to meet principal, interest payments, and redemption prices on the refunded bonds on the dates such payments are due. The difference between the carrying value of the defeased debt and its reacquisition price (refunding bonds) is amortized over the remaining life of the debt, and the addition of the face value of the bonds in the amount of $210,000 is reflected as revenue in fiscal year 2010 (net of the $97,115,000 revenue as noted above) on the Statement of Revenues, Expenses, and Changes in Net Assets under State debt service commitment for principal.

The following table reflects the change in debt as a result of this Series A 2010 refunding:

1999 Series A	$ 9,000,000
2001 Series A	10,970,000
2003 Series A	6,885,000
2004 Series A	9,030,000
Total defeased debt	35,885,000
Total refunding bonds	36,095,000
Increase in bonds as a result of refunding	$ 210,000

The University may also issue special obligation bonds backed by certain pledged revenues of the University. On February 4, 1998, the University issued $33,560,000 of the Student Fee Revenue Bonds 1998 Series A to fund $30,000,000 of the South Campus Project. On February 14, 2002, the University issued $75,430,000 of the Student Fee Revenue Bond 2002 Series A to fund five UCONN 2000 projects: Alumni Quadrant Renovations at $7,000,000, Shippee/Buckley Renovations at $5,000,000, East Campus North Renovations at $1,000,000, Towers Renovations (including Greek Housing) at $14,180,000, and North Campus Renovations at $45,000,000. The 1998 Series A and a portion of the 2002 Series A Bonds were refunded in advance of maturity in fiscal year 2010 with the issuance of Student Fee Revenue Bonds 2010 Refunding Series A on June 16, 2010 in the amount of $47,545,000 and have a final maturity of November 15, 2027.

The 2000 Series A bonds dated May 15, 2000 represented the second series of special obligation bonds issued in the amount of $89,570,000. Bond proceeds funded three UCONN 2000 projects: Hilltop Dormitory at $21,000,000, Hilltop Student Rental Apartments at $42,000,000 and Parking Garage South at $24,000,000. These bonds were refunded in advance of maturity in fiscal year 2002 with the issuance of Student Fee Revenue Bonds 2002 Refunding Series A on February 27, 2002 in the amount of $96,130,000 and have a final maturity of November 15, 2029.

Similar to general obligation bond refundings, the proceeds from student fee revenue bonds refundings are deposited into certain escrow accounts to meet all obligations of the refunded maturities.

The State issues certain general obligation bonds that are categorized as self-liquidating bonds. These bonds were issued to fund the construction and renovations of revenue-generating capital projects. The University reimburses the State primarily with revenue from student fee charges in the amount equal to the debt service on self-liquidating bonds.

The special obligation bonds are secured by certain pledged revenues, as defined in the indenture, including gross and net revenue amounts. The total gross and net pledged revenues from tuition and fees, auxiliary, investment and other revenues of the University are approximately $71,152,000 and $59,247,000 in fiscal years 2010 and 2009, respectively. Gross

pledged revenues include the infrastructure maintenance fee and the general university fee plus investment income on the bond accounts held by the Trustee Bank, prior to any payments, deductions, offsets, or provisions. Net pledged revenues include the residential life room fee, student apartment rentals, Greek housing fee, the board (dining) fee, and the parking and transportation fees, after providing for the cost of maintaining, repairing, insuring, and operating the facilities for which the fees are imposed. Special obligation bond investment earnings amounted to approximately $9,262 and $42,000 for the fiscal years ending June 30, 2010 and 2009, respectively. These investment earnings are part of the pledged revenues and are directly retained by the Trustee Bank to pay debt service on the special obligation bonds. In addition to securing revenue bonds, the gross and net pledged revenues available are pledged toward certain other debt. The University has covenanted to collect in each fiscal year, fees representing pledged revenues so that the sum of gross and net revenue amounts is no less than 1.25 times the debt service requirements in such fiscal year for the special obligation bonds.

As of June 30, 2010 and 2009, the total principal and interest remaining to be paid on all special obligation bonds are $256,813,906 and $279,505,200, respectively. The total amount paid by pledged revenues for this debt for principal were $4,695,000 and $4,500,000, and for interest were $8,516,366 and $8,708,951 at June 30, 2010 and 2009, respectively.

In December 2003, the University entered into a lease purchase agreement for a project to provide on-site generation of electricity, steam and chilled water for heating and cooling for the University at its Storrs campus. The project initially assumed a total cost of $75,000,000 and included construction of a building, engineering, design and installation of certain equipment at the Storrs campus. The lease was amended in August 2005 as a result of an increase in the total anticipated cost to $81,900,000. In December 2005, the University requested a final advance from the lessor related to this lease purchase agreement. With the amendment, monthly payments of $471,254 increased to $517,135. Payments began January 2006 and the lease matures 20 years from commencement with interest at a nominal rate of 4.42% on the first $75,000,000 and 5.09% for the last $6,900,000 of advances. Amounts advanced by the lessor include capitalized interest during construction, and are reflected as long-term debt in the accompanying financial statements. At the completion of the lease term, the University has an option to purchase the project assets for one dollar.

During fiscal year 2009, the University purchased a unit in Campus Associates Limited Partnership for $49,848. The related loan is included in long-term debt in the accompanying financial statements.

Net unamortized premium, discounts and debt differences due to refundings are recorded as additions to the face value of bonds payable. These amounts are amortized using the straight-line basis over the life of the bonds, reducing interest expense for premiums and increasing it for discounts.

Long-term debt activity, including refunding of debt, for the years ended June 30, 2010 and 2009 was as follows:

Long-term Debt Activity for the Year Ended June 30, 2010:

	Balance July 1, 2009	Additions	Retirements	Balance June 30, 2010	Current Portion
General Obligation Bonds	$ 844,944,715	$ 133,210,000	$ (100,662,274)	$ 877,492,441	$ 73,182,441
Revenue Bonds	172,830,000	47,545,000	(56,000,000)	164,375,000	5,085,000
Self Liquidating Bonds	4,785,684	-	(993,466)	3,792,218	839,778
Installment Loans	379,267	-	(138,180)	241,087	90,760
Obligation Under Capital Lease for Cogeneration	72,297,889	-	(3,030,571)	69,267,318	3,168,975
Campus Associates Limited Partnership Loan	37,348	-	(24,894)	12,454	12,454
Total long-term debt	1,095,274,903	180,755,000	(160,849,385)	1,115,180,518	82,379,408
Premiums/discounts/debt difference due to refunding	18,824,685	11,085,934	(1,954,604)	27,956,015	2,106,913
Total long-term debt, net	$1,114,099,588	$ 191,840,934	$ (162,803,989)	$1,143,136,533	$ 84,486,321

Long-term Debt Activity for the Year Ended June 30, 2009:

	Balance July 1, 2008	Additions	Retirements	Balance June 30, 2009	Current Portion
General Obligation Bonds	$ 763,413,355	$ 144,855,000	$ (63,323,640)	$ 844,944,715	$ 64,777,274
Revenue Bonds	177,330,000	-	(4,500,000)	172,830,000	4,695,000
Self Liquidating Bonds	5,808,324	32,484	(1,055,124)	4,785,684	993,466
Installment Loans	177,491	322,112	(120,336)	379,267	63,719
Obligation Under Capital Lease for Cogeneration	75,196,110	-	(2,898,221)	72,297,889	3,030,571
Campus Associates Limited Partnership Loan	-	49,848	(12,500)	37,348	24,894
Total long-term debt	1,021,925,280	145,259,444	(71,909,821)	1,095,274,903	73,584,924
Premiums/discounts/debt difference due to refunding	13,726,563	6,312,563	(1,214,441)	18,824,685	1,468,887
Total long-term debt, net	$ 1,035,651,843	$ 151,572,007	$ (73,124,262)	$1,114,099,588	$ 75,053,811

Long-term debt outstanding at June 30, 2010 and 2009 consisted of the following:

Type of Debt and Issue Date	Type of Issue	Principal Payable	Maturity Dates Through Fiscal Year	Interest Rate	Balance 2010	Balance 2009
Bonds:						
GO 1996 Series A	original	various	2011	5.1%	$ 2,122,441	$ 4,369,715
GO 1999 Series A	original	annually	2010	4.3%	-	13,000,000
GO 2000 Series A	original	annually	2010	5.0%	-	6,550,000
GO 2001 Series A	original	annually	2011	4.0%	4,960,000	20,675,000
GO 2002 Series A	original	annually	2012	4.3-4.464%	10,000,000	15,000,000
GO 2003 Series A	original	annually	2023	3.2-4.4%	25,595,000	37,205,000
GO 2004 Series A	original	annually	2024	3.0-5.0%	59,445,000	73,370,000
GO 2004 Ref. Series A	refund	annually	2020	3.9-5.0%	191,840,000	203,080,000
GO 2005 Series A	original	annually	2025	3.375-3.7%	71,970,000	76,870,000
GO 2006 Series A	original	annually	2026	3.45-5.0%	61,710,000	65,570,000
GO 2006 Ref. Series A	refund	various	2020	4.75-5.0%	59,555,000	59,555,000
GO 2007 Series A	original	annually	2027	3.6-5.0%	73,545,000	78,815,000
GO 2007 Ref. Series A	refund	various	2022	5.0%	46,030,000	46,030,000
GO 2009 Series A	original	annually	2029	2.0-5.0%	137,510,000	144,855,000
GO 2010 Series A	original	annually	2030	2.0-5.0%	97,115,000	-
GO 2010 Ref. Series A	refund	annually	2021	2.0-5.0%	36,095,000	-
Total General Obligation Bonds					877,492,441	844,944,715
Rev 1998 Series A	original	annually	2010	4.3%	-	26,010,000
Rev 2002 Series A	original	various	2030	4.125-5.219%	36,325,000	64,305,000
Rev 2002 Ref. Series A	refund	annually	2030	4.0-5.25%	80,505,000	82,515,000
Rev 2010 Ref. Series A	refund	annually	2028	2.0-5.0%	47,545,000	-
Total Revenue Bonds					164,375,000	172,830,000
March 1993	original	annually	2012	5.5%	130,000	195,000
October 1993	refund	various	2012	6.0%	205,690	205,690
March 1994	original	annually	2010	5.5%	-	76
June 2001	refund	annually	2016	4.4 -5.5%	453,220	633,610
November 2001	refund	various	2014	3.7-5.13%	1,174,156	1,174,156
June 2002	refund	annually	2010	5.0 -5.5%	-	296,248
August 2002	refund	various	2016	3.5-5.5%	551,867	551,867
December 2003	refund	annually	2011	5.0%	208,914	420,003
April 2005	refund	various	2017	4.38-5.25%	274,800	274,800
December 2007	refund	various	2015	3.5-5.0%	793,571	1,001,750
March 2009	refund	annually	2010	2.0%	-	32,484
Total Self Liquidating Bonds					3,792,218	4,785,684
Total Bonds					1,045,659,659	1,022,560,399
Loans and other debt:						
Installment Loans		various	various	1.0-5.60%	241,087	379,267
Obligation Under Capital Lease for Cogeneration		monthly	2026	4.42-5.09%	69,267,318	72,297,889
Campus Associates Limited Partnership Loan		semi-annually	2011	0.75%	12,454	37,348
Total loans and other					69,520,859	72,714,504
Total bonds, loans and installment purchases					1,115,180,518	1,095,274,903
Premiums/discounts/debt difference due to refunding					27,956,015	18,824,685
Total bonds, loans and installment purchases, net					1,143,136,533	1,114,099,588
Less: current portion, net					84,486,321	75,053,811
Total noncurrent portion, net					$1,058,650,212	$ 1,039,045,777

Long-term debt including general obligation bonds, revenue bonds and loans are scheduled to mature in the following fiscal years as of June 30:

	General Obligation Bonds			Long-term Debt Other than General Obligation Bonds			Total Obligations		
Year(s)	Principal	Interest	Total	Principal	Interest	Total	Principal	Interest	Total
2011	$ 73,182,441	$ 40,347,835	$ 113,530,276	$ 9,196,967	$ 10,811,843	$ 20,008,810	$ 82,379,408	$ 51,159,678	$ 133,539,086
2012	69,295,000	37,014,293	106,309,293	9,304,408	10,585,885	19,890,293	78,599,408	47,600,178	126,199,586
2013	65,765,000	34,125,220	99,890,220	9,787,556	10,153,142	19,940,698	75,552,556	44,278,362	119,830,918
2014	68,945,000	31,006,219	99,951,219	10,075,711	9,727,595	19,803,306	79,020,711	40,733,814	119,754,525
2015	68,785,000	27,975,006	96,760,006	10,505,249	9,250,200	19,755,449	79,290,249	37,225,206	116,515,455
2016-2020	292,305,000	94,353,954	386,658,954	58,635,803	38,439,988	97,075,791	350,940,803	132,793,942	483,734,745
2021-2025	173,775,000	36,961,803	210,736,803	72,509,711	23,564,201	96,073,912	246,284,711	60,526,004	306,810,715
2026-2030	65,440,000	7,700,163	73,140,163	57,672,672	7,438,560	65,111,232	123,112,672	15,138,723	138,251,395
Total	$877,492,441	$309,484,493	$1,186,976,934	$237,688,077	$119,971,414	$357,659,491	$1,115,180,518	$429,455,907	$1,544,636,425

6. RETIREMENT PLAN

All eligible employees participate in essentially one of two retirement plans. The State Employees' Retirement System (SERS), a single-employer defined-benefit pension plan, is administered by the State and covers approximately 40% of the University's eligible employees. Plan benefits and contribution requirements of plan members and the University are described in Section 5-152 to 5-192 of the General Statutes. The State is statutorily responsible for the pension benefits of University employees who participate in this plan. The University also sponsors the Alternative Retirement Plan (ARP) for unclassified eligible employees, a defined contribution plan administered through a third-party administrator, ING Life Insurance and Annuity Company. Plan provisions, including contribution requirements of plan members and the University, are described in Section 5-156 of the General Statutes. The University makes contributions on behalf of the employees for both plans, through a fringe benefit charge assessed by the State.

In an agreement signed by the State and the State Employees Bargaining Agent Coalition (SEBAC) on September 22, 2010, employees enrolled in ARP have the one-time opportunity to make their irrevocable choice to either remain in ARP or transfer to SERS by May 31, 2011. The University employs approximately 2,600 individuals eligible for the conversion. If eligible individuals choose to convert to SERS, fringe benefit costs for these individuals would increase by approximately 30 percentage points. It is unclear at this time what the financial impact on the University will be, if any.

Employees previously qualified for the Teachers' Retirement System (TRS) continue coverage during employment with the University, and do not participate in the above mentioned retirement plans. TRS is a single-employer defined-benefit plan covering any teacher, principal, superintendent, or supervisor engaged in service of public schools in the State. Plan benefits and required contributions of plan members and the University, are described in Section 10-183b to 10-183pp of the General Statutes.

With respect to the University's Department of Dining Services (DDS), of its approximately 578 full-time employees, 82 participate in either the State Employees' Retirement System or ARP, while 496 are eligible to participate in two other retirement plans: the Department of Dining Services Money Purchase Pension Plan (MPPP) or the University of Connecticut Department of Dining Services 403(b) Retirement Plan. Under the provisions of MPPP, the University DDS is required to contribute 6% or 7% of employee's covered compensation for eligible employees and its employees do not make any contributions to the Plan. The MPPP is a defined contribution plan administrated through a third-party administrator, Pension Consultants, Inc. On behalf of MPPP participants, the University DDS contributed $561,182 and $553,355 to the plan for the years ended June 30, 2010 and 2009, respectively.

7. COMPENSATED ABSENCES AND WAGES PAYABLE

Compensated absences are recorded in accordance with GASB Statement No. 16, *Accounting for Compensated Absences*, and represent the amounts earned by eligible employees. The liability for compensated absences is classified as current and noncurrent based on the amount estimated to be paid to employees in one year and beyond one year, respectively. Compensated absences include accrued unused vacation, holiday, compensatory and sick leave balances for employees. As of June 30, 2010 and 2009 compensated absences totaled $31,187,089 and $26,450,998, respectively. During fiscal year 2009, the State offered a Retirement Incentive Plan (RIP) to University employees. According to the terms of the RIP, unused vacation and sick leave will be paid in three equal payments on July 1 of each year, beginning July 1, 2012. Included in the noncurrent compensated absences liability as of June 30, 2010 and 2009, are $2,458,897 and $2,081,822, respectively, for accrued vacation and sick leave for University employees that participated in RIP.

Wages payable includes salaries and wages for amounts owed at the fiscal year end June 30th. The State administers benefit and retirement plans for the University. Therefore, the payable for fringe benefits related to wages payable is included in Due to the State as of June 30th.

8. POST EMPLOYMENT BENEFITS

In addition to the pension benefits described in Note 6, the State provides post retirement health care and life insurance benefits to University employees in accordance with State Statutes Sections 5-257(d) and 5-259(a). When employees retire, the State may pay up to 100% of their health care insurance premium cost (including dependents' coverage) based on the plan chosen by the employee. In addition, the State pays 100% of the premium cost for a portion of the employee's life insurance continued after retirement. The amount of life insurance continued at no cost to the retiree is determined by a formula based on the number of years of State service that the retiree had at the time of retirement. The State finances the cost of post retirement health care and life insurance benefits on a pay-as-you-go basis through an appropriation in the General Fund.

9. COMMITMENTS

On June 30, 2010, the University had outstanding commitments exceeding $500,000 each, totaling $56,533,027, which included $52,252,248 of commitments related to capital projects. Of this amount, commitments totaling $13,184,250 related to UCONN 2000 capital projects that are administered by the University for the Health Center. The commitments on behalf of the Health Center are included in the Due to Affiliate (see Note 5). A portion of the total amount of outstanding commitments was also included in accounts payable on the Statement of Net Assets as of June 30, 2010. In addition to the amount for capital outlay, commitments were also related to research, academic, and institutional support. Of these commitments, the University expects approximately $2,206,132 to be reimbursed by federal grants.

The University leases equipment and building space which expire at various dates. Future minimum rental payments at June 30, 2010 under non-cancelable operating leases that exceed $500,000 each are as follows:

Fiscal Year	Payments
2011	$ 775,107
2012	781,620
2013	781,620
2014	781,620
2015	853,269
Thereafter	931,431
Total	$ 4,904,667

Expenses related to operating lease commitments in excess of $500,000 each were approximately $665,000 and $798,000 for the years ended June 30, 2010 and 2009, respectively.

10. DEFERRED INCOME AND CHARGES

Deferred income is comprised of certain restricted research grants that are not included in revenue until the funds are expended; tuition and fees and auxiliary enterprises fees received in advance of services rendered for summer and fall sessions; athletic ticket sales and commitments received in advance of the season; and other revenues received but not earned. As of June 30, 2010 and 2009 deferred income is as follows:

	2010	2009
Certain restricted research grants	$ 10,236,454	$ 8,728,099
Tuition and fees and auxiliary enterprises	11,376,869	6,633,967
Athletic ticket sales and commitments	3,650,687	3,116,151
Other	1,925,075	933,259
Total deferred income	$ 27,189,085	$ 19,411,476

A portion of current deferred charges totaling $828,362 and $836,982 and noncurrent deferred charges totaling $7,958,572 and $8,500,782 at June 30, 2010 and 2009, respectively, represent the cost of issuance on certain bond issues which will be amortized over the terms of the respective bond issues (see Note 5).

11. TUITION WAIVERS AND GRADUATE ASSISTANTSHIPS

The University is required by law to waive tuition for certain veterans and children of veterans, certain students over the age of 62, graduate assistants, and certain other students. The University is required by collective bargaining agreements to waive tuition for certain employees and their dependents. The University has included the portion of waived tuition related to employees and their dependents as a fringe benefit cost and the same amount as tuition revenue in the Statements of Revenues, Expenses and Changes in Net Assets. This increases tuition and fee revenues and operating expenses by $4,290,475 for the year ended June 30, 2010, and $3,971,970 for the year ended June 30, 2009. Waivers not reflected in the accompanying financial statements totaled $40,891,066 and $41,344,583 in fiscal years 2010 and 2009, respectively. Of such waivers, approximately 93% and 91% were provided to graduate assistants in fiscal years 2010 and 2009, respectively.

12. RELATED PARTY TRANSACTIONS

The Foundation is a tax-exempt organization supporting the University and the Health Center (see Note 1). The University has entered into a written agreement with the Foundation whereby the University agreed to reimburse the Foundation for certain administrative services and operating expenses and the Foundation agreed to reimburse the University for certain personal services performed. The following transactions occurred between the University and the Foundation as of and for the years ended June 30, 2010 and 2009:

	2010	2009
Amount paid to the Foundation for its guaranteed contractual services	$ 7,554,000	$ 7,582,000
Reimbursements from the Foundation for personal services and operating expenses	$ 536,349	$ 671,925
Capital and noncapital gifts and grants received from the Foundation	$ 15,302,673	$ 19,050,811
Amount receivable from the Foundation	$ 1,436,025	$ 4,543,300

In June 2010, the University also agreed to fund an additional $2,500,000 to the Foundation for the implementation of a full replacement and conversion of its prospect and donor database to a high-tech database system (Enhanced System). The Foundation's Enhanced System is anticipated to significantly improve the Foundation's fundraising capacity and is expected to be completed and fully operational by the end of fiscal year 2013.

The State supports the University's mission primarily via two mechanisms: State appropriations and the provision of payments for fringe benefits. State appropriation represents amounts appropriated to the University from the State's

General Fund. Payments for fringe benefits were made by the State for reimbursements related to salaries expensed from the General Fund. The transactions for the years ended June 30, 2010 and 2009 were as follows:

	2010	2009
Amount of General Fund appropriations received from the State	$233,011,263	$234,057,728
Amount of payments for fringe benefits received from the State	93,629,340	88,938,332
Increase (decrease) of General Fund payroll included in receivable from the State	(1,178,845)	4,755,362
Total appropriations and payments for fringe benefits from the State	$325,461,758	$327,751,422

Under legislation enacted during fiscal year 2010, the State implemented a mitigation plan for its current deficit. The State's deficit mitigation plan resulted in a transfer of $8,000,000 from the University's unrestricted funds to the State's General Fund, and also mandated an additional transfer of $15,000,000 in fiscal year 2011.

The Office of Technology Commercialization (OTC) is a university-wide function consisting of the following divisions: the Center for Science and Technology Commercialization, the Research and Development Corporation, and the Technology Incubation Program. The funding for these divisions is consolidated into the Health Center's budget, a part of which is reimbursed by the University in accordance with an annual memorandum of agreement for the transfer of funds, and includes certain cost share arrangements with the Health Center for shared services such as senior management salaries. The aggregate total contributed by the University to fund the OTC in fiscal year 2010 was $960,666 which includes $423,225 of expenses paid by the University associated with OTC functions based on the Storrs campus. The amount contributed by the University to fund the OTC in fiscal year 2009 was $1,087,933.

The University and the University of Connecticut Alumni Association (Association), a Connecticut non-stock corporation that is exempt from taxation under section 501(c)(3) of the Internal Revenue Code have an agreement that recognizes the benefits of a coordinated approach to alumni relationship building and defines the responsibilities of the parties. During the years ended June 30, 2010 and 2009, the University directed support to the Association in the amount of $693,705 and $694,187, respectively. The amounts supported by the University consist primarily of payroll and other operating expenses which facilitate the alumni programs and services for the benefit of the University.

The University entered into a land lease with Campus Associates Limited Partnership on February 1, 2000. The limited partnership was formed for the purpose of managing the Nathan Hale Inn, a hotel located on campus. The lease will continue for a term of fifty years and provides for base rents of $5,000 for the first five years and $25,000 for the sixth year. For the seventh year and every year thereafter, base rent will be adjusted by the increase in the Consumer Price Index. In exchange for a rent concession amounting to $100,000 in total for five years, the University received two limited partnership units. On June 15, 2009, the University purchased a third unit in the limited partnership paying $49,848 for the limited partnership interest (see Note 2). The University owed Campus Associates Limited Partnership $12,454 and $37,348 as of June 30, 2010 and 2009, respectively (see Note 5).

In addition, the University has also provided office space and administrative support for certain other related parties.

13. CONTINGENCIES

The University is a party to various legal actions arising in the ordinary course of its operations. While it is not feasible to predict the ultimate outcome of these actions, it is the opinion of management that the resolution of these matters will not have a material effect on the University's financial statements.

14. OPERATING EXPENSES BY OBJECT

The table below details the University's operating expenses by object for the years ended June 30, 2010 and 2009.

Operating Expenses by object for the Year Ended June 30, 2010:

	Salaries and Wages	Fringe Benefits	Supplies and Other Expenses	Utilities	Depreciation and Amortization	Total
Instruction	$ 186,969,971	$ 58,275,929	$ 26,692,577	$ -	$ -	$ 271,938,477
Research	39,539,600	9,597,463	23,148,725	-	-	72,285,788
Public Services	21,197,806	7,097,574	7,327,839	-	-	35,623,219
Academic Support	48,911,156	18,925,598	22,756,107	-	-	90,592,861
Student Services	22,964,309	8,750,473	5,076,086	272,526	-	37,063,394
Institutional Support	43,710,793	19,859,352	19,490,712	114,553	-	83,175,410
Operations and Maintenance	19,243,845	11,231,965	18,622,761	17,643,683	-	66,742,254
Depreciation and amortization	-	-	-	-	90,038,785	90,038,785
Student Aid	379,144	1,107	4,257,229	-	-	4,637,480
Auxiliary Enterprises	60,072,554	23,428,431	52,133,378	9,779,377	-	145,413,740
Other Operating Expenses	1,491,775	578,419	22,438,165	-	-	24,508,359
	$ 444,480,953	$ 157,746,311	$ 201,943,579	$ 27,810,139	$ 90,038,785	$ 922,019,767

Operating Expenses by object for the Year Ended June 30, 2009, restated (see Note 16):

	Salaries and Wages	Fringe Benefits	Supplies and Other Expenses	Utilities	Depreciation and Amortization	Total
Instruction	$ 198,676,752	$ 59,882,773	$ 25,476,882	$ -	$ -	$ 284,036,407
Research	36,163,139	8,219,381	19,645,918	-	-	64,028,438
Public Services	22,787,611	7,187,062	7,022,959	-	-	36,997,632
Academic Support	50,019,745	18,320,531	18,706,539	-	-	87,046,815
Student Services	22,988,198	8,336,228	5,050,777	336,162	-	36,711,365
Institutional Support	45,109,153	19,257,642	18,682,262	105,546	-	83,154,603
Operations and Maintenance	19,373,491	10,548,524	20,290,152	21,220,050	-	71,432,217
Depreciation and amortization	-	-	-	-	90,036,966	90,036,966
Student Aid	410,812	-	3,506,395	-	-	3,917,207
Auxiliary Enterprises	59,769,448	23,174,108	49,493,652	11,938,523	-	144,375,731
Other Operating Expenses	803,393	288,603	29,487,211	-	-	30,579,207
	$ 456,101,742	$ 155,214,852	$ 197,362,747	$ 33,600,281	$ 90,036,966	$ 932,316,588

15. UNRESTRICTED NET ASSETS

The University adopted GASB Statement No. 35 for external reporting purposes, which requires net assets to be classified for accounting and reporting purposes into one of three net asset categories, as discussed in Note 1 to the financial statements. Unrestricted net assets, as defined by the GASB, are not subject to externally imposed stipulations; however, they are subject to internal designations. For example, unrestricted net assets may be designated for specific purposes by action of management or the Board of Trustees or may otherwise be limited by contractual agreements with outside parties. Substantially all unrestricted net assets are internally designated for academic and research programs, capital programs, retirement of debt, and auxiliary enterprise activities.

16. ACCOUNTING CHANGE AND RESTATEMENT OF NET ASSETS

GASB Statement No. 51, *Accounting and Financial Reporting for Intangible Assets*, requires that certain intangible assets be classified as capital assets. The University had previously capitalized costs related to internally generated software according to the provisions of this statement. The Statement of Net Assets as of June 30, 2009 and the Statement of Revenues, Expenses, and Changes in Net Assets for the year ended June 30, 2009 have been restated in order to retroactively apply the provisions of this statement to include purchased software which was previously expensed. The following adjustments have been made to reflect the cumulative effect of this accounting change:

Net assets as previously reported, July 1, 2008	$ 1,378,096,850
Increase in Invested in capital assets, net of related debt	1,037,038
Net assets adjusted, July 1, 2008	1,379,133,888
Increase in Net Assets June 30, 2009, as previously reported	40,381,626
Capitalized software, previously expensed in various functions	209,589
Depreciation and amortization expense	(480,120)
Net assets adjusted, July 1, 2009	$ 1,419,244,983

TRUSTEES AND FINANCIAL OFFICERS
As of June 30, 2010

BOARD OF TRUSTEES

MEMBERS EX OFFICIO

The Honorable M. Jodi Rell
Governor of the State of Connecticut
President ex officio — *Hartford*

The Honorable F. Philip Prelli
Commissioner of Agriculture
Member ex officio — *Barkhamsted*

The Honorable Joan McDonald
Commissioner of Economic
and Community Development
Member ex officio — *Hartford*

The Honorable Mark K. McQuillan
Commissioner of Education
Member ex officio — *Hartford*

Gerard N. Burrow, M.D.
Chair, Health Center Board of Directors
Member ex officio — *Hamden*

ELECTED BY THE ALUMNI

Francis X. Archambault, Jr.	*Storrs*
Andrea Dennis-LaVigne, D.V.M.	*Simsbury*

APPOINTED BY THE GOVERNOR

Lawrence D. McHugh, C*hairman*	*Middletown*
Louise M. Bailey, *Secretary*	*West Hartford*
Michael A. Bozzuto	*Avon*
Peter S. Drotch	*Framingham, MA*
Lenworth M. Jacobs, Jr., M.D.	*West Hartford*
Rebecca Lobo	*Granby*
Michael J. Martinez	*East Lyme*
Denis J. Nayden	*Stamford*
Thomas D. Ritter	*Hartford*
Wayne J. Shepperd	*Danbury*
Richard Treibick	*Greenwich*
The Honorable Robert M. Ward	*Northford*

ELECTED BY THE STUDENTS

Richard Colon, Jr.	*Vernon*
Corey M. Schmitt	*Storrs*

FINANCIAL OFFICERS

Richard D. Gray, Vice President and Chief Financial Officer
Paul R. McDowell, Chief Financial Officer
Charles H. Eaton, Controller

UNIVERSITY OF CONNECTICUT
1881

Appendix I.3

Auditor's Report

University Of Connecticut

For the Fiscal Years Ended June, 30 2006 and 2007

Please Note: In addition to the annual single audit and financial statement audit, the auditors of public accounts perform a review of the University books and records under Section2-90 of the General Statutes. This review covers a two year fiscal period and includes a focus on the University's internal control structure. The auditors consider this report their "management letter." The 2008/2009 report should be finalized by the fall 2011. The state auditor anticipates that 2010/2011 will be issued in the spring 2012.

STATE OF CONNECTICUT

AUDITORS' REPORT
UNIVERSITY OF CONNECTICUT
FOR THE FISCAL YEARS ENDED JUNE 30, 2006 AND 2007

AUDITORS OF PUBLIC ACCOUNTS
KEVIN P. JOHNSTON ❖ ROBERT G. JAEKLE

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December 5, 2008

AUDITORS' REPORT
UNIVERSITY OF CONNECTICUT
FOR THE FISCAL YEARS ENDED JUNE 30, 2006 AND 2007

We have made an examination of the financial records of the University of Connecticut (University) for the fiscal years ended June 30, 2006 and 2007. The University is a component unit of the University of Connecticut system, which includes the University, the Health Center, the University of Connecticut Foundation, Inc. (Foundation) and the University of Connecticut Law School Foundation, Inc. (Law School Foundation). This report thereon consists of the Comments, Recommendations and Certification which follow.

Financial statement presentation and auditing are done on a Statewide Single Audit basis to include all State agencies. This audit has been limited to assessing the University of Connecticut's compliance with certain provisions of financial related laws, regulations and contracts, and evaluating the University's internal control structure policies and procedures established to ensure such compliance.

COMMENTS

FOREWORD:

The University of Connecticut operates generally under the provisions of Title 10a, Chapter 185, where applicable, and Chapter 185b, Part III, of the General Statutes. The University is a constituent unit of the State system of public higher education under the central authority of the Board of Governors of Higher Education. The University is governed by a Board of Trustees of the University of Connecticut, consisting of 21 members appointed or elected under the provisions of Section 10a-103 of the General Statutes.

This Board, subject to Statewide policy and guidelines established by the Board of Governors of Higher Education, prescribes rules for the governance of the University and sets policies for administration of the University pursuant to duties set forth in Section 10a-104 of the General Statutes. The members of the Board of Trustees at June 30, 2007, were:

Ex officio members:
M. Jodi Rell, Governor of the State of Connecticut
F. Philip Prelli, Commissioner of Agriculture
Joan McDonald, Commissioner of Economic and Community Development
Mark K. McQuillan, Commissioner of Education
Gerard N. Burrow, M.D., Chair, Health Center Board of Directors

Appointed by the Governor:
Louise M. Bailey, West Hartford, Secretary
Michael A. Bozzuto, Avon
Peter S. Drotch, Framingham, MA
Linda P. Gatling, Southington
Dr. Lenworth M. Jacobs, Jr., West Hartford
Rebecca Lobo, Granby
Michael J. Martinez, East Lyme
Denis J. Nayden, Wilton
Thomas D. Ritter, Hartford
Dr. John W. Rowe, New York, Chairman
Wayne J. Shepperd, Danbury
Richard Treibick, Greenwich

Elected by alumni:
Philip P. Barry, Storrs
Dr. Andrea Dennis-Lavigne, Simsbury

Elected by students:
Salmun Kazerounian, Storrs
Michael J. Nichols, Hartford

Other members who served during the audited period included the following:
James F. Abromaitis, Commissioner of Economic and Community Development
Stephen A. Kuchta, Storrs
Betty J. Sternberg, Commissioner of Education

Pursuant to Section 10a-108 of the General Statutes, the Board shall appoint a President of the University to be the chief executive and administrative officer of the University and of the Board of Trustees. Philip E. Austin served as President during the audited period. President Austin stepped down September 13, 2007. He was succeeded by Michael J. Hogan, who took office on September 14, 2007.

The University's main campus is located at Storrs, Connecticut. The University maintains

additional facilities and carries out programs at locations across the State. These facilities and programs include:

Avery Point:
- University of Connecticut at Avery Point
- Marine Sciences Program
- National Undersea Research Center
- Connecticut Sea Grant College Program

Hartford area:
- University of Connecticut at Hartford
- University of Connecticut School of Law
- MBA Program at Hartford
- School of Social Work

Farmington:
- University of Connecticut Health Center

Stamford:
- University of Connecticut at Stamford
- MBA Programs at Stamford

Torrington:
- University of Connecticut at Torrington

Waterbury:
- University of Connecticut at Waterbury

Operations of the University Health Center are examined and reported upon separately by the Auditors of Public Accounts.

Section 10a-112a of the General Statutes states that the museum of natural history at the University shall be the State Museum of Natural History. Similarly, the University's William Benton Museum of Art is designated the State Museum of Art by Section 10a-112g.

Recent Legislation:

During the period under review legislation was passed by the General Assembly affecting the University. The most significant new legislation is presented below.

Public Act 06-134 – Section 1 of this Act requires the University's Board of Trustees to select and appoint independent auditors to annually audit UConn 2000 projects. Section 3 of the act establishes a seven-member Construction Management Oversight Committee and requires such committee to review and approve the policies and procedures developed by the University to undertake any UConn 2000 project. Section 4 of the Act requires that the Board of Trustees of the University establish a construction assurance office to be led by a full-time director who will be responsible for reviews of construction performance of UConn 2000 projects. Section 8 of the Act requires public bidding on

UConn 2000 projects which are estimated to cost more than five hundred thousand dollars.

Public Act 06-135 – Section 9 of this Act restores the State's 50 percent match of private donations made to State of Connecticut public colleges and universities for those donations made between January 1, 2005 and June 30, 2005.

Public Act 07-3 (June Special Session) – Section 55 of this Act prohibits the use of tuition and student fee revenue for repairs performed solely to correct code violations for certain projects completed prior to January 1, 2007

Enrollment Statistics:

Statistics compiled by the University's Office of Institutional Research present the following enrollments in the University's credit programs, including the Health Center, during the audited period.

	2005-2006		2006-2007	
Student Status	Fall	Spring	Fall	Spring
Undergraduates	20,525	19,372	20,784	19,725
Graduates	6,180	5,976	6,341	6,102
Professional (School of Law and Doctor of Pharmacy)	893	868	869	855
Medicine – Students	319	319	328	328
Medicine – Other(1)	595	595	586	586
Dental – Students	166	166	159	159
Dental – Other(1)	95	95	107	107
Totals	28,773	27,391	29,174	27,862

(1) – Other includes residents, interns and post-graduate clinical enrollment.

RÉSUMÉ OF OPERATIONS:

During the audited period, the State Comptroller accounted for University operations in:

- General Fund appropriation accounts.
- The University of Connecticut Operating Fund.
- The University of Connecticut Research Foundation Fund.
- The University Bond Liquidation Fund (used for both the University and the Health Center).

The University maintained additional funds that were not reflected in the State Comptroller's records. The most significant of those funds relate to the UCONN 2000 infrastructure improvement program. Such funds are used to account for the revenue from the issuance of UCONN 2000 bonds and expenditures related to the UCONN 2000 capital improvement program.

The University of Connecticut also maintains a "Special Local Fund" which is used by the University to account for endowments, scholarships and designated funds, loans, agency funds and miscellaneous unrestricted balances.

Additionally, there are certain activity funds associated with the University which, while legally controlled by the University, are not considered part of the University of Connecticut system reporting entity. These include the following University activity funds:

- Graduate Student Senate Activity Fund
- Storrs Associated Student Government Activity Fund
- Connecticut Daily Campus Activity Fund
- WHUS Radio Station Activity Fund
- Student Organizations Activity Fund
- UConn PIRG (Storrs) Activity Fund
- Student Bar Association Activity Fund
- Legal Clinic Activity Fund
- Law Review Activity Fund
- School of Social Work Activity Fund
- Hartford Associated Student Government Activity Fund
- UConn Public Interest Research Group (Hartford) Activity Fund
- Torrington Associated Student Government Activity Fund
- Stamford Associated Student Government Activity Fund
- Southeastern (Avery Point) Associated Student Government Activity Fund
- Waterbury Associated Student Government Activity Fund
- Student Television Activity Fund

Beginning with the fiscal year ended June 30, 2002, the University adopted Governmental Accounting Standards Board Statements No. 34 and No. 35. These statements change the presentation of the University's financial statements from a multi-column format to a single-column format.

The University's financial statements are incorporated in the State's Comprehensive Annual Financial Report as an enterprise fund. Significant aspects of the operations of the University, as presented on Agency prepared financial statements, are discussed in the following sections of this report.

University employment remained relatively stable during the audited period. University position summaries show that permanent full-time filled positions aggregated 4,304 and 4,360 as of June 2006 and June 2007, respectively.

Under the provisions of Section 10a-105, subsection (a), of the General Statutes, fees for tuition were fixed by the University's Board of Trustees. The following summary presents annual tuition charges during the 2005-2006 and 2006-2007 fiscal years.

	2005-2006			2006-2007		
Student Status	In-State	Out-of-State	Regional	In-State	Out-of-State	Regional
Undergraduates	$6,096	$18,600	$9,168	$6,456	$19,656	$9,744
Graduates	7,524	19,584	11,322	7,992	20,772	12,006
School of Law	15,648	33,024	23,496	16,608	35,016	24,912

Operating Revenues:

Operating revenue results from the sale or exchange of goods and services that relate to the University's missions of instruction, research and public service. Major sources of operating revenue include tuition, Federal grants, State grants and sales from auxiliary service enterprises such as room and board charges.

Operating revenue as presented in the University's financial statements for the audited period follows:

	2005-2006	2006-2007
Student Tuition and Fees (net of scholarship allowances)	$ 177,210,259	183,468,732
Federal Grants and Contracts	79,604,501	81,282,959
State and Local Grants and Contracts	17,305,776	18,994,517
Non-Governmental Grants and Contracts	10,298,876	11,823,648
Sales and Services of Educational Departments	15,504,841	14,937,691
Sales and Services of Auxiliary Enterprises (net of scholarship allowances)	119,203,886	127,527,596
Other Sources	10,231,304	11,059,294
Total Operating Revenue	429,359,443	449,094,437

The rise in Student Tuition and Fees is attributable to an approximate rise in undergraduate enrollment of 1.3 percent, as well as a rise of 5.7 percent in fees charged for undergraduate tuition.

Operating Expenses:

Operating expenses generally result from payments made for goods and services to assist in achieving the University's missions of instruction, research and public service. Operating expenses do not include interest expense or capital additions and deductions.

Operating expenses include employee compensation and benefits, supplies, services, utilities, and depreciation and amortization.

Operating expenses by functional classification as presented in the University's financial

statements for the audited period follows:

	2005-2006	2006-2007
Instruction	$ 245,567,278	$ 256,079,892
Research	55,933,021	59,641,605
Public Service	31,184,522	32,190,108
Academic Support	74,664,985	82,234,793
Student Services	30,570,516	35,022,525
Institutional Support	60,767,532	67,336,935
Operations and Maintenance	65,676,823	60,611,434
Depreciation	86,528,795	88,030,170
Student Aid	3,822,397	3,971,727
Auxiliary Enterprises	121,955,025	126,828,040
Total Operating Expenses	$ 776,670,894	$ 811,947,229

Nonoperating Revenues and Expenses:

Nonoperating revenues and expenses are those revenues and expenses that are neither operating revenues/expenses nor capital additions/deductions. Nonoperating revenues and expenses include items such as the State's general fund appropriation, gifts, investment income and interest expense.

Nonoperating revenue (expenses) as presented in the University's financial statements for the audited period follows:

	2005-2006	2006-2007
State Appropriation (including fringe benefits)	$ 285,675,894	$ 305,943,066
State Debt Service Commitment for Interest	33,093,947	35,863,883
State Match to Endowment	35,093	93,864
Gifts	20,476,003	24,423,566
Investment Income	9,647,570	12,299,820
Interest Expense	(43,262,087)	(47,462,929)
Other Nonoperating Revenues (Expenses)	(4,204,731)	(686,574)
Net Nonoperating Revenue	$ 301,461,689	$ 330,474,696

The State appropriation, the largest source of revenue at the University, increased in the fiscal year ended June 30, 2007, by $20,267,172 or 7.1 percent when compared to the fiscal year ended June 30, 2006. The State appropriation increased in the fiscal year ended June 30, 2006, by $12,590,581 or 4.61 percent when compared to the fiscal year ended June 30, 2005. The ratio of the State appropriation to tuition revenue was 1.61 in the fiscal year ended June 30, 2006 and 1.67 in the fiscal year ended June 30, 2007. The ratio of the State appropriation to total operating revenue was .66 in the fiscal year ended June 30, 2006 and .68 in the fiscal year ended June 30, 2007. The ratio of the State appropriation to total operating expenses was .37 and .38 for the fiscal years ended June 30, 2006 and 2007, respectively.

The State debt service commitment for interest listed above refers to amounts paid by the State for interest expense on University of Connecticut General Obligation Bonds. The gifts

component of non-operating revenue is comprised of amounts received from the University of Connecticut Foundation and other nongovernmental organizations and individuals.

Capital Additions (Deductions):

Capital additions and deductions are associated with the acquisition and disposal of capital assets and include items such as capital grants, endowments and gains/losses on the sale or disposal of capital assets.

Capital additions and expenses as presented in the University's financial statements for the audited period follows:

	2005-2006	2006-2007
State Debt Service Commitment for Principal	$ 61,569,575	$ 65,179,575
Capital Grants and Gifts	9,965,822	3,029,866
Disposal of Property and Equipment, Net	(897,448)	(3,457,020)
Capital Other	(10,593,490)	1,623,610)
Total Capital Additions (Deductions)	$ 60,044,459	$ 66,376,031

The amounts listed as State debt service commitment for principal refer to University General Obligation Bonds issued during the respective years for which the State has committed to pay the principal as it becomes due. Amounts listed as Capital Other for the fiscal year ended June 30, 2006, consist primarily of amounts paid, or to be paid, for landfill remediation and for the correction of certain construction deficiencies for three student residential facilities. Amounts listed as Capital Other for the fiscal year ended June 30, 2007, consist of amounts paid for safety code updates and costs not capitalized under University policy, offset by insurance recoveries related to the University's Hilltop Apartment project.

Net Assets:

Net assets are assets minus liabilities. Net assets as presented in the University's financial statements for the audited period follows:

	2005-2006	2006-2007
Invested in Capital Assets, Net of Related Debt	$1,228,523,269	$1,200,081,259
Restricted Nonexpendable	13,506,699	14,878,800
Restricted Expendable:		
Research, Instruction, Scholarships and Other	11,273,079	12,646,227
Loans	3,350,071	3,732,539
Capital Projects	21,361,924	53,585,008
Debt Service	11,298,515	10,878,478
Unrestricted	94,338,066	121,847,247
Total Net Assets	$1,383,651,623	$1,417,649,558

Amounts above listed as invested in capital assets, net of related debt, reflect the value of capital assets such as buildings and equipment after subtracting the outstanding debt used to

acquire such assets. Restricted nonexpendable assets are primarily comprised of permanent endowments. Restricted expendable assets are assets whose use by the University is subject to externally imposed stipulations. Unrestricted assets are assets not subject to externally imposed restrictions.

Related Entities:

Two related, but independent, corporate entities also support the mission of the University. The University of Connecticut Foundation and the University of Connecticut Law School Foundation operate to solicit and administer donations of properties, monies and securities. These resources are then used, in accordance with the terms under which they were given, to aid the University.

A summary of the Foundations' assets, liabilities, support and revenues and expenditures follows:

	Foundation		Law School Foundation	
	Fiscal Year Ended		Fiscal Year Ended	
	June 30, 2006	June 30, 2007	June 30, 2006	June 30, 2007
Assets	$366,423,000	$407,900,000	$16,647,000	$17,933,000
Liabilities	13,342,000	14,961,000	38,000	1,000
Net Assets	353,081,000	392,939,000	16,609,000	17,932,000
Support and Revenue	73,237,000	86,845,000	2,168,000	2,954,000
Expenditures	45,317,000	46,987,000	1,469,000	1,631,000

CONDITION OF RECORDS

Areas in need of improvement, along with discussions concerning improvements in managerial control, are presented in this section of the report.

Inability to Locate Documents Supporting Contractor Selection:

Criteria: State of Connecticut record retention policies require that documents relating to procurement transactions be retained, at a minimum, until audited.

Condition: When reviewing the selection of the construction manager for the University's Landfill Remediation Project we noted that although the University solicited proposals for the project, as demonstrated by an advertisement placed in a major daily newspaper, only the proposal of the construction manager awarded the contract was on file. Payments made to date to the construction manager exceed $10,000,000.

Effect: We were unable to verify that the lowest responsible proposal was selected.

Cause: University personnel have stated that they cannot find the other proposals received for this project.

Recommendation: The University should take greater care in safekeeping important documents. (See Recommendation 1.)

Agency Response: "The University agrees that important procurement documents should be properly maintained. Former Capital Projects and Contract Administration (CPCA) management was replaced in January 2007 and the new director's reporting relationship was assigned to a different senior manager. Despite their repeated efforts, additional documents related to this procurement could not be located.

CPCA developed a new Document Control System in January 2007 and maintains a centralized document control filing system that is both standardized and consistent in locating documents within the procurement files. Files are organized by project number within CPCA's document control system and contain all supporting documentation evidencing appropriate and required contractor selections."

Greater Involvement of Human Resources Personnel in Special Payroll Payments:

Background: The University's Special Payroll is primarily used to compensate individuals for short-term non-permanent professional work as well as to pay faculty and graduate students for work beyond the scope of their normal duties.

Criteria: Good internal control requires that prospective payments made for personal services be authorized by parties other than the hiring department or the payroll department.

Condition: Our review of internal control over the Special Payroll disclosed that requests for payments made under the Special Payroll were initiated by individual operating departments and approved by the University's Payroll Department.

Effect: The lack of scrutiny by the University's Human Resources Department lessens the level of assurance that Special Payroll transactions have been executed in accordance with management's intentions, particularly in areas such as the proper amount of compensation as well as conflict of interest issues.

Cause: The University apparently believes that the scrutiny provided by the University's payroll unit is adequate.

Recommendation: The University's Human Resources Department, in consultation with the University's Office of the Vice President and Chief Financial Officer and the Office of Academic Affairs, should be actively involved in determinations related to the hiring and compensation of employees under the Special Payroll. (See Recommendation 2.)

Agency Response: "The University agrees that greater oversight of the Special Payroll is warranted. The Human Resources Department (HR) will develop a process to provide effective review outside of the hiring department. HR will also develop a periodic audit of Special Payroll payments to provide an additional level of monitoring for compliance."

Entities Affiliated with the University:

Criteria: Prudent business practice dictates that the University establish agreements with organizations operating within the University environment that define the rights and obligations of each party.

Condition: In our prior audit report we noted certain non-profit organizations operating in some manner at the University for which the

University did not have an agreement defining the rights and obligations between the University and the non-profit organization.

Although the University has made an effort to identify those non-profit organizations operating in some manner at the University, agreements between such entity's and the University are not satisfactory.

Effect: University resources may have been used in a manner inconsistent with the University's intentions.

Cause: The preparation of comprehensive and current agreements between the University and certain non-profit entities operating in some manner at the University has not been deemed a priority.

Recommendation: The University should enter into comprehensive and current agreements with non-profit entities affiliated with the University. (See Recommendation 3.)

Agency Response: "The University agrees that additional effort is required in this area. During the past two years, the University focused its efforts on identifying non-profits that were physically located at the University and ensuring that proper lease agreements were in place to the extent possible.

We will begin to structure memoranda of agreements or understanding for other non-profit organizations operating within the University environment identified by the Auditors that outline the rights and obligations of the parties."

Erroneous Payroll Payments:

Criteria: The University operates in an environment of limited resources. As such, when a payment is made in error University personnel should take steps to recover such erroneous payments.

Condition: As the result of an allegation of irregular payments made by a whistleblower, we reviewed the payments made to a temporary part-time employee of the Torrington Branch of the University. The payments made to this employee were as follows:

- Fiscal Year 2002 $ 7,050 ($ 3,525 fall semester, $ 3,525 spring semester)

- Fiscal Year 2003 $7,260 ($ 3,630 fall semester, $ 3,630 spring semester)

- Fiscal Year 2004 $ 7,260 ($ 3,630 fall semester, $ 3,630 spring semester)

- Fiscal Year 2005 $ 7,476 ($ 3,738 fall semester, $ 3,738 spring semester)

Based upon University payroll authorizations these payments related to "Coordinating the dance program with the Nutmeg Conservatory for the Arts 3 credits".

Our analysis of registration data allowed us to conclude that for the Spring 2002, Spring 2003, Fall 2003 and Spring 2004 semesters; the employee was listed as the instructor and had students and gave grades for certain courses (Dram 291, Dram 298, Dram 299), but for the Fall of 2002, Fall 2004 and Spring 2005 semesters we found no evidence of the employee performing instruction related duties.

We contacted the University's Office of Audit and Compliance to determine if the payments made to the employee for the Fall of 2002, Fall 2004 and Spring 2005 semesters were consistent with University policy or whether such payments were made in error.

Based upon our review of the University's Office of Audit and Compliance report on these payments, as well as discussion with the University personnel that prepared the report, we concluded that it was not intended that the employee get paid as an instructor but rather as an academic specialist. Persons hired as academic specialists are supposed to support the teaching function. As such the lack of a course for which the employee had students does not necessarily preclude them from receiving payment.

In an effort to determine if payments made for the Fall of 2002, Fall 2004 and Spring 2005 semesters were appropriate, we asked University personnel if anyone could attest to some work being performed by this employee for those periods. It is our understanding that only for the Fall 2002 semester could the persons authorizing payments to the employee attest to work being performed. We also asked University personnel if any evidence was available which would allow us to conclude work was performed (i.e. brochures, seminars, course offerings, web sites). They indicated they were not aware of any.

Based upon the above, we believe that in the absence of attestation by University personnel that work was performed or physical evidence that work was performed, there is no proof that benefit was received by the University and as such the University should seek reimbursement for amounts paid to the employee for

the Fall 2004 and Spring 2005 semesters.

Effect: The two $3,738 payments described above should not have been made as there is no supporting documentation that the University benefited in any way from such payments.

Cause: The task of approving certain payments made to temporary part-time employees did not receive adequate attention.

Recommendation: Additional scrutiny by someone having knowledge of the work performed should be given to assure the appropriateness of payments made to temporary part-time employees. In those circumstances where payments are determined to have been made in error, the University should seek recovery. (See Recommendation 4.)

Agency Response: "The University agrees that appropriate review of work performed is a requirement of those in supervisory positions. Through the Departments of Human Resources and Payroll Services, the University will underscore that responsibility to supervisors who authorize payments. We also agree that upon verification of erroneous payments, the University should seek recovery. In the cases referenced above, after further review, it was determined that the basis to recover payments in question was insufficient."

Auditors Concluding Comment: The University, at a very minimum, should make a formal request to the former employee in an effort to recover the erroneous payments.

Lack of Internal Control Over Travel Expenditures:

Criteria: Good business practice requires that travel expenses be scrutinized in an effort to keep such expenses to the lowest reasonable amounts.

In lieu of extenuating circumstances, OMB Circular A-21 prohibits the use of premium air travel in those instances that travel costs are paid for with Federal funds.

Condition: While conducting tests of travel expenditures we noted the following:

- Several instances where the University paid premium airfare without any accompanying explanation as to why premium air-fare was necessary.
- Several instances where employees who were attending conferences were reimbursed for lodging for days in excess of

the conference schedule.
- Several instances where payments for lodging were in excess of the Federal General Services Agency (GSA) rate.

Effect: The University may have paid more for travel expenditures than was necessary. In those instances where Federal funds were used for premium airfare and extenuating circumstances did not exist, the University may have incurred an "unallowable cost" and therefore un-reimbursable cost.

Cause: The University relies to a large extent on the employees traveling to select the lowest cost airfare and accommodations.

Recommendation: The University's Office of Travel Services should require documentation of extenuating circumstances when University personnel use premium airfare. Further, techniques should be developed to detect and reject those expenditures that are unreasonable. (See Recommendation 5.)

Agency Response: "The University agrees that stronger policy guidance for these matters is required. The Office of Travel Services has drafted and will submit for Board of Trustees approval in 2008, revisions to the policies and procedures governing use of, and documentation required, for premium air travel and conference related lodging."

Failure to Obtain Receiving Reports for Significant Payments to Vendors:

Criteria: University personnel receiving goods and services prepare receiving reports to confirm that items purchased are consistent with what was ordered, are complete, and are in an acceptable condition. Receiving reports also serve as the authorization to Accounts Payable to make payments to vendors.

Condition: During our test of expenditures we noted payments of $518,747 and $278,879 made to a communications equipment vendor for which no receiving report was prepared. We were informed that these payments utilized "negative receiving", a procedure in which University personnel receiving goods and services from certain pre-approved vendors, are not required to affirmatively acknowledge that such goods and services have been received. When negative receiving is used the University's accounts payable departments will pay the invoiced amount unless advised not to by the ordering department.

Effect: Making large payments to vendors without confirming the acceptability of the items received reduces the University's negotiating position should such items be deemed unacceptable.

Cause: The University has established the negative receiving report system in an effort to take advantage of vendors' discounts for timely payment, as well as to eliminate some administrative burden. Presumably, vendors approved for negative receiving are those which the University feels comfortable that any disagreements as to the acceptability of an item can be negotiated in a mutually agreeable manner.

Recommendation: The University should limit the use of negative receiving to invoice amounts of a reasonable dollar value. (See Recommendation 6.)

Agency Response: "The University agrees with the recommendation.

The University limits negative receiving to those vendors who have a favorable history with the University. The value of taking the prompt discounts during the audit period was $260,000. Vendors are monitored monthly regarding service to the University and are not allowed this privilege if customer complaints have been received. During the audit period, the average negative receiving invoice was valued at approximately $700"

Failure to Obtain Gift and Campaign Certifications:

Criteria: Section 4-252, subsection (c), of the Connecticut General Statutes, as well as Governor Rell's Executive Orders No. 1 and No. 7C, require that the University obtain a gift and campaign certification at the time of the execution of a contract and annually thereafter through the term of the contract, from any person, firm or corporation awarded a contract with the University, if such contract exceeds $500,000 in a calendar or fiscal year.

Condition: During our tests of expenditures related to construction contracts, we noted several instances in which the University did not obtain gift and campaign certifications at contract signing and the required annual updates.

Effect: The University has not complied with Section 4-252, subsection (c), of the Connecticut General Statutes and Governor Rell's Executive Orders No. 1 and No. 7C.

Cause: Departmental personnel were apparently unaware of the requirements described above.

Recommendation: The University should obtain the required gift and campaign certifications at contract signing, as well as during the required annual updates. (See Recommendation 7)

Agency Response: "The University agrees and effective June 1, 2008, new procedures were implemented to ensure that the gift campaign forms are secured at contract signing and annually for any multi-year contracts."

Solicitation of Competition When Conveying Valuable Tangible or Intangible Rights or Property:

Criteria: The University has an obligation to maximize the value it receives when conveying rights or property. Competition among interested parties provides a degree of assurance that the maximum value has been received.

Condition: During May 2006, the owner of property on Hunting Lodge Road in the town of Mansfield, requested access to the University's water and sewage treatment systems. During June 2006, based upon the recommendation of the University's Water and Wastewater Advisory Committee, the University's Vice President and Chief Operating Officer granted, subject to a variety of conditions, the requested access.

Effect: The granting of the access to the University's water and sewage treatment systems without soliciting competing proposals reduces the certainty that the University obtained the maximum value for access to such systems.

Cause: Obtaining the maximum value for access to the University's water and sewage treatment systems was not a consideration.

Conclusion: In the Auditors of Public Accounts 2007 Annual Report to the General Assembly, dated January 31, 2008, a recommendation was proposed for enacting legislation to require that State assets, whether tangible or intangible in nature, that are to be sold or otherwise conveyed to an outside party, be done so in a competitive manner.

Agency Comment: "Since the Hunting Lodge Road property was privately owned, the University could not solicit competing proposals for providing a connection to that property. Since 2006, the University's Water and Wastewater Advisory Committee has considered requests for water and/or sewer connections from several other private and public property owners. Some have been approved and others rejected based on well established decision making criteria related to the capacity of the utility systems; consistency with University's land use plans and approval of municipal land use authorities."

Granting Paid Leave Time in a Manner Inconsistent with Contractual Obligations:

Criteria: The University's Department of Dining Service's agreement with the Union of Needles Trades, Industrial and Textile Employees, establishes the terms of granting paid leave to Department of Dining Services employees.

Condition: We tested the attendance records of 19 Department of Dining Services Employees. Our tests disclosed that nine of the 19 employees tested had been granted paid sick and/or vacation time prior to being eligible to use such paid sick and/or vacation time.

Effect: The University has not complied with the terms of its agreement with Union of Needles Trades, Industrial and Textile Employees. Additionally, the University exposes itself to claims of preferential treatment if similarly circumstanced employees are not treated in the same manner.

Cause: A manager in the University's Department of Dining Services felt it was appropriate to grant exceptions based upon individual circumstances.

Recommendation: The University should adhere to its agreement with Union of Needles Trades, Industrial and Textile Employees. If the University believes additional benefits should be granted in extenuating circumstances, then procedures should be developed to assist in achieving consistent application among employees. (See Recommendation 8.)

Agency Response: "We agree with the findings. The manager responsible for this area of the Department of Dining Services Human Resources took it upon himself to make decisions outside of the existing bargaining agreement with UNITE / HEAR. This individual is no longer employed by the Department of Dining Services.

A communication will be issued reiterating the policies relating to the use of earned time to all bargaining unit members. Proper adherence will be assured by oversight by the new Assistant Department Head of Human Resources for the Department of Dining Services."

Maximization of Interest Income:

Criteria: After considering risk, the University should attempt to maximize interest income on cash balances.

Condition: While reviewing the operations of the University's Department of Campus Activities for the period of February 2005 through

November 2006, we noted the Student Organization checking account had significant balances which were not needed in the short term.

Based upon further analysis of such balances, we estimate that had the University invested the cash balances that were not needed in the short term, in the State of Connecticut's Short Term Investment Fund (a low risk money market investment pool), the interest earned would have exceeded $79,000.

Effect: The University did not maximize interest income.

Cause: University personnel charged with custodial responsibility over the Student Organization checking account did not consider transferring balances to interest bearing accounts.

Recommendation: Procedures should be developed to transfer excess cash balances to an appropriate interest bearing investment. (See Recommendation 9.)

Agency Response: "Management agrees with this finding. The University's Department of Student Activities has begun to work with the Cash Operations Unit of the Accounting Office to develop an appropriate, cost efficient, process to determine the banking and cash procedures to maximize investment in the Short Term Investment Fund (STIF) while maintaining appropriate internal controls over such banking activity. It is anticipated that by October 1, 2008, Student Activities will have access to Bank of America Direct to initiate wires from its accounts to STIF. Wires will only be released by the Controller, Associate Controller or Manager of Cash Operations. A daily analysis will be completed by Student Activities to determine the amount of investment to STIF while allowing for the necessary cash flow needs of the recognized student activity organizations. Appropriate internal controls and investment monitoring will be developed in consultation with the Accounting Office."

Organizational Structure

Criteria: An entity's organizational structure, a component of internal control, provides the framework within which its activities for achieving entitywide objectives are planned, executed, controlled and monitored. The establishment of an organizational structure includes considering key areas of authority and responsibility and appropriate lines of reporting.

Condition: The organizational framework in place at the University has the administrative heads of the Human Resources Department and the Payroll Department as well as the administrative heads of the Purchasing Department and the Accounts Payable Department reporting to the Vice President and Chief Operating Officer.

Effect: Having the aforementioned administrative heads report to the same Vice President lessens the degree of assurance that human resources and payroll, as well as purchasing and accounts payable, transactions are authorized and executed in accordance with management's wishes.

Cause: The current organizational structure was established as the result of a June 17, 2003, consultant's report.

Recommendation: In order to strengthen internal control, the University should consider having the administrative heads of the traditionally financial related departments of Payroll and Accounts Payable report to the Vice President and Chief Financial Officer. (See Recommendation 10.)

Agency Response: "The University through its chief operating officer and the new chief financial officer will review the current organizational structure to determine if additional safeguards are needed or if organizational changes should be made. The organizational change referenced in this finding, implemented by the university in 2003, was done to improve service to the university community, improve communications and cohesion between administrative areas that had common "customers". The current organizational structure separates duties and responsibilities of the units by requiring that the managers in these units have different chains of command. While those chains of command do ultimately end at the chief operating officer's level there are safeguards, such as prior to the release of funds for payment there must be a three way match - purchase order to invoice to receipt of goods confirmation, that maintain internal control and division of responsibilities all the way up the chain of command."

Inappropriate Use of Emergency or Exigent Purchasing Technique:

Criteria: Section 10a-151b, subsection (c), of the Connecticut General Statutes sets forth the circumstances in which emergency purchases may be made without competitive bidding. Such circumstances, which are to some extent mirrored in the University's policy on "Exigent" projects, include extraordinary conditions, contingencies that could not reasonably be foreseen, and unusual trade or market conditions.

Condition: During our test of expenditure transactions we became aware of a change order to the North Hillside Road Utility Extension contract, dated February 11, 2005, in the amount of $391,835. This change order was for site work related to new tennis courts to replace the tennis courts displaced during the construction of the Burton-Shenkman athletic facility. Our analysis of the documents associated with this contract disclosed that the University considered this project to be an exigent project and as such did not utilize public notice in a major daily newspaper to solicit bids or proposals.

Our review of the nature of this project indicated that it did not meet the conditions to warrant emergency or exigent purchasing procedures.

It should be noted that documents provided to us suggest that proposals, other than the selected proposal, were received for this project, but such alternative proposals were never made available to us for inspection.

Effect: Failure to utilize public notice in a major daily newspaper to solicit bids or proposals limits competition.

Cause: University personnel believed that entering into the contract for the tennis court site work using the emergency or exigent purchasing procedure would allow for quicker completion of the tennis courts.

Recommendation: The University should limit the use of emergency or exigent purchasing procedures to those circumstances in which true emergency conditions exist. (See Recommendation 11.)

Agency Response: "The University agrees with the recommendation.

Since being reorganized in the fall of 2006, Capital Projects and Contract Administration (CPCA) follows March 2004 Board approved: "Policies Regarding Professional Services and Contractors: UConn 2000 and Other Capital Projects – outlining the authorized use and procedure for Exigent Procurement. The engaging of a contractor requires authorization of CPCA, based on a written request and recommendation from the Associate Vice President of AES prior to final approval from senior administration, for the final determination and acceptance of an Exigent Procurement request. The guidelines for determining an exigent circumstance must meet at least one of the following criteria:

- Prevent loss of grant income or other revenue

- Produce additional revenue or grant income
- Insure renovations are complete for new faculty and staff members
- Provide for safety and health of the University of Connecticut community
- Comply with any Federal or State laws or regulations
- Insure timely and orderly completion of UConn 2000 or 21st Century UConn Projects

Upon proper authorization, CPCA may enter into negotiations with the contractor(s) currently performing work at the University and create or modify a contractual relationship in order to facilitate the exigent work. Exigent purchases are reported to the Board of Trustees at its next meeting."

Payments Made to Employees at Separation from Service

Criteria: Payments to employees at separation from service should be made in accordance with contractual obligations and/or University policy.

Condition: We tested payments made to 25 employees who separated from service during the audited period. Our review disclosed errors in the calculation of amounts paid to five of these employees ranging from $93 to $835.

Effect: The former employees were not paid the correct amounts upon separation from service.

Cause: University personnel did not properly calculate amounts due to the employees. (See Recommendation 12)

Recommendation: University personnel should exercise greater care when calculating separation payments.

Agency Response: "Management agrees with the recommendation that greater care should be exercised by Payroll staff members when manually calculating separation payments. Corrections to the five underpayments identified were made in pay period ending May 24, 2007. Shortly thereafter, Payroll Management internally reassigned responsibility for the calculation of non-AAUP unclassified separations. Additionally, automated payment calculations within HCM will greatly reduce the under/overpayment risks associated with manual calculations."

RECOMMENDATIONS

Status of Prior Audit Recommendations:

In our previous report on our audit examination of the University, we presented fifteen recommendations pertaining to University operations. The following is a summary of those recommendations and the actions taken thereon:

Recommendations addressing University operations:

- The University should centralize control over the vehicle fleet by allocating the necessary resources to the Transportation Department and develop a comprehensive motor vehicle policy and procedures manual. The University has implemented the recommendation. The recommendation is not being repeated.

- In those instances in which the lowest proposal is not selected, the University should prepare documentation that provides evidence of the rationale for their decision. We did not find any significant instances in which this condition occurred. Therefore, the recommendation is not being repeated.

- In those instances in which fundamental terms upon which a contract was awarded have changed, the University should take steps to ensure that the new contract is awarded in an open and competitive process. We did not find the conditions upon which this recommendation was based during the current audit. The recommendation is not being repeated.

- The University should assign the responsibility for developing procedures to identify entities affiliated with the University, and should enter into formalized agreements with these entities. This recommendation is being repeated. (See Recommendation 3.)

- The University should publicly advertise to solicit competition for projects that have not previously been publicly advertised and for which less than three bids have been received. We did not find the conditions upon which this recommendation was based during the current audit. The recommendation is not being repeated.

- The University should increase the segregation of duties in the areas of requests for construction contract modifications and the pricing of such construction contract modifications. The University has established new procedures in an effort to implement this recommendation. The recommendation is not being repeated.

- The University should establish the scope and price of services prior to establishing contractual relationships with design professionals and engineers. In those instances in which the scope of a project significantly changes due to unforeseen circumstances, consideration should be given to soliciting new proposals in an open and competitive process. The University has established new procedures in an effort to implement this recommendation. The recommendation is not being repeated.

- For those UCONN 2000 projects for which it is anticipated that expenditures will

exceed authorized amounts, the University should seek the approval of the Board of Trustees to revise the General Obligation indenture and increase authorized amounts, prior to actually incurring the expenditures. The University has established new procedures in an effort to implement this recommendation. The recommendation is not being repeated.

- The University should solicit competitive bids or proposals in those instances in which it is estimated that an expenditure will exceed $50,000. We did not find the condition upon which this recommendation was based during the current audit. The recommendation is not being repeated.

- The University should annually submit a list of professional staff positions to the Commissioner of Administrative Services. The University has implemented this recommendation. The recommendation is not being repeated.

- All non-routine journal entries should be subject to supervisory review to insure that adequate supporting documentation exists to support the entry. The University has implemented this recommendation. The recommendation is not being repeated.

- The University should not grant dependent tuition waivers to non-university employees. The University has implemented this recommendation. The recommendation is not being repeated.

- The University should not make payments to outside parties who have liabilities to the University. We did not find the condition upon which this recommendation was based during the current audit. The recommendation is not being repeated.

- The University should require that any contract relating to the sale of University property have as a component of such contract a requirement that the University receive at least the fair market value of the property. We did not find the condition upon which this recommendation was based during the current audit. The recommendation is not being repeated.

- The University should inform employees that funds received in exchange for obligations of service by University employees must be deposited in State/University accounts. We did not find the condition upon which this recommendation was based during the current audit. The recommendation is not being repeated.

Current Audit Recommendations:

1. The University should take greater care in safekeeping important documents.

Comment:

University personnel were unable to locate the proposals from contractors competing for the University's Landfill Remediation Project.

2. **The University's Human Resource Department, in consultation with the University's Office of Vice President and Chief Financial Officer and the Office of Academic Affairs, should be actively involved in determinations related to the hiring and compensation of employees under the Special Payroll.**

   Comment:

   Certain amounts paid to personnel are established and executed without active involvement of the University's Human Resources Department.

3. **The University should enter into comprehensive and current agreements with non-profit entities affiliated with the University.**

   Comment:

   We found instances in which non-profit entities, operating in some manner at the University, had not entered into agreements with the University establishing the rights and obligations of each party.

4. **Additional scrutiny by someone having knowledge of the work performed should be given to assure the appropriateness of payments made to temporary part-time employees. In those circumstances where payments are determined to have been made in error, the University should seek recovery.**

   Comment:

   We found an instance in which a person was paid to perform personal services for which no one could attest that any personal services had been performed. The University never attempted to recover the erroneous payment.

5. **The University's Office of Travel Services should require documentation of extenuating circumstances when University personnel use premium airfare. Further, techniques should be developed to detect and reject those expenditures that are unreasonable.**

   Comment:

   We found instances in which University personnel incurring travel expenditures failed to choose the lowest priced option without providing justification.

6. **The University should limit the use of negative receiving to invoice amounts of a reasonable dollar value.**

   Comment:

   We found two instances in which the University paid for expensive items without attestation from the ordering department that the items were acceptable and complete.

7. **The University should obtain the required gift and campaign certifications at contract**

signing, as well as during the required annual updates.

Comment:

During our tests of construction contracts we noted several instances in which the University did not obtain gift and campaign certifications at contract signing and during the required annual updates.

8. **The University should adhere to its agreement with Union of Needles Trades, Industrial and Textile Employees. If the University believes additional benefits should be granted in extenuating circumstances, then procedures should be developed to assist in achieving consistent application among employees.**

Comment:

The University allowed certain employees to use paid sick and/or vacation time prior to those employees being eligible to use such paid sick or vacation time.

9. **Procedures should be developed to transfer excess cash balances to an appropriate interest bearing investment.**

Comment:

The University maintained cash balances in excess of immediate needs in a non-interest bearing account thereby foregoing interest income.

10. **In order to strengthen internal control, the University should consider having the administrative heads of the traditionally financial related departments of Payroll and Accounts Payable report to the Vice President and Chief Financial Officer.**

Comment:

Having the Payroll Department and Accounts Payable Department report to the Vice President and Chief Financial Officer would achieve greater segregation of duties.

11. **The University should limit the use of emergency or exigent purchasing procedures to those circumstances in which true emergency conditions exist.**

Comment:

We noted an instance in which a competitive procurement process was not utilized by the University based upon the assertion of the existence of emergency conditions. Our review of the nature of the transaction indicated that it did not meet the conditions to warrant emergency purchasing procedures.

12. **University personnel should exercise greater care when calculating separation payments.**

Comment:

Our test of 25 payments made to employees at separation disclosed five errors.

INDEPENDENT AUDITORS' CERTIFICATION

As required by Section 2-90 of the General Statutes, we have audited the books and accounts of the University of Connecticut for the fiscal years ended June 30, 2006 and 2007. This audit was primarily limited to performing tests of the University's compliance with certain provisions of laws, regulations, contracts and grant agreements and to understanding and evaluating the effectiveness of the University's internal control policies and procedures for ensuring that (1) the provisions of certain laws, regulations, contracts and grant agreements applicable to the University are complied with, (2) the financial transactions of the University are properly initiated, authorized, recorded, processed, and reported on consistent with management's direction, and (3) the assets of the University are safeguarded against loss or unauthorized use. The financial statement audits of the University for the fiscal years ended June 30, 2006 and 2007, are included as a part of our Statewide Single Audits of the State of Connecticut for those fiscal years.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the University complied in all material or significant respects with the provisions of certain laws, regulations, contracts and grant agreements and to obtain a sufficient understanding of the internal controls to plan the audit and determine the nature, timing and extent of tests to be performed during the conduct of the audit.

Internal Control over Financial Operations, Safeguarding of Assets and Compliance:

In planning and performing our audit, we considered the University's internal control over its financial operations, safeguarding of assets, and compliance with requirements as a basis for designing our auditing procedures for the purpose of evaluating the University's financial operations, safeguarding of assets, and compliance with certain provisions of laws, regulations, contracts and grant agreements, but not for the purpose of providing assurance on the effectiveness of the University's internal control over those control objectives.

A *control deficiency* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect on a timely basis unauthorized, illegal, or irregular transactions or the breakdown in the safekeeping of any asset or resource. A *significant deficiency* is a control deficiency, or combination of control deficiencies, that adversely affects the University's ability to properly initiate, authorize, record, process, or report financial data reliably consistent with management's direction, safeguard assets, and/or comply with certain provisions of laws, regulations, contracts, and grant agreements such that there is more than a remote likelihood that a financial misstatement, unsafe treatment of assets, or noncompliance with laws, regulations, contracts and grant agreements that is more than inconsequential will not be prevented or detected by the University's internal control.

A *material weakness* is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that noncompliance with certain provisions of laws, regulations, contracts, and grant agreements or the requirements to safeguard assets that would be material in relation to the University's financial operations, noncompliance which could result in significant unauthorized, illegal, irregular or unsafe transactions, and/or material financial misstatements by the Agency being audited will not be prevented or detected by the Agency's internal control.

Our consideration of the internal control over the University's financial operations, safeguarding of assets, and compliance with requirements would not necessarily identify all deficiencies in the internal control that might be significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over the University's financial operations, safeguarding of assets, and compliance with requirements that we consider to be material weaknesses, as defined above.

Compliance and Other Matters:

As part of obtaining reasonable assurance about whether the University of Connecticut complied with laws, regulations, contracts and grant agreements, noncompliance with which could result in significant unauthorized, illegal, irregular or unsafe transactions or could have a direct and material effect on the results of the University's financial operations, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion.

The results of our tests disclosed instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards* and which are described in the accompanying "Condition of Records" and "Recommendations" sections of this report as the following items: Recommendation 1 - inability to locate documents supporting contractor selection, Recommendation 7 - failure to obtain gift and campaign certifications, Recommendation 8 - granting of paid leave time in a manner inconsistent with contractual obligations, and Recommendation 11 - the inappropriate use of emergency or exigent purchasing technique.

The University's response to the findings identified in our audit are described in the accompanying "Condition of Records" section of this report. We did not audit the University's response and, accordingly, we express no opinion on it.

This report is intended for the information and use of University management, the Governor, the State Comptroller, the Appropriations Committee of the General Assembly and the Legislative Committee on Program Review and Investigations. However, this report is a matter of public record and its distribution is not limited.

CONCLUSION

We wish to express our appreciation to the staff of the University for the cooperation and courtesies extended to our representatives during this examination.

Gregory J. Slupecki
Principal Auditor

Approved:

Kevin P. Johnston
Auditor of Public Accounts

Robert G. Jaekle
Auditor of Public Accounts

Appendix I.4

Financial Report for the University of Connecticut Health Center, including the most recent audited financial statement

University of Connecticut Health Center

Financial Report

For the Year Ended June 30, 2010

Message from the Vice President and the Chief Financial Officer

Founded in 1881, the University of Connecticut (University) serves as the state's flagship for higher education, meeting the educational needs of undergraduate, graduate, professional, and continuing education students through the integration of teaching, research and service. The University of Connecticut is a comprehensive institution of higher education which includes the University of Connecticut Health Center (Health Center). Although governed by a single Board of Trustees, the University and its Health Center maintain separate budgets and are by statute separate entities for purposes of maintaining operating funds and state appropriations. The Health Center also has a Board of Directors to whom the Board of Trustees has delegated certain responsibility and authority. The financial statements contained herein represent the transactions and balances of the Health Center only.

The University's Board of Trustees is vested by law with fiscal oversight of the University. The operational authority granted to the University builds upon the successful implementation of several pieces of legislation known as the Flexibility Acts, enacted in the early 1990's. These statutory changes enabled the University to become responsible and accountable for its operational decisions independent of many of the previously imposed regulatory requirements. The University is now responsible for the budgetary allocation of its State appropriation, check-writing authority, human resource control, and purchasing authority and, with the advent of UCONN 2000 in 1995, management of capital activities, including projects for the Health Center starting in 2005.

While the University's operational flexibility and capacity has grown, all of these activities also take place within a context of continuing vigilance. The financial statements contained in this report reflect budget execution results consistent with spending plans, operating and capital budgets approved by the University Board of Trustees. The Board of Trustees, through its Joint Audit and Compliance Committee, exercises oversight of all University financial reporting and processes and internal control systems, as well as direct engagement in the approval of independent auditing services to augment the University's internal audit capacity and the work performed by state auditors. An important component of external oversight, the Auditors of Public Accounts issue an Independent Auditors' Report on the financial statements of the Health Center. They are responsible for auditing its financial operations and their opinion appears in this report.

The University of Connecticut Health Center is an academic medical center composed of the School of Medicine, School of Dental Medicine, John Dempsey Hospital, the UConn Medical Group and University Dentists. Established in 1961, the Health Center pursues its mission of providing outstanding health care education in an environment of exemplary patient care, research and public service. With approximately 4,530 full-time equivalent employees, the Health Center is one of Connecticut's largest employers and an important contributor to the local and regional economy. The Health Center's campus in Farmington is situated on 206 acres of wooded hilltop from which the skyline of Hartford, the capital of Connecticut, can be seen about eight miles to the east. (The University's main campus is in Storrs, about 30 miles east of Hartford.) The Health Center campus includes 39 buildings totaling over 2 million square feet.

Educational Programs

Dedicated to providing broad educational opportunities in the biomedical sciences, the Health Center offers degree programs in medicine (M.D.), dental medicine (D.M.D.), and biomedical science (Ph.D.); master's degree programs in public health and dental science; postdoctoral fellowships; residency programs providing specialty training for newly graduated physicians and dentists; and continuing education programs for practicing health care professionals. Combined degree programs, such as the M.D./Ph.D., D.M.D./Ph.D., Dental Clinical Specialty/Ph.D. and M.D./M.P.H. are also offered.

The UConn Health Center is the only academic health center in the nation where a medical school was founded concurrently with a dental school, a circumstance which led to strong links. Medical and dental students share an essentially common curriculum during the first two years of their four-year degree programs and study the basic medical sciences together. This experience provides UConn's dental students with an especially strong foundation in the biomedical sciences, reflected in the dental school's decision to award its graduates the D.M.D. (Doctor of Medical Dentistry).

Each year at UConn, about 345 students work toward the medical doctor's degree and 170 toward the doctor of medical dentistry degree. Admission to each school is highly competitive; both schools offer preferential consideration to qualified Connecticut residents in their admissions policies. School of Dental Medicine students have a long history of outstanding performance on the National Boards, ranking first among the country's 55 dental schools on these examinations in 2001 and again in 2003. In the years since the Health Center graduated its first students in 1972, 1,371 men and women have received the D.M.D. degree; 2,894 the M.D. degree.

Through a variety of residency programs, the School of Medicine provides postgraduate training for more than 550 newly graduated M.D.s each year. These physicians come from all over the country to acquire advanced skills in fields such as the surgical specialties, internal medicine, and primary care. Some of the residency training occurs on the Health Center's main campus, but much of it takes place in community hospitals in Greater Hartford, thereby extending the Health Center's positive impact on the region.

Research Programs

Since the Health Center's inception, high-quality research programs have been part of the institution's fabric. This history has enabled the Health Center to recruit distinguished researchers with expertise in neuroscience, molecular biology, molecular pharmacology, biochemistry, cell physiology, toxicology, and endocrinology, among other fields. The Alcohol Research Center is one of only 14 such federally supported centers in the nation; the Connecticut Clinical Chemosensory Research Center, one of five. In recent years, the University has also become a leader in stem cell research. Clinical research is facilitated by the Lowell Weicker General Clinical Research Center and the Clinical Trials Unit. Research awards have grown from $44.8 million in FY 97 to over $102 million in FY 10.

Health Care Services

Through John Dempsey Hospital (224 licensed beds), the Health Center provides specialized and routine inpatient and outpatient services, including comprehensive cardiovascular, cancer and musculoskeletal services, as well as high risk maternity and neonatal intensive care. John Dempsey Hospital is home to the only Emergency Department in Connecticut's fast-growing Farmington Valley and contributes to the region's health in other ways. Health Center physicians make up the UConn Medical Group, the largest medical practice in Greater Hartford, offering primary care and services in more than 50 specialties.

While the hospital and faculty practice continue to have strong volume, the challenges of the health care marketplace (recruitment, malpractice reserves and low reimbursement) continue to take their toll. John Dempsey Hospital's financial health is also directly affected by its small size, bed distribution (only half are medical/surgical), poorly reimbursed services provided as part of its public mission and cost factors resulting from its status as a state entity.

Connecticut Health

UConn Health Center faculty, staff, residents, and students participate in a variety of joint efforts to address public health and community health needs of citizens throughout our state. Under the umbrella of Connecticut Health, hundreds of projects have been developed in collaboration with other state agencies, city and town governments, community-based organizations and the public to serve the poor and uninsured by providing better medical care and health education. The UConn Health Center is committed to finding new and effective ways to reach out to the public at large as part of the University's ongoing effort to bring a better quality of life to all our citizens.

Respectfully Submitted,

Richard D. Gray
Vice President and Chief Financial Officer
University of Connecticut

John M. Biancamano
Chief Financial Officer
University of Connecticut Health Center

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STATE OF CONNECTICUT

AUDITORS OF PUBLIC ACCOUNTS

STATE CAPITOL
210 CAPITOL AVENUE
HARTFORD, CONNECTICUT 06106-1559

JOHN C. GERAGOSIAN

ROBERT M. WARD

INDEPENDENT AUDITORS' REPORT

Board of Directors of the University of Connecticut Health Center:

We have audited the accompanying statements of net assets of the University of Connecticut Health Center (Health Center) as of June 30, 2010 and 2009, and the related statements of revenues, expenses and changes in net assets and statements of cash flows for the years then ended. The Health Center is a component unit of the University of Connecticut system, which includes the University of Connecticut, the Health Center and the University of Connecticut Foundation, Inc. These financial statements are the responsibility of the Health Center's management. Our responsibility is to express an opinion on these financial statements based on our audit. We did not audit the financial statements of the John Dempsey Hospital, which represented 18 and 24 percent of the assets of the Health Center as of June 30, 2010 and 2009, respectively and 33 and 32 percent of the revenues of the Health Center for the years then ended. Those financial statements were audited by other auditors whose reports thereon has been furnished to us, and our opinion, insofar as it relates to the amounts included for the John Dempsey Hospital, is based on the reports of the other auditors. The audits of the John Dempsey Hospital were conducted in accordance with auditing standards generally accepted in the United States of America.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits and the reports of the other auditors provide a reasonable basis for our opinion.

In our opinion, based upon our audits and the reports of other auditors, the financial statements referred to above present fairly, in all material respects, the financial position of the Health Center, as of June 30, 2010 and 2009, and the results of its operations and changes in net assets and its cash flows for the years then ended, in conformity with accounting principles generally accepted in the United States of America.

The Management Discussion and Analysis on pages 2 through 9 is not a required part of the basic financial statements of the Health Center, but is supplementary information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquires of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the Health Center's basic financial statements. The introductory section and the consolidating statements are presented for purposes of additional analysis and are not a required part of the basic financial statements. The consolidating statements have been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, are fairly stated, in all material respects, in relation to the basic financial statements taken as a whole. The introductory section has not been subjected to the auditing procedures applied in the audit of the basic financial statements and, accordingly, we express no opinion on it.

Sincerely,

Robert M. Ward
Auditor of Public Accounts

John C. Geragosian
Auditor of Public Accounts

January 27, 2011
State Capitol
Hartford, Connecticut

MANAGEMENT'S DISCUSSION & ANALYSIS

Management's Discussion and Analysis

INTRODUCTION

The following discussion and analysis provide an overview of the financial position and activities of the University of Connecticut Health Center (the "Health Center") for the year ended June 30, 2010. This discussion has been prepared by management and should be read in conjunction with the financial statements and the notes thereto, which follow this section.

Founded in 1881, the University of Connecticut (University) serves as the state's flagship for higher education, meeting the educational needs of undergraduate, graduate, professional, and continuing education students through the integration of teaching, research and service. The University of Connecticut is a comprehensive institution of higher education, which includes the University of Connecticut Health Center. Although governed by a single Board of Trustees, the University of Connecticut and its Health Center maintain separate budgets and are by statute separate entities for purposes of maintaining operating funds and state appropriations. The Health Center also has a Board of Directors to whom the Board of Trustees has delegated certain responsibility and authority.

The financial statements presented here represent the transactions and balances of the Health Center only. The Health Center offers medical and dentistry degrees and operates a physician/dentist practice and a teaching and research hospital. The Health Center's component parts are the School of Medicine, School of Dental Medicine, UConn Medical Group, the University of Connecticut Finance Corporation and University Dentists ("Primary Institution") and John Dempsey Hospital (the "Hospital"). The Health Center's enrollment in fiscal year 2010 was 346 in the School of Medicine, 170 in the School of Dental Medicine, and 354 Graduate students, taught by over 413 full time equivalent (FTE) faculty members. The Health Center in total employs approximately 4,530 FTE's. John Dempsey Hospital (JDH) has 204 acute care beds and 20 nursery beds and in fiscal year 2010 provided care to over 360,000 inpatient and outpatient visits. UConn Medical Group (UMG) in fiscal year 2010 provided care to over 552,000 unique patient visits.

The following Management's Discussion and Analysis (MD&A) is required supplemental information. Its purpose is to provide users of the basic financial statements with a narrative introduction, overview and analysis of those statements. It is designed to assist readers in understanding the accompanying financial statements required by GASB. This discussion, which is unaudited, includes an analysis of the financial condition and results of activities of the Health Center for the fiscal year ended June 30, 2010, based on currently known facts, decisions, or conditions. As the MD&A presentation includes highly summarized information, it should be read in conjunction with the accompanying financial statements and related notes to the financial statements. The financial statements, notes to the financial statements, and this MD&A are the responsibility of management.

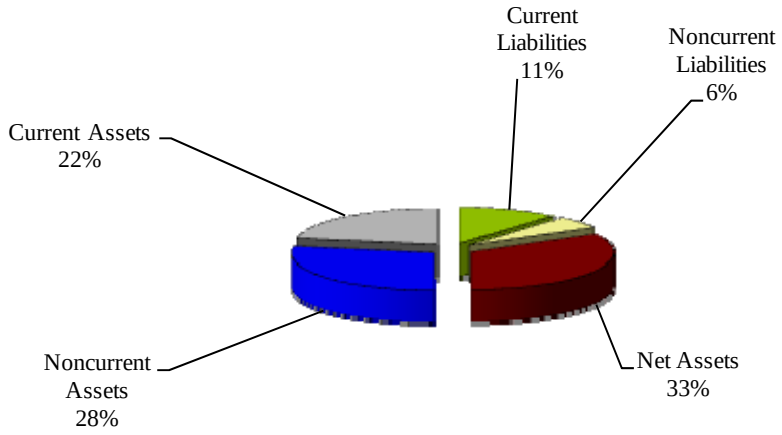
OVERVIEW OF THE FINANCIAL STATEMENTS

This annual report consists of management's discussion and analysis and the financial statements. The basic financial statements (statements of net assets, statements of revenues, expenses and changes in net assets and statements of cash flows) present the financial position of the Health Center at June 30, 2010, and the results of operations and financial activities for the year then ended. These statements report information about the Health Center using accounting methods similar to those used by private-sector companies. In addition, a prior year column is presented for comparison purposes. The statement of net assets includes all of the Health Center's assets and liabilities. The statement of revenues, expenses and changes in net assets reflects the year's activities on the accrual basis of accounting, i.e., when services are provided or obligations are incurred, not when cash is received or paid. These statements report the Health Center's net assets and how they have changed. Net assets (the difference between assets and liabilities) are one way to measure financial health or position. The statements of cash flows provides relevant information about each year's cash receipts and cash payments and classifies them as to operating, investing, noncapital financing and capital and related financing activities. The financial statements include notes that explain information in the financial statements and provide more detailed data.

FINANCIAL HIGHLIGHTS

The Health Center's financial position at June 30, 2010, consisted of assets of $520 million and liabilities of $174.2 million. Net assets, which represent the residual interest in the Health Center's assets after liabilities are deducted, increased $34.8 million during fiscal year 2010 to $345.8 million at June 30, 2010.

Statement of Net Assets



The increase in net assets is primarily attributable to an increase in capital appropriations.

Changes in net assets represent the operating activity of the Health Center, which results from revenues, expenses, gains and losses, and are summarized for the years ended June 30, 2010, 2009, and 2008 as follows:

	(in millions)		
	2010	**2009**	**2008**
Total operating revenue	$ 564.6	$ 565.1	$ 547.5
Total operating expenses	775.6	778.2	746.1
Operating (loss)	(211.0)	(213.1)	(198.6)
Other changes in net assets	245.8	253.1	197.1
Increase/(Decrease) in net assets	$ 34.8	$ 40.0	$ (1.5)

The financial statements contained herein show an operating loss of $211 million for the year ending June 30, 2010 (fiscal year 2010). The measure more indicative of normal and recurring activities is net income before capital appropriations, which includes revenue from state appropriations. Additions to capital assets are, in a large part, funded by capital appropriations from the state and issuance of UCONN 2000 bond funds, which are not included as revenues in this measurement. However, depreciation expense on those assets is included as an expense in calculating operating income, so a loss under this measurement is expected. The Health Center experienced a loss before capital appropriations of $774,189 in fiscal year 2010.

Some sources of recurring operating and nonoperating revenues increased in 2010 and most are expected to have slight increases in 2011, including tuition and fees revenue, patient service revenues and contract revenues. State support, not including state funded capital appropriations, increased 4.8% from the prior year inclusive of a prior year deficit appropriation of $22.9 million.

STATEMENTS OF NET ASSETS

The statements of net assets present the financial position of the Health Center at the end of the fiscal years and includes all assets and liabilities of the Health Center. The difference between total assets and total liabilities—net assets—is one indicator of the current financial condition of the Health Center, while the change in net assets is an indicator of whether the overall financial condition has improved or worsened during the year. Assets and liabilities are generally measured using current values. One notable exception is capital assets, which are stated at historical cost less an allowance for depreciation. A summary of the Health Center's assets, liabilities and net assets at June 30, 2010, 2009, and 2008 is as follows:

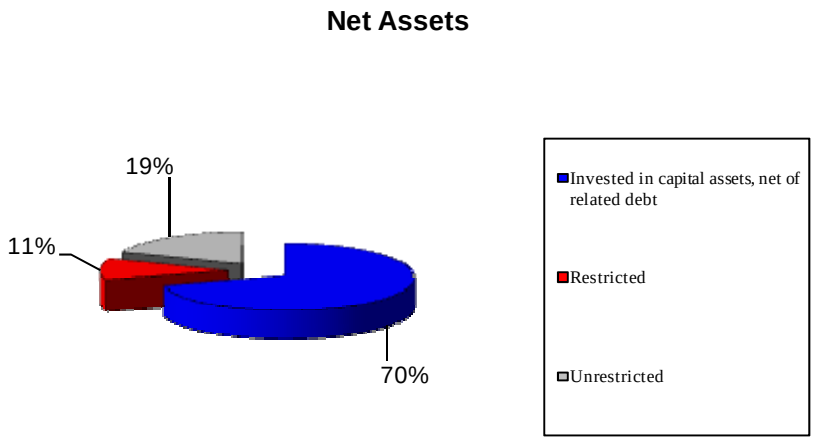
	(in millions)		
	2010	**2009**	**2008**
Current assets	$ 230.5	$ 204.9	$ 177.4
Noncurrent assets:			
Capital assets, net	277.1	252.8	239.9
Other	12.4	27.4	27.6
Total assets	520.0	485.1	444.9
Current liabilities	117.1	101.7	100.3
Noncurrent liabilities	57.1	72.4	73.6
Total liabilities	174.2	174.1	173.9
Net assets	$ 345.8	$ 311.0	$ 271.0

The total assets of the Health Center increased by $34.9 million, or 7.2%, over the prior year. The increase was primarily due to the increase in cash. See the Statement of Cash Flows for details. Additionally, capital assets increased $24.3 million mainly due to projects associated with UConn 2000 bond funds.

The total liabilities for the year increased by $92,000 or less than 1% with increases in Accrued Salaries, Compensated Absences, Due to Third Party Payers associated with cost report filings of the John Dempsey Hospital offset by lower Malpractice Reserves and scheduled principal payments on long term debt made during FY 2010.

Net Assets

Net assets represent the residual interest in the Health Center's assets after liabilities are deducted. The Health Center had net assets of $345.8 million at June 30, 2010, which were made up of the following:



STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS

The statement of revenues, expenses and changes in net assets presents the Health Center's results of operating and nonoperating activities. A summary of the Health Center's revenues, expenses and changes in net assets for the years ended June 30, 2010, 2009 and 2008 are as follows:

	(in millions)		
	2010	**2009**	**2008**
Operating revenues			
Patient Services	$ 405.7	$ 413.2	$ 399.3
Grants and Contracts	88.0	88.3	87.0
Other	70.9	63.6	61.2
Total operating revenue	564.6	565.1	547.5
Operating expenses			
Patient services	464.4	471.2	445.7
Instruction	126.2	115.3	109.5
Other	185.0	191.7	190.9
Total operating expenses	775.6	778.2	746.1
Operating (loss)	(211.0)	(213.1)	(198.6)
Net nonoperating revenues	210.2	212.8	197.3
Total other revenues	35.6	40.3	-0.2
Inc/(Dec) in net assets	$ 34.8	$ 40.0	$ (1.5)

Revenue highlights for the year ending June 30, 2010, including operating and nonoperating revenues and capital additions, presented on the Statements of Revenues Expenses, and Changes in Net Assets are as follows:

- The largest source of revenue was patient service revenue. Net Patient service revenue decreased $7.6 million or 1.8% less than the prior year. Prior to eliminations the decrease for John Dempsey Hospital was $1 million. Decreases in John Dempsey Hospital are the result of decreased volume in both inpatient and outpatient census. Correctional Managed Health Care program revenues decreased $7.2 million or 7.2% which reflects decreased costs related to the agreement with the State of Connecticut Department of Correction. More detailed information about the Health Center's patient revenue is presented in note 4 of the financial statements.

- The state appropriation (including in-kind fringe benefits), which is included in nonoperating revenues, totaled $218.5 million. This represents a 4.8% increase over the prior year and includes increases in in-kind fringe benefits associated with salary expense of general funded employees.

Highlights of expenses including operating and nonoperating expenses presented on the Statements of Revenues, Expenses and Changes in Net Assets are as follows:

- Patient service expense is the largest expense category for the Health Center; it accounts for 59.9% of total operating expenses. It decreased to $464.4 million or 1.5% under the prior year. The decrease is mainly attributable to the decreases in patient volume for the John Dempsey Hospital and UConn Medical Group.

- Instruction, the Health Center's second largest operating expense, increased $10.9 million or 9.5%. The increase reflects slight increases in average faculty salaries and increase in fringe benefit expense some of which is included in the in-kind fringe benefit recovery reported as income in the state appropriation line in the nonoperating revenues (expenses) section.

STATEMENTS OF CASH FLOWS

The statements of cash flows provide additional information about the Health Center's financial results by reporting the major sources and uses of cash. A summary of the statements of cash flows for the years ended June 30, 2010, 2009, and 2008 is as follows:

	(in millions)		
	2010	**2009**	**2008**
Cash received from operations	$ 579.8	$ 566.5	$ 563.5
Cash expended for operations	(661.2)	(667.2)	(634.1)
Net cash used in operating activities	(81.4)	(100.7)	(70.6)
Net cash provided by (used in) investing activities	4.0	7.5	(1.6)
Net cash provided by noncapital financing activities	132.8	132.8	117.4
Net cash used in capital and related financing activities	(28.9)	(29.6)	(23.2)
Net increase in cash and cash equivalents	26.5	10.0	22.0
Cash and cash equivalents, beginning of the year	77.1	67.1	45.1
Cash and cash equivalents, end of the year	$ 103.6	$ 77.1	$ 67.1

CAPITAL AND DEBT ACTIVITIES

During fiscal year 2010 the Health Center participated in the UCONN 2000 program. This is the third phase of the program also known as 21st Century UConn, which provides $1.3 billion for improvements to facilities at the University and the Health Center. The Health Center is scheduled to receive $305 million over the life of this program. During fiscal year 2010 the Health Center received $35.6 million from the UCONN 2000 bond issuance which is included in the capital appropriation line in the Statements of Revenues, Expenses, and Changes in Net Assets. There was no bond issuance during the prior year and therefore no associated revenue was recorded.

At June 30, 2010, the Health Center had plant and equipment, net of accumulated depreciation, of $277.1 million. The Health Center's fiscal 2011 capital budget projects spending of approximately $73.3 million, includes $45.0 million from issuance of UCONN 2000 Bond Funds, and $28.3 million from other Health Center sources.

Debt activity during fiscal year 2010 was the annual payments for the bonds and loans outstanding and lease payments on capital leases entered into by the Hospital. More detailed information about the Health Center's capital assets and debt activities are presented in notes 5 and 7 of the financial statements.

FISCAL YEAR 2011 OUTLOOK

Results of operations for the first five months of Fiscal Year 2011 indicate a $3.2 million gain as compared to a budgeted breakeven. Achieving a breakeven for the Health Center appears achievable.

On June 4, 2010 Governor M. Jodi Rell signed into law plans to establish the UConn Health Network (the Network) – a unique partnership with area hospitals aimed at creating jobs and improving access to quality health care in the state. The centerpiece of the partnership is a new patient care tower and renovations to John Dempsey Hospital at the Health Center. The plan will also include increased classroom and lab space for more medical and dental students aimed at alleviating an expected shortage of doctors and dentists in the state. The governor estimates the state "stands to gain 5,000 new jobs in the years to come." The UConn Health Network would involve the cooperation of all the area hospitals including Hartford Hospital, St. Francis Hospital and Medical Center, Connecticut Children's Medical Center, and other health care facilities and providers.

The plan is estimated to cost $352 million and includes $237 million in borrowing. Twenty-five million of that will be reallocated from bonds originally earmarked for other UConn Health Center projects. Features of the Network include:

1. Neonatal Intensive Care Unit: The operations will be managed by Connecticut Children's Medical Center. Patients will continue to be treated at the Health Center; NICU physicians and staff will remain Health Center employees. A Certificate of Need application will be filed to seek approval for the transfer.

2. Nationally recognized cancer center: The goal will be to achieve National Institutes of Health designation as a Comprehensive Cancer Center, making it the second in the state outside of Yale.

3. Regional Simulation Center: It will train up to 2,000 medical practitioners each year on newest equipment and technology in simulated care settings and will be located at Hartford Hospital.

4. Primary Care Institute: It will be located at St. Francis Hospital and will develop new models of chronic disease management and primary care delivery and education. It will also serve to address the impending shortage of primary care providers in Connecticut.

5. Health Disparities Institute: It will promote enhanced healthcare research, training and delivery to minority communities.

6. Institute for Clinical and Translational Sciences: It will be a super-site by network partners and will speed lab-to-bedside clinical trials and breakthrough medicine.

7. Bioscience Enterprise Zone: It will offer state tax breaks to private companies that create jobs and work with UConn Health Network partners.

CONTACTING THE HEALTH CENTER'S FINANCIAL MANAGEMENT

This financial report provides the reader with a general overview of the Health Center's finances and operations. If you have questions about this report or need additional financial information, please contact the Office of the Chief Financial Officer, University of Connecticut Health Center, Farmington, Connecticut 06030.

FINANCIAL STATEMENTS

UNIVERSITY OF CONNECTICUT HEALTH CENTER
STATEMENTS OF NET ASSETS
As of June 30, 2010 and 2009

	2010	2009
ASSETS		
Current Assets		
Cash and cash equivalents	$ 97,647,270	$ 57,935,895
Patient receivables, net	42,279,080	48,523,927
Contract and other receivables	27,370,131	32,460,165
Due from Affiliates	30,817,478	35,488,325
Due from State of Connecticut	8,675,651	7,593,527
Due from Department of Correction	7,633,769	6,098,479
Inventories	9,574,684	7,447,932
Due from third party payors	-	2,676,748
Prepaid expenses	6,462,824	6,646,457
Total current assets	230,460,887	204,871,455
Noncurrent Assets		
Restricted cash and cash equivalents	5,999,193	19,220,613
Other assets	772,834	740,937
Assets limited as to use	5,258,103	6,746,019
Due from State of Connecticut	403,344	713,824
Capital assets, net	277,112,484	252,786,451
Total noncurrent assets	289,545,958	280,207,844
Total assets	$ 520,006,845	$ 485,079,299
LIABILITIES		
Current Liabilities		
Accounts payable and accrued liabilities	$ 34,376,669	$ 31,833,081
Due to State of Connecticut	4,843,688	4,880,610
Accrued salaries	29,157,065	26,744,974
Compensated absences	16,817,072	17,743,850
Due to third party payors	2,833,399	-
Deferred revenue	9,598,975	9,717,727
Malpractice reserve	5,900,000	6,910,000
Long-term debt - current portion	13,523,336	3,896,045
Total current liabilities	117,050,204	101,726,287
Noncurrent Liabilities		
Malpractice reserve	12,415,000	18,315,000
Compensated absences	24,200,176	20,009,022
Long-term debt	20,500,910	34,024,247
Total noncurrent liabilities	57,116,086	72,348,269
Total liabilities	$ 174,166,290	$ 174,074,556
NET ASSETS		
Invested in capital assets, net of related debt	$ 243,088,238	$ 216,043,925
Restricted for		
Nonexpendable		
Scholarships	61,451	61,451
Expendable		
Research	4,358,925	4,250,376
Loans	1,863,644	2,400,875
Capital projects	30,648,940	32,802,019
Unrestricted	65,819,357	55,446,097
Total net assets	$ 345,840,555	$ 311,004,743

The accompanying notes are an integral part of these financial statements.

UNIVERSITY OF CONNECTICUT HEALTH CENTER
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET ASSETS
For the Years Ended June 30, 2010 and 2009

	2010	2009
OPERATING REVENUES		
Student tuition and fees (net of scholarship allowances of $4,451,437 and $4,134,654, respectively)	$ 12,163,266	$ 11,578,853
Patient services (net of charity care of $1,013,714 and $840,699, respectively)	405,660,387	413,226,263
Federal grants and contracts	59,357,473	60,479,262
Nongovernmental grants and contracts	28,673,290	27,784,536
Contract and other operating revenues	58,790,499	52,017,838
Total operating revenues	564,644,915	565,086,752
OPERATING EXPENSES		
Educational and General		
Instruction	126,205,942	115,260,386
Research	59,967,127	59,329,330
Patient services	464,366,234	471,209,020
Academic support	14,469,371	16,110,423
Institutional support	55,016,299	59,122,168
Operations and maintenance of plant	26,222,949	27,073,219
Depreciation	28,881,299	29,168,032
Loss on disposal	37,593	280,860
Student aid	480,034	659,089
Total operating expenses	775,646,848	778,212,527
Operating loss	(211,001,933)	(213,125,775)
NONOPERATING REVENUES (EXPENSES)		
State appropriations	218,483,899	208,531,369
Transfers to State	(10,000,000)	-
Gifts	1,602,111	981,803
Investment income (net of investment expense of $78,000 and $83,615, respectively)	2,506,113	5,884,533
Interest on capital asset - related debt	(2,364,379)	(2,574,423)
Net nonoperating revenues	210,227,744	212,823,282
Loss before other revenues, expenses, gains or losses	(774,189)	(302,493)
Capital appropriations	35,610,000	40,275,800
Total other revenues	35,610,000	40,275,800
Increase in net assets	34,835,811	39,973,307
NET ASSETS		
Net assets-beginning of year	311,004,743	271,031,436
Net assets-end of year	$ 345,840,554	$ 311,004,743

The accompanying notes are an integral part of these financial statements.

UNIVERSITY OF CONNECTICUT HEALTH CENTER
STATEMENTS OF CASH FLOWS
For the Years Ended June 30, 2010 and 2009

	2010	2009
Cash flows from operating activities:		
Cash received from patients and third-party payors	$ 415,880,090	$ 415,583,629
Cash received from tuition and fees	12,163,266	11,578,853
Cash received from grants, contracts and other revenue	151,792,544	139,315,114
Cash paid to employees for personal services and fringe benefits	(423,457,732)	(438,088,917)
Cash paid for other than personal services	(237,794,418)	(229,069,438)
Net cash used in operating activities	(81,416,250)	(100,680,759)
Cash flows from investing activities:		
Net change in malpractice, advances and bond trust funds	1,487,916	1,677,428
Interest received	2,495,854	5,819,033
Net cash provided by investing activities	3,983,770	7,496,461
Cash flows from noncapital financing activities:		
State appropriations	131,234,347	131,812,205
Gifts	1,602,111	981,803
Net cash provided by noncapital financing activities	132,836,458	132,794,008
Cash flows from capital and related financing activities:		
Additions to property and equipment	(53,244,925)	(42,332,954)
Transfer to State	(10,000,000)	—
Capital appropriations	40,591,327	19,598,754
Interest paid	(2,364,379)	(2,574,423)
Net repayment, proceeds of long-term debt	(3,896,046)	(4,287,753)
Net cash used in capital and related financing activities	(28,914,023)	(29,596,376)
Net increase in cash and cash equivalents	26,489,955	10,013,334
Cash and cash equivalents at beginning of year	77,156,508	67,143,174
Cash and cash equivalents at end of year	$ 103,646,463	$ 77,156,508

The accompanying notes are an integral part of these financial statements.

UNIVERSITY OF CONNECTICUT HEALTH CENTER
STATEMENTS OF CASH FLOWS (Continued)
For the Years Ended June 30, 2010 and 2009

Reconciliation of operating loss to net cash used in operating activities:

	2010	2009
Operating loss	$ (211,001,933)	$ (213,125,775)
Adjustments to reconcile operating income to net cash		
Used in operating activities:		
Depreciation and loss on disposal	28,918,892	29,448,892
Personal services and fringe benefits in-kind from State	86,042,756	76,018,160
Changes in assets and liabilities:		
Patients receivables, net	6,244,847	(689,720)
Contract and other receivables	5,224,966	1,079,318
Due from DOC	(1,535,290)	3,325,372
Inventories	(2,126,752)	190,731
Third party payors	5,510,147	(278,285)
Prepaid expenses	183,633	(77,475)
Other assets	(31,897)	(49,328)
Accounts payable and accrued liabilities	2,543,588	(1,998,827)
Due to State of Connecticut	(36,922)	155,602
Accrued salaries	2,412,091	1,442,356
Compensated absences	3,264,376	1,854,128
Deferred revenue	(118,752)	(1,910,908)
Malpractice reserve	(6,910,000)	3,935,000
Net cash used in operating activities	$ (81,416,250)	$ (100,680,759)

The accompanying notes are an integral part of these financial statements.

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NOTES TO FINANCIAL STATEMENTS

Notes to Financial Statements
For the Years Ended June 30, 2010 and 2009

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Related Entities

The University of Connecticut Health Center (the "Health Center") is a part of a comprehensive institution of higher education, the University of Connecticut (the "University"). Although governed by a single Board of Trustees, the Health Center and the University maintain separate budgets and are by statute separate entities for purposes of maintaining operating funds and state appropriations. The Health Center also has a Board of Directors to whom the Board of Trustees has delegated certain responsibility and authority. These financial statements represent transactions and balances of the Health Center for the years ended June 30, 2010 and 2009, which includes the School of Medicine, School of Dental Medicine, UConn Medical Group, University of Connecticut Health Center Finance Corporation and University Dentists (the "Primary Institution") and John Dempsey Hospital (the "Hospital") The Health Center offers medical and dentistry degrees and operates a physician/dentist practice and a teaching and research hospital. There is also an affiliated entity that supports the mission of the Health Center: The University of Connecticut Foundation Inc. (the "Foundation"). The Foundation raises funds to promote, encourage, and assist education and research at the University, including its Health Center.

Basis of Presentation

The Health Center's financial statements are prepared in accordance with all relevant Governmental Accounting Standards Board (GASB) pronouncements. GASB No. 20, "Accounting and Financial Reporting for Proprietary Funds and Other Governmental Entities That Use Proprietary Fund Accounting," states that proprietary activities may elect to apply the provisions of Financial Accounting Standards Board (FASB) pronouncements issued after November 30, 1989 that do not conflict with or contradict GASB pronouncements. The Health Center has not elected this option.

Effective July 1, 2001, the Health Center adopted GASB Statement No. 35, *Basic Financial Statements - and Management's Discussion and Analysis - for Public Colleges and Universities*, as amended by GASB Statements Nos. 37 and 38. GASB Statement No. 35 establishes standards for financial reporting for public colleges and universities. These reporting standards focus on the University as a whole rather than on accountability by individual fund groups and provide accounting and financial reporting guidelines, enhancing the usefulness and comprehension of financial reports by external users. To that end, GASB requires that resources be classified for accounting and reporting purposes into the following net asset categories:

- **Invested in capital assets, net of related debt:** Capital assets, net of accumulated depreciation, and reduced by outstanding principal balances of borrowings attributable to the acquisition, construction, or improvement of those assets.

- **Restricted nonexpendable:** Represents endowment and similar type assets in which donors or outside sources have stipulated, as a condition of the gift instrument, that the principal is to be maintained inviolate and in perpetuity and invested for the purpose of producing present and future income, which may be expended or reinvested in principal.

- **Restricted expendable:** Net assets that are expendable but where the Health Center is legally or contractually obligated to spend the resources in accordance with restrictions imposed by external third parties.

- **Unrestricted:** Consists of net assets that do not meet the definition of "restricted" or "invested in capital assets, net of related debt." These assets are not subject to externally imposed stipulations. These assets, while not restricted, are generally designated to support instruction, research, auxiliary enterprises, and capital projects.

For reporting periods beginning after June 15, 2005, GASB Statement No. 47, *Accounting for Termination Benefits*, was required for universities. This statement requires employers to recognize a liability and expense for voluntary termination benefits when the termination offer is accepted and the amount of the benefits can be estimated. Any pension liability related to early retirement is the State's responsibility and therefore none is recorded by the Health Center (see Note 10).

Use of Estimates
The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Proprietary Fund Accounting
The Health Center utilizes the proprietary fund method of accounting whereby revenue and expenses are recognized on the accrual basis. All revenues and expenses are subject to accrual.

Basis of Presentation
All significant intra-agency transactions have been eliminated in the presentation of the Consolidated Financial Statements. Additional information about eliminations may be found in the supplemental schedules.

Operating and Non-operating revenues:
The Health Center breaks out revenues between operating and non-operating based on the nature of the transaction as being either an exchange or non-exchange transaction. Exchange transactions principally include services provided by the Health Center to the community. Non-exchange transactions include State Appropriations, Gifts, and Investment returns.

Cash and Cash Equivalents:
The Health Center considers all funds that have not been otherwise board designated and which are held on its behalf by the State of Connecticut to be cash.

Accounts Receivable and Net Patient Service Revenues
Net patient service revenues are reported at the estimated net realizable amounts from patients, third-party payers, and others for services rendered, including estimated retroactive adjustments under reimbursement agreements with third-party payers. Settlements are accrued on an estimated basis in the period the related services are rendered and adjusted in future periods as final settlements are determined.

Investments and Investment Income
The State of Connecticut has established various funds to account for the operations of the Health Center. These funds include the University Health Center Operating Fund (Fund 12018), the University Health Center Research Foundation Fund (Fund 12023), the University Health Center Hospital Fund (Fund 21002) and the John Dempsey Hospital Malpractice Trust Fund (Fund 35015). Grants and contracts for research and related retained overhead recoveries are accounted for in the Research Foundation Fund. The Malpractice Trust Fund accounts for assets set aside based on actuarial funding recommendations. The Operating Fund acts as a "General Fund" for the Health Center, accounting for all operations not accounted for elsewhere.

Unrestricted Research Foundation Fund and Malpractice Trust Fund assets in excess of immediate cash needs are invested in the State of Connecticut Short-Term Investment Fund (STIF). Most restricted Research Foundation Fund assets are not invested, though there are certain exceptions including gift accounts and funds invested at the request of sponsoring organizations. Local student activity funds controlled by the Health Center are also invested in STIF; these funds are minimal in amount.

The STIF, which was established and is operated under Sections 3-27a through 3-27i of the General Statutes, provides State agencies, funds, political subdivisions and others with a mechanism for investing at a daily-earned rate with interest from day of deposit to day of withdrawal. STIF participants have daily access to their account balances. Underlying investments of the STIF are mainly in money market instruments.

Though Operating Fund participation in STIF is not significant, the Health Center earns interest on Operating Fund cash balances through the State Treasurer's interest credit program. Under this program, the Treasurer pays the Health Center STIF equivalent interest on the average daily cash balance held in the Operating Fund each quarter. Additionally, interest is paid on monies transferred from the Health Center's civil list funds into the direct disbursement account used to process checks issued directly to vendors by the Health Center. Though the balance in this account may include assets of the Operating, Research Foundation and Hospital Funds, all interest earned is credited to the Operating Fund.

The Hospital Fund does not participate in STIF or, other than described above, the Treasurer's interest credit program.

Investment Income also includes amounts received from endowments.

Inventories
Consumable supplies are expensed when received with the exception of certain central inventories. Cost of the inventory is determined on a moving average basis for the Central Warehouse, and on a first-in, first-out basis for the others.

Capital Assets
Property and equipment acquisitions are recorded at cost. Betterments and major renewals are capitalized and maintenance and repairs are expensed as incurred.

Depreciation is provided over the estimated useful life of each class of depreciable asset and is computed using the straight-line method. Buildings have an estimated useful life of 5 to 50 years and equipment has an estimated useful life of 2 to 25 years.

Medical Malpractice
Health care providers and support staff of the Hospital are fully protected by state statutes from any claim for damage or injury, not wanton, reckless or malicious, caused in the discharge of their duties or within the scope of their employment ("statutory immunity"). Any claims paid for actions brought against the State as permitted by waiver of statutory immunity have been charged against the Health Center's malpractice self-insurance fund. Effective July 1, 1999, the Health Center developed a methodology by which it could allocate malpractice costs between the Hospital and UMG. For the years ended June 30, 2010, and 2009, these costs are included in the statements of revenues, expenses and changes in net assets.

Reclassification
Certain amounts in the 2009 financial statements have been reclassified to conform to the 2010 presentation.

Regulatory Matters
The Hospital is required to file semi-annual and annual operating information with the State of Connecticut Office of Health Care Access ("OHCA"), and is required to file annual cost reports with Medicare and Medicaid.

2. CASH DEPOSITS AND INVESTMENTS

Statement No. 40 of the GASB requires governmental entities to disclose credit risk associated with cash deposits and investment balances, and investment policies applied to mitigate such risks, especially as it relates to uninsured and unregistered investments for which the securities are held by the broker or dealer, or by its trust department or agent, but not in the Health Center's name.

The Health Center's cash and cash equivalents, current and noncurrent, balance was $103,646,463 and $77,156,508, as of June 30, 2010 and 2009, respectively and included the following:

	2010	2009
Cash maintained by State of Connecticut Treasurer	$ 55,412,369	$ 20,612,497
Invested in State of Connecticut Short-Term Investment Fund	47,863,030	56,193,372
Deposits with Financial Institutions and Other	369,564	349,139
Currency (Change Funds)	1,500	1,500
Total cash and cash equivalents	103,646,463	77,156,508
Less: current balance	97,647,270	57,935,895
Total noncurrent balance	$ 5,999,193	$ 19,220,613

Collateralized deposits are protected by Connecticut statute. Under this statute, any bank holding public deposits must at all times maintain, segregated from its other assets, eligible collateral in an amount equal to at least a certain percentage of its public deposits. The applicable percentage is determined based on the bank's risk-based capital ratio – a measure of the bank's financial condition. The collateral is kept in the custody of the trust department of either the pledging bank or

another bank in the name of the pledging bank. Portions of the bank balance of the State of Connecticut were insured by the Federal Deposit Insurance Corporation or collateralized. As a State agency, the Health Center benefits from this protection, though the extent to which the deposits of an individual State agency such as the Health Center are protected cannot be readily determined.

Short-Term Investment Fund (STIF)

STIF is a money market investment pool in which the State, municipal entities, and political subdivisions of the State are eligible to invest. The State Treasurer is authorized to invest monies of STIF in United States government and agency obligations, certificates of deposit, commercial paper, corporate bonds, savings accounts, bankers' acceptances, repurchase agreements, asset-backed securities, and student loans. For financial reporting purposes, STIF is considered to be "cash equivalents" in the statement of net assets.

The Health Center's cash management investment policy authorizes the Health Center to invest in the State Treasurer's Short Term Investment Fund, United States Treasury bills, United States Treasury notes and bonds, United States Government Agency obligations, banker's acceptances, certificates of deposit (including EURO Dollars), commercial paper, money market funds, repurchase agreements and savings accounts. The $47,863,030 invested in the State of Connecticut Investment Pool is invested by the State Treasurer in its Short-term Investment Fund and had a Standard and Poor's rating of AAAm during fiscal year 2010.

Certain funds are held by outside fiscal agents and are not under the direct control of the Health Center. Accordingly, the assets of these funds are not included in the financial statements. The fair value amount of these funds was $2,539,982 and $2,538,880 as of June 30, 2010 and 2009, respectively. Investment income earned on these assets is transferred to the Health Center in accordance with the applicable trust agreement. Income received from those sources for the years ended June 30, 2010 and 2009 was $11,022 and $37,521, respectively.

3. CHARITY CARE

The Hospital maintains records to identify and monitor the level of charity care it provides. These records include the amount of charges forgone for services and supplies furnished under its charity care policy, the estimated cost of those services and supplies, and equivalent service statistics. During 2010 and 2009, the Hospital provided charity care services of $1,013,714 and $840,699, respectively. The cost basis of these services was $502,625 and $416,379. All related expenses are included in operating expenses.

4. NET PATIENT SERVICE REVENUE

The Health Center provides health care services primarily to residents of the region. Laws and regulations governing the Medicare and Medicaid programs are complex and subject to interpretation. The Health Center believes that it is in compliance with all applicable laws and regulations and is not aware of any pending or threatened investigations involving allegations of potential wrongdoing. While no such regulatory inquiries are outstanding, compliance with such laws and regulations can be subject to future government review and interpretation as well as significant regulatory action including fines, penalties, and exclusion from the Medicare and Medicaid programs. Changes in the Medicare and Medicaid programs and the reduction of funding levels could have an adverse impact on the Health Center.

The Health Center has agreements with third-party payers that provide for payments at amounts different from its established rates. These third party payers include Medicare, Medicaid and certain commercial insurance carriers and Health Maintenance Organizations. Additionally, under the Correctional Managed Health Care Program, the Health Center provides medical, dental and psychiatric care to the inmates incarcerated at the State's correctional facilities. This program is funded from the State's General Fund through the Department of Correction.

Patient service revenue for the Health Center is as follows:

	2010		2009	
John Dempsey Hospital				
Gross patient services revenue	$ 514,239,006		$ 469,647,440	
Less allowances	260,249,422		218,514,352	
Less bad debts	7,834,037		4,252,105	
Net patient service revenue		246,155,547		246,880,983
UConn Medical Group				
Gross patient services revenue	195,368,341		194,182,838	
Less allowances	117,452,546		114,385,267	
Less bad debts	1,550,515		995,025	
Net patient service revenue		76,365,280		78,802,546
Correctional Managed Health Care		92,219,790		99,371,423
All other		2,916,228		3,692,526
Total net patient service revenue per business unit		417,656,845		428,747,478
Eliminations		(11,996,458)		(15,521,215)
Total net patient service revenue	$	405,660,387	$	413,226,263

(Amounts above include internal transactions eliminated on face of statements. See Supplemental Information for greater details)

5. CAPITAL ASSETS

Capital assets at June 30, 2010 and 2009 consisted of the following:

	2010	2009
Land	$ 8,423,594	8,423,594
Construction in Progress	73,977,330	50,636,930
Buildings	359,249,065	344,771,942
Equipment	224,050,267	212,665,658
Capital leases	13,776,275	13,776,275
	679,476,531	630,274,399
Less accumulated depreciation	402,364,047	377,487,948
Capital assets, net	$ 277,112,484	252,786,451

The Health Center's fine art collection is capitalized on the statements of net assets. This collection is included in equipment in the Primary Institution and totaled $668,311 and $645,736 at June 30, 2010 and 2009, respectively. Plant and equipment activity and related information on accumulated depreciation for the Health Center for the years ended June 30, 2010 and 2009 was as follows:

	2009	Additions	Deletions	2010
Property and equipment:				
Land	$ 8,423,594	$ -	$ -	$ 8,423,594
Construction in Progress	50,636,930	43,577,297	(20,236,897)	73,977,330
Buildings	334,253,236	14,402,237	-	348,655,473
Improvements other than buildings	10,518,706	74,886	-	10,593,592
Equipment	212,665,658	15,427,402	(4,042,793)	224,050,267
Capital leases	13,776,275	-	-	13,776,275
Total property and equipment	630,274,399	73,481,822	(24,279,690)	679,476,531
Less accumulated depreciation:				
Buildings	201,200,176	10,724,246	-	211,924,422
Improvements other than buildings	7,079,197	315,883	-	7,395,080
Equipment	159,669,002	16,093,225	(4,005,200)	171,757,027
Capital Leases	9,539,573	1,747,945	-	11,287,518
Total accumulated depreciation	377,487,948	28,881,299	(4,005,200)	402,364,047
Net property and equipment:				
Land	8,423,594	-	-	8,423,594
Construction in Progress	50,636,930	43,577,297	(20,236,897)	73,977,330
Buildings	133,053,060	3,677,992	-	136,731,052
Improvements other than buildings	3,439,509	(240,998)	-	3,198,511
Equipment	52,996,656	(665,823)	(37,593)	52,293,240
Capital leases	4,236,702	(1,747,945)	-	2,488,757
Total capital assets, net	$ 252,786,451	$ 44,600,523	$ (20,274,490)	$ 277,112,484

	2008	Additions	Deletions	2009
Property and equipment:				
Land	$ 8,423,594	$ -	$ -	$ 8,423,594
Construction in Progress	40,262,025	29,486,805	(19,111,900)	50,636,930
Buildings	324,248,447	10,004,789	-	334,253,236
Improvements other than buildings	10,502,053	16,653	-	10,518,706
Equipment	199,821,569	21,936,607	(9,092,518)	212,665,658
Capital leases	13,776,275	-	-	13,776,275
Total property and equipment	597,033,963	61,444,854	(28,204,418)	630,274,399
Less accumulated depreciation:				
Buildings	190,479,329	10,720,847	-	201,200,176
Improvements other than buildings	6,794,334	284,863	-	7,079,197
Equipment	152,483,462	15,997,198	(8,811,658)	159,669,002
Capital leases	7,374,449	2,165,124	-	9,539,573
Total accumulated depreciation	357,131,574	29,168,032	(8,811,658)	377,487,948
Net property and equipment:				
Land	8,423,594	-	-	8,423,594
Construction in Progress	40,262,025	29,486,805	(19,111,900)	50,636,930
Buildings	133,769,118	(716,058)	-	133,053,060
Improvements other than buildings	3,707,719	(268,210)	-	3,439,509
Equipment	47,338,107	5,939,409	(280,860)	52,996,656
Capital leases	6,401,826	(2,165,124)	-	4,236,702
Total capital assets, net	$ 239,902,389	$ 32,276,822	$ (19,392,760)	$ 252,786,451

Construction in progress at June 30, 2010 and 2009, represents accumulated costs for various Health Center construction projects. The Health Center has entered into various contractual arrangements related to these projects. Upon completion, the cost of the project is transferred to the appropriate investment in plant category and depreciation will commence.

6. ENDOWMENTS

The Health Center designated the Foundation as manager of the Health Center's endowment funds. The Foundation makes spending allocation distributions to the Health Center for each participating endowment. The distribution is spent by the Health Center in accordance with the respective purposes of the endowments and with the policies and procedures of the Health Center.

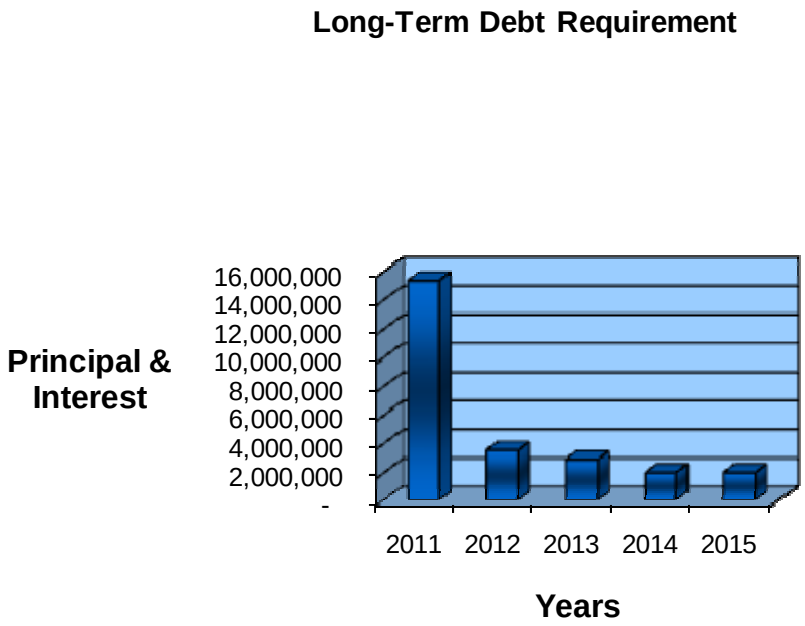
7. LONG-TERM LIABILITIES

Long-term liability activity for the years ended June 30, 2010 and 2009 was as follows:

	June 30, 2009 Balance	Additions	Reductions	June 30, 2010 Balance	Amounts due within 1 year
Long-Term debt:					
Loans payable John Dempsey Hospital	$ 2,906,387	-	830,396	2,075,991	$ 830,396
Lease Agreements John Dempsey Hospital	4,301,478	-	1,983,114	2,318,364	1,231,751
Mortgage Agreements Primary Institution	30,712,427	-	1,082,536	29,629,891	11,461,189
Total Long-Term Debt	37,920,292	-	3,896,046	34,024,246	13,523,336
Malpractice reserve	25,225,000	3,800,000	10,710,000	18,315,000	5,900,000
Compensated absences	37,752,872	23,691,784	20,427,408	41,017,248	16,817,072
Total Long - Term Liabilities	$ 100,898,164	27,491,784	35,033,454	93,356,494	$ 36,240,408

	June 30, 2008 Balance	Additions	Reductions	June 30, 2009 Balance	Amounts due within 1 year
Long-Term debt:					
Bonds Payable John Dempsey Hospital	$ 19,183	-	19,183	-	$ -
Bonds Payable Primary Institution	46,794	-	46,794	-	-
Loans payable John Dempsey Hospital	3,736,783	-	830,396	2,906,387	830,396
Lease Agreements John Dempsey Hospital	6,679,361	-	2,377,883	4,301,478	1,983,114
Mortgage Agreements Primary Institution	31,725,924	-	1,013,497	30,712,427	1,082,535
Total Long-Term Debt	42,208,045	-	4,287,753	37,920,292	3,896,045
Malpractice reserve	21,290,000	8,789,693	4,854,693	25,225,000	6,910,000
Compensated absences	35,898,744	24,172,425	22,318,297	37,752,872	17,743,850
Total Long - Term Liabilities	$ 99,396,789	32,962,118	31,460,743	100,898,164	$ 28,549,895

Estimated cash basis interest and principal requirements for the long-term debt for the next five years are as follows:



Year	Long-Term Debt
2011	$ 15,358,316
2012	3,537,091
2013	2,915,261
2014	2,014,187
2015	2,014,187
Thereafter	18,966,931
Totals	$ 44,805,973

The Health Center is self-insured with respect to medical malpractice risks. Estimated losses from asserted and unasserted claims identified under the Health Center's incident reporting system and an estimate of incurred but not reported claims are accrued based on actuarially determined estimates that incorporate the Health Center's past experience as well as other considerations, including the nature of each claim or incident and relevant trend factors. The scope of the Health Center's assessment for establishing budgets for malpractice costs encompasses physicians, dentists, and all other University of Connecticut Health Center health care providers, and support staff.

The Health Center is involved in litigation claiming a substantial amount of damages arising in the ordinary course of business. Specifically, claims alleging malpractice have been asserted against the Health Center and are currently in various stages of litigation. Costs associated with these known claims, including settlements, as well as any new claims arising during the course of business will be paid from the malpractice trust fund.

During fiscal year 2010, the State of Connecticut passed Public Act No. 09-3, *AN ACT CONCERNING EXPENDITURES AND REVENUE FOR THE BIENNIUM ENDING JUNE* 30, 2011, (Public Act) . Sec. 74. of the Public Act states "(Effective from passage) (a) Notwithstanding the provisions of section 10a-256 of the general statutes, the sum of $10,000,000 shall be transferred from The University of Connecticut Health Center Medical Malpractice Trust Fund and credited to the resources of the General Fund for each of the fiscal years ending June 30, 2010, and June 30, 2011." The Public Act also states "the amount of funding necessary to protect the Health Center for malpractice shall be determined

and approved by the Board of Trustees of the University of Connecticut." Since the State effectively removed control and responsibility for maintaining and managing the malpractice fund from the Hospital, the Fund was transferred from the Hospital to the Primary Institution.

To the extent that claims for cases exceed current year premium charged by the Health Center, the Health Center may petition the State to make up the difference. However, operational subsidies from the State and/or the Health Center may be affected by the performance of the Health Center's malpractice program. At June 30, 2010, the Health Center Malpractice Trust Fund had actuarial reserves of approximately $18.3 million and assets of approximately $12.6 million. In fiscal year 2011, an additional $10 million will be transferred to the State of Connecticut's General Fund, resulting in a further reduction of the trust assets.

8. RESIDENCY TRAINING PROGRAM

The Health Center's School of Medicine Residency Training Program provides area hospitals with the services of interns and residents. Participating hospitals remit payments to the Health Center, in accordance with an established rate schedule, for services provided. The Health Center, in turn, funds the Capital Area Health Consortium, Inc., which coordinates the payment of payroll and the provision of related fringe benefits to the interns and residents, under a contractual arrangement. Amounts remitted or owed by participating hospitals for payments made to interns and residents, and amounts paid or due under contract to the Capital Area Health Consortium, Inc., are reflected in the accompanying financial statements as current unrestricted revenues and expenditures, respectively.

9. BOND FINANCED ALLOTMENTS

The Health Center recognizes an asset when an allotment is processed for State general obligation bonds or when bonds are funded from Health Center resources or issued under the UCONN 2000 program are sold.

In fiscal year 2002, the General Assembly of the State of Connecticut enacted and the Governor signed into law Public Act No. 02-3, An Act Concerning 21st Century UConn (Act). This Act amended Public Act No. 95-230 that enabled the University to borrow money in its own name for a special ten year capital improvement program (UCONN 2000) designed to modernize, rehabilitate, and expand the physical plant of the University. The 21st Century UConn Act, as amended, extended the UCONN 2000 financing program that was scheduled to end in 2005, to run for an additional 13 years to June 30, 2018. The new Act authorized additional projects for the University and the Health Center for what is to be called Phase III of UCONN 2000 at an estimated cost of $1,348,400,000. Project costs include $305,400,000 authorized for the Health Center.

The University recorded total revenue of $105,000,000 as State debt service commitment for principal for the 2010 Series A bonds which includes $35,610,000 to finance projects for the Health Center. As noted above, Phase III includes a commitment to fund projects totaling $305,400,000 for the Health Center. These bonds are general obligations of the University, for which its full faith and credit are pledged, and are payable from all assured revenues. The bonds are additionally secured by the pledge of and a lien upon the State Debt Service Commitment. The State Debt Service Commitment is the commitment by the State to pay an annual amount of debt service on securities issued as general obligations of the University. The University, consistent with the Act, is relying upon the receipt of the annual amount of the pledged State Debt Service Commitment for the payment of the bonds and, accordingly, is not planning to budget any of the other revenues for the payment of the bonds. The University therefore acts as custodian of the funds for the Health Center. A corresponding receivable is recorded for the unspent portion of the bonds ($30,817,478 at June 30, 2010) in the Statement of Net Assets.

10. RETIREMENT PLAN

All regular full-time employees participate in one of two retirement plans. The State Employees' Retirement System, a single employer defined benefit public employee retirement system, is administered by the State and covers most full-time employees. The State of Connecticut is statutorily responsible for the pension benefits of the Health Center employees who participate in this plan. The Health Center makes contributions on behalf of the employees through a fringe benefit charge assessed by the State.

Alternatively, employees may choose to participate in the Connecticut Alternate Retirement Program (CARP). CARP is a State-administered, portable pension plan offered to eligible employees of the State's constituent units of higher education

as an alternate to the State Employees' Retirement System. This plans third party administrator is ING. Under this defined contribution plan, plan members are required to contribute 5 percent of their annual salaries; the State is required to contribute 8 percent of covered salary.

11. POST EMPLOYMENT BENEFITS

In addition to the pension benefits described in Note 10, the State provides post retirement health care and life insurance benefits to eligible Health Center employees, in accordance with Sections 5-257(d) and 5-259(a) of the Connecticut General Statutes. When employees retire, the State pays up to 100% of their health care insurance premium cost (including the cost of dependent coverage). This benefit is available to retirees of the State Employees' Retirement System and participants in the Connecticut Alternate Retirement Program who meet certain age and service criteria.

The State also pays 100% of the premium cost for a portion of the employee's life insurance continued after retirement. The amount of life insurance continued at no cost to the retiree is determined in a formula based on the number of years of State service that the retiree had at time of retirement. The State finances the cost of post retirement health care and life insurance benefits on a pay-as-you-go basis through an appropriation in the General Fund.

12. COMMITMENTS

On June 30, 2010, the Health Center had individual outstanding commitments exceeding $300,000 in amount, totaling $11,423,726. A portion of this amount was included in the June 30, 2010 accounts payable. Commitments above do not include any commitments arising from the administration of UCONN 2000 funds by the University on the Health Center's behalf. Such obligations would be paid directly from proceeds of current and future bond issuances.

The Health Center agreed to pay $42,594,023 during the 2010-2011 fiscal year to the Capitol Area Health Consortium to cover the payment of payroll and related fringe benefits to the interns and residents participating in the School of Medicine Residency Training Program. These costs are to be funded by participating hospitals, which will remit payments to the Health Center, in accordance with an established rate schedule, for services provided.

The Health Center leases various building space under operating lease commitments, which expire at various dates through fiscal year 2021. Expenses related to these leases were approximately $3,695,000 and $2,870,000 for the years ended June 30, 2010 and 2009, respectively. Future minimum rental payments at June 30, 2010 under non-cancelable operating leases are approximately as follows:

Year		Payments
2011	$	1,996,517
2012		1,629,030
2013		1,315,727
2014		1,344,814
2015		1,374,101
Thereafter		5,686,932
Total	$	13,347,121

13. RELATED PARTY TRANSACTIONS

The University of Connecticut Foundation, Inc. (the "Foundation") is a tax-exempt organization whose objective is the betterment of the University, including its Health Center. The Foundation is a consolidated part of the University and therefore an affiliated party. As is the case with the University's Storrs based program, the Health Center has entered into a written agreement with the Foundation whereby the Health Center agrees to reimburse the Foundation for certain administrative services and the Foundation agreed to reimburse the Health Center for certain services performed and for operating expenses for the benefit of the Foundation. The following transactions occurred between the Health Center and the Foundation during the year ended June 30, 2010:

Amount paid to the Foundation	$	1,030,000
Amount received from the Foundation for personal services and operating expenses	$	603,000
Amount received from the Foundation from endowments and gifts	$	2,343,159

In addition, The Health Center engages in transactions with the University. Listed below are the material transactions with the University. Not included in this list are certain cost share arrangements for shared services and transactions related to UCONN 2000 for which notation has been made in note 9.

Funds Received in Support of Office of Technology and Commercialization	$	538,691
Funds Paid to the University of Connecticut	$	524,366

The Health Center is a component unit of the State of Connecticut. Through the Health Center, the State seeks to meet certain unmet needs in the community including the training and development of new doctors and dentists. The State supports the Health Center's mission primarily via two mechanisms: State Appropriations and the provision of In Kind benefits. State Appropriations represent amounts the State allows the Health Center to charge back directly to the State's General Fund. In Kind benefits take the form of forgone fringe benefit expense reimbursements related to salaries expensed on the General Fund. For the year ended June 30, 2010, the amounts of these benefits recognized were as follows:

Amount of General Fund Appropriations from State of Connecticut	$	117,734,347
In Kind Fringe Benefits:		
Recognized through CMHC		36,344,817
Recognized in John Dempsey		13,500,000
Received elsewhere in Primary Institution		50,904,735
Total In Kind Fringe Benefits received from State of Connecticut:	$	100,749,552
Total Appropriations and In Kind benefits received from State of Connecticut	$	218,483,899

14. CONTINGENCIES

The Health Center is a party to various legal actions arising in the ordinary course of its operations. While it is not feasible to predict the ultimate outcome of these actions, it is the opinion of management that the resolution of these matters will not have a material effect on the Health Center's financial statements.

15. HYPOTHECATION

Individual components of the Health Center are allowed to borrow from the State on the basis of their net patient receivables and contract and other receivables to fund operations. These units include John Dempsey Hospital and the University Medical Group. John Dempsey Hospital is allowed to borrow from the State at up to 90% of its receivables. University Medical Group is allowed to borrow at up to 70% of its accounts receivable. As of June 30, 2010 and 2009, the Hospital had drawn down $3,082,016 and $13,431,939, respectively, under the State statute As of June 30, 2010 and 2009, the Hospital has available $24,125,771 and $17,905,950, respectively under the State statute.

16. Operating Expenses by Object

The table below details the Health Center's operating expenses by object for the years ended June 30, 2010 and 2009.

Operating Expenses by object for the Years Ended June 30, 2010 and 2009:

		2010	2009
Salaries and Wages	$	363,741,062	374,301,025
Fringe Benefits		151,533,903	143,393,071
Supplies and Other Expenses		217,424,882	215,290,103
Utilities		14,028,109	15,779,436
Depreciation and Amortization		28,918,892	29,448,892
Total	$	775,646,848	778,212,527

SUPPLEMENTAL INFORMATION

UNIVERSITY OF CONNECTICUT HEALTH CENTER
CONSOLIDATING STATEMENT OF NET ASSETS
As of June 30, 2010

	2010			
	Primary Institution	John Dempsey Hospital	Eliminations	Total
ASSETS				
Current Assets				
Cash and cash equivalents	$ 100,729,286	$ -	$ (3,082,016)	$ 97,647,270
Assets limited as to use	-	-	-	-
Patient receivables, net	12,526,193	29,752,887	-	42,279,080
Contract and other receivables	26,892,145	477,986	-	27,370,131
Due from Affiliates	30,817,478	-	-	30,817,478
Due from State of Connecticut	8,675,651	-	-	8,675,651
Due from Primary Institution	-	12,789,049	(12,789,049)	-
Due from Department of Correction	7,633,769	-	-	7,633,769
Inventories	2,484,102	7,090,582	-	9,574,684
Due from third party payors	-	-	-	-
Prepaid expenses	3,417,578	3,045,246	-	6,462,824
Total current assets	193,176,202	53,155,750	(15,871,065)	230,460,887
Noncurrent Assets				
Restricted cash and cash equivalents	5,999,193	-	-	5,999,193
Other assets	159,592	613,242	-	772,834
Assets limited as to use	5,258,103	-	-	5,258,103
Due from State of Connecticut	403,344	-	-	403,344
Capital assets, net	222,400,672	54,711,812	-	277,112,484
Total noncurrent assets	234,220,904	55,325,054	-	289,545,958
Total assets	$ 427,397,106	$ 108,480,804	$ (15,871,065)	$ 520,006,845
LIABILITIES				
Current Liabilities				
Cash overdraft	$ -	$ 3,082,016	$ (3,082,016)	$ -
Accounts payable and accrued liabilities	23,216,342	11,160,327	-	34,376,669
Due to State of Connecticut	1,955,203	2,888,485	-	4,843,688
Accrued salaries	22,650,506	6,506,559	-	29,157,065
Compensated absences	11,811,883	5,005,189	-	16,817,072
Due to John Dempsey Hospital	12,789,049	-	(12,789,049)	-
Due to third party payors	-	2,833,399	-	2,833,399
Deferred revenue	9,598,975	-	-	9,598,975
Malpractice reserve	5,900,000	-	-	5,900,000
Long-term debt - current portion	11,461,189	2,062,147	-	13,523,336
Total current liabilities	99,383,147	33,538,122	(15,871,065)	117,050,204
Noncurrent Liabilities				
Malpractice reserve	12,415,000	-	-	12,415,000
Compensated absences	16,997,587	7,202,589	-	24,200,176
Long-term debt	18,168,702	2,332,208	-	20,500,910
Total noncurrent liabilities	47,581,289	9,534,797	-	57,116,086
Total liabilities	$ 146,964,436	$ 43,072,919	$ (15,871,065)	$ 174,166,290
NET ASSETS				
Invested in capital assets, net of related debt	$ 192,770,781	$ 50,317,457	$ -	$ 243,088,238
Restricted for				
Nonexpendable				
Scholarships	61,451	-	-	61,451
Expendable				
Research	4,210,802	148,123	-	4,358,925
Loans	1,863,644	-	-	1,863,644
Capital projects	30,648,940	-	-	30,648,940
Unrestricted	50,877,052	14,942,305	-	65,819,357
Total net assets	$ 280,432,670	$ 65,407,885	$ -	$ 345,840,555

UNIVERSITY OF CONNECTICUT HEALTH CENTER
CONSOLIDATING STATEMENT OF NET ASSETS
As of June 30, 2009

	2009			
	Primary Institution	John Dempsey Hospital	Eliminations	Total
ASSETS				
Current Assets				
Cash and cash equivalents	$ 64,717,409	$ -	$ (6,781,514)	$ 57,935,895
Assets limited as to use	-	-	-	-
Patient receivables, net	14,758,929	33,764,998	-	48,523,927
Contract and other receivables	31,405,285	1,054,880	-	32,460,165
Due from Affiliates	35,488,325	-	-	35,488,325
Due from State of Connecticut	7,593,527	-	-	7,593,527
Due from Primary Institution	-	739,573	(739,573)	-
Due from Department of Correction	6,098,479	-	-	6,098,479
Inventories	1,543,341	5,904,591	-	7,447,932
Due from third party payors	-	2,676,748	-	2,676,748
Prepaid expenses	3,331,597	3,314,860	-	6,646,457
Total current assets	164,936,892	47,455,650	(7,521,087)	204,871,455
Noncurrent Assets				
Restricted cash and cash equivalents	572,486	18,648,127	-	19,220,613
Other assets	139,792	601,145	-	740,937
Assets limited as to use	6,746,019	-	-	6,746,019
Due from State of Connecticut	713,824	-	-	713,824
Capital assets, net	193,212,657	59,573,794	-	252,786,451
Total noncurrent assets	201,384,778	78,823,066	-	280,207,844
Total assets	$ 366,321,670	$ 126,278,716	$ (7,521,087)	$ 485,079,299
LIABILITIES				
Current Liabilities				
Cash overdraft	$ -	$ 6,781,514	$ (6,781,514)	$ -
Accounts payable and accrued liabilities	21,783,452	10,049,629	-	31,833,081
Due to State of Connecticut	2,129,353	2,751,257	-	4,880,610
Accrued salaries	20,284,822	6,460,152	-	26,744,974
Compensated absences	12,224,669	5,519,181	-	17,743,850
Due to John Dempsey Hospital	739,573	-	(739,573)	-
Deferred revenue	9,717,727	-	-	9,717,727
Malpractice reserve	-	6,910,000	-	6,910,000
Long-term debt - current portion	1,082,535	2,813,510	-	3,896,045
Total current liabilities	67,962,131	41,285,243	(7,521,087)	101,726,287
Noncurrent Liabilities				
Malpractice reserve	-	18,315,000	-	18,315,000
Compensated absences	13,785,265	6,223,757	-	20,009,022
Long-term debt	29,629,892	4,394,355	-	34,024,247
Total noncurrent liabilities	43,415,157	28,933,112	-	72,348,269
Total liabilities	$ 111,377,288	$ 70,218,355	$ (7,521,087)	$ 174,074,556
NET ASSETS				
Invested in capital assets, net of related debt	$ 163,315,529	$ 52,728,396	$ -	$ 216,043,925
Restricted for				
Nonexpendable				
Scholarships	61,451	-	-	61,451
Expendable				
Research	4,106,196	144,180	-	4,250,376
Loans	2,400,875	-	-	2,400,875
Capital projects	32,802,019	-	-	32,802,019
Unrestricted	52,258,312	3,187,785	-	55,446,097
Total net assets	$ 254,944,382	$ 56,060,361	$ -	$ 311,004,743

UNIVERSITY OF CONNECTICUT HEALTH CENTER
CONSOLIDATING STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET ASSETS
For the Year Ended June 30, 2010

	2010				
	Primary Institution	John Dempsey Hospital	Total (Memo Only)	Eliminations	Consolidated
OPERATING REVENUES					
Student tuition and fees, net	$ 12,163,266	$ -	$ 12,163,266	$ -	$ 12,163,266
Patient services, net	171,501,298	246,155,547	417,656,845	(11,996,458)	405,660,387
Federal grants and contracts	59,357,473	-	59,357,473	-	59,357,473
Nongovernmental grants and contracts	28,673,290	-	28,673,290	-	28,673,290
Contract and other operating revenues	74,827,586	1,081,457	75,909,043	(17,118,544)	58,790,499
Total operating revenues	346,522,913	247,237,004	593,759,917	(29,115,002)	564,644,915
OPERATING EXPENSES					
Educational and General					
Instruction	141,567,060	-	141,567,060	(15,361,118)	126,205,942
Research	59,967,127	-	59,967,127	-	59,967,127
Patient services	216,352,626	260,942,143	477,294,769	(12,928,535)	464,366,234
Academic support	14,469,371	-	14,469,371	-	14,469,371
Institutional support	55,729,538	-	55,729,538	(713,239)	55,016,299
Operations and maintenance of plant	26,335,059	-	26,335,059	(112,110)	26,222,949
Depreciation	18,310,269	10,571,030	28,881,299	-	28,881,299
Loss on disposal	23,622	13,971	37,593	-	37,593
Student aid	480,034	-	480,034	-	480,034
Total operating expenses	533,234,706	271,527,144	804,761,850	(29,115,002)	775,646,848
Operating loss	(186,711,793)	(24,290,140)	(211,001,933)	-	(211,001,933)
NONOPERATING REVENUES (EXPENSES)					
State appropriations	204,983,899	13,500,000	218,483,899	-	218,483,899
Transfers to State	(10,000,000)	-	(10,000,000)	-	(10,000,000)
Gifts	754,281	847,830	1,602,111	-	1,602,111
Hospital transfer	(19,515,389)	19,515,389	-	-	-
Investment income, net	2,456,328	49,785	2,506,113	-	2,506,113
Interest on capital asset - related debt	(2,089,039)	(275,340)	(2,364,379)	-	(2,364,379)
Net nonoperating revenues	176,590,080	33,637,664	210,227,744	-	210,227,744
Loss before other revenues, expenses, gains or losses	(10,121,713)	9,347,524	(774,189)	-	(774,189)
Capital appropriations	35,610,000	-	35,610,000	-	35,610,000
Total other revenues	35,610,000	-	35,610,000	-	35,610,000
Increase in net assets	25,488,287	9,347,524	34,835,811	-	34,835,811
NET ASSETS					
Net assets-beginning of year	254,944,382	56,060,361	311,004,743	-	311,004,743
Net assets-end of year	$ 280,432,669	$ 65,407,885	$ 345,840,554	$ -	$ 345,840,554

UNIVERSITY OF CONNECTICUT HEALTH CENTER
CONSOLIDATING STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET ASSETS
For the Year Ended June 30, 2009

	2009				
	Primary Institution	John Dempsey Hospital	Total (Memo Only)	Eliminations	Consolidated
OPERATING REVENUES					
Student tuition and fees, net	$ 11,578,853	$ -	$ 11,578,853	$ -	$ 11,578,853
Patient services, net	181,866,494	246,880,984	428,747,478	(15,521,215)	413,226,263
Federal grants and contracts	60,479,262	-	60,479,262	-	60,479,262
Nongovernmental grants and contracts	27,784,536	-	27,784,536	-	27,784,536
Contract and other operating revenues	61,121,166	3,729,727	64,850,893	(12,833,055)	52,017,838
Total operating revenues	342,830,311	250,610,711	593,441,022	(28,354,270)	565,086,752
OPERATING EXPENSES					
Educational and General					
Instruction	126,009,236	-	126,009,236	(10,748,850)	115,260,386
Research	59,329,330	-	59,329,330	-	59,329,330
Patient services	232,289,402	256,525,038	488,814,440	(17,605,420)	471,209,020
Academic support	16,110,423	-	16,110,423	-	16,110,423
Institutional support	59,122,168	-	59,122,168	-	59,122,168
Operations and maintenance of plant	27,073,219	-	27,073,219		27,073,219
Depreciation	18,377,652	10,790,380	29,168,032	-	29,168,032
Loss on disposal	237,581	43,279	280,860	-	280,860
Student aid	659,089	-	659,089	-	659,089
Total operating expenses	539,208,100	267,358,697	806,566,797	(28,354,270)	778,212,527
Operating loss	(196,377,789)	(16,747,986)	(213,125,775)	-	(213,125,775)
NONOPERATING REVENUES (EXPENSES)					
State appropriations	204,931,369	3,600,000	208,531,369	-	208,531,369
Gifts	(186,607)	1,168,410	981,803	-	981,803
Allocation of loss to minority financing interests	(14,900,000)	14,900,000	-	-	-
Investment income, net	5,018,021	866,512	5,884,533	-	5,884,533
Interest on capital asset - related debt	(2,158,491)	(415,932)	(2,574,423)	-	(2,574,423)
Net nonoperating revenues	192,704,292	20,118,990	212,823,282	-	212,823,282
Loss before other revenues, expenses, gains or losses	(3,673,497)	3,371,004	(302,493)	-	(302,493)
Capital appropriations	40,275,800	-	40,275,800	-	40,275,800
Total other revenues	40,275,800	-	40,275,800	-	40,275,800
Increase (decrease) in net assets	36,602,303	3,371,004	39,973,307	-	39,973,307
NET ASSETS					
Net assets-beginning of year	218,342,079	52,689,357	271,031,436	-	271,031,436
Net assets-end of year	$ 254,944,382	$ 56,060,361	$ 311,004,743	$ -	$ 311,004,743

DIRECTORS AND FINANCIAL OFFICERS
June 30, 2010

BOARD OF DIRECTORS

Members at Large

Richard Barry	*Avon*
Mark Bertolini	*Avon*
Andy F. Bessette	*Orono, MN*
Francisco Borges	*Farmington*
Cheryl Chase	*Hartford*
Sanford Cloud Jr.	*Farmington*
John Droney	*Farmington*
Robert T. Samuels	*W. Hartford*
Tim Holt	*Glastonbury*

Appointed by the Governor

Karen Christiana	*West Hartford*
Kathleen Woods	*Avon*
Teresa Ressel	*Stamford*

Members Ex Officio

Philip Austin	*Storrs*
Robert Dakers	*Glastonbury*
J. Robert Galvin	*Glastonbury*

Appointed by Chairperson, Board of Trustees

Gerald N. Burrow, Chairperson	*Hamden*
Lenworth M. Jacobs, MD	*Hartford*
Wayne Shepperd	*Danbury*

FINANCIAL OFFICERS

Richard Gray, Vice President and Chief Financial Officer
John Biancamano, Chief Financial Officer
Jeffrey P. Geoghegan, Controller

TRUSTEES
As of June 30, 2010

BOARD OF TRUSTEES

MEMBERS EX OFFICIO

The Honorable M. Jodi Rell
Governor of the State of Connecticut
President ex officio — *Hartford*

The Honorable F. Philip Prelli
Commissioner of Agriculture
Member ex officio — *Barkhamsted*

The Honorable Joan McDonald
Commissioner of Economic
and Community Development
Member ex officio — *Hartford*

The Honorable Mark K. McQuillan
Commissioner of Education
Member ex officio — *Hartford*

Gerard N. Burrow, M.D.
Chair, Health Center Board of Directors
Member ex officio — *Hamden*

ELECTED BY THE ALUMNI

Francis X. Archambault, Jr.	*Storrs*
Andrea Dennis-LaVigne, D.V.M.	*Simsbury*

APPOINTED BY THE GOVERNOR

Lawrence D. McHugh, C*hairman*	*Middletown*
Louise M. Bailey, *Secretary*	*West Hartford*
Michael A. Bozzuto	*Avon*
Peter S. Drotch	*Framingham, MA*
Lenworth M. Jacobs, Jr., M.D.	*West Hartford*
Rebecca Lobo	*Granby*
Michael J. Martinez	*East Lyme*
Denis J. Nayden	*Stamford*
Thomas D. Ritter	*Hartford*
Wayne J. Shepperd	*Danbury*
Richard Treibick	*Greenwich*
The Honorable Robert M. Ward	*Northford*

ELECTED BY THE STUDENTS

Richard Colon, Jr.	*Vernon*
Corey M. Schmitt	*Storrs*

UNIVERSITY OF CONNECTICUT
HEALTH CENTER

Appendix I.5

Auditor's Report

University Of Connecticut Health Center

For the Fiscal Years Ended June, 30 2007 and 2008

Please Note: In addition to the annual single audit and financial statement audit, the auditors of public accounts perform a review of the University books and records under Section2-90 of the General Statutes. This review covers a two year fiscal period and includes a focus on the University's internal control structure. The auditors consider this report their "management letter."

STATE OF CONNECTICUT

AUDITORS' REPORT
UNIVERSITY OF CONNECTICUT HEALTH CENTER
FOR THE FISCAL YEARS ENDED JUNE 30, 2007 AND 2008

AUDITORS OF PUBLIC ACCOUNTS
KEVIN P. JOHNSTON ❖ ROBERT G. JAEKLE

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December 13, 2010

AUDITORS' REPORT
UNIVERSITY OF CONNECTICUT HEALTH CENTER
FOR THE FISCAL YEARS ENDED JUNE 30, 2007 AND 2008

We examined the financial records of the University of Connecticut Health Center (Health Center) for the fiscal years ended June 30, 2007 and 2008. The Health Center is a component unit of the University of Connecticut system, which includes the University of Connecticut (University), the Health Center, the University of Connecticut Foundation, Inc. (Foundation) and the University of Connecticut Law School Foundation, Inc. This report on that examination consists of the Comments, Recommendations and Certification that follow.

Financial statement presentation and auditing are done on a Statewide Single Audit basis to include all State agencies. This audit has been limited to assessing the Health Center's compliance with certain provisions of financial related laws, regulations and contracts, and evaluating the Health Center's internal control structure policies and procedures established to ensure such compliance.

COMMENTS

FOREWORD:

The University and the Health Center operate generally under the provisions of Title 10a, Chapter 185, where applicable, Chapter 185b, Part III, and Chapter 187c of the General Statutes. Together, the University and the Health Center are a constituent unit of the State system of public higher education under the central authority of the Board of Governors of Higher Education. The University and the Health Center are governed by the Board of Trustees of the University of Connecticut, consisting of 21 members appointed or elected under the provisions of Section 10a-103 of the General Statutes.

This Board, subject to Statewide policy and guidelines established by the Board of Governors of Higher Education, makes rules for the government of the University and the Health Center and sets policies for administration of the University and the Health Center pursuant to duties set forth in Section 10a-104 of the General Statutes. The members of the Board of Trustees as of June 30, 2008, were:

Ex officio members:
M. Jodi Rell, Governor
Joan McDonald, Commissioner of Economic and Community Development
Gerard N. Burrow, M.D., Chairperson of the Health Center's Board of Directors
F. Philip Prelli, Commissioner of Agriculture
Mark K. McQuillan, Commissioner of Education

Appointed by the Governor:
John W. Rowe, M.D., New York, Chair
Louise M. Bailey, West Hartford, Secretary
Michael A Bozzuto, Avon
Peter S. Drotch, Framingham, Massachusetts
Linda P. Gatling, Southington
Lenworth M. Jacobs, M.D., West Hartford
Rebecca Lobo, Granby
Michael J. Martinez, East Lyme
Denis J. Nayden, Stamford
Thomas D. Ritter, Hartford
Wayne J. Shepperd, Danbury
Richard Treibick, Greenwich

Elected by alumni:
Philip P. Barry, Storrs
Andrea Dennis-LaVigne, Simsbury

Elected by students:
Ross Gionfriddo, West Hartford
Michael J. Nichols, Hartford

June 30, 2006, marked the completion of the term of Stephen A. Kuchta of Storrs. Michael J. Nichols of Hartford succeeded him, effective July 1, 2006. Salmun Kazerounian of Storrs served until June 30, 2007; he was succeeded by Ross Gionfriddo of West Hartford, effective July 1, 2007. Michael J. Nichols' term ended June 30, 2008; Richard Colon, Jr. of Vernon succeeded him, effective July 1, 2008.

Betty J. Sternberg, Commissioner of Education, left the State Department of Education to assume another position in August 2006. George Coleman served as Interim Commissioner until Mark K. McQuillan was appointed to the position in April 2007.

James F. Abromaitis served as Commissioner of Economic and Community Development until he left to assume another position in March 2007. Ronald F. Angelo, Jr. served as acting Commissioner until Joan McDonald was appointed to the position effective May 9, 2007.

Section 10a-104, subsection (c), of the General Statutes authorizes the Board of Trustees of the University of Connecticut to create a Board of Directors for the governance of the Health Center and delegate such duties and authority as it deems necessary and appropriate to said board of directors. The members of the Board of Directors as of June 30, 2008, were:

Ex officio members:
Michael J. Cicchetti, Deputy Secretary, Office of Policy and Management
J. Robert Galvin, Commissioner, Department of Public Health
Michael J. Hogan, President, University of Connecticut

Appointed by the Chair of the Board of Trustees:
Gerard N. Burrow, Chair, Hamden
Lenworth M. Jacobs, M.D., West Hartford
Wayne J. Shepperd, Danbury

Appointed by the Governor:
David B. Friend, M.D., Lincoln, Massachusetts
Jay L. Haberland, Simsbury

Members at Large:
Mark Bertolini, Avon
Cheryl Chase, Hartford
Sanford Cloud Jr., Farmington
John Droney, Farmington
A. Jon Goldberg, Farmington
Brian Hehir, Port Washington, New York
Robert T. Samuels, West Hartford
Ann Slaughter, Philadelphia, Pennsylvania

Deputy Secretary Anne Gnazzo served as the designee of Robert L. Genuario, Secretary of the Office of Policy and Management, until she was appointed to another position in January 2007. Deputy Secretary Michael J. Cicchetti was designated to serve in her place.

James F. Abromaitis of Unionville served on the Board until March 2007. Wayne J. Shepperd of Danbury was appointed to his position during the fiscal year ended June 30, 2008.

During the fiscal year ended June 30, 2007, John Bigos of Hartford and Nancy J. Hutson of Stonington left the Board and Cheryl Chase of Hartford joined the Board. During the fiscal year ended June 30, 2008, Robert Hennessey of Cheshire, Claire Leonardi of Long Lake, New York, David P. Marks of West Hartford left the Board and Mark Berolini of Port Washington, New York and John F. Droney of Farmington joined the Board.

Pursuant to Section 10a-108 of the General Statutes, the Board of Trustees of the University of Connecticut are to appoint a president of the University and the Health Center to be the chief executive and administrative officer of the University and the Health Center and of the Board of Trustees. Philip E. Austin served as President until he left office on September 14, 2007, and assumed the title of President Emeritus and University Professor. Michael J. Hogan became the

14th president of the University on that date.

The Health Center's Farmington complex houses the John Dempsey Hospital, the School of Medicine, the School of Dental Medicine, and related research laboratories. Additionally, the Schools of Medicine and Dental Medicine provide health care to the public, through the UConn Medical Group (including its UConn Health Partners unit) and the University Dentists, in facilities located at the Farmington campus and in neighboring towns.

The University of Connecticut Health Center Finance Corporation (Finance Corporation), a body politic and corporate, constituting a public instrumentality and political subdivision of the State, operates generally under the provisions of Title 10a, Chapter 187c of the General Statutes. The Finance Corporation exists to provide operational flexibility with respect to hospital operations, including the clinical operations of the Schools of Medicine and Dental Medicine.

The Finance Corporation is empowered to acquire, maintain and dispose of hospital facilities and to make and enter into contracts, leases, joint ventures and other agreements and instruments; it acts as a procurement vehicle for the clinical operations of the Health Center. The Hospital Insurance Fund (otherwise known as the John Dempsey Hospital Malpractice Fund), which accounts for a self-insurance program covering claims arising from health care services, is administered by the Finance Corporation in accordance with Section 10a-256 of the General Statutes. Additionally, Section 10a-258 of the General Statutes gives the Finance Corporation the authority to determine which hospital accounts receivable shall be treated as uncollectible.

The Finance Corporation acts as an agent for the Health Center. In the past, it operated on a "pass-through" basis; it did not accumulate any significant assets or liabilities. However, construction of the Health Center's new Medical Arts and Research Building during the fiscal years ended June 30, 2004 and 2005, was administered through the Finance Corporation. The building is an asset of the Finance Corporation and the associated debt a liability. Similarly, the Health Center's acquisition of the facility located at 16 Munson Road during the fiscal year ended June 30, 2005, was administered through the newly incorporated UCHCFC Munson Road Corp., a wholly owned subsidiary of the Finance Corporation.

The Finance Corporation is administered by a Board of Directors, consisting of five members appointed under the provisions of Section 10a-253 of the General Statutes. The members of the Board of Directors as of June 30, 2008, were:

Ex officio members:
- Michael J. Hogan, President
- Peter J. Deckers, M.D., Executive Vice President for Health Affairs
- Gale Mattison, designee of the Secretary of the Office of Policy and Management

Appointed by the Governor:
- John W. Rowe, M.D., of New York, New York, Chair

As President of the University, Philip E. Austin served on the Board until Michael J. Hogan assumed the office on September 14, 2007. James F. Abromaitis of Unionville served on the Board until March 2007.

Recent Legislation:

During the period under review, and thereafter, legislation was passed by the General Assembly affecting the Health Center. The most noteworthy items are presented below:

- Public Act 05-149, effective June 15, 2005, appropriated funds for the purpose of grants-in-aid for conducting embryonic or human adult stem cell research. Funds were first awarded under the program during the fiscal year ended June 30, 2007. The Health Center was named as a recipient or co-recipient of awards totaling $9,260,000, $2,949,813 and $4,700,000 made during the fiscal years ended June 30, 2007, 2008 and 2009, respectively.
- Public Act 06-186, Section 46, effective July 1, 2006, authorized the transfer of up to $3,800,000 of the Health Center's fiscal 2007 appropriation to the Disproportionate Share – Medical Emergency Assistance account in the Department of Social Services for the purposes of maximizing Federal reimbursement.
- Public Act 07-1, June Special Session, Section 123, effective June 26, 2007, authorized a deficiency appropriation for the Health Center of $22,100,000. Effective July 1, 2007, Section 68 of the Act authorized the transfer of up to $5,000,000 of the Health Center's fiscal 2008 appropriation to the Disproportionate Share – Medical Emergency Assistance account in the Department of Social Services for the purposes of maximizing Federal reimbursement.
- Special Act 07-10, June Special Session, effective July 10, 2007, as amended by Public Act 07-1, June Special Session, effective July 1, 2007, and Public Act 07-05, June Special Session, effective October 6, 2007, called for the Connecticut Academy of Science and Engineering to conduct a needs-based analysis of the Health Center facilities plan and issue a final report by June 30, 2008.
- Special Act 08-4, effective May 27, 2008, called for the Connecticut Academy of Science and Engineering to act as an independent monitor regarding the implementation of recommendations set forth in the needs-based analysis of the Health Center facilities plan.
- Special Act No. 08-1, June 11 Special Session, Section 2, effective June 16, 2008, authorized a deficiency appropriation for the Health Center of $21,900,000.
- Public Act 09-2, June 19, 2009 Special Session, effective June 26, 2009, authorized a deficiency appropriation for the Health Center of $22,200,000.
- Public Act 10-104, effective June 3, 2010, authorized a $362,000,000 plan to renovate the John Dempsey Hospital, construct a new patient tower and provide various benefits for other area hospitals. The initiative is contingent on the award of a $100,000,000 Federal grant, which other states could compete for. The remaining $262,000,000 will be funded from general State tax revenues. Per the enabling legislation, the initiative will terminate if the $100,000,000 is not obtained through the grant, or from other sources, by June 30, 2015.

RÉSUMÉ OF OPERATIONS:

Over the last decade and more, changes in the statutes governing the State's constituent institutions of higher education provided the Health Center greater autonomy and flexibility. The most significant changes were effectuated by Public Act 91-256, effective July 1, 1991, which

greatly expanded certain limited authorities granted by Public Act 90-201, effective July 1, 1990. Subsequent legislation increased the degree of independence granted the institutions.

This independence is most notable with respect to procurement actions. Institutions of higher education may, under Section 10a-151b of the General Statutes, purchase equipment, supplies and services, and lease personal property without review and approval by the State Comptroller, the Department of Administrative Services or the Department of Information Technology. Further, they are not subject to the restrictions concerning personal service agreements codified under Sections 4-212 through 4-219, although, as a compensating measure, personal service agreements executed by the institutions of higher education must satisfy the same requirements generally applicable to other procurement actions.

Under Section 3-25 of the General Statutes, higher education institutions may, subject to the approval of the Comptroller, pay most non-payroll expenditures (those funded from the proceeds of State bond issuances being an exception) directly, instead of through the State Comptroller. The Health Center began issuing checks directly to vendors in August 1993. The checks are drawn on a "zero balance" checking account controlled by the State Treasurer. Under the approved procedures, funds are advanced from the Health Center's civil list funds to the Treasurer's cash management account. The Treasurer transfers funds from the cash management account to the "zero balance" checking account on a daily basis, as needed to satisfy checks that have cleared.

The Health Center also enjoys a significant degree of autonomy with respect to personnel matters. Section 10a-108 of the General Statutes grants the Board of Trustees the authority to employ professional employees and establish the terms and conditions of employment. Section 10a-154b allows institutions of higher education to establish positions and approve the filling of all position vacancies within the limits of available funds.

Public Act 95-230, known as "The University of Connecticut 2000 Act," authorized a massive infrastructure improvement program to be managed by the University, effective June 7, 1995. Although subsection (c) of Section 7 of Public Act 95-230 provides that the securities issued to fund this program are to be issued as general obligations of the University, it also provides that the debt service on these securities is to be financed, for the most part, from the resources of the General Fund. However, as they are not considered to be a "state bond issue" as referred to in Section 3-25 of the General Statutes, the University is able to make payments related to the program directly, rather than process them through the State Comptroller.

The Health Center did not participate in this program when it was first established. However, when Public Act 02-3 of the May 9 Special Session authorized 1.3 billion dollars in new bond funds for the University, over $300 million was earmarked for infrastructure improvements at the UConn Health Center.

Subdivision (1) of subsection (b) of Section 9 of Public Act 95-230 established a permanent endowment fund, the net earnings on the principal of which are to be dedicated and made available for endowed professorships, scholarships and programmatic enhancements. To encourage donations, subparagraph (A) of subdivision (2) of subsection (b) of Section 9 of the Act provided for State matching funds for eligible donations deposited into the fund, limiting the total amount matched to $10,000,000 in any one year and to $20,000,000 in the aggregate. It

specified that the match, which was to be financed from the General Fund, would be paid into the fund during the fiscal years ending June 30, 1998, 1999 and 2000.

Effective July 1, 1998, Section 28 of Public Act 98-252 authorized the deposit of State matching funds in the University or in a foundation operating pursuant to Sections 4-37e and 4-37f consistent with the deposit of endowment fund eligible gifts. This provision was made to clarify the issue of whether State matching funds could become foundation assets or must be deemed assets of the associated constituent unit of higher education.

The enabling legislation for this program was subsequently amended to extend it through the fiscal year ending June 30, 2014; the State's maximum commitment was set as an amount not exceeding ten million dollars for the fiscal year ending June 30, 1999, seven million five hundred thousand dollars for each of the fiscal years ending June 30, 2000, June 30, 2002, June 30, 2003, June 30, 2004, and June 30, 2005, five million dollars for the fiscal year ending June 30, 2001, ten million dollars for the fiscal years ending June 30, 2006, and June 30, 2007, and fifteen million dollars for the fiscal years ending June 30, 2008, to June 30, 2014, inclusive (see Section 10a-109c of the General Statutes). Further, the amending legislation, codified in Section 10a-109i of the General Statutes, reduced the State match, from a one-to-one ratio to a one-to-two ratio (one State dollar for two private dollars) beginning with the fiscal year ended June 30, 1999, except for eligible gifts amounts certified for the fiscal years ended June 30, 1999 and 2000, for which written commitments were made prior to July 1, 1997. The ratio was further reduced to a one-to-four ratio beginning with the fiscal year ended June 30, 2007; similar caveats were established providing for a one-to-two match for gifts made during the period from January 1, 2005 to June 30, 2005, and multi-year commitments for periods beginning prior to December 31, 2004, but ending before December 31, 2012.

Statistics compiled by the University's registrar present the following enrollments in the Health Center's credit programs during the audited period.

Student Status	Fall 2006	Spring 2007	Fall 2007	Spring 2008
Medicine - Students	328	328	323	323
Medicine – Residents	586	586	585	585
Dental – Students	159	159	164	164
Dental - Residents	107	107	109	109
Totals	1,180	1,180	1,181	1,181

Under the provisions of Section 10a-105, subsection (a), of the General Statutes, fees for tuition were fixed by the University's Board of Trustees. The following summary presents annual tuition charges during the audited period.

Student Status	2006-2007			2007-2008		
	In-State	Out-of-State	Regional	In-State	Out-of-State	Regional
School of Medicine	$13,800	$31,400	$20,700	$15,870	$36,110	$23,805
School of Dental Medicine	11,089	28,421	16,639	12,752	32,684	19,128

During the audited period, the State Comptroller accounted for Health Center operations in:

- General Fund appropriation accounts.
- The University of Connecticut Health Center Operating Fund (Section 10a-105 of the General Statutes).
- The University of Connecticut Health Center Research Fund (Section 10a-130 of the General Statutes).
- The University Bond Liquidation Fund (Special Act 67-276, Section 26, and others - used for both the University and the Health Center).
- The University Health Center Hospital Fund (Section 10a-127 of the General Statutes).
- The John Dempsey Hospital Malpractice Fund (Section 10a-256 of the General Statutes).
- Accounts established in capital project and special revenue funds for appropriations financed primarily with bond proceeds.

The Finance Corporation maintained a separate accounting system during the audited period. However, it was folded into the Health Center's primary accounting system effective with the fiscal year ended June 30, 2009. In the past virtually all of the Finance Corporation's activity and balances were mirrored in the University of Connecticut Health Center Operating and Hospital Funds. However, as noted above, this changed with the recent construction of the Health Center's new Medical Arts and Research Building and the acquisition of the facility located at 16 Munson Road. These buildings are assets of the Finance Corporation and the associated debt a liability.

A small activity fund, the Health Center Student Activity Fund, was associated with the Health Center during the audited period. The financial effect of this activity fund was negligible.

The Health Center's financial statements are prepared in accordance with all relevant Governmental Accounting Standards Board (GASB) pronouncements. The Health Center utilizes the proprietary fund method of accounting whereby revenue and expenses are recognized on the accrual basis. All revenues and expenses are subject to accrual.

GASB Statement No. 20, *Accounting and Financial Reporting for Proprietary Funds and Other Governmental Entities That Use Proprietary Fund Accounting*, states that proprietary activities may elect to apply the provisions of Financial Accounting Standards Board (FASB) pronouncements issued after November 30, 1989, that do not conflict with or contradict GASB pronouncements. The Health Center has not elected this option.

GASB Statement No. 47, *Accounting for Termination Benefits*, was effective for periods beginning after June 15, 2005. This statement requires employers to recognize a liability and expense for voluntary termination benefits when the termination offer is accepted and the amount of the benefits can be estimated. Any pension liability related to early retirement is the State's responsibility and therefore the Health Center did not record any liability except for an accrual for compensated absences related to an early retirement plan in the fiscal year ended June 30, 2003. The final payment on this liability was made during the fiscal year ended June 30, 2008.

Net patient service revenues are reported at the estimated net realizable amounts from patients, third-party payors, and others for services rendered, including estimated retroactive adjustments under reimbursement agreements with third-party payors. Settlements are accrued on an estimated basis in the period the related services are rendered and adjusted in future periods, as final settlements are determined.

Property and equipment acquisitions are recorded at cost. Betterments and major renewals are capitalized, and maintenance and repairs are expensed as incurred. Depreciation is provided over the estimated useful life of each class of depreciable asset and is computed using the straight-line method.

Health care providers and support staff of the Health Center are fully protected by State statutes from any claim for damage or injury, not wanton, reckless or malicious, caused in the discharge of their duties or within the scope of their employment ("statutory immunity"). Any claims paid for actions brought against the State as permitted by waiver of statutory immunity have been charged against the Health Center's malpractice self-insurance fund. Effective July 1, 1999, the Health Center developed a methodology by which it could allocate malpractice costs between the Hospital, the UConn Medical Group and University Dentists. For the years ended June 30, 2007 and 2008, these costs are included in the statement of revenues, expenses and changes in net assets.

The Health Center's financial statements are presented using a single column format. However, consolidating statements of net assets and of revenues, expenses and changes in net assets are presented as supplementary information.

The Health Center's financial statements are adjusted as necessary and incorporated in the State's Comprehensive Annual Financial Report. The financial balances and activity of the Health Center, including that of the John Dempsey Hospital, are combined with those of the University and included as a proprietary fund.

The Health Center's net assets balance increased by $17,885,755 from $254,628,598 as of June 30, 2006, to $272,514,353 as of June 30, 2007. It then decreased by $1,482,917 to $271,031,436 as of June 30, 2008. The increase for the fiscal year ended June 30, 2007, was

attributable to net capital appropriations of $22,961,941 (no new capital appropriations were made during the fiscal year ended June 30, 2008; $165,790 in existing capital appropriations were rescinded).

Health Center employment grew slightly during the audited period. The Health Center's human resources system presented 4,638, 4,620 and 4,725 full-time equivalent filled positions as of June 30, 2006, 2007 and 2008, respectively.

During the audited period, patient revenues were the Health Center's largest source of revenue. Patient revenues, as reflected in the Health Center's financial statements, aggregated $375,948,065 and $ 399,252,009 for the fiscal years ended June 30, 2007 and 2008, respectively. These amounts are net of eliminations of internal transactions between the primary institution and the John Dempsey Hospital. Such internal revenues aggregated $13,233,204 and $14,446,240 for the fiscal years ended June 30, 2007 and 2008, respectively.

John Dempsey Hospital patient revenues were the largest single component of Patient revenues. Such revenues totaled $ 221,238,114 and $ 230,514,612 (prior to the elimination of transactions between the primary institution and the John Dempsey Hospital) for the fiscal years ended June 30, 2007 and 2008, respectively. Other operations that generated significant patient revenues were the Correctional Managed Healthcare Program and the UConn Medical Group.

Under the Correctional Managed Healthcare Program, the Health Center entered into an agreement, effective August 11, 1997, with the Department of Correction to provide medical care to the inmates incarcerated at the State's correctional facilities. Medical personnel at the correctional facilities, formerly paid through the Department of Correction, were transferred to the Health Center's payroll.

Under the agreement, while the program was to be managed by the Health Center, the Commissioner of the Department of Correction retained the authority for the care and custody of inmates and the responsibility for the supervision and direction of all institutions, facilities and activities of the Department. The purpose of the program was to enlist the services of the Health Center to carry out the responsibility of the Commissioner for the provision and management of comprehensive medical care.

The agreement called for the Health Center to provide comprehensive medical, mental health, dental services and medical support services such as laboratory, pharmacy and radiology to Department of Correction inmates at a capitated, or fixed, cost. However, as actually implemented, the program functions on a cost reimbursement basis. This was recognized in a new memorandum of agreement executed in March 2006.

Patient revenues generated by the program, as reflected in the Health Center's financial statements, were $94,881,163 and $ 101,660,324 for the fiscal years ended June 30, 2007 and 2008, respectively. These amounts did not include in-kind fringe benefit support, which was classified as General Fund operating support.

The Health Center recorded a receivable from the General Fund of $15,412,738 as of June 30, 2007. This amount reflected the excess, of cumulative program expenditures, recorded on the

accrual basis, over funding transfers from the Department of Correction since the inception of the program. A receivable of $9,423,851 was recorded as of June 30, 2008.

The UConn Medical Group functions similarly to a private group practice for faculty clinicians providing patient services. UConn Medical Group Patient service revenues (prior to the elimination of transactions between the primary institution and the John Dempsey Hospital) totaled $ 69,932,478 and $78,403,757, for the fiscal years ended June 30, 2007 and 2008, respectively.

Other significant sources of revenue included State General Fund operating support, restricted grants and payments for the services of interns and residents. State General Fund operating support, as reflected in the Health Center's financial statements, totaled $157,279,599 and $190,742,826, for the fiscal years ended June 30, 2007 and 2008, respectively. These amounts included budgeted appropriations, in-kind fringe benefit support associated with those budgeted appropriations and in-kind fringe benefit support associated with the Correctional Managed Healthcare Program.

Restricted grant revenues, as reflected in the Health Center's financial statements, totaled $90,933,125 and $87,001,639, for the fiscal years ended June 30, 2007 and 2008, respectively. Federal grants comprised the largest part of these revenues.

Under the Residency Training Program, interns and residents appointed to local health care organizations are paid through the Capital Area Health Consortium. The Health Center reimburses the Capital Area Health Consortium for the personnel service costs incurred and is, in turn, reimbursed by the participating organizations. Program revenues (prior to the elimination of transactions between the primary institution and the John Dempsey Hospital) aggregated $37,573,473 and $37,486,043, for the fiscal years ended June 30, 2007 and 2008, respectively.

The Health Center did not hold significant endowment and similar funds balances during the audited period, as it has been the Health Center's longstanding practice to deposit funds raised with the University of Connecticut Foundation, Inc. The Foundation provides support for the University and the Health Center. Its financial statements reflect balances and transactions associated with both entities, not only those exclusive to the Health Center. A summary of the Foundation's assets, liabilities, support, and revenue and expenses, as per those audited financial statements, follows:

	Foundation Fiscal Year Ended	
	June 30, 2007	June 30, 2008
Assets	$407,900,000	$396,802,000
Liabilities	14,961,000	16,801,000
Net Assets	392,939,000	380,001,000
Revenues, Gains and Other Support	86,845,000	32,758,000
Expenses	46,987,000	45,696,000

During the previous audited period, the Health Center entered into a public-private partnership with Health Resources International to operate an outpatient surgical facility on the

Health Center's Farmington campus. The Farmington Surgery Center (FSC) began operations during the fiscal year ended June 30, 2005. Net profits and losses were to be allocated 76 percent to the Health Center and 24 percent to Health Resources International.

Anticipated revenues were not realized, and the FSC suffered significant losses. The Health Center purchased all minority interests in the company at the start of the fiscal year ended June 30, 2007, effectively dissolving the partnership. Though the FSC still exists as a legal entity, it ceased operations. The outpatient surgical facility continues to operate as part of the John Dempsey Hospital.

Initial funding for the FSC was provided by a $1,200,000 cash contribution from Health Resources International. Subsequently, Health Resources International made additional cash contributions aggregating $625,390, the Health Center contributed cash of $2,780,744 and other investors contributed $240,000. When the Health Center purchased all minority interests in the operation, $1,652,500 of the $1,825,390 contributed by Health Resources International was returned to the firm; the other minority investors received full refunds of the cash they contributed.

Basically, the Health Center and Health Resources International invested (net) cash in the amounts of $4,673,244 and $172,890, respectively, in the FSC. The partnership's net assets balance at termination was negligible.

The Health Center's financial condition deteriorated significantly during the audited period. As of June 30, 2006, the Health Center had an unrestricted cash balance (cash not externally restricted or reserved for estimated malpractice liabilities) of over thirty million dollars. However, this balance fell into a deficit condition before the end of the succeeding fiscal year.

After the infusion of support from three deficit appropriations of approximately twenty-two million dollars each made at the close of the fiscal years ended June 30, 2007, 2008 and 2009, it had recovered from the significant decrease experienced during the fiscal year ended June 30, 2007. The Health Center's unrestricted cash balance was approximately $40,000,000 as of June 30, 2008 and 2009.

The Health Center's management group stated that the Health Center's financial difficulties were due, in part, to the size and age of John Dempsey Hospital and proposed replacing it with a new, larger facility. The legislature directed the Office of Legislative Management to contract with the Connecticut Academy of Science and Engineering (Academy) to conduct a needs-based analysis of the Health Center facilities plan.

The Academy recommended that the Health Center select a regional hospital to, acting as a clinical partner, construct, own and operate new clinical facilities on the Health Center campus. However, the Academy also recommended that the size of the new facilities be limited so that the total number of licensed beds would not exceed the existing licensed beds currently allocated to John Dempsey Hospital and those beds that the selected clinical care hospital partner could reallocate to a new hospital under its existing license.

Acting on this recommendation, the Health Center's management group proposed to enter into a partnership with Hartford Healthcare Corporation (the parent company of Hartford

Hospital) and developed a conceptual framework for the partnership. Under this conceptual framework, existing Hartford Hospital clinical facilities and clinical facilities to be constructed on the Health Center's Farmington Campus would, in combination, comprise a University Hospital. The Farmington facility would be owned by the University and operated by Hartford Healthcare; the Hartford facility would continue to be owned an operated by Hartford Healthcare. The University Hospital would maintain and operate its existing licensed beds.

It should be noted that the Health Center's original proposal called for the construction of a larger facility on its Farmington campus to be financed largely from the proceeds of revenue bonds. In contrast, the conceptual framework stated that the support of the State would be essential to the success of the endeavor and will include investment, potentially in the form of capital financing for the replacement of John Dempsey Hospital and operating support for the academic and research enterprise, as well as certain State-related expenses of John Dempsey Hospital.

In May 2010, the legislature approved (Public Act 10-104) a $362,000,000 plan to renovate the facility, construct a new patient tower and provide various benefits for other area hospitals. The initiative is contingent on the award of a $100,000,000 Federal grant, which other states could compete for. The remaining $262,000,000 will be funded from general State tax revenues. Per the enabling legislation, the initiative will terminate if the $100,000,000 is not obtained through the grant, or from other sources, by June 30, 2015.

CONDITION OF RECORDS

Our review of the financial records of the Health Center disclosed certain areas requiring attention, as discussed in this section of the report.

STIF Investments:

Criteria: When personal service costs are a critical factor, automation, i.e., reducing the need for manual intervention in a process, can be an effective cost saving measure.

Condition: The Health Center maintains two State Short Term Investment Fund (STIF) accounts for its Research Fund and two for its Operating Fund. Additionally, the Operating Fund participates in the interest credit program authorized under Section 3-27a of the General Statutes. Under the interest credit program, the Treasury pays the Health Center STIF equivalent interest on the average daily cash balance held in the Operating Fund.

In the Health Center's accounting system, investment balances are maintained separately in numerous individual accounts. Health Center accountants monitor those accounts and invest funds held in excess of anticipated cash needs. Separate worksheets are maintained to keep the investment balances recorded in the accounting system in sync with the balances held in the various STIF accounts.

It would be more effective to leave all of the Operating Fund balances as cash, thus automatically investing them through the interest credit program, and invest Research Fund cash in STIF based on the anticipated cash needs of the fund as a whole. Investment earnings could then be easily distributed at the account level based on average daily cash balances as reflected in the accounting system.

Effect: The current process requires an unnecessary and inefficient degree of manual intervention.

Cause: This process has evolved over time without being subjected to critical analysis and planning.

Recommendation: The Health Center should invest funds held in excess of anticipated cash needs at the fund level and distribute earnings to individual accounts based on average daily cash balances as reflected in the accounting system. (See Recommendation 1.)

Agency Response: "Management agrees with this recommendation and will assess the costs and benefits of a more streamlined, automated process for

handling STIF investments and implement the solution if it is determined to be cost justified as of January 1, 2011."

Office of Technology Commercialization:

Criteria: Management and others responsible for governance need access to timely, reliable and pertinent financial information that provides a comprehensive informational base for decision-making. The ability to make sound decisions regarding programs and activities is dependent on reliable measurements of their full cost and financial performance.

Condition: The Office of Technology Commercialization, established several years ago, groups various revenue sources, programs and activities primarily related to efforts at the University and Health Center to market commercially viable products and develop and/or assist technology related companies. At the time of our review, the Office of Technology Commercialization was receiving an operating subsidy of approximately two million dollars per year, spilt evenly between the University's Storrs campus and the Health Center. It is unclear whether the significant ongoing operating subsidy is justified by the programmatic benefits provided, as the reports currently produced for the function do not provide the data needed to make such a determination.

Effect: The information necessary for an informed decision regarding the viability of the Office of Technology Commercialization is not readily available.

Cause: The need for a comprehensive fiscal analysis does not appear to have been anticipated when current accounting and reporting practices were developed.

Recommendation: The University should prepare, annually, a comprehensive cost/benefit analysis for the Office of Technology Commercialization. (See Recommendation 2.)

Agency Response: "The Office of Technology Commercialization is a University-wide function servicing both the Health Center and all Storrs based programs including regional campuses. The University would benefit from an all inclusive, regularly occurring cost benefit analysis of the Office of Technology Commercialization (OTC) and a more comprehensive fiscal reporting process. It is our expectation that this can be achieved in the next fiscal year. However, we suggest that this analysis should measure benefits in terms of revenue and the variety of other metrics that address the purposes and services for which the OTC was formed.

A primary role of the OTC is to service faculty researchers and the University by identifying new technologies, protecting technologies through patents and copyrights, forming commercialization strategies and new start-up companies based on the technology.

The largest component of OTC services are those directly relating to Technology Transfer, the process of transferring scientific findings from one organization to another for the purpose of further development and commercialization. Universities engage in technology transfer to:

- Assure recognition for their discoveries
- Comply with federal regulations relating to research grants
- Attract and retain talented faculty
- Support local economic development
- Attract corporate research support
- Attract funding and generate licensing revenue to further research and education

The Bayh-Dole Act of 1980 led to the growth of university based tech transfer nationally and was aimed at assuring that discoveries made with federal funding were protected so that billions of dollars in federal research funding is effectively utilized. The Bayh-Dole Act requires research institutions to engage in technology transfer activity. Leading institutions recognize the value of tech transfer as critical to a productive research environment. As a public land grant institution UConn also recognizes economic development is a key long-term goal for tech transfer.

The Association of University Technology Managers (AUTM) has studied the difficulties associated with generating revenue through "winning" technologies. AUTM data (from peer institutions) suggests that over time, research institutions can expect to achieve a few very high value licenses that cover the costs associated with pursuing a full patent portfolio. These issues have shaped our strategy and the support programs we have in place to promote commercialization.

While OTC does not generate enough revenue to cover its expenses, as part of the University research enterprise, it has in recent years annually reported valuable contributions such as licensing revenues totaling $1,173,886 in FY09, more than $13.5 million in capital raised to further develop technology in UConn startups and at least 110 employees involved with recent UConn startup company operations. Additionally, it is important to note that there were 28 startups created with UConn technology over

the last 12 years, 93 active licenses are in place for use of UConn technology, and UConn inventions have won global recognition by multiple organizations.

OTC also acts as a central point for economic development at the University providing access for industry and entrepreneurs seeking assistance, and policy and program development guidance to increase the University's contribution to economic development.

While it is highly desirable to analyze OTC expenses and operations each year, revenue is not the only measure of its viability as it is critical that certain services be offered for UConn to remain compliant with Bayh-Dole and to support state economic development. It will be prudent as part of this review, to look at other models and consider cost saving options such as outsourcing, state agency partnerships or use of a nonprofit research foundation as have other universities."

Auditors' Concluding Comments:

We agree that the recommended cost/benefit analysis should consider the operating subsidy required in relation to the programmatic benefits provided.

Review and Approval of Contracts by the Attorney General:

Criteria:

Review of the terms of contracts for professional services by the Attorney General's Office is a longstanding State internal control required to be conducted by the Attorney General under the authority of Section 3-125 of the General Statutes. This requirement was communicated in Memorandum 84-35, dated October 9, 1984, which stated that the Attorney General's signature is required for agreements whose total cost within a twelve-month period exceeds $3,000. It is incorporated in guidance provided by the Office of the Attorney General located at the University of Connecticut, which includes the statement that "all State contracts for either the expenditure or receipt of funds ($3,000 and above) must be reviewed and approved by the Office of the Attorney General."

Condition:

We noted that the Health Center contracted with a consulting firm with the stated aim of "designing, leading and implementing an institution-wide strategic business redesign and transformation initiative." The scale of the project was revised several times; as of June 30, 2008, the project total was $4,361,500. However, the Health Center did not submit the related contracts to the Attorney General for review.

The only documentary evidence of Attorney General involvement in the process was an e-mail from an Assistant Attorney General assigned to the Health Center stating that the provisions of a purchase order issued in the amount of $50,000 in connection with a Board Retreat related to the project "looked good." Subsequently, the Health Center's management informed us that they had routinely contracted for professional services without obtaining the required Attorney General's approval of the related contracts and provided examples.

Effect: Overriding internal controls subjects the State to increased risk. This was especially notable with respect to the consulting engagement described above, as the contract language setting the fee for the engagement was vague. It called for a portion of the engagement fee to be based on resultant revenue enhancements without clearly specifying how this contingent fee would be calculated.

Cause: The cause could not be readily determined.

Recommendation: The Health Center should submit all contracts for professional services to the Attorney General for review. (See Recommendation 3.)

Agency Response: "Management has worked with the Attorney General's Office to create new procurement procedures to ensure that they comply with State statutes and has updated the review process from the AG's office to include a signature as documentation of AG review on all professional service contracts. Both have been done during FY 2009 and major changes to the procedures have been documented and put in place. We consider this issue closed."

Execution of Contracts:

Criteria: Contractors should not be authorized to begin work prior to execution of a contract. Formal written agreements establishing rights and responsibilities are a safeguard for all parties involved.

Condition: In December 2001, the Health Center promulgated new contracting procedures. According to these procedures, "New contracts must be fully executed prior to the beginning of work." However, it appears that this requirement continues to be largely disregarded in practice.

Per our analysis of the Health Center's contract management database, 292 personal service agreements were executed by the Health Center during the period from April 1, 2008 through March 31, 2009. Twenty-two of the 292 were amendments of existing

contracts. The remaining 270 agreements included 135 research related agreements and 135 other agreements.

One hundred and twenty-seven of the 135 research related agreements were signed after the start date. Delays ranged from five to 443 days; the average lag time was 104 days. Ninety-four of the other 135 agreements were signed after the start date. Delays ranged from one to 358 days; the average lag time was 122 days. The delays were calculated by comparing the contract start date to the date the contracts were signed by a representative of the Health Center.

We also reviewed 25 contracts executed through the Finance Corporation. Six of the 25 were signed after the start date. Delays ranged from one to 49 days; the average lag time was 11 days. This was a noticeable improvement over the results of our prior review, where we found that nine of 25 were signed after the start date with an average lag time of 48 days.

Effect: Unforeseen liabilities may be incurred if work is started on a project before all of the key terms have been agreed to and the contract has been signed. This is a critical concern, especially if disagreements arise regarding the nature or quality of the work involved.

Cause: Those responsible for initiating the process did not allow sufficient lead-time. The magnitude of the time lags involved indicates that, in at least some instances, initiation of the process may have been delayed until the need to process payments to contractors became apparent (payments are not processed until a contract is in place).

It is noteworthy that letters mailed to prospective contractors include a warning that the Health Center is not liable for payment until contracts are executed and go on to emphasize that contracts must be executed "prior to the expiration date of the agreement." These letters should state that contracts must be executed before the contractors can commence working.

Recommendation: The Health Center should not authorize contractors to begin work prior to the execution of a contract. (See Recommendation 4.)

Agency Response: "Management agrees and continues to put in place additional policies, procedures and resources to address this issue. In addition, we are developing educational/training sessions with the initiating department administrators to review proper procedures. At the same time, due to restrictions imposed on the Health Center by terms and conditions of research awards, it would be impossible to fully eliminate this issue. Management is committed to

improving the process and in no case were any payments made to contractors until such time as the agreement was executed."

Health Center REPORTLINE:

Background: A whistle blower program can protect an organization by both providing an early-warning system and, by demonstrating a commitment to compliance, mitigating liability under Federal Sentencing Guidelines for Organizations. Most important, it can serve the public interest by providing transparency and disclosure, i.e., bringing matters of public concern to public knowledge and attention.

Though not formally titled as such, the Health Center currently maintains a whistle blower program. A key component of this program is the institution's REPORTLINE, a confidential telephone reporting system, established in 1997, operated by a private firm under contract with the Health Center. The private firm forwards the reports to the Health Center's Corporate Compliance Office. Complainants can submit complaints through the REPORTLINE or directly to the Compliance Office.

Criteria: In order for a whistle blower program to function effectively, potential complainants must both feel confident that they will not be retaliated against for raising concerns, and believe that their concerns will be properly addressed.

Additionally, proper documentation is critical to the process. It provides a safeguard for all parties involved - the complainant, the subject of the complaint, and those charged with reviewing the complaint.

Condition: We reviewed 16 cases chosen from a log maintained by the Compliance Office. Our review was hampered by inadequate documentation. In ten of the 16 cases selected, there was either no documentation available or the documentation provided was poor. Pertinent e-mails were routinely deleted; they are required to be treated as permanent records under directives promulgated by the Office of the Public Records Administrator.

In addition to the lack of documentation, we noted the following:

- In one case the complainant was asked to take the lead in pursuing the matter. This was not an isolated occurrence. We conducted this review because another instance (not included in the 16 sampled) where the complainant was asked to "take point" came to our attention. This practice exposes complainants to potential retaliatory action.

- It appeared that three of the cases reviewed were not adequately investigated.
- Two cases reflect misinterpretations of HIPPA requirements. In one, an employee copied patient charts and gave them to their union representative without the knowledge of anyone in authority. The Compliance Office erroneously concluded that this was permissible as HIPAA allows the use of medical information for the "resolution of internal grievances."
- Though there was evidence that HIPAA breaches occurred in four cases, there was no indication that these breaches were documented as required by HIPAA.
- Two cases clearly involved matters reportable under Section 4-33a of the General Statutes. They were not reported as required.
- Concerns brought to management's attention by the Compliance Unit were not properly addressed and/or resolved in six cases. At the time of our review one case had been outstanding for over two years and another, which involved a potentially serious matter that should have been brought to the attention of the governing body, for almost a year.

Effect: The problems described above are serious impediments to the effective operation of the Health Center's whistle blower program.

Cause: In order for the Health Center's whistle blower program to function effectively, it must follow rigorous documentary and operational standards. It was clear from our review that the Compliance Unit had not developed and implemented such standards. Additionally, unit staff did not appear to have developed adequate familiarity with regulatory standards, such as HIPPA requirements and the provisions of Section 4-33a of the General Statutes.

We were told that the current focus of the Compliance Office is on assisting staff and working cooperatively with individuals with compliance concerns, rather than looking for things that are wrong. While this approach is compatible with the Compliance Office's support function, it is not a good approach to investigatory work.

Recommendation: The Health Center should develop detailed written standards for performing and documenting whistle blower reviews to help ensure that the agency's whistle blower program operates effectively. (See Recommendation 5.)

Agency Response: "The Compliance Office agrees with the recommendation that when handling whistle blower complaints rigorous written standards for performing and documenting these reviews should be adopted. The Office currently functions under two written protocols addressing investigations. Whistle blower complaints are classified as investigations under the protocol adopted originally in 2006 and procedures adopted in 2009.

Compliance Programs routinely also manage many communications that we do not consider complaints. For this reason the Office maintains a log of all communications that was the subject of your review. Contacts to the Office vary from simple questions, to requests for advice to a concern, or a request for guidance or education. Some contacts are clearly complaints and are treated as such, requiring rigorous investigation. Most contacts however are determined to be concerns requiring varied responses from the Office.

In accordance with Federal Sentencing Guidelines, one goal of an effective Compliance Program is to work with contacts to the Office in order to resolve issues internally before they become whistle blower complaints that require investigation. This routinely involves responding to contacts in an educational or otherwise assistive approach. To manage an effective program, the Office must use judgment regarding investigative need vs. education, assistance, guidance or facilitation.

The log submitted to you spanned the time frame of years 2005 through approximately February 2009 and included over 780 entries. From these entries, 12 cases were reviewed and noted in the report, representing 1.5% of the total log entries provided. Half of cases with findings were managed by the office prior to the adoption of any protocol on investigations/inquiry (Occurring in 2005 and 2006.) All of the cases reviewed occurred prior to the adoption of the UCHC Internal Investigation/Inquiry Guidelines policy. (Occurring prior to April 2009)."

Promotional Processes Tailored to Benefit Specific Individuals:

Criteria: Published guidelines outlining hiring manager responsibilities instruct those involved in the process to "not tailor job description, qualifications or requirements for a specific individual" and to "choose the best qualified candidate" based on an "objective and consistent evaluation process." Naturally, a good faith effort by management and others involved is a critical part of this process.

Condition: In the course of performing an unrelated audit procedure, we noted two instances where an open and competitive promotional process

was not followed. Communications between management and Human Resources regarding one of the promotions indicate that the process was initiated with the objective of promoting the employee in question.

In both instances, it appeared that position descriptions were tailored to match specific employee's work histories:

- A "preferred experience" requirement for two years experience in a large CPA firm was added to the standard description for one position. The employee in question had two years, four months of experience in a large CPA firm.
- A new position description was established for the other position; the employee in question did not meet the requirements of the description previously used for the position. The new description included a requirement for nine years in an administrative position involving the performance of certain duties in the mistaken belief that the employee in question met this criterion.

A key work experience requirement, supervisory experience, for one of the positions was interpreted differently for the employee in question and another prospective candidate for the position:

- With respect to the employee in question, Human Resources "assumed that they were involved in hiring, evaluation, scheduling and disciplining" based on the employee's unsupported statement that "they supervised other employees."
- When another prospective candidate attempted to demonstrate that they had met this requirement, their claim was summarily dismissed.

Further, it appears that neither of the two employees actually met all of the stated requirements for the positions. As discussed above, one employee's claim to have supervised employees at a previous job was accepted without question, even though the employee had also claimed (erroneously) to have supervised two employees while serving in non-supervisory position at the Health Center – demonstrating an inadequate understanding of what constituted supervision. The previous job was an entry-level job that would not have involved supervision as defined by the Human Resources department. We noted that management signed off on the employee's representations, even though the representations were not accurate.

When we began our review, Human Resources maintained that the other employee had served in an administrative position that included certain responsibilities for nine years – a clearly stated

requirement for the new position. Subsequently, we established that the employee had not done so. Human Resources then offered an alternative interpretation of the requirement, maintaining that the employee need only to have had an administrative position (of any level) for the specified period and also performed the functions for an indefinite length of time at some point during the period. This unusual interpretation is clearly incompatible with accepted practice.

Effect: An open and competitive process was not followed.

Cause: The cause could not be readily determined.

Recommendation: The Health Center should conduct all employment processes in an open and competitive manner as specified in its published guidelines. (See Recommendation 6.)

Agency Response: "The University continues to disagree with the characterizations and opinions made within this finding, and will certainly continue to follow our policies and procedures pertaining to open and fair hiring practices."

Conflict with Laws, By-Laws and Rules:

Criteria: Per the Laws, By-Laws and Rules of the University of Connecticut, sabbatical leave may be for a period of up to six months with full pay, or for a period up to twelve months with half pay. Further, following such leave, employees are obligated to return to active service at the University for a minimum of one year.

Standard State practice is to reimburse employees for business related travel expenses. However, such reimbursement is contingent upon the submission of supporting documentation.

Condition: A high-level member of the Health Center's faculty was, at the faculty member's request, granted a one-year sabbatical at full salary plus an additional $45,000 to cover undocumented travel expenses. This was later reclassified as a six-month sabbatical at full salary and six months of special leave at full pay, plus the additional $45,000. This technical change was not substantive, as the parties involved had already declared their intention of awarding the faculty member a one-year sabbatical at full salary.

Immediately following the one year sabbatical, the faculty member retired. Subsequently the faculty member was reemployed on a part-time basis (as reemployed retiree; the faculty member did not return to active service) at a pay rate equivalent to the rate paid

while on sabbatical, i.e., the last regular salary level of $275,000 plus the additional $45,000 (annual pay rate of $320,000).

Effect: In addition to being unusually generous during a period where the Health Center was suffering financial difficulties, these payments may not have been legally authorized. They conflict with provisions of the Laws, By-Laws and Rules of the University of Connecticut which: specify that one-year sabbaticals are to be at half pay, specify that employees must return to active service at the conclusion of their sabbaticals, and do not address travel allowances in connection with sabbaticals.

Cause: The cause could not be readily determined.

Recommendation: The Health Center should make sure that all compensation paid is in compliance with the provisions of the Laws, By-Laws and Rules of the University of Connecticut. Supporting documentation should be required for all reimbursements of business expenses incurred. (See Recommendation 7.)

Agency Response: "Management agrees that the Board of Trustee's compensation decisions relative to this faculty member/administrator were tailored to his specific situation but disagree that the Board lacked legal authority to structure a compensation package in the way that it did, i.e. restructuring a one year sabbatical at full pay into a six month sabbatical at full pay coupled with a six month paid leave, and including defined compensation to cover all travel expenses. The University by-laws also permit some discretion regarding the requirement to return to active service. This faculty/administrator was involved in a unique, defined and important project related to alternative business models for the operation of the School of Dental Medicine which warranted specialized treatment. In addition, the Board had an understandable reason for fashioning this arrangement as it did, since in return therefore, the faculty member resigned from a tenured position, thereby relieving the University from an indefinite and significant ongoing financial obligation. Nevertheless, management will refer this matter to the University's Office of Audit and Compliance for an independent review. The outcome of that review will then be reported to, reviewed by and acted on, as necessary, by the University's Joint Audit and Compliance Committee."

Auditors' Concluding Comments: The Health Center's response indicates that these payments were made, at least in part, as a form of retirement incentive. We agree that the Board has broad authority under Section 10a-108 of the General Statutes to set the terms and conditions of employment for professional employees. However, if this was the Board's intent,

the payments should have been clearly described as such and not characterized as sabbatical compensation or an allowance for business expenses.

Compensatory Time:

Criteria: The University Health Professionals collective bargaining agreement specifies that compensatory time be awarded to salaried professional employees not subject to the Fair Labor Standards Act on a one-to-one basis with hours actually worked.

Condition: During a review of compensatory time we noted that one employee had accrued 91 days during a nine-month period, with five earned by working on holidays and 86 attributed to overtime. Amounts claimed increased from two and three hours per day at the beginning of the period to four and five hours per day at the end. No records were available to substantiate this overtime.

The employee claimed that the time had been earned by coming in early, working through lunch, staying late and working at home. We attempted to verify the employee's claims regarding on-site overtime by checking various electronic logs. Though it is certainly possible that these records could fail to provide an accurate record for isolated workdays, the pattern noted over a significant period of time established that, generally, the employee would have had to work through the largest part of the lunch hour just to put in the required eight hours.

Though Human Resources subsequently advised departments to adopt procedures to corroborate additional hours worked, at the time of our review there were no controls over compensatory time earned except for supervisory signoff on timecards. In this instance, the supervisory signoff on timecards was ineffective as a control, as the individual that signed off on the employee's timecard did not actually supervise the employee.

Effect: When we reported this matter to Human Resources, the department conducted a review of this matter and concluded, "While the exact number of compensatory hours put in is impossible to specifically validate at this time, there is nothing to prove that [the employee]…did not put in the time." As the compensatory time balance was subsequently liquidated, this position left the employee with a significant (approximately $25,000) financial benefit in spite of the fact that there is no documentation evidencing that the compensatory time was actually earned.

Cause: The cause could not be readily determined.

Recommendation: The Health Center should establish rigorous pre-approval, supervision and documentation standards for compensatory time. The Health Center should consult with the Attorney General to determine if efforts should be made to recover payments made in connection with unsupported compensatory time accruals. (See Recommendation 8.)

Agency Response: "Management disagrees. The matter was investigated by the Director of Labor Relations and Employment Services in 2008. The investigation concluded that the employee was authorized to accrue compensatory time as a result of the employee assuming new and significant additional responsibilities critical to the Health Center (in addition to continuing to perform her existing job responsibilities) until a replacement could be found due to an employee resignation. The report determined that the employee did, in fact, work extra hours as contemplated, that compensatory time requests were submitted contemporaneous with the work being performed and that the employee's time sheets were approved by duly authorized supervisors. The report acknowledged that better management controls could have been in place and management has acted to address the report's recommendations.

The report concluded that there is inadequate basis to support a finding that the employee acted either inappropriately or illegally. Nevertheless, management will refer this matter to the University's Office of Audit and Compliance for an independent review and follow up as appropriate."

Auditors' Concluding Comments: The employee claimed a large amount of compensatory time and there is no documentation supporting the contention that it was earned (supervisory signoff on the employee's timecard cannot be considered supporting documentation as the signatory did not actually supervise the employee). In addition to improving controls to prevent further instances of this nature, the Health Center should consult with the Attorney General regarding the legal status of these unsupported payments.

Ethics Violation:

Criteria: Section 1-85 of the General Statutes states that "A...state employee has an interest which is in substantial conflict with the proper discharge of his duties or employment in the public interest and of his responsibilities as prescribed in the laws of this state, if he has reason to believe or expect that he, his spouse, a dependent child, or a business with which he is associated will derive a direct monetary gain or suffer a direct monetary loss, as the case may be, by reason of his official activity."

Office of State Ethics Advisory Opinion No. 1994-13 states that "…if a spouse of a state employee or public official wishes to be hired on a special payroll or under a personal services agreement, in the amount of $100.00 or more, the hiring must comply with the open and public process requirements of Conn. Gen. Stat. §1-84(i). These requirements include prior public offer and subsequent public disclosure of all proposals considered and the contract awarded. Prior public offer may be satisfied by posting an advertisement in an appropriate location or by placing such an advertisement in a newspaper or relevant trade publication, for example. Of course, the spouse/state employee must refrain from any involvement in the hiring process."

Condition: During a routine test of payroll transactions, we noted that the spouse of a member of the Health Center's faculty was charged to one of the faculty member's grant awards during the summer of 2006. The faculty member's spouse was a State employee; a nine-month employee of the University. Health Center records indicate that this has been a regular practice for several years – the individual in question was paid on the Health Center's special payroll during the summers of 2005, 2006 and 2007.

We were informed that the individual began working on the grant approximately seven years ago and that, prior to 2005, the Health Center reimbursed the University for services provided rather than paying the individual directly. As such, this practice differed only in that the salary payments would have been processed through the University's special payroll instead of the Health Center's special payroll; a difference in form, but not in substance.

Effect: This arrangement appears to have violated State ethics provisions as interpreted by the Office of State Ethics, raising questions as to whether the payments made were legally authorized.

Cause: Management did not exercise sufficient oversight over this arrangement.

Recommendation: The Health Center should insure that this instance of apparent non-compliance with State ethics requirements is reported to the Office of State Ethics. (See Recommendation 9.)

Agency Response: "Once the University became aware of this arrangement we took steps to end it. Understanding that the individual is responsible for compliance with ethics statutes, the University advised the employee to contact the Ethics Commission for guidance. The University will advise the employee to do so again."

Auditors' Concluding Comments: As these transactions were reviewed and approved by responsible Health Center administrators and processed through the Health Center's financial systems, we believe that the Health Center bears a significant degree of responsibility in this matter. Accordingly, though it may not be specifically required to do so by statute, we believe that the Health Center should ensure that it is reported to the Office of State Ethics.

Various Procurements:

Criteria: Segregation of duties is a critical aspect of the internal control structure. It reduces the risk that one employee may be able to both create and conceal errors in the normal course of business. Another key element of internal control is written policies and procedures that clearly communicate the control activities implemented to manage risk.

Condition*:* An Accounting Office staff member enters purchase orders for the Finance Corporation and lease agreements. These purchase orders should be entered by the Purchasing Department.

The vendor master file list was not being utilized to its fullest extent as an element of internal control. It appeared that further restricting access to this file and establishing a review/approval process for adding new vendors would improve control. Further, we noted that employees of the Research Finance department that were responsible for coordinating the processing of certain types professional services contracts had been given write access to the master vendor file. These employees perform too many facets of the process, which results in an inadequate segregation of duties..

Health Center policy calls for Board of Directors approval of major contracts. However, we noted instances where the Board approved the expenditure of funds for a specific purpose, rather than the actual contract. This policy should be clarified.

The Health Center did not have a clearly articulated policy/procedure regarding individuals authorized to approve vendor invoices for payment. Though a listing of authorized signatories was maintained for each account, a number of invoices were approved by individuals not authorized, per the listing, to do so. (Those responsible for processing the invoices did not use the listing to validate signatories). Though we do not believe that it was unreasonable for those individuals to approve the invoices in question, we believe that control would be improved if the listing of authorized signatories was properly updated and utilized.

Effect: These conditions increase the risk that inappropriate procurements may be made, and not detected by management in a timely manner.

Cause: The cause could not be readily determined.

Recommendation: The Health Center should enhance control of the procurement process by increasing segregation of duties and clarifying policies/procedures addressing Board of Directors approval of major contracts and staff approval of vendor invoices. (See Recommendation 10.)

Agency Response: "Management agrees with the comments above. Like most State agencies the finance and procurement departments have been reduced over the years and have been asked to do more with less staff. This has lead to some employees multitasking and crossing over functions in order to perform a variety of duties. The following lists a response to each issue noted above:

- This was the first year of Finance Corporation purchase orders being entered in the general ledger of the Health Center. We will transition this duty to the Purchasing department by June 30, 2010.
- During fiscal year 2009 UCHC reassigned the employees noted above in the Research Finance area to the Purchasing department. In addition the duties creating the comment have been split out between the two departments. UCHC will further review the procedures and access to the vendor master file, and make procedure changes to further restrict write access by June 30 2010.
- UCHC agrees and will clarify.
- UCHC agrees and will review the current signature authorization system and signing procedures for vendor invoices making the necessary changes to accurately capture the approval process by June 30, 2010."

Finance Corporation Non-Competitive Procurements:

Criteria: Purchasing policies and procedures should be designed to encourage a strong element of competition. Free market forces, acting in an open and competitive environment, are vital to an efficient and cost effective procurement process. Public solicitation of competitive bids is an essential element of a competitive procurement process.

Condition: Though Finance Corporation policies and procedures for purchasing and contracting were significantly revised to enhance competition and accountability in December 2005, the procedures

continue to provide for non-competitive procurement actions on the approval of the chief financial officer. Further, the policies and procedures adopted by the Finance Corporation's Board of Directors, in accordance with Section 10a-255, allow a procurement action to be defined as competitive even when it does not involve competitive bidding.

In certain circumstances, a competitive selection process may not be the most efficient method of conducting purchasing and contracting. However, because of the innate potential for abuse, we believe that all procurement actions that are not competitive in nature should be reported to the Boards of the Finance Corporation and the Health Center, even if they are relatively minor in amount. The report should, of course, disclose the reasons why a competitive selection process wasn't followed.

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Effect: Non-competitive procurement action can result in higher costs through reduced competition.

Cause: The policies and procedures for purchasing and contracting were designed for maximum flexibility.

Recommendation: The Health Center should revise Finance Corporation policies and procedures for purchasing and contracting to mandate that all non-competitive procurement actions be reported to the Boards of the Finance Corporation and the Health Center, regardless of amount. Further, all competitive procurement actions that do not include the open and public solicitation and consideration of bids or proposals should be defined as non-competitive. (See Recommendation 11.)

Agency Response: "Management agrees. Although we do not believe it is necessary to change the Board policy, the Finance Corporation already reports all Purchases over $1,000 to the Finance Corporation Board. We will add a column to note competitive versus non-competitive."

Convenience Contracts:

Criteria: Section 10a-151b of the General Statutes requires all non-emergency purchases over $10,000 in amount to be based on competitive quotations and subjects those over $50,000 in amount to a formal procurement process that requires public notice and the public opening of sealed bids. While the statute provides some flexibility by allowing for competitive negotiation, it implies a process that will result in an award to the vendor that provides the best proposal.

Condition: In some circumstances, the Health Center goes through a contracting process that results in contract awards to all qualified vendors that submit proposals, basically establishing a list of prequalified vendors. Such contracts are often referred to as convenience contracts.

This process may be a reasonable approach for certain types of procurement actions and may provide pro forma compliance with some of the provisions of Section 10a-151b, such as the requirement for public solicitation. However, when contract awards are issued to all qualified vendors, the requisite element of competition is absent.

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Effect: It is unclear whether or not existing statutory provisions authorize this practice.

Cause: Issuance of these types of convenience contracts has been a longstanding practice at the central State level.

Recommendation: The Health Center should seek the opinion of the Attorney General regarding whether or not the existing practice of issuing convenience contracts is in accordance with existing statutory provisions. (See Recommendation 12.)

Agency Response: "Management believes since it is unclear whether or not existing statutory provisions authorize the practice of issuing convenience contracts, the Health Center will continue to follow the same practice of other State agencies. When a clarification is determined by the Auditors of Public Accounts we will follow any proposed changes."

Auditors' Concluding Comments: The Auditors of Public Accounts do not issue interpretations of statutory provisions; that is the responsibility of the Attorney General. The Health Center should request that the Attorney General clarify statutory provisions relevant to this matter.

Emergency Purchase:

Criteria: Section 10a-151b of the General Statutes establishes procurement standards for the State's constituent units of higher education. Though Section 10a-151b prescribes a competitive procurement process, it also provides that, "Whenever an emergency exists by reason of extraordinary conditions or contingencies that could not reasonably be foreseen and guarded against…the chief executive officer may, if it is for the best interest of the state, make purchases without competitive bidding."

Condition: The Health Center purchased a new fire engine in February 2008 on an emergency basis. However, we found no persuasive evidence that an emergency existed. First, local municipalities had the equipment needed to provide the Health Center with fire protection. Second, the old fire engine that supposedly needed to be replaced on an emergency basis was still in service (requiring relatively minor expenditures for repairs/maintenance).

Effect: Bypassing the competitive procurement processes set forth in Section 10a-151b of the General Statutes may have resulted in a less cost effective procurement process.

Cause: The cause could not be readily determined.

Recommendation: The Health Center should not make noncompetitive purchases on an emergency basis unless a practical alternative is not available. (See Recommendation 13.)

Agency Response: "Management agrees and will continue to thoroughly review all emergency requests for appropriate documentation to ensure there is no practical alternative available."

Other Audits:

The John Dempsey Hospital, the Finance Corporation and the UConn Medical Group were audited by public accounting firms during the audited period. Combined management letters were issued each year communicating the recommendations developed as a result of their audits. They recommended the following:

Fiscal year ended June 30, 2007:

- Strengthen procedures for accruing accounts payable liabilities.
- Implement a more formal review of revenue cut-off.
- Perform quarterly reconciliations between the general ledger and fixed assets sub-ledger.
- Adhere to established standards for password complexity and improve controls over system access rights granted new employees and employees transferring between departments.
- Ensure that individuals that promote changes into the information technology production environment do not have developer access or capabilities and continue to strengthen and adhere to documentation and maintenance standards over change management procedures.
- Perform cash reconciliations on a manual basis.

Fiscal year ended June 30, 2008:

- Perform quarterly reconciliations between the general ledger and fixed assets sub-ledger and perform a quarterly review of open capital projects.

- Review late charge reports subsequent to the period end and adjust the estimate made prior to closing the books as necessary and review policies and procedures for determining contractual allowance percentages.
- Ensure that individuals that promote changes into the information technology production environment do not have developer access or capabilities and continue to strengthen and adhere to documentation and maintenance standards over change management procedures.
- Adhere to established standards for password complexity and improve controls over system access rights granted new employees and employees transferring between departments.

RECOMMENDATIONS

Status of Prior Audit Recommendations:

In our previous report on our audit examination of the Health Center, we presented thirteen recommendations pertaining to Health Center operations. The following is a summary of those recommendations and the actions taken thereon:

- Develop quantified faculty workload standards – the Health Center is in the process of implementing a new approach to monitoring faculty accountability that compares performance to standard metrics adjusted for workload distribution.

- Make sure requests for proposals clearly describe the actual business need and do not include irrelevant criteria – we did not note a reoccurrence of this problem during our current review.

- Don't authorize contractors to begin work prior to the execution of a contract – we continued to find significant delays in the execution of certain contacts. (See Recommendation 4.)

- Set reemployed retirees' salaries based on the work they are engaged to perform – effective April 9, 2009, the Board of Trustees approved a policy calling for market rate salaries for re-employed retirees.

- Incorporate Finance Corporation procurement actions into revised procurement policies/procedures – the Health Center established a new Director of Contracts position to help determine the proper venue for procurement actions.

- Revise Finance Corporation policies and procedures to mandate public solicitation for competitive purchases and require that all non-competitive purchases be reported to the Boards of the Finance Corporation and the Health Center – this recommendation is repeated. (See Recommendation 11.)

- Improve monitoring of system access rights – the Health Center has taken steps to improve control in this area.

- Maintain a file documenting the existence of capitalized items for which physical verification isn't practical – the Health Center implemented this recommendation.

- Make the award of student labor positions a more open and equitable process – the Health Center has taken steps to improve procedures in this area.

- Streamline the Center of Laboratory Animal Care billing process – the Health Center implemented this recommendation.

- Include clinical incentive payments in institution base salary – this recommendation is no longer applicable as the Health Center's practices with respect to clinical incentives have changed.

- Address the accumulation of large compensatory time balances – the Health Center has taken steps to address this problem.

- Require all employees that accumulate compensated absences to submit biweekly attendance reports – the Health Center is in the process of implementing a new system for faculty reporting.

Current Audit Recommendations:

1. **The Health Center should invest funds held in excess of anticipated cash needs at the fund level and distribute earnings to individual accounts based on average daily cash balances as reflected in the accounting system.**

   Comment:

   The Health Center maintains separate investment balances in numerous individual accounts, investing funds held in excess of anticipated cash needs on an account-by-account basis. It would be more effective to leave all of the Operating Fund balances as cash, thus automatically investing them through the interest credit program, and invest Research Fund cash in the State's Short Term Investment Fund based on the anticipated cash needs of the fund as a whole. Investment earnings could then be easily distributed at the account level based on average daily cash balances as reflected in the accounting system.

2. **The University should prepare, annually, a comprehensive cost/benefit analysis for the Office of Technology Commercialization.**

   Comment:

   At the time of our review, the Office of Technology Commercialization required an operating subsidy of approximately two million dollars per year to cover expenses. It is unclear whether the significant ongoing operating subsidy is justified by the programmatic benefits provided, as the reports currently produced for the function do not provide the data needed to make such a determination.

3. **The Health Center should submit all contracts for professional services to the Attorney General for review.**

   Comment:

   We noted that the Health Center contracted with a consulting firm with the stated aim of "designing, leading and implementing an institution-wide strategic business redesign and transformation initiative." The scale of the project was revised several times; as of June

30, 2008, the project total was $4,361,500. However, the Health Center did not submit the related contracts to the Attorney General for review. Subsequently, the Health Center's management informed us that they had routinely contracted for professional services without obtaining the required Attorney General's approval of the related contracts and provided examples.

4. **The Health Center should not authorize contractors to begin work prior to the execution of a contract.**

   Comment:

   We reviewed personal service agreements executed by the Health Center during the period from April 1, 2008 through March 31, 2009. Our review disclosed that 127 of 135 research related agreements were signed after the start date. Delays ranged from five to 443 days; the average delay was 104 days. Further, 94 of 135 non research related agreements were signed after the start date. Delays ranged from one to 358 days; the average delay was 122 days. The delays were calculated by comparing the contract start date to the date the contracts were signed by a representative of the Health Center.

5. **The Health Center should develop detailed written standards for performing and documenting whistle blower reviews to help ensure that the agency's whistle blower program operates effectively.**

   Comment:

   We reviewed 16 cases chosen from a log maintained by the Compliance Office. Our review disclosed inconsistencies with respect to documentation and compliance with regulatory requirements. Additionally, it appeared that three of the cases were not adequately investigated and that, in five of the cases, concerns brought to management's attention by the Compliance Unit were not properly addressed and/or resolved.

6. **The Health Center should conduct all employment processes in an open and competitive manner as specified in its published guidelines.**

   Comment:

   We noted two instances where the records on file did not support management's assertion that an open and competitive promotional process was followed.

7. **The Health Center should make sure that all compensation paid is in compliance with the provisions of the Laws, By-Laws and Rules of the University of Connecticut. Supporting documentation should be required for all reimbursements of business expenses incurred.**

   Comment:

   A high-level member of the Health Center's faculty was, at the faculty member's request, granted a one-year sabbatical at full salary plus an additional $45,000 to cover undocumented travel expenses. Immediately following the one year sabbatical, the faculty member retired. Per the Laws, By-Laws and Rules of the University of Connecticut, sabbatical leave may be for a period of up to six months with full pay, or for a period up to twelve months with half pay. Further, following such leave, employees are obligated to return to active service at the University for a minimum of one year.

8. **The Health Center should establish rigorous pre-approval, supervision and documentation standards for compensatory time. The Health Center should consult with the Attorney General to determine if efforts should be made to recover payments made in connection with unsupported compensatory time accruals.**

   Comment:

   During a review of compensatory time we noted that one employee had accrued 91 days during a nine-month period, with five earned by working on holidays and 86 attributed to overtime. Amounts accrued increased from two and three hours per day at the beginning of the period to four and five hours per day at the end. Our review indicated that the employee's claim to have worked this amount of compensatory time was not supported.

9. **The Health Center should insure that an instance of apparent non-compliance with State ethics requirements is reported to the Office of State Ethics.**

   Comment:

   During a routine test of payroll transactions, we noted that the spouse of a member of the Health Center's faculty was charged to one of the faculty member's grant awards during the summer of 2006. The faculty member's spouse was a State employee; a nine-month employee of the University. We were informed that this has been a regular practice since the individual began working on the grant approximately seven years ago. This arrangement appears to have violated State ethics provisions as interpreted by the Office of State Ethics, raising questions as to whether the payments made were legally authorized.

10. The Health Center should enhance control of the procurement process by increasing segregation of duties and clarifying policies/procedures addressing Board of Directors approval of major contracts and staff approval of vendor invoices.

Comment:

Several policies/procedures should be changed to enhance control:

- Lease agreements and Finance Corporation purchase orders should be entered by the Purchasing Department instead of an Accounting Office staff member.
- Access to the vendor master file list should be further restricted, a review/approval process for entering new vendors should be instituted and write access to the file granted to employees of the Research Finance department responsible for coordinating the process of professional services agreements should be revoked.
- The Health Center policy calling for Board of Directors approval of major contracts should be clarified. We noted instances where the Board approved the expenditure of funds for a specific purpose, rather than the actual contract.
- A policy/procedure that clearly articulates which individuals are authorized to approve vendor invoices for payment should be developed. Though a listing of authorized signatories was maintained, we noted a number of invoices that were approved by individuals not authorized per the listing.

11. The Health Center should revise Finance Corporation policies and procedures for purchasing and contracting to mandate that all non-competitive procurement actions be reported to the Boards of the Finance Corporation and the Health Center, regardless of amount. Further, all competitive procurement actions that do not include the open and public solicitation and consideration of bids or proposals should be defined as non-competitive.

Comment:

Though Finance Corporation policies and procedures for purchasing and contracting were significantly revised to enhance competition and accountability in December 2005, the procedures continue to provide for non-competitive procurement actions on the approval of the chief financial officer. Further, the policies and procedures adopted by the Finance Corporation's Board of Directors, in accordance with Section 10a-255 of the General Statutes, allow a procurement action to be defined as competitive even when it does not involve competitive bidding.

12. The Health Center should seek the opinion of the Attorney General regarding whether or not the existing practice of issuing convenience contracts is in accordance with existing statutory provisions.

Comment:

In some circumstances, the Health Center follows a contracting process that results in contract awards to all qualified vendors that submit proposals, basically establishing a list of prequalified vendors. Such contracts are often referred to as convenience contracts.

This process may be a reasonable approach for certain types of procurement actions and may provide pro forma compliance with some of the provisions of Section 10a-151b of the General Statutes, such as the requirement for public solicitation. However, when contract awards are issued to all qualified vendors, the requisite element of competition is absent.

13. The Health Center should not make noncompetitive purchases on an emergency basis unless a practical alternative is not available.

Comment:

The Health Center purchased a new fire engine in February 2008 on an emergency basis. However, we found no persuasive evidence that an emergency existed.

INDEPENDENT AUDITORS' CERTIFICATION

As required by Section 2-90 of the General Statutes we have audited the books and accounts of the University of Connecticut Health Center (Health Center) for the fiscal years ended June 30, 2007 and 2008. This audit was primarily limited to performing tests of the Health Center's compliance with certain provisions of laws, regulations, contracts and grant agreements and to understanding and evaluating the effectiveness of the Health Center's internal control policies and procedures for ensuring that (1) the provisions of certain laws, regulations, contracts and grant agreements applicable to the Health Center are complied with, (2) the financial transactions of the Health Center are properly initiated, authorized, recorded, processed and reported on consistent with management's directions, and (3) the assets of the Health Center are safeguarded against loss or unauthorized use. The financial statement audits of the Health Center for the fiscal years ended June 30, 2007 and 2008, are reported upon separately and are included as a part of our Statewide Single Audit of the State of Connecticut for those fiscal years.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the Health Center complied in all material or significant respects with the provisions of certain laws, regulations, contracts and grant agreements and to obtain a sufficient understanding of the internal controls to plan the audit and determine the nature, timing and extent of tests to be performed during the conduct of the audit.

Internal Control over Financial Operations, Safeguarding of Assets and Compliance:

In planning and performing our audit, we considered the Health Center's internal control over its financial operations, safeguarding of assets, and compliance with requirements as a basis for designing our auditing procedures for the purpose of evaluating the Agency's financial operations, safeguarding of assets, and compliance with certain provisions of laws, regulations, contracts and grant agreements, but not for the purpose of providing assurance on the effectiveness of the Agency's internal control over those control objectives.

Our consideration of internal control over financial operations, safeguarding of assets, and compliance requirements was for the limited purpose described in the preceding paragraph and would not necessarily identify all deficiencies in internal control over financial operations, safeguarding of assets and compliance with requirements that might be significant deficiencies or material weaknesses. However as discussed below, we identified certain deficiencies in internal control over financial operations, safeguarding of assets, and compliance with requirements that we consider to be significant deficiencies.

A *control deficiency* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect on a timely basis unauthorized, illegal, or irregular transactions or the breakdown in the safekeeping of any asset or resource. A *significant deficiency* is a control deficiency, or combination of control deficiencies, that adversely affects the Agency's ability to properly initiate, authorize, record, process, or report financial data reliably, consistent with management's direction, safeguard assets, and/or comply with certain provisions of laws,

regulations, contracts, and grant agreements such that there is more than a remote likelihood that a financial misstatement, unsafe treatment of assets, or noncompliance with laws, regulations, contracts and grant agreements that is more than inconsequential will not be prevented or detected by the Agency's internal control. We consider the following deficiencies, described in detail in the accompanying "Condition of Records" and "Recommendations" sections of this report, to be significant deficiencies in internal control over financial operations, safeguarding of assets and compliance with requirements: Recommendation 3 – Review and Approval of Contracts by the Attorney General, Recommendation 4 – Execution of Contracts, and Recommendation 5 – Promotional Processes Tailored to Benefit Specific Individuals.

A *material weakness* is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that noncompliance with certain provisions of laws, regulations, contracts, and grant agreements or the requirements to safeguard assets that would be material in relation to the Agency's financial operations, noncompliance which could result in significant unauthorized, illegal, irregular or unsafe transactions, and/or material financial misstatements by the Agency being audited will not be prevented or detected by the Agency's internal control.

Our consideration of the internal control over the Agency's financial operations, safeguarding of assets, and compliance with requirements, was for the limited purpose described in the first paragraph of this section and would not necessarily disclose all deficiencies in the internal control that might be significant deficiencies and, accordingly, would not necessarily disclose all significant deficiencies that are also considered to be material weaknesses. However, of the significant deficiencies described above, we consider the following items to be material weaknesses: Recommendation 3 – Review and Approval of Contracts by the Attorney General, and Recommendation 4 – Execution of Contracts.

Compliance and Other Matters:

As part of obtaining reasonable assurance about whether the Health Center complied with laws, regulations, contracts and grant agreements, noncompliance with which could result in significant unauthorized, illegal, irregular or unsafe transactions or could have a direct and material effect on the results of the Agency's financial operations, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion.

The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*. However, we noted certain matters which we reported to Agency management in the accompanying "Condition of Records" and "Recommendations" sections of this report.

The Health Center's responses to the findings identified in our audit are described in the accompanying "Condition of Records" section of this report. We did not audit the Health Center's responses and, accordingly, we express no opinion on them.

This report is intended for the information and use of Agency management, the Governor, the State Comptroller, the Appropriations Committee of the General Assembly and the Legislative

Committee on Program Review and Investigations. However, this report is a matter of public record and its distribution is not limited.

CONCLUSION

We wish to express our appreciation to the staff of the Health Center for the cooperation and courtesies extended to our representatives during this examination.

James K. Carroll
Principal Auditor

Approved:

Kevin P. Johnston
Auditor of Public Accounts

Robert G. Jaekle
Auditor of Public Accounts

Appendix I.6

“Data First” Forms

"DATA FIRST" FORMS

GENERAL INFORMATION

Institution Name:	University of Connecticut		
OPE ID:	00141700		
		Annual Audit	
		Certified:	Qualified
Financial Results for Year Ending:		Yes/No	Unqualified
Most Recent Year	2010	Yes	Unqualified
1 Year Prior	2009	Yes	Unqualified
2 Years Prior	2008	Yes	Unqualified
Fiscal Year Ends on:	June 30	(month/day)	
Budget / Plans			
Current Year	2011		
Next Year	2012		
Contact Person:	Karla Fox		
Title:	Executive Director, Office of Institutional Effectiveness		
Telephone No:	1-860-486-1361		
E-mail address	karla.fox@uconn.edu		

Appendix I.7

Student Achievement and Success (E) Forms

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS							
CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Institution:							
	Job and Graduate/Professional School Placements Following Degree Conferral.	Yes	http://www1.ctdol.state.ct.us/lmi/pubs/HigherEdReport-2008grads.pdf; http://www.ctdhe.org/info/pdfs/2010/HigherEdReport-2008grads.pdf	Connecticut Department of Labor market outcomes in Connecticut: employment in workforce by program of study and by industry sector, diversity of employed graduates, average quarterly earnings, retained employment into second and third quarter	Connecticut Legislature; State and higher education public policy makers;	Increased emphasis on production of specialists needed for CT workforce, e.g., nurses, other health care workers, engineers, STEM specialists	2007-08 graduates
	Student Perceptions of College Satisfaction after Conferral of Bachelor's Degree - Special section of the Alumni Survey focuses on set of potential benefits of a college education	Yes	http://www.oir.uconn.edu/Alumni-Main.html	Follow-up Survey of Recent Alumni of Bachelor's Degree Programs: student satisfaction with college experiences and learning environments; importance of a set of college outcomes/benefits and student -perceived extent to which UConn was helpful in enhancing abilities in the outcome areas; indication of post-college plans	Provost Office, School/College Deans, Department Heads	Varies with discipline; improvements in academic advising a general result	Annual
	Course/Subject/Curriculum Evaluations in Terms of Student Survey Feedback for Academic Program Accreditations and Re-Accreditations	Yes, for individual courses and subjects	Details on individual course and program specific outcomes can be obtained either through the programs or through the Office of Institutional Research, who administers the student surveys as needed for program accreditations	Questions vary with program but typically include items on learning goals of course/subject, coverage of content supporting learning goals, instructor assignments related to goals, and whether the students perceived they had learned the content outlined in the learning goals.	Individual programs requesting the student feedback on curriculum: recurring examples include School of Social Work, School of Pharmacy, Communication Sciences Disorders, and the Early College Experience Program (UConn credit for UConn-equivalent courses taken while still attending high school.	Examples of curriculum improvements and revisions in curriculum offerings	Course feedback occurs every term or every academic year
Undergraduate General Education Across All Disciplines:							

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
	Content Area 1 Arts and the Humanities	Goals being revised into Outcomes	General Education Oversight Committee (GEOC): http://geoc.uconn.edu/	To be determined	GEOC subcommittees; GEOC Assessment Committee; Faculty forums		2003
	Content Area 2 Social Sciences	Yes	GEOC website	Course alignment audit; student self-efficacy survey	GEOC subcommittees; GEOC Assessment Committee; Faculty forums		
	Content Area 3 Science and Technology	Yes	GEOC website	Course alignment audit; student self-efficacy survey	GEOC subcommittees; GEOC Assessment Committee; Faculty forums		
	Content Area 4 Diversity and Multiculturalism / International	Yes	GEOC website	TBD	GEOC subcommittees; GEOC Assessment Committee; Faculty forums		
	2nd Language Competency	NA	GEOC website	Course grades	GEOC subcommittees; GEOC Assessment Committee; Faculty forums		
	Computer Technology Competency	NA	GEOC website	Computer Technology Competency assessment administered online after Orientation prior to classes	GEOC subcommittees; GEOC Assessment Committee; Faculty forums		
	Information Literacy Competency	NA	GEOC website	Standardized Assessment of Information Literacy Skills (SAILS) test	GEOC subcommittees; GEOC Assessment Committee; Faculty forums		
	Quantitative Comptency	NA	GEOC website		GEOC subcommittees; GEOC Assessment Committee; Faculty forums		
	Writing Competency	Yes	GEOC website	Discipline-specific rubric evaluation of writing in the major; Evaluation of freshman English writing	GEOC subcommittees; GEOC Assessment Committee; Faculty forums; Discipline-specific faculty		

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS							
CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
School/College Individual Degree Programs (Specific Majors and Fields of Study) with Inventory Activity in the Online Assessment Tracking System (OATS): oats.uconn.edu/							
College of Agriculture and Natural Resources:							
College-Wide	Resource Economics BS	Yes	OATS	Course-embedded assessment, student surveys, internship supervisor surveys			
	Agriculture & Natural Resources BS	Yes	OATS	Transcript analysis			
Allied Health Sciences	Allied Health Sciences BS	Yes	OATS	Transcript analysis, student surveys			
	Diagnostic Genetic Science BS	Yes	OATS	Course-embedded assessment, evaluation tool scoring rubric		Results recorded in OATS, but no action yet	
	Dietetics BS	Yes	OATS	Clinical evaluation scorecard, course-embedded assessment		Results recorded in OATS, but no action yet	
	Medical Technology BS	Yes	OATS	Checklist, National certificaion examination		Results recorded in OATS; limited action	
Animal Sciences	Animal Science BS	Yes	OATS	Course-completion proposed		Results recorded in OATS, but based on course completion rather than measurement	
Natural Resources & the Environment	Environmental Science BS	Yes	OATS	Course-embedded exam questions; rubric to evaluate writing proposed			
	Natural Resources BS	Yes	OATS	Course-embedded final exam questions, project paper rubric; student survey; oral presentation rubric; portfoilo evaluation; reflective essay			
Nutritional Sciences	Nutritional Sciences BS	Yes	OATS	Course-embedded exam questions; research paper review; content analysis			
	Horticulture BS	In progress	OATS				
	Ornamental Horticulture and Turfgrass Management AAS (Ratcliffe Hicks School of Agriculture 2-year Program)	In progress	OATS				

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Plant Science & Landscape Architecture	Landscape Architecture BS	Yes	OATS	Course-embeded assignments; Capstone course review; portfolio evaluation; Landscape Architecture Registration Examination			
	Plant Science MS	In progress	OATS	In progress			
	Plant Science PhD	In progress	OATS	In progress			
	Turfgrass and Soil Science BS	Yes	OATS	In progress			
School of Business:							
School-Wide	Business Administration Executive MBA	Yes	OATS	Course grades; Course-embedded evaluation		Results recorded in OATS; needed revisions noted	
	Business Administration MBA (Full-time)	Yes	OATS	Self- and peer-evaluation; Course-embedded		Results recorded in OATS; unknown impacts	
	Business Administration MBA (Part-time)	Yes	OATS	Course-embedded; Rubric used for written communication skills; Student ratings of teamwork skills		Results recorded in OATS; unknown impacts	
	Business Administration PhD	Yes	OATS	Course performance; Comprehensive exam; Teaching evaluations		Results recorded in OATS; needed revisions noted	
Accounting	Accounting BS	Yes	OATS	Course-embedded exams and written papers		Results recorded in OATS; unknown impacts	
	Accounting MS	Yes	OATS	Course grades; Exit survey		Results recorded in OATS; needed revisions noted	
Finance	Finance BS	Yes	OATS	Course-embedded final exam questions		Results recorded in OATS; unknown impacts	
	Health Care Management BS	Yes	OATS	Course embedded exam questions		Results recorded in OATS; needed revisions noted	
	Real Estate and Urban Economic Studies BS	Yes	OATS	Course embedded exam questions; Project evaluation		Results recorded in OATS; unknown impacts	

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Manage-ment	Management BS	Yes	OATS	Course-embedded exam questions; Peer and self-ratings of teamwork skills; project grades		Results recorded in OATS; unknown impacts	
Marketing	Marketing BS	Yes	OATS	Course-embedded exam questions; Scoring rubrics used to evaluate student work		Results recorded in OATS; unknown impacts	
Operations & Information Management	Business and Technology BS	Yes	OATS	Course-embedded exam questions; Project grades		Results recorded in OATS; unknown impacts	
	Management Information Systems BS	Yes	OATS	Course-embedded exam questions; Project grades		Results recorded in OATS; unknown impacts	
Center for Continuing Studies:							
	Interdisciplinary BGS	Yes	OATS	Course-embedded		Results recorded in OATS; unknown impacts	
Neag School of Education:							
	Agricultural Education BS	In progress					
	Biological Sciences BS	In progress	OATS	PRAXIS exam; Internship evaluation; Rubric evaluation of paper and presentation		Results recorded in OATS; unknown impacts	
	Chemistry BS	In progress	OATS	PRAXIS exam; Teaching evaluation; Rubric evaluation of paper and presentation		Results recorded in OATS; unknown impacts	
	Curriculum and Instruction MA	In progress	OATS	Literature review analysis; Course grades; Research paper evaluation; Internship evaluation; Course-embedded reflective essay		Results recorded in OATS; unknown impacts	
	Curriculum and Instruction PhD	In progress	OATS	Completion of IRB training; Course grades; Research paper; Comprehensive Exam; Dissertation defense		Results recorded in OATS; unknown impacts	
	Elementary BS	In progress	OATS	PRAXIS exam; Internship evaluation; Rubric evaluation of lesson plan; course grades		Results recorded in OATS; unknown impacts	

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Curriculum & Instruction	English BS	In progress	OATS	PRAXIS exam; Rubric evaluation of lesson plan; Course-embedded assignment		Results recorded in OATS; unknown impacts	
	French BS	In progress	OATS	Standardized assessment (called OPI/LPT) which documents content and pedagogical knowledge; Supervisor and cooperating teacher evaluation of student teaching experience; Rubric evaluation of lesson plan		Results recorded in OATS; unknown impacts	
	General Science BS	In progress	OATS	PRAXIS exam; Internship evaluation; Rubric evaluation of lesson plan		Results recorded in OATS; unknown impacts	
	Geology and Geophysics BS	In progress	OATS	PRAXIS II Exam (ETS No. 033) "Earth & Space Science Content"; Supervisor and cooperating teacher evaluation of student teaching experience; Portfolio review; Rubric evaluation of lesson plans		Results recorded in OATS; unknown impacts	
	German BS	In progress					
	History BS	In progress	OATS	PRAXIS exam; Teaching evaluation; Rubric evaluation of lesson plan; Course-embedded assignment		Results recorded in OATS; unknown impacts	
	Mathematics BS	In progress	OATS	PRAXIS exam; Teaching evaluation; Rubric evaluation of lesson plan; Course-embedded assignment		Results recorded in OATS; unknown impacts	
	Music Education BS	In progress	OATS	PRAXIS exam; Internship evaluation; Rubric evaluation of lesson plan; Course-embedded assignments		Results recorded in OATS; unknown impacts	
	Physics BS	In progress				Results recorded in OATS; unknown impacts	
	Spanish BS	In progress	OATS	PRAXIS exam; Internship evaluation; Rubric evaluation of lesson plan; Course-embedded assignments		Results recorded in OATS; unknown impacts	
	Adult Learning MA	In progress	OATS	Course-embedded project; Literature review; Comprehensive exam		Results recorded in OATS; unknown impacts	

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Educational Leadership	Adult Learning PhD	In progress	OATS	Course-embedded project evaluation; Literature review analysis; Dissertation proposal defense; IRB protocol analysis; Dissertation defense		Results recorded in OATS; unknown impacts	
	Educational Administration MA	In progress	OATS	Course-embedded rubrics		Results recorded in OATS; unknown impacts	
	Educational Administration PhD	In progress	OATS	Comprehensive exam; Course grades; Dissertation defense			
	Educational Leadership EDD	In progress	OATS	Course grades		Results recorded in OATS; unknown impacts	
	Higher Education Student Affairs MA	In progress	OATS	Course grades; Rubric analysis of case study; Internship evaluation		Results recorded in OATS; unknown impacts	
Educational Psychology	Education Psychology MA	In progress	OATS	Course grades; Thesis defense; PRAXIS exam		Results recorded in OATS; unknown impacts	
	Education Psychology PhD	In progress	OATS	Course grades; CITI training; Comprehensive exam; Research participation		Results recorded in OATS; unknown impacts	
	Educational Technology MA	In progress	OATS	Course grades; Practicum evaluation		Results recorded in OATS; unknown impacts	
	Educational Technology PhD	In progress	OATS	Course grades; CITI training; Comprehensive exam; Research paper analysis		Results recorded in OATS; unknown impacts	
	Special Education BS	In progress	OATS	PRAXIS exam; Course grades; Performance appraisal		Results recorded in OATS; unknown impacts	
	Special Education MA	In progress	OATS	Course grades; Practicum evaluation; Thesis defense; Examination		Results recorded in OATS; unknown impacts	
	Special Education PhD	In progress	OATS	Comprehensive exam; Course grades; CITI training; Dissertation defense		Results recorded in OATS; unknown impacts	

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS							
CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Kinesiology	Athletic Training BS	In progress	OATS	Course grades; BOC examination		Results recorded in OATS; unknown impacts	
	Exercise Science BS	In progress	OATS	Course grades; Research paper analysis		Results recorded in OATS; unknown impacts	
	Kinesiology MA	In progress	OATS	Thesis defense; Course grades		Results recorded in OATS; unknown impacts	
	Kinesiology PhD	In progress	OATS	Dissertation defense; Comprehensive exam; Lesson plan analysis; Research paper analysis		Results recorded in OATS; unknown impacts	
	Physical Therapy DPT	In progress	OATS	Course grades; National Physical Therapy Exam; Employer survey; Alumni survey		Results recorded in OATS; unknown impacts	
	Social Science-Sport/Leisure BS	In progress	OATS	Course grades; Course-embedded exam; Marketing plan analysis; Reseach paper analysis		Results recorded in OATS; unknown impacts	
School of Engineering:							
School-Wide	Biomedical Engineering BSE	Yes	OATS	Alumni survey; Design project evaluation; Course-embedded assignments; Oral presentation analysis; Course grades; Exit surveys			
	Management and Engineering for Manufacturing BS	Yes	OATS	Course-embedded assignments; Student surveys; Exam questions; Alumni survey; EBI survey; Project presentation analysis		Results recorded in OATS; unknown impacts	
Chemical, Materials & Biomolecular Engineering	Chemical Engineering BSE	Yes	OATS	Course-embedded rubric			
	Materials Science and Engineering BSE	Yes					
Civil &	Civil Engineering BSE	Yes	OATS	Fundamentals of Engineering Exam; Evaluation of MDE presentationsl; MDE report analysis; EBI survey			

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS							
CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Environmental Engineering	Environmental Engineering BSE	Yes	OATS	Course-embedded; Employer surveys; Fundamentals of Engineering Exam; MDE presentation analysis; MDE report evaluation			
Computer Science & Engineering	Computer Science and Engineering BSE	Yes	OATS	Alumni survey; Course-embedded assignments; Desgin Project evaluation; EBI survey; Exit survey			
	Computer Science BS	Yes	OATS	Alumni survey; Course-embedded assignments			
Electrical & Computer Engineeringi	Computer Engineering BSE	Yes	OATS	Alumni survey; Course-embedded assignments			
	Electrical Engineering BSE	Yes	OATS	Targeted test; Major Design evaluation; EBI survey; Exit interview; Course-level survey; Alumni survey; Course-embedded assignments		Results recorded in OATS; unknown impacts	
Mechanical Engineering	Mechanical Engineering BSE	In progress	OATS				
School of Fine Arts:							
Art & Art History	Art History BA	In progress	OATS	Course-embedded; Advisor meetings			
	Art History MA	In progress	OATS	Course-embedded; Language proficiency exam; Thesis evaluation; Thesis defense			
	Art MFA	In progress	OATS	Portfolio evaluation; Classroom assessment; Capstone project analysis; Oral examination			
	General Program in Art BFA	In progress	OATS	Portfolio evaluation; Classroom assessment; Capstone project analysis			
Dramatic Arts	Acting BFA	Yes	OATS	Diagnostic test; Performance review			
	Design/Technical Theater BFA	Yes	OATS	Portfolio review; Production work evaluation			
	Puppetry BFA	Yes	OATS	Portfolio review			
	Theater Studies BA	Yes	OATS	Interview; Capstone project evaluation			

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS							
CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Music	General Program in Music BA	In progress	OATS	Graded assignments in harmony, ear-training, and keyboard classes; Semester juries and every-year Convocation performances; Faculty and public critique of chamber music and large-ensemble concerts; Promotional jury at the conclusion of the fourth semester; Listening assignments, exams, and graded papers in music history classes.			
	Music BM	In progress	OATS	Graded assignments in harmony, ear-training, and keyboard classes; Semester juries and every-year Convocation performances; Faculty and public critique of chamber music and large-ensemble concerts; Promotional jury at the conclusion of the fourth semester; Listening assignments, exams, and graded papers in music history classes; Ongoing and evaluated demonstrations, either publicly or in classes, of increasingly advanced work accomplished independently: Juried capstone experience (recital of original works, project, performance recital)			
	Music DMA	In progress	OATS	Multiple major performances, all graded; A graded qualifying jury; Written and oral examinations of research conducted independently; Language profiiency; Dissertation and dissertation defense; Degree completion within stated time alotted			
	Music MA	In progress	OATS	Graded assignments, papers, and exams in individual classes; Thesis; Final exam			
	Music MMUS	In progress	OATS	Graded lessons, juries, and recitals; Graded assignments, papers, and exams in individual classes; Final recital and thesis			

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
	Music PhD	In progress	OATS	Graded assignments, papers, and exams in individual classes; Presentations and publications in scholarly venues and journals; Two-day oral exam; Final oral exam; Dissertation proposal; Dissertation; Dissertation defense			
College of Liberal Arts and Sciences:							
Chemistry	Chemistry BA	In progress	OATS	Course-embedded			
	Chemistry BS	In progress	OATS	Course-embedded; Exit interviews/surveys; Alumni surveys; Employer surveys		Results recorded in OATS; unknown impacts	
Communication Sciences	Communication BA	Yes	OATS	Student satisfaction survey		Results recorded in OATS; unknown impacts	
	Communication Disorders BA	Yes	OATS	Rubric analysis of written papers; Course grades		Results recorded in OATS; unknown impacts	
	Communication Sciences AUD	Yes	OATS	Rubric analysis of presentations			
Ecology & Evolutionary Biology	Biological Sciences BA	In progress	OATS				
	Biological Sciences BS	In progress	OATS				
	Ecology and Evolutionary Biology BA	Yes	OATS	Course-embedded exam; Final exam questions; Lab notebook analysis; Research paper analysis; Graduating senior survey		Results recorded in OATS; unknown impacts	
	Ecology and Evolutionary Biology BS	Yes	OATS	Course-embedded exam; Final exam questions; Lab notebook analysis; Research paper analysis; Graduating senior survey		Results recorded in OATS; unknown impacts	
English	English BA	Yes	OATS	Course-embedded	Faculty meeting organized by Assessment Committee devoted to analyzing assessment information	Early results recorded in OATS; unknown impacts	
Geography	Geography BA	In progress	OATS				
History	History BA	Yes	OATS	Rubric rating of student work			

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
Human Development & Human Families	Human Development and Family Studies BA	Yes	OATS	Course-embedded exam questions			
Journalism	Journalism BA	Yes	OATS	Student survey; Course-embedded		Results recorded in OATS; unknown impacts	
Geosciences	Geoscience BA	Yes	OATS				
	Geoscience BS	Yes	OATS				
Linguistics	Linguistics/Psychology BA	Yes	OATS	Rubric analysis of research papers			
Marine Sciences	Coastal Studies BA	Yes	OATS	Course-embedded			
	Coastal Studies BS	Yes	OATS	Course-embedded			
Mathematics	Applied Mathematical Sciences BA	Yes	OATS	Course-embedded exam problems		Results recorded in OATS; unknown impacts	
	Applied Mathematical Sciences BS	Yes	OATS	Course-embedded exam problems		Results recorded in OATS; unknown impacts	
	Mathematics BA	Yes	OATS	Course-embedded exam problems		Results recorded in OATS; unknown impacts	
	Mathematics BS	Yes	OATS	Course-embedded exam problems		Results recorded in OATS; unknown impacts	
	Mathematics/Actuarial Science BA	Yes	OATS	Actuarial exam performance; Course-embedded exam problems; Exit survey		Results recorded in OATS; unknown impacts	
	Mathematics/Actuarial Science BS	Yes	OATS	Actuarial exam performance; Course-embedded exam problems; Exit survey		Results recorded in OATS; unknown impacts	
	Mathematics/Statistics BA	Yes	OATS	Course-embedded exam problems; Course grades		Results recorded in OATS; unknown impacts	
	Mathematics/Statistics BS	Yes	OATS	Course-embedded exam problems; Course grades		Results recorded in OATS; unknown impacts	
	Classics/Ancient Mediterranean Studies BA	In progress	OATS	Course grades; Course-embedded test			

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	**MAJOR/FIELD OF STUDY**						
Modern &Classical Languages	French BA	Yes	OATS	Course-embedded oral exam; Reading test; Rubric analysis of written papers			
	German BA	Yes	OATS	Course-embedded; Capstone course analysis			
	Italian Literary and Cultural Studies BA	Yes	OATS	Course-embedded oral exam; Reading test; Rubric analysis of written papers			
	Spanish BA	Yes	OATS	Course-embedded oral exam; Reading test; Rubric analysis of written papers			
Molecular & Cell Biology	Molecular and Cell Biology BS	Yes	OATS	Exit examination proposed			
Philosophy	Philosophy BA	In progress		Course-embedded; Content analysis			
Physics	Engineering Physics BS	In progress	OATS	Course grades; Student survey			
	Physics BA	In progress	OATS	Course grades; Student survey			
	Physics BS	In progress	OATS	Course grades; Student survey			
	Physics MS	In progress	OATS	Course-embedded; Dissertation defense; Student survey			
	Physics PhD	In progress	OATS	Course-embedded; Dissertation defense; Student survey			
Physiology & Neurobiology	Physiology and Neurobiology BS	Yes	OATS	Course-embedded; Medical College Admission Test; Exit survey; Faculty review of experiential learning skills		Results recorded in OATS; unknown impacts	
Political Science	Political Science BA	In progress	OATS				
Psychology	Psychology BA	In progress	OATS	Exit survey; Ratings; Independent study evaluation			
	Psychology BS	In progress	OATS	Exit survey; Ratings; Independent study evaluation			
Sociology	Sociology BA	In progress					
Statistics	Statistics BA	Yes	OATS	Course-embedded problems			
	Statistics BS	Yes	OATS	Course-embedded problems			
School of Nursing:							
School-Wide	Nursing BS	Yes	OATS	Capstone project; ATI Comprehensive RN Assessment Exam; National Council Licensure Exam (NCLEX); Course-embedded evaluation tools; Service learning project grade		Results recorded in OATS; unknown impacts	

OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY		Have formal learning outcomes been developed?	Where are these learning outcomes published? Include URLs where appropriate.	Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	What changes have been made as a result of using the data/evidence?	Date of most recent program review (for general education and each degree program) *
ACAD DEPT	MAJOR/FIELD OF STUDY						
School of Pharmacy:							
Pharmacy Practice	Doctor of Pharmacy PHARMD	Yes	RxOutcomes and OATS	Course-embedded; Capstone evaluation; Capstone practical exam; Curricular progress exam; APPE competencies evaluation; Portfolio evaluation; North American Pharmacist Licensure exam (NAPLEX); Multistate pharmacy jurisprudence exam (MPJE); Student evaluation from APPE; Self-assessment of learning competencies; Rubric analysis; Oral presentation analysis		Results recorded in OATS; unknown impacts	
Pharmaceutical Sciences	Pharmacy Studies BS	Yes	RxOutcomes and OATS	Course-embedded; Capstone evaluation; Capstone practical exam; Curricular progress exam; APPE competencies evaluation; Portfolio evaluation; North American Pharmacist Licensure exam (NAPLEX); Multistate pharmacy jurisprudence exam (MPJE); Student evaluation from APPE; Self-assessment of learning competencies; Rubric analysis; Oral presentation analysis		Results recorded in OATS; unknown impacts	

* OATS program review process is intended to be on-going and evolving every year.

Office of Institutional Effectiveness - August 2011

Alumni Survey 2010

Satisfaction with UConn experience - Mean, Standard Deviation (SD) and Valid number of responses (N) by School/College

Satisfaction with UConn Experience	Agriculture & Natural Resources			Business			Continuing Studies			Liberal Arts & Sciences			Education			Engineering			Fine Arts			Nursing			Pharmacy			University of Connecticut		
	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N
19-Overall experience with general education requirements	5.0	1.1	127	5.2	1.1	178	5.7	1.1	81	4.9	1.2	690	5.0	1.0	49	4.5	1.3	79	4.4	1.5	21	5.0	1.1	48	5.0	1.6	21	5.0	1.2	1,294
20-Overall experience with required school/college courses outside your major	5.1	1.2	127	5.2	1.2	178	5.4	1.3	81	4.9	1.2	691	5.1	1.2	48	4.6	1.4	79	4.3	1.2	20	4.6	1.1	48	4.9	1.7	21	5.0	1.2	1,293
21-Overall experience with courses in your major field	6.0	1.0	127	5.9	1.0	178	5.9	1.1	81	5.9	1.0	689	6.2	0.7	49	5.6	1.2	79	5.7	1.3	21	5.6	0.9	48	5.9	1.1	21	5.9	1.0	1,293
22-Overall experience with breadth of cultural diversity	5.3	1.2	126	5.4	1.3	178	5.7	1.2	80	5.2	1.4	687	5.2	1.1	49	5.2	1.3	79	4.3	1.5	21	5.1	1.4	48	5.6	1.2	21	5.3	1.3	1,289
23-Overall experience with cultural sensitivity of institution	5.7	1.1	126	5.8	1.1	178	5.8	1.1	80	5.6	1.2	685	5.6	1.1	49	5.4	1.2	78	5.2	1.4	21	5.6	1.4	48	5.6	1.2	21	5.6	1.2	1,286
24-Assessment of the overall quality of instruction in general education requirements	4.9	1.2	127	4.9	1.3	178	5.8	1.1	81	4.8	1.3	691	4.9	1.2	49	4.6	1.4	78	4.6	1.4	21	5.0	1.0	48	5.1	1.4	21	4.9	1.3	1,294
25-Assessment of the overall quality of instruction in required school/college courses outside your major	5.4	1.0	127	5.3	1.1	178	5.6	1.3	81	5.2	1.2	690	5.3	1.3	48	5.1	1.2	77	4.7	1.1	20	5.2	1.0	48	5.1	1.5	21	5.3	1.2	1,290
26-Assessment of the overall quality of instruction in courses in your major field	6.1	1.1	127	6.0	1.1	178	5.9	1.2	81	5.9	1.0	691	6.4	0.8	49	5.3	1.3	79	5.9	1.1	21	5.6	1.0	48	6.0	1.0	21	5.9	1.1	1,295
27-Assessment of the overall quality of instruction in elective courses	5.4	1.0	125	5.4	1.0	177	5.9	1.1	81	5.5	1.1	691	5.5	0.9	48	5.3	1.2	78	5.2	1.3	21	5.2	1.0	48	5.7	1.0	21	5.5	1.1	1,290
28-Satisfaction with the range of courses available to you in your major	5.5	1.2	127	5.4	1.4	178	5.2	1.6	81	5.4	1.4	690	5.6	1.3	48	5.0	1.4	79	5.3	1.1	21	4.9	1.2	48	5.6	1.3	20	5.4	1.4	1,292
29-Satisfaction with the range of courses available to you in all other courses	5.6	1.2	126	5.7	1.2	178	5.2	1.5	81	5.3	1.3	690	5.6	1.0	49	5.4	1.3	78	5.2	1.5	21	5.4	1.2	48	5.4	1.4	21	5.4	1.3	1,292
30-Experience with the accessibility of instructors in your major field	6.4	0.8	127	6.1	1.1	177	6.1	1.1	81	5.8	1.2	691	6.3	1.2	49	5.8	1.2	79	6.1	0.9	21	5.8	1.4	47	6.0	1.2	21	5.9	1.2	1,293
31-Experience with the accessibility of instructors in all other courses	5.4	1.3	126	5.7	1.0	177	6.0	0.9	81	5.2	1.2	689	5.4	1.0	49	5.3	1.2	78	5.1	1.4	21	5.1	1.1	47	5.1	1.5	21	5.4	1.2	1,289
32-Experience with the quality of the academic advising process as a freshman at UConn	4.9	2.0	113	5.0	1.8	167	4.7	2.1	42	4.2	2.0	620	4.5	1.8	44	4.1	1.8	77	4.3	2.0	21	4.9	1.7	48	4.5	2.4	20	4.4	2.0	1,152
33-Experience with the quality of the academic advising process as a junior-senior	5.6	1.5	128	4.5	1.8	178	5.6	1.8	75	4.6	1.8	690	5.7	1.3	49	4.9	1.7	79	4.8	1.7	21	4.9	1.8	48	5.7	1.5	21	4.9	1.8	1,289
34-Experience with the quality of the academic advising process for your major field	5.7	1.5	127	4.7	1.9	177	5.6	1.7	78	4.9	1.8	690	5.9	1.3	49	4.9	1.6	79	4.9	1.7	21	5.1	1.6	48	5.7	1.7	20	5.0	1.8	1,289
35-Experience with the quality of the academic advising process for selecting/changing your major field	5.4	1.6	122	4.8	1.8	166	5.6	1.8	71	4.6	1.8	660	5.2	1.4	43	5.0	1.6	70	4.5	1.5	18	5.0	1.4	42	5.0	1.9	18	4.8	1.7	1,210
36-Experience with the quality of the academic advising process for course registration advice	5.4	1.6	128	4.5	1.8	177	5.4	1.8	79	4.4	1.8	688	5.1	1.4	49	4.5	1.7	79	4.5	1.5	21	5.2	1.4	47	5.2	1.6	20	4.6	1.8	1,288
37-Experience with the quality of the academic advising process for meeting requirements for graduation, student teaching, certification, etc.	5.7	1.3	127	4.9	1.8	178	5.6	1.8	78	4.7	1.8	690	5.5	1.4	49	4.8	1.8	79	4.9	1.4	21	5.5	1.2	48	5.3	1.8	21	4.9	1.8	1,291
38-Experience with the quality of the academic advising process for clarifying life and career goals	5.0	1.7	127	4.3	1.9	177	5.1	1.8	74	3.9	1.9	689	4.8	1.6	49	4.2	1.8	78	4.1	1.7	21	5.0	1.5	48	5.2	1.8	20	4.2	1.9	1,283
39-Experience with the quality of the academic advising process for coping with academic difficulties	5.1	1.7	127	4.5	1.8	174	5.4	1.8	70	4.2	1.8	678	4.9	1.5	48	4.4	1.8	77	4.0	1.8	21	4.9	1.5	48	5.0	1.5	21	4.5	1.8	1,264
40-Experience with the quality of the academic advising process for mentoring	5.0	1.7	127	4.3	1.8	173	5.2	2.0	74	4.1	1.8	680	5.1	1.5	46	4.3	1.7	77	4.1	1.9	21	4.9	1.6	47	4.9	1.8	21	4.4	1.8	1,266
41-For ACES advising (for any semesters registered in the ACES program)	4.7	1.9	81	4.7	1.8	131	4.8	2.0	33	4.3	1.9	457	4.6	2.1	42	4.2	1.8	48	4.7	1.6	10	4.7	1.6	25	4.7	2.5	21	4.5	1.9	848
42-Assessment of your program in terms of entering graduate or professional school	5.3	1.5	118	5.4	1.5	146	5.1	1.5	59	4.9	1.5	627	5.9	1.2	45	5.4	1.2	71	4.4	1.9	20	5.1	1.2	39	6.3	0.8	20	5.1	1.5	1,145
43-Assessment of your program in terms of finding a position appropriate to your major	5.1	1.6	119	5.6	1.5	168	4.8	1.7	65	4.4	1.7	653	5.3	1.4	45	5.6	1.4	75	4.3	1.8	21	5.8	1.3	48	6.2	0.9	18	4.8	1.7	1,212
44-Number of courses for General Education requirements	4.8	1.2	128	4.7	1.1	176	4.6	1.0	81	4.8	1.2	691	4.9	1.0	49	5.1	1.2	79	5.0	1.2	21	4.7	1.0	47	5.0	1.2	21	4.8	1.2	1,293
45-Number of courses required in your major field	3.9	1.0	128	3.6	1.1	176	4.1	1.0	80	3.9	0.9	692	3.9	1.1	49	4.1	0.9	79	4.1	1.2	21	4.4	0.9	47	4.6	1.5	21	3.9	1.0	1,293
46-Number of courses required outside your major field	4.4	1.0	128	4.4	1.0	176	4.4	1.0	79	4.4	1.0	692	4.7	0.9	48	4.5	1.1	79	4.9	0.9	20	4.6	1.1	47	4.9	1.5	20	4.5	1.0	1,289

Note: Mean may not be an appropriate measure for small number of responses

Scale: 1 - 7: Items 19-43: 1-Extremely Dissatisfied 7-Extremely Satisfied; Items 44-46: 1-Too Few 4-About Right 7-Too Many

Alumni Survey 2010

Potential benefits of a college education: Importance to you - Mean, Standard Deviation (SD) and Valid number of responses (N) by School/College

Potential benefits of a college education: Importance to you	Agriculture & Natural Resources			Business			Continuing Studies			Liberal Arts & Sciences			Education			Engineering			Fine Arts			Nursing			Pharmacy			University of Connecticut		
	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N
55a-Importance to you: Obtain career training - knowledge and skills applicable to specific job/work	6.4	1.1	126	6.5	0.8	175	5.4	1.9	80	6.2	1.1	689	6.7	0.6	49	6.2	1.1	77	6.2	0.9	21	6.7	0.6	48	6.6	0.6	21	6.3	1.1	1,286
56a-Importance to you: Acquire background and specialization for further education in a professional, scientific or scholarly field	6.3	1.0	125	5.8	1.3	172	5.5	1.8	78	6.0	1.2	689	6.4	0.8	49	5.8	1.2	77	5.6	1.4	21	6.2	1.0	48	6.5	0.9	21	6.0	1.2	1,280
57a-Importance to you: Gain a range of information that might be relevant to a career	6.3	1.0	126	6.4	0.9	174	5.8	1.5	80	6.2	0.9	688	6.6	0.6	49	6.1	1.0	77	6.4	0.6	21	6.6	0.6	48	6.5	0.6	21	6.3	1.0	1,284
58a-Importance to you: Develop an understanding and enjoyment of literature, art, music and drama	3.9	1.8	125	4.1	1.8	171	5.0	1.7	80	4.8	1.8	686	4.6	1.7	49	3.7	1.9	75	6.2	1.5	21	4.3	1.9	48	4.7	2.0	21	4.6	1.9	1,276
59a-Importance to you: Develop an understanding of diversity and cultural differences	4.8	1.8	124	5.1	1.6	171	5.3	1.8	79	5.4	1.6	685	5.4	1.4	49	4.0	2.1	77	5.3	1.7	21	5.3	1.6	48	5.7	1.4	21	5.2	1.7	1,275
60a-Importance to you: Write clearly and effectively	5.8	1.3	124	6.1	1.0	172	6.2	1.3	79	6.3	1.1	685	5.9	1.0	49	5.6	1.3	77	6.0	1.0	21	5.7	1.1	48	6.1	1.1	21	6.1	1.1	1,276
61a-Importance to you: Become fluent in the computing of your discipline	5.3	1.5	126	6.1	1.3	168	5.4	1.6	77	5.3	1.5	687	5.6	1.1	49	6.2	1.1	77	5.6	1.2	21	5.4	1.5	48	5.8	1.5	21	5.5	1.5	1,274
62a-Importance to you: Obtain a general foundation in computing regardless of your discipline	5.0	1.7	125	5.8	1.3	171	5.4	1.7	79	5.3	1.5	684	5.1	1.3	49	5.8	1.4	77	5.5	1.1	20	5.4	1.4	48	5.6	1.3	21	5.4	1.5	1,274
63a-Importance to you: Become aware of different philosophies, cultures and ways of life	4.8	1.7	126	5.1	1.6	172	5.6	1.6	79	5.5	1.5	687	5.5	1.3	49	4.5	1.9	77	5.5	1.4	21	5.1	1.8	48	5.5	1.6	21	5.3	1.6	1,280
64a-Importance to you: Develop your own values and ethical standards	5.9	1.3	125	6.1	1.1	172	5.9	1.4	79	6.0	1.3	687	6.2	1.0	49	5.5	1.6	76	5.9	1.1	21	6.3	0.9	48	6.2	0.9	21	6.0	1.3	1,278
65a-Importance to you: Understand yourself, your abilities, your interests and personality	6.1	1.2	124	6.4	0.9	171	6.0	1.3	80	6.3	1.0	687	6.4	0.9	49	5.6	1.5	76	6.5	0.7	21	6.5	0.7	48	6.2	0.8	21	6.2	1.1	1,277
66a-Importance to you: Understand and be able to get along with different kinds of people	6.1	1.2	126	6.2	1.0	172	5.9	1.4	79	6.2	1.2	683	6.4	0.9	49	5.8	1.3	76	6.3	0.7	21	6.5	0.8	48	6.3	0.8	21	6.1	1.2	1,275
67a-Importance to you: Understand the nature of science and experimentation	5.9	1.2	126	4.3	1.7	171	4.9	1.8	79	5.0	1.7	688	5.2	1.5	49	6.1	1.2	75	4.6	1.5	21	6.0	1.0	48	6.3	0.8	21	5.1	1.6	1,278
68a-Importance to you: Understand new scientific and technical developments	5.9	1.2	126	4.6	1.6	170	4.8	1.8	79	5.0	1.7	677	4.9	1.5	49	6.1	1.0	76	4.5	1.3	21	5.9	1.0	48	6.1	0.9	21	5.1	1.6	1,267
69a-Importance to you: Become aware of the consequences (benefits/hazards) of new applications	5.5	1.4	126	4.6	1.6	172	4.9	1.8	79	4.8	1.7	686	4.7	1.7	47	5.6	1.4	76	4.2	1.5	21	5.6	1.2	48	6.1	0.9	21	4.9	1.7	1,276
70a-Importance to you: Learn and apply information technology	5.2	1.3	126	5.6	1.4	171	5.3	1.7	79	4.9	1.6	685	5.0	1.3	48	5.9	1.0	76	4.9	1.4	21	5.5	1.3	48	5.8	1.2	21	5.1	1.5	1,275
71a-Importance to you: Think analytically and logically	6.1	0.9	126	6.4	0.8	172	6.0	1.2	79	6.2	0.9	686	6.2	1.0	49	6.5	0.9	76	5.7	1.6	21	6.2	0.8	48	6.2	0.6	21	6.2	0.9	1,278
72a-Importance to you: Think in quantitative terms, understand probabilities, proportions, etc.	5.4	1.2	125	5.7	1.3	170	5.1	1.6	79	5.2	1.5	684	5.0	1.6	49	6.0	1.2	77	4.7	1.3	21	5.4	1.2	48	6.0	0.9	21	5.3	1.5	1,274
73a-Importance to you: Learn on your own, pursue ideas and find information you need	6.1	0.9	126	6.3	0.8	173	6.1	1.1	79	6.3	0.9	683	6.2	0.9	49	6.3	0.9	75	6.1	0.9	21	6.2	1.0	48	6.0	0.7	21	6.3	0.9	1,275
74a-Importance to you: See the importance of history for understanding the present as well	4.7	1.6	125	5.0	1.6	172	5.8	1.4	79	5.4	1.6	685	5.1	1.4	49	4.9	1.6	76	5.8	1.5	21	4.9	1.5	48	5.2	1.6	21	5.2	1.6	1,276
75a-Importance to you: Know how to speak before groups, actively participate in group discussion, function as a team manager	6.1	1.0	126	6.3	1.0	172	6.0	1.2	78	6.1	1.1	687	6.4	0.8	49	6.1	0.9	76	5.9	1.4	21	5.9	1.1	48	6.3	0.8	21	6.1	1.1	1,278
764a-Importance to you: Know how to lead and supervise groups of people	6.1	1.1	126	6.4	1.0	173	5.9	1.4	79	6.1	1.1	687	6.4	0.9	49	6.0	1.2	76	5.6	1.9	21	6.0	1.1	48	6.3	0.8	21	6.1	1.1	1,280
77a-Importance to you: Formulate creative and original ideas	6.1	1.0	126	6.2	1.0	172	6.2	1.0	78	6.3	1.0	686	6.3	0.9	49	6.1	0.9	76	6.5	0.7	21	5.9	1.0	48	5.8	0.9	21	6.2	1.0	1,277

Note: Mean may not be an appropriate measure for small number of responses

Scale: 1 - 7: 1-not important 7-very important

Alumni Survey 2010

Potential benefits of a college education: Did UConn help you? - Mean, Standard Deviation (SD) and Valid number of responses (N) by School/College

Potential benefits of a college education: Did UConn help you?	Agriculture & Natural Resources			Business			Continuing Studies			Liberal Arts & Sciences			Education			Engineering			Fine Arts			Nursing			Pharmacy			University of Connecticut		
	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N	Mean	SD	N
55b-Did UConn help you: Obtain career training - knowledge and skills applicable to specific job/work	5.0	1.3	126	5.4	1.3	174	3.8	1.9	75	4.3	1.6	685	5.7	1.2	49	4.9	1.4	77	4.8	1.5	21	5.8	1.2	48	5.7	1.4	21	4.7	1.6	1,276
56b-Did UConn help you: Acquire background and specialization for further education in a professional, scientific or scholarly field	5.3	1.2	125	5.4	1.3	171	4.5	1.8	73	4.9	1.5	686	5.8	1.0	49	5.1	1.4	78	4.8	1.4	21	5.6	1.0	48	6.4	0.6	21	5.1	1.5	1,272
57b-Did UConn help you: Gain a range of information that might be relevant to a career	5.5	1.2	126	5.7	1.2	174	4.8	1.8	74	5.0	1.5	687	6.0	0.9	49	5.4	1.2	78	5.0	1.5	21	5.9	1.0	48	6.2	0.7	21	5.3	1.4	1,278
58b-Did UConn help you: Develop an understanding and enjoyment of literature, art, music and drama	4.0	1.6	123	4.4	1.5	170	4.7	1.7	76	4.7	1.6	683	4.2	1.4	49	3.6	1.9	75	5.8	1.4	21	3.9	1.5	48	4.8	1.6	21	4.5	1.6	1,266
59b-Did UConn help you: Develop an understanding of diversity and cultural differences	4.7	1.5	123	5.1	1.4	171	5.1	1.7	75	5.1	1.5	682	5.2	1.1	49	4.1	1.7	78	4.7	1.5	21	4.9	1.5	48	5.7	1.2	21	5.0	1.5	1,268
60b-Did UConn help you: Write clearly and effectively	5.2	1.3	123	5.5	1.3	172	5.6	1.5	76	5.4	1.4	686	4.8	1.3	48	4.7	1.5	78	5.1	1.5	21	4.8	1.3	48	5.5	1.3	21	5.3	1.4	1,273
61b-Did UConn help you: Become fluent in the computing of your discipline	4.4	1.6	125	5.3	1.6	171	4.1	1.8	74	4.2	1.6	683	4.6	1.2	49	5.1	1.4	78	4.3	1.6	21	4.3	1.6	47	4.4	2.0	20	4.4	1.7	1,268
62b-Did UConn help you: Obtain a general foundation in computing regardless of your discipline	4.3	1.6	125	5.3	1.6	171	4.3	1.9	75	4.3	1.7	683	4.4	1.2	49	5.2	1.3	78	4.4	1.5	20	4.2	1.7	48	4.5	1.8	20	4.5	1.7	1,269
63b-Did UConn help you: Become aware of different philosophies, cultures and ways of life	4.7	1.4	124	5.2	1.4	172	5.5	1.7	74	5.2	1.4	683	5.1	1.1	49	4.4	1.8	78	4.9	1.2	21	4.7	1.4	48	5.5	1.4	21	5.1	1.5	1,270
64b-Did UConn help you: Develop your own values and ethical standards	4.9	1.5	124	5.3	1.4	170	5.0	1.8	74	5.0	1.6	684	5.4	1.1	49	4.4	1.7	77	4.8	1.3	21	4.9	1.3	48	5.3	1.6	21	5.0	1.6	1,268
65b-Did UConn help you: Understand yourself, your abilities, your interests and personality	5.2	1.4	123	5.5	1.4	170	5.0	1.8	76	5.3	1.5	683	5.7	1.1	49	4.7	1.4	77	5.3	1.4	21	5.4	1.3	48	5.6	1.6	21	5.3	1.5	1,268
66b-Did UConn help you: Understand and be able to get along with different kinds of people	5.4	1.4	126	5.7	1.3	172	5.0	1.9	76	5.5	1.4	680	5.9	1.0	49	5.3	1.4	77	5.4	1.2	21	5.6	1.4	48	6.0	1.1	21	5.5	1.4	1,270
67b-Did UConn help you: Understand the nature of science and experimentation	5.7	1.1	126	4.5	1.4	171	4.3	1.9	76	4.8	1.6	684	4.7	1.5	49	5.7	1.2	76	4.1	1.5	21	5.6	1.1	48	6.0	1.0	21	4.9	1.6	1,272
68b-Did UConn help you: Understand new scientific and technical developments	5.4	1.2	126	4.3	1.4	170	4.1	2.0	76	4.5	1.6	677	4.5	1.5	49	5.5	1.3	77	3.8	1.2	21	5.2	1.1	48	5.7	1.3	21	4.6	1.6	1,265
69b-Did UConn help you: Become aware of the consequences (benefits/hazards) of new applications	4.9	1.4	125	4.3	1.5	172	4.0	2.0	76	4.2	1.7	681	4.2	1.4	47	5.0	1.5	77	3.4	1.4	21	5.0	1.3	48	5.6	1.4	20	4.4	1.6	1,267
70b-Did UConn help you: Learn and apply information technology	4.7	1.4	126	5.1	1.3	172	4.3	1.9	76	4.3	1.6	684	4.5	1.1	48	5.4	1.2	77	4.2	1.2	21	4.9	1.4	48	5.6	1.5	21	4.5	1.6	1,273
71b-Did UConn help you: Think analytically and logically	5.5	1.2	126	5.7	1.2	171	5.1	1.6	77	5.5	1.2	684	5.6	1.1	49	5.9	1.1	77	5.1	1.6	21	5.5	1.0	48	5.9	1.2	21	5.5	1.2	1,274
72b-Did UConn help you: Think in quantitative terms, understand probabilities, proportions, etc.	5.1	1.1	125	5.5	1.2	170	4.5	1.9	76	4.9	1.4	678	4.5	1.3	49	5.6	1.3	78	4.1	1.1	21	5.0	1.2	47	5.6	1.5	21	5.0	1.4	1,265
73b-Did UConn help you: Learn on your own, pursue ideas and find information you need	5.6	1.2	126	5.7	1.3	173	5.3	1.7	77	5.6	1.3	683	5.6	1.1	49	5.3	1.2	76	5.0	1.7	21	5.6	1.0	48	5.9	1.3	21	5.6	1.3	1,274
74b-Did UConn help you: See the importance of history for understanding the present as well	4.3	1.4	123	4.8	1.4	171	5.0	1.7	75	5.1	1.5	683	4.5	1.2	49	4.2	1.4	76	4.5	1.7	21	4.5	1.5	48	4.9	1.8	21	4.9	1.5	1,267
75b-Did UConn help you: Know how to speak before groups, actively participate in group discussion, function as a team manager	5.5	1.3	126	5.6	1.4	171	5.2	1.7	77	5.3	1.5	686	6.0	1.0	49	5.4	1.3	77	5.4	1.6	21	5.0	1.6	48	5.7	1.7	21	5.4	1.5	1,276
76b-Did UConn help you: Know how to lead and supervise groups of people	5.1	1.5	126	5.4	1.4	172	4.7	1.9	76	4.9	1.6	684	5.7	1.4	49	5.0	1.5	77	4.6	2.0	21	5.0	1.6	48	5.7	1.8	21	5.0	1.6	1,274
77b-Did UConn help you: Formulate creative and original ideas	5.0	1.4	126	5.2	1.4	172	5.2	1.6	77	5.2	1.5	685	5.6	1.3	49	5.1	1.3	77	5.4	1.6	21	5.0	1.3	48	5.1	1.9	21	5.2	1.5	1,276

Note: Mean may not be an appropriate measure for small number of responses

Scale: 1 - 7: 1-helped very little 7-helped very much

OPTION E1: PART B. INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name)				Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.)	Initial Accredi-tation	Date of most recent accredi-tation action by each listed agency	Date and nature of next scheduled review
School or College	**Program**	**Degree Level ***	**Accrediting Agency**				
University of Connecticut	All Programs, All Campuses	All	New England Association of Schools and Colleges	http://cihe.neasc.org/standards_policies/standards/	1931	2007(10)	2017
College of Agriculture & Natural Resources	Nutritional Science - Dietetics Option	B	American Dietetic Association	http://www.eatright.org/CADE/content.aspx?id=57	1975	2001(10)	2011
	Landscape Architecture	B	Landscape Architectural Accreditation Board	http://www.asla.org/uploadedFiles/CMS/Education/Accreditation/STANDARDS%20PROCEDURE.pdf	1998	2006(3)	2012
	Allied Health: Dietetics - CP Program	B [1]	American Dietetic Association	http://www.eatright.org/CADE/content.aspx?id=57	1974	2010(10)	2020
	Allied Health: Dietetics - Dietetic Internship	Certificate	American Dietetic Association	http://www.eatright.org/CADE/content.aspx?id=57	1990	2010(10)	2020
	Allied Health: Diagnostic Genetic Sciences	B,Certificate	National Accrediting Agency for Clinical Lab. Sciences	http://www.naacls.org/accreditation/newguide_accreditation.asp	1995	2008(2)	2012
School of Business	Undergrad, Master's & PhD (Business & Accounting)	B,M,D	The Association to Advance Collegiate Schools of Business	http://www.aacsb.edu/accreditation/standards.asp	1958/1971	2006(10)	2016
Neag School of Education	Educator Preparation Program (Integrated Bachelor and Master Program for Initial Teachers, Teacher Certification for College Graduates, Language and Speech Pathology, School Counselor Education, School Psychology, Intermediate Administrator Preparation Program, Executive Leadership Program)	B,M,S,D	National Council for Accreditation of Teacher Education	http://www.ncate.org/Standards/tabid/107/Default.aspx	1954	2003(7)	2010
			Connecticut State Board of Education	http://www.sde.ct.gov/sde/cwp/view.asp?a=2683&q=322228	1950	2003(7)	2010
	School Counselor Education	M	Council for Accreditation of Counseling and Related Educational Programs (CACREP)	http://www.cacrep.org/doc/2009%20Standards%20with%20cover.pdf	2007	2007(2)	2009
	School Psychology	D	American Psychological Association (APA)	http://www.apa.org/ed/accreditation/about/policies/guiding-principles.pdf	2001	2006(3)	2009
	Athletic Training	B	Commission on Accreditation of Athletic Training Education	http://www.caate.net/imis15/CAATE/Forms/CAATE/Forms/Forms.aspx?hkey=1ec27fcc-9a33-4d74-8660-975d67e610a0	2003	2003(5)	2008
	Physical Therapy	B,M	Commission on Accreditation in Physical Therapy Education (CAPTE)	http://www.capteonline.org/AccreditationHandbook/	1954	2009(8)	2017
	Biomedical Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	2005	2007 [2]	
	Chemical Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	1964	2007 [2]	
	Civil Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	1940	2007 [2]	
	Computer Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	2006	2007 [2]	
	Electrical Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	1940	2007 [2]	

OPTION E1: PART B. INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name)				Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.)	Initial Accredi-tation	Date of most recent accredi-tation action by each listed agency	Date and nature of next scheduled review
School or College	**Program**	**Degree Level ***	**Accrediting Agency**				
School of Engineering	Environmental Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	2005	2007 [2]	
	Management and Engineering for Manufacturing	B	Engineering Accreditation Commission of ABET &	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	2005	2007 [2]	
			The Association to Advance Collegiate Schools of Business	http://www.aacsb.edu/accreditation/standards.asp	1995	1995	
	Materials Science & Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	2005	2007 [2]	
	Mechanical Engineering	B	Engineering Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	1941	2007 [2]	
	Computer Science and Engineering BSE Program	B	Engineering Accreditation Commission of ABET &	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/E001%2010-11%20EAC%20Criteria%201-27-10.pdf	1972	2007 [2]	
			Computing Accreditation Commission	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/C001%2010-11%20CAC%20Criteria%2011-16-09.pdf	1993		
	Computer Science BS	B	Computing Accreditation Commission of ABET	http://www.abet.org/Linked%20Documents-UPDATE/Criteria%20and%20PP/C001%2010-11%20CAC%20Criteria%2011-16-09.pdf	2002	2007 [2]	
School of Fine Arts	Music	B,M,D	National Association of Schools of Music	http://nasm.arts-accredit.org/index.jsp?page=Standards-Handbook	1963	2009(10)	2019
	Art	B,M	National Association of Schools of Art and Design	http://nasad.arts-accredit.org/index.jsp?page=Standards-Handbook	1983	2003(10)	2013
	Theatre	B,M	University/Resident Theatre Association	http://www.urta.com/	1991	2009(10)	2019
School of Law	Juris Doctor Program	FP	American Bar Association	http://www.americanbar.org/groups/legal_education/resources/standards.html	1933	2004(7)	2011
		FP	Association of American Law Schools [3]	http://www.aals.org/	1937	2004(7)	2011
	Master's Program	AP	American Bar Association [4]	http://www.americanbar.org/groups/legal_education/resources/standards.html	1994	2004(7)	2011
		AP	Association of American Law Schools	http://www.aals.org/	1994	2004(7)	2011
College of Liberal Arts and Sciences	Communication Sciences (Speech-Language Pathology)	M	American Speech - Language - Hearing Association	http://www.asha.org/academic/accreditation/accredmanual/section3/	1966	2000(8)	2008
	Communication Sciences (Audiology)	Au.D.	American Speech - Language - Hearing Association	http://www.asha.org/academic/accreditation/accredmanual/section3/	1966	2004(8)	2012
	Chemistry	B,M,D	American Chemical Society	http://portal.acs.org/portal/PublicWebSite/about/governance/committees/training/acsapproved/degreeprogram/WPCP_008491	1950	2006(5)	2011
	Human Development and Family Studies	M, D	American Association for Marriage & Family Therapy	http://www.aamft.org/imis15/Documents/Accreditation_Standards_Version_11.pdf	1985	2006(6)	2012
	Psychology (PhD in Clinical Psychology)	D	American Psychological Association	http://www.apa.org/ed/accreditation/about/policies/guiding-principles.pdf	1951	2008(7)	2015
	Master of Public Administration	M	National Association of Schools of Public Affairs and Administration	http://www.naspaa.org/accreditation/NS/naspaastandards.asp	1983	2004(7)	2011

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School or College	**Program**	**Degree Level ***	**Accrediting Agency**				
School of Nursing	Bachelor's & Basic Nursing Certificate	B,Certificate	Connecticut Board of Examiners for Nurses [5]	http://www.ct.gov/dph/cwp/view.asp?a=3143&q=388910	1942	2007	2012
	Bachelor's & Master's Programs	B,M	Commission on Collegiate Nursing Education [6]	http://www.aacn.nche.edu/accreditation/pdf/standards09.pdf	2005	2005	2015
School of Pharmacy	Doctoral Programs	PharmD,	Accreditation Council for Pharmacy Education	http://www.acpe-accredit.org/standards/default.asp	1940	2007	2013
School of Social Work	Master's Program	M	Council on Social Work Education	http://www.cswe.org/Accreditation/2008EPASDescription.aspx	1952	2006(8)	2014
	Ph.D. Program	D	Connecticut Department of Higher Education	http://www.ctdhe.org/default.htm	2004	2004	
Health Center	Master's Program in Public Health (Community Health/Preventive Medicine)	M	Council on Education for Public Health	http://www.ceph.org/pg_accreditation_criteria.htm	1984	2008(7)	2015
	School of Medicine (Includes Biomedical Science)	M,FP,D	Medical Colleges	http://www.lcme.org/standard.htm	1968	2003(7)	2010
	School of Dental Medicine (All Programs)	M,FP	American Dental Association (ADA)	http://www.ada.org/115.aspx	1968	2008(7) [7]	2015
John Dempsey Hospital			Joint Commission on Accreditation of Health Care Org.	http://www.jointcommission.org/accreditation/hospitals.aspx	1967	2006(3)	2009

Parentheses indicate the interval of accreditation.

[1] Also accredited for Dietetic post-baccalaureate internships.

[2] ABET does not permit listing of length of accreditation period.

[3] The Association of American Law Schools (AALS) does not accredit, but determines whether a law school remains eligible for membership in the AALS, which is a more elite and restrictive body than the American Bar Association (ABA). They coordinate their membership review visits with the ABA.

[4] The ABA does not accredit LL.M. programs, but they make periodic inspections to determine acquiescence in respect to the J.D. program.

[5] The Connecticut Board of Examiners for Nursing approves programs, but does not accredit them.

[6] The Commission on Collegiate Nursing Education accredited all three programs for the first time in 2005.

[7] Seven years for predoctoral and advanced programs, except oral & maxillofacial surgery, which was accredited for five years.

* B=Bachelor's Degree M=Master's Degree D=Doctorate FP=First Professional AP=Advanced Professional Au.D.=Clinical Doctorate in Audiology

OIR - August 2011

OPTION E2. VOLUNTARY SYSTEM OF ACCOUNTABILITY

A copy of the most recent institutional template for the Voluntary System of Accountability (VSA) (http://www.collegeportraits.org/CT/UConn/print) has been included as additional information. The University joined the APLU Voluntary System of Accountability in 2009.

University of Connecticut College Portrait

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College Portrait of Undergraduate Education
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For 12 years running, the University of Connecticut has been rated by U.S. News & World Report as the #1 public university in New England and ranks among the top 30 public universities in the nation. UConn is the only public university in New England with its own Schools of Law, Social Work, Medicine, and Dental Medicine.

University of Connecticut

Perennially ranked the top public university in New England, the University of Connecticut stands among the best public institutions in the nation. Our UConn Health Center pursues a mission of providing outstanding health care education in an environment of exemplary patient care, research and public service. A Carnegie Foundation Research University, UConn is also the second U.S. institution elected to Universitas 21, an international network of research-intensive universities. In fact, more than 100 research centers and institutes serve UConn's teaching, research, diversity, and outreach missions. Moreover, five UConn faculty members received a Fulbright Scholar award for the 2010-11 academic year. A strong and growing endowment helps sustain excellence by providing resources beyond tuition and state budget support.

The Husky Community

The UConn community includes 10 Schools and Colleges at its Storrs campus, separate Schools of Law and Social Work in Hartford, five regional campuses throughout the state, and the Schools of Medicine and Dental Medicine at the UConn Health Center in Farmington.

Located in Storrs, our main campus is admitting the highest-achieving freshmen in University history. Undergraduate student diversity continues to increase, as does the number of honors students, valedictorians and salutatorians who consistently make UConn their top choice. These students cheer on 24 NCAA Division I athletic teams, play in 40 active club team sports, participate in more than 450 clubs and activities, enjoy five cultural centers, live in dozens of Learning Communities, enroll in more than 200 study abroad programs in 65+ countries, and contribute thousands of hours of service to the community through internships and volunteer programs. Undergraduate, graduate, and faculty research at UConn provides job creation, new business development, and an enhanced quality of life for Connecticut citizens. Graduates join more than 200,000 living UConn alumni who maintain strong bonds with the University, connecting online, supporting scholarships, and attending events.

Carnegie Classification of Institutional Characteristics

Basic Type

Research Universities (very high research activity)

Size and Setting

Large four-year, highly residential

Enrollment Profile

High undergraduate

Undergraduate Profile

Full-time four-year, more selective, lower transfer-in

Undergraduate Instructional Program

Arts & sciences plus professions, high graduate coexistence

Graduate Instructional Program

Comprehensive doctoral (no medical/veterinary)

NOTE: Institutional classifications based on the Carnegie 2005 edition.

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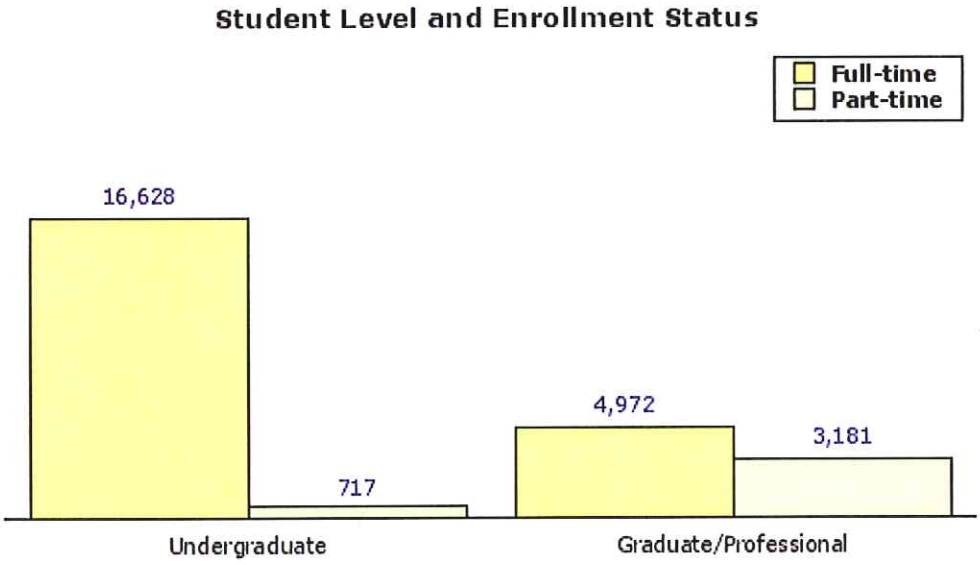
Student Characteristics (Fall 2010)



Total Students	25,498

Undergraduate Profile

Total Undergraduate Students	17,345	
Gender		
Women	8,556	49%
Men	8,789	51%
Race/Ethnicity		
American Indian / Alaskan Native	42	<1%
Asian	1,411	8%
African American / Black	902	5%
Hispanic	1,035	6%
Native Hawaiian or Other Pacific Islander	13	<1%
White	11,152	64%
Multi Racial	124	1%
International	368	2%
Race/Ethnicity Not Reported	2,298	13%

Geographic Distribution (Degree-Seeking)	
Connecticut	75%
Other US States & Territories	23%
Other Countries	2%
Residency Unknown	<1%
Age (Degree-Seeking)	
Average Age	20
Percent of Undergraduates Age 25 or Older	3%

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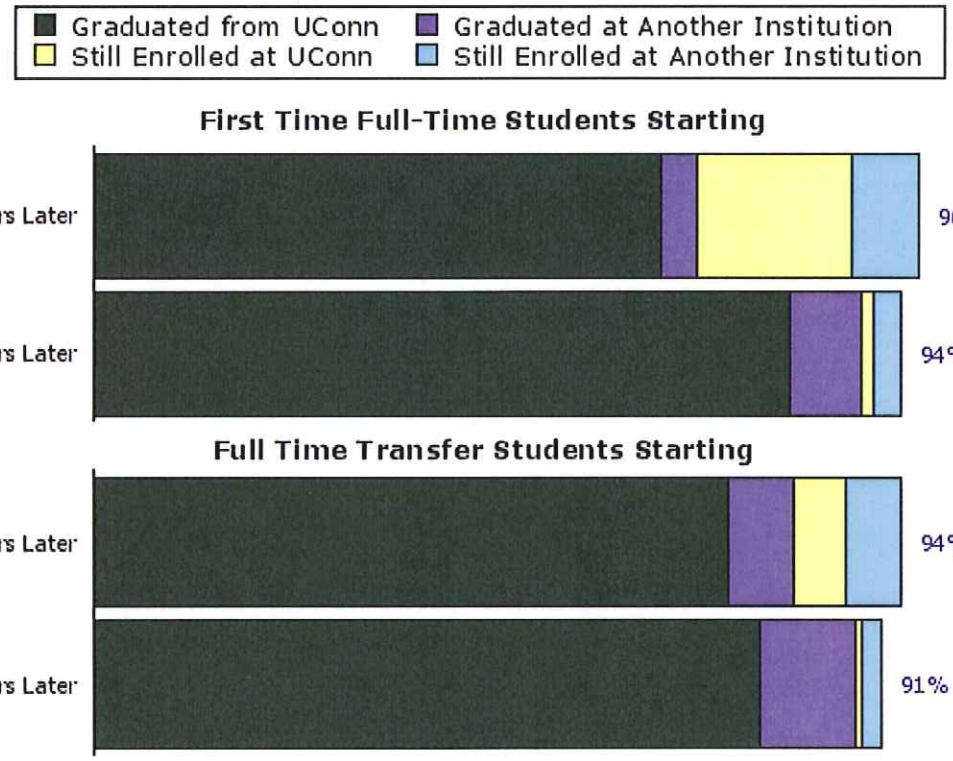
Undergraduate Success and Progress Rate



A 96% four-year success and progress rate means that 96% of students starting in Fall 2004 either graduated or are still enrolled at a higher education institution four years later.
Counts for the Fall 2004 entering class shown in the graph above.

3,202 First-Time, Full-Time Students
598 Full-Time Transfer Students

Retention of Fall 2009 First-Time, Full-time Students

First-time students in Fall 2009 that returned for their second year: 93%

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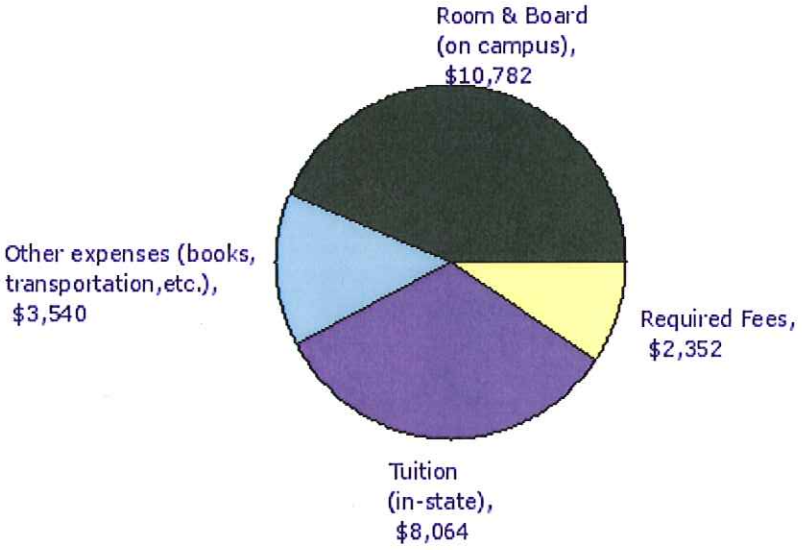
Costs of Attendance and Financial Aid

Typical Undergraduate Costs for 2010-11 without Financial Aid (Full-Time, In-State Students)



Total Typical Cost of Attendance: $24,738

The cost to attend University of Connecticut varies based on the individual circumstances of students and may be reduced through grants and scholarships.

Financial Aid Awarded to Undergraduates

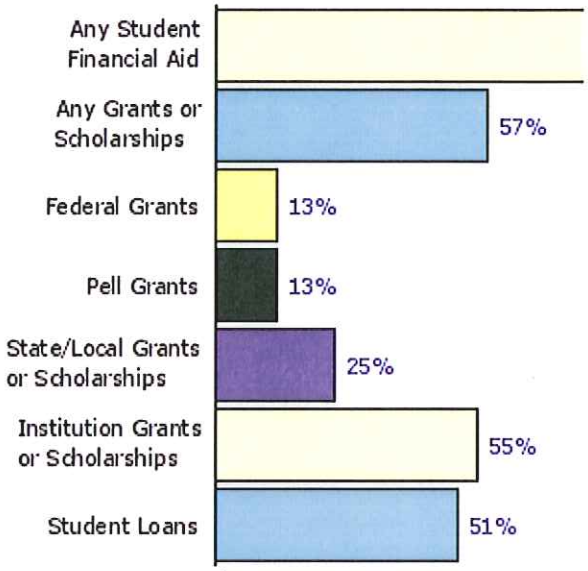
Annual Need-Based Scholarships & Grants

• 43% of 2010-11 full-time undergraduates received need-based grants or scholarships; the average award for the year was $8,167

Annual Need-Based Loans

• 43% of 2010-11 full-time undergraduates received need-based work-study and/or loans (not including parent loans); the average loan for the year was $4,750

Percent of 2009-2010 Full-time Beginning Students Receiving Each Type of Financial Aid



NOTE: Students may receive aid from more than one source.

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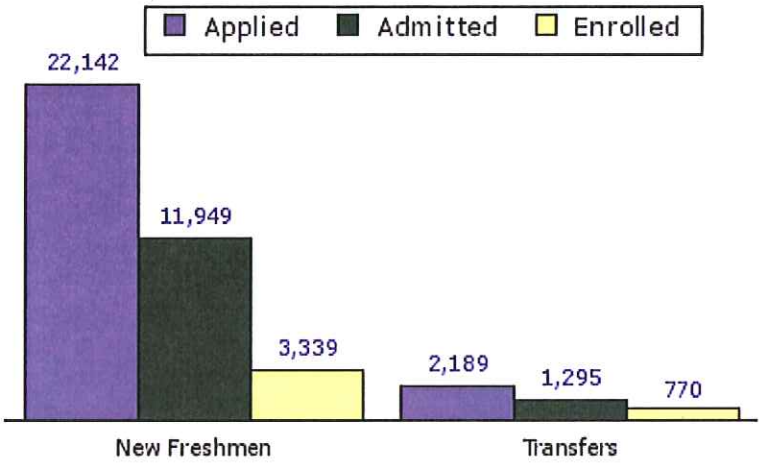
Undergraduate Admissions (Fall 2010)



Of the 22,142 new freshman applicants, 54% were admitted and 28% of the admitted students enrolled at University of Connecticut in Fall 2010.

Of the 2,189 transfer applicants, 59% were admitted and 59% of the admitted students enrolled at University of Connecticut in Fall 2010.

Academic Preparation of New Freshmen

Test(s) Required for Admission: SAT or ACT recommended

Middle 50% of Test Score Range	ACT	SAT
Composite	25 - 29	
Math		580 - 670
Critical Reading		550 - 640

50% of admitted students have test scores within the ranges listed, 25% have scores above, and 25% have scores below.

High School Background	
Percent in top 25% of High School Graduating Class	79%
Percent in top 50% of High School Graduating Class	98%
Percent of New Freshmen who submitted HS Class Rank	54%

Average High School GPA Data Not Available

Study At UConn

Classroom Environment	
Students per Faculty	18 to 1

Undergraduate classes with fewer than 30 students	61%
Undergraduate classes with fewer than 50 students	83%

Full-Time Instructional Faculty	
Total Faculty	1,011
% Women	36%
% from Minority Groups	21%
% with Highest Degree in Field	95%

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Student Housing

97% of new freshmen live on campus
74% of all undergraduates live on campus

Campus Safety

The University of Connecticut Police Department is an internationally accredited law enforcement agency. The UConn Police Department is a sub-division of the Public Safety Division at the University of Connecticut. The other constituent parts of the Division of Public Safety are the Fire Department Office of the Fire Marshall and Building Inspectors, and Locksmith Services. The UConn Police Department is a fully functional police agency with the same statutory authority as any municipal police department in the State of Connecticut. The Department is responsible for, and its primary mission is, the protection of lives and property at the University of Connecticut and all adjacent areas within the jurisdiction of the UConn Police Department. This includes the main campus in Storrs and the regional campuses located statewide.

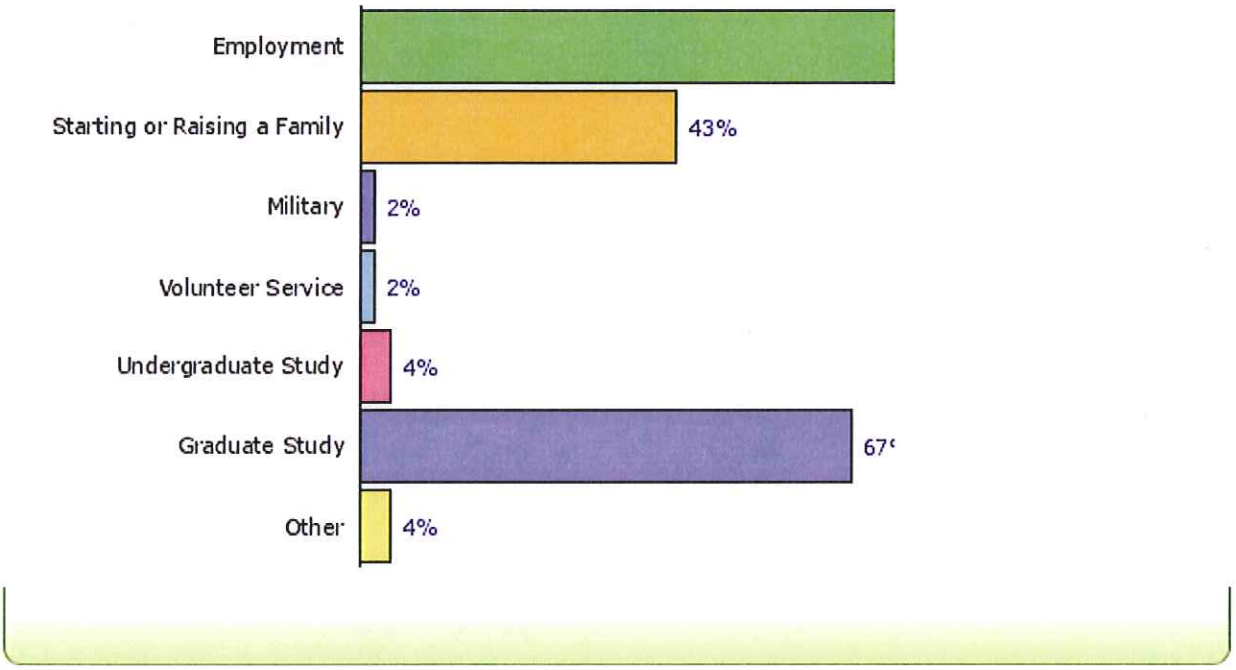
Degrees and Areas of Study

Degrees awarded at University of Connecticut in 2009-10	
Associate's	26
Bachelor's	4,606
Master's	1,465
Doctoral	746
Total	6,843

Areas of study with the largest number of bachelors degrees awarded in 2009-10	
PSYCHOLOGY	9%
Political Science and Government	6%
Communication and Media Studies	5%
Economics	5%
English Language and Literature, General	5%

Future Plans of Bachelor's Degree Recipients

Survey Response Rate: 30%


Employment
Starting or Raising a Family
43%
Military
2%
Volunteer Service
2%
Undergraduate Study
4%
Graduate Study
67
Other
4%

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Student Experiences and Perceptions

Institutions participating in the VSA program measure student involvement on campus using one of four national surveys. Results from the one survey are reported for a common set of questions selected as part of VSA. Following are the selected results from the National Survey of Student Engagement (NSSE). The questions have been grouped together in categories that are known to contribute to student learning and development. The results reported below are based on the responses of seniors who participated in the survey.

Group Learning Experiences

93% percent of seniors worked with classmates on assignments outside of class.
54% of seniors tutored or taught other students
37% of seniors spent at least 6 hours per week participating in co-curricular activities such as student organizations and intramural sports

Active Learning Experiences

85% of seniors spent at least 6 hours per week preparing for class
26% of seniors worked on a research project with a faculty member
59% of seniors participated in an internship, practicum, or field experience
62% of seniors participated in community service or volunteer work
19% of seniors participated in study abroad
91% of seniors made at least one class presentation last year

Institutional Commitment to Student Learning and Success

96% of seniors believe this institution provides support for student success
58% of seniors rated the quality of academic advising at this institution as good or excellent
64% of seniors reported that this institution provided help in coping with work, family and other non-academic responsibilities
92% of seniors reported working harder than they thought they could to meet an instructor's standards or expectations

Student Interaction with Campus Faculty and Staff

52% of seniors believed that the campus staff were helpful, considerate, or flexible
71% of seniors believed that faculty are available, helpful, or sympathetic
93% of seniors reported that faculty members provided prompt feedback on their academic performance
64% of seniors discussed readings or ideas with faculty members outside of class

Experiences with Diverse Groups of People and Ideas

55% of seniors reported that they often tried to understand someone else's point of view
87% of seniors reported their experience at this institution contributed to their understanding people of other racial and ethnic backgrounds
57% of seniors often had serious conversations with students of a different race or ethnicity

Student Satisfaction

83% of seniors would attend this institution if they started over again
86% of seniors rated their entire educational experience as good or excellent
79% of seniors reported that other students were friendly or supportive

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860-486-3137
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College Portrait of Undergraduate Education
Voluntary System of Accountability

Student Learning Assessment at University of Connecticut

All colleges and universities use multiple approaches to measure student learning. Many of these are specific to particular disciplines, many are coordinated with accrediting agencies, and many are based on outcomes after students have graduated.

Pilot Project to Measure Core Learning Outcomes

Colleges and universities participating in the College Portrait measure the typical improvement in students' abilities to think, reason, and write using one of three tests. This is part of a pilot project to better understand and compare what students learn between their freshman and senior years at different colleges and universities.

This university is in the process of collecting and analyzing learning outcomes test results.

Appendix I.8

Student Achievement and Success (S) Forms

PART II: DOCUMENTING STUDENT SUCCESS (THE S-SERIES)

The S-series of forms has been devised for institutions to present data on retention and graduation rates and other measures of student success appropriate to the institution's mission. (*Standards for Accreditation*, 6.6, 10.10) Clearly, not every measure listed here is appropriate for every institution. At the same time, some institutions may have multiple instances of a single item (e.g., licensure pass rates). In developing these forms, the Commission recognizes the value of trends in data, and the importance of the institution's own goals for success.

By listing several ways to measure student success and achievement, the Commission encourages institutions to reflect on how they are using data to understand student success. As always, the Commission expects that the institution's mission will provide useful guidance in thinking about which measures of student success are most important and most useful. In brief, the forms are:

S1. Retention and Graduation Rates. Here institutions are asked to provide information on their IPEDS-defined retention and graduation rates, along with their goals for these indicators. Institutions can also provide additional retention and graduation indices, depending on their mission, program mix, locations, and method of program delivery. For example, some baccalaureate institutions may also track 4- and 5-year graduation rates; some community colleges may find 4- and 5-year rates to complete an associate's degree to be helpful in evaluating their success with their student population. Institutions can also track the success of students studying at a distance or in programs offered on-line.

S2. Other Measures of Student Achievement and Success. The measures recorded here are likely to be mission-related. For example, some institutions may track the success of students gaining admission into certain graduate- or first-professional degree programs. Community colleges may track the success of their students entering baccalaureate programs. For some institutions, the number of students who enter programs such as Teach for America, the Peace Corps, or public service law may also represent indicators of institutional effectiveness with respect to their mission.

S3. Licensure Passage and Job Placement Rates. Institutions that prepare students for specific careers will find it appropriate to record the success of their students in passing licensure examinations. Also included in this form is the provision to record the success of students – perhaps by their academic major – in finding employment in the field for which they were prepared.

S4. Completion and Placement Rates for Short-Term Vocational Programs. Institutions with such programs in which students are eligible for Title IV federal financial aid should use these forms.

Using the forms: By using these forms early in the self-study process, institutions will have time to collect and analyze all available information. The Appraisal section of the self-study provides a useful opportunity for the institution to reflect both on the findings recorded in the forms and the extent to which the institution has developed the systems to collect and use the most important data on student success. Similarly, the Projection section affords the institution an opportunity to state its commitment for improvement in the area of assessment.

Form S1. RETENTION AND GRADUATION RATES						
Student Success Measures/ Prior Performance and Goals		2 Years Prior	1 Year Prior	Most Recent Year	Goal Next Year	Goal 2 Years Forward
IPEDS Retention Data (1)						
Associate degree students		NA	NA	NA		
Bachelors degree students		93%	92%	93%		
IPEDS Graduation Data (2)						
Associate degree students		44%	65%	55%		
Bachelors degree students		76%	78%	81%		
Other Undergraduate Retention Rates						
a		NA	NA	NA		
b		NA	NA	NA		
Other Undergraduate Graduation Rates						
a		NA	NA	NA		
b		NA	NA	NA		
Graduate programs *						
Retention rates first-to-second year (3)		82%	82%	83%		
Graduation rates @ 150% time (4)		Est. 75% - 85%	Est. 75% - 85%	Est. 75% - 85%		
Professional programs **						
Law School Graduation rates (5)		92%	92%	91%		
School of Medicine Graduation rates (6)		93%	91%	89%		
School of Dental Medicine Graduation rates (6)		92%	88%	92%		
Distance Education						
Completely On-Line Course Completion rates (7)		88%	85%	86%		
Retention rates (8)		NA	NA	NA		
Graduation rates (8)		NA	NA	NA		
Branch Campus and Instructional Locations						
Regional Undergraduate Campus Course Completion rate (9)		77%	77%	78%		
Retention rates (10) (Total Regional Campuses) (Total Regional Campuses)		78%	80%	82%		
Graduation rates (11) (Total Regional Campuses) (Total Regional Campuses)		48%	52%	50%		
Definition and Methodology Explanations						
1	IPEDS reporting of base population of entering freshman cohort at the Storrs campus with Fall 2009 the most recent cohort reported for this summary. Retention is defined as the continued registration status of the entering cohort student at any campus of the University in the subsequent fall.					
2	IPEDS reporting of base population of entering freshman cohort at the Storrs campus with Fall 2004 the most recent cohort reported for this summary. Graduation rate is IPEDS defined as graduation from the University by the entering cohort student within six years of the entering fall semester.					
3	IPEDS reporting of base population of graduate students defined as first-time-in-graduate-career (regardless of graduate plan or degree level) in first fall compared to continued registration for classes in subsequent fall. Most recent year of calculation is Fall 2009 to Fall 2010.					
4	Degree requirements differ greatly among fields of study for master's and doctoral degree students; thus, graduation rates also vary. All students are expected to complete a degree within a reasonable time. Some master's programs can be completed in 2 years; others take longer. Master's level students must complete within 6 years. An equivalent of 3 years of full-time study beyond the baccalaureate or 2 years past the master's is required of all doctoral students, and the program must be completed within 8 years unless an extension is allowed. However, capturing this information remains difficult because of the nature of graduate student persistence, e.g., part-time pursuit of a degree while employed or parenting, concurrent pursuit of more than one field of study or degree level, and employment opportunities while in graduate study or while writing the thesis or dissertation. Completion rates for most master's degree fields are expected to be 80-85% within 6 years; and, for doctoral students, 65-70% in 8 years.						

5	Law School report of graduation rates for the day-division J.D. program. Overall graduation rate is calculated on entering year cohorts with Fall 2006 the most recent cohort reported in this summary. The rate is primarily for graduation in three years or less but includes a few in each cohort who graduate in more than three years.
6	School of Medicine and School of Dental Medicine reports of 8-year graduation rates of entering year cohorts with Fall 2005 the most recent cohort reported in this summary. The 2005 cohort rate as of fall 2010 still had active students completing degrees (10% in Medicine and 5% in Dental Medicine).
7	Course completion rate in distance education courses was calculated for the fall 2010 semester and two prior fall semesters by a comparison of (a) count of students enrolled in on-line courses at official census time of semester (tenth day, or end of course drop-add registration) with (b) count of students receiving a grade at the end of the term. Students withdrawing or receiving failing grades were omitted from the end of term count.
8	The University currently has only a few completely on-line degree programs with small numbers of students enrolled. More than 100 completely on-line courses are offered, but they occur in a variety of degree programs each having different program completion expectations. When the development of on-line programs reaches a sufficient number of programs and students, retention and graduation rates will be tracked to inform further curriculum development in distance education.
9	Course completion rate at the regional undergraduate campuses (Avery Point, Greater Hartford, Stamford, Torrington, and Waterbury) was calculated for the fall 2010 semester and two prior fall semesters by a comparison of (a) count of undergraduate students enrolled at a regional campus at official census time of semester (tenth day, or end of course drop-add registration) with (b) count of students receiving a grade at the end of the term. Students withdrawing or receiving failing grades were omitted from the end of term count.
10	IPEDS reporting of base population of entering freshman cohort at an undergraduate regional campus (Avery Point, Greater Hartford, Stamford, Torrington, or Waterbury) with Fall 2009 the most recent cohort reported for this summary. Retention is defined as the continued registration status of the entering cohort student at any campus of the University in the subsequent fall.
11	IPEDS reporting of base population of entering freshman cohort at an undergraduate regional campus (Avery Point, Greater Hartford, Stamford, Torrington, or Waterbury) with Fall 2004 the most recent cohort reported for this summary. Graduation rate is IPEDS defined as graduation from the University by the entering cohort student within six years of the entering fall semester.

* An institution offering graduate degrees must complete this portion.

** Professional Programs are defined by NEASC to include the following UConn degree programs: Doctor of Pharmacy (Pharm.D.), Law, Dentistry and Medicine.

Form S2. OTHER MEASURES OF STUDENT ACHIEVEMENT AND SUCCESS

	Measures of Student Achievement and Success/ Institutional Performance and Goals	2 Years Prior	1 Year Prior	Most Recent Year	Goal for the Future
Success of Students Pursuing Higher Degree					
1					
2					
3					
4					
5					
	Definition and methodology explanations				
Data are not currently available for student success in post-graduation pursuit of additional degrees. Research using the National Student Clearinghouse for tracking the completion of additional degrees is underway.					
Rates at Which Graduates Pursue Mission Related Paths (e.g., Peace Corps, Public Service Law)					
1					
2					
3					
4					
	Definition and methodology explanations				
UConn's Peace Corps volunteers were honored in March 2011 at a Storrs Campus reception on the 50th anniversary celebration of the founding of the national Peace Corps. Approximately 270 UConn alumni as well as dozens of University faculty and staff have served in the Peace Corps since its founding. Many of UConn's graduates pursue other mission-related paths after degree completion; summary information is not currently available for specific paths by year.					
Rates at Which Students Are Successful in Fields for Which They Were Not Explicitly Prepared: UConn Recent Alumni Survey of Bachelor's Degree Recipients					
1	Was your UConn degree helpful when applying for your current job?	73%	70%	74%	
2	Are you satisfied with your current employment?	77%	69%	71%	
3	Do you consider your current position degree-related?	63%	59%	60%	
4	Assessment of your program in terms of finding a position appropriate to your major field (scale 1-7, 1=extremely dissatisfied, 7=extremely satisfied)	Mean 4.8	Mean 5.0	Mean 4.8	
	Definition and methodology explanations:				
Population of bachelor's degree recipients is surveyed by mail in fall following spring graduation. Population response rate for all graduates is 35-40%.					
Documented Success of Graduates Achieving Other Mission-Explicit Achievement (e.g., Leadership, Spiritual Formation) *Section not applicable*					
1					
2					
	Definition and methodology explanations				
Other (Specify Below)					
1					
	Definition and methodology explanations				

Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES						
		2 Years Prior	1 Year Prior	Most Recent Year	Goal Next Year	Goal 2 Years Forward
State Licensure Passage Rates						
1	Connecticut Bar Exam - first time takers	91%	92%	92%		
2	Teacher Education Praxis II – pass rate before graduation	100%	100%	100%		
National Licensure Passage Rates						
1	National Board of Dental Examiners, Step 2 (fourth yr)	100%	100%	100%		
2	National Board of Medical Examiners, Step 2 (fourth yr)	92%	96%	99%		
3	North American Pharmacist Licensure Examination (NAPLEX) – first time takers	98%	98%	98%		
4	Allied Health: Physical Therapy	96%	95%	100%		
	National Council of State Boards of Nursing (NCLEX) Licensure Exam - RN	84%	92%	94%		
	Audiology National Clinical Certification	NA	100%	100%		
5	Speech Language National Clinical Certification	100%	100%	90%		
Job Placement Rates UConn Recent Alumni Survey, Bachelor's Degree Recipients, 6 months after Graduation: % of Respondents Employed Full-time or Part-time (a)						
1	Agriculture & Natural Resources	84%	77%	81%		
2	Business	90%	89%	89%		
3	Continuing Studies	88%	88%	79%		
4	Education	72%	73%	70%		
5	Engineering	96%	93%	90%		
6	Fine Arts	82%	78%	62%		
7	Liberal Arts & Sciences	83%	76%	79%		
8	Nursing	95%	94%	92%		
9	Pharmacy	100%	74%	71%		
Teacher Employment in Connecticut (b)						
	% of Neag School of Education graduates employed in teaching positions in Connecticut	96%	98%	97%		
Law School Placement Rate (c)						
	% of J.D. graduates employed	92%	90%	86%		
School of Business Placement Rates (d)						
	Bachelor's degree employed	81%	70%	83%		
	MBA degree employed	80%	84%	93%		

Institutional Notes of Explanation	
a	Population of bachelor's degree recipients is surveyed by mail in fall following spring graduation. Population response rate for all graduates is 35-40%.
b	Neag School of Education estimates employment of its graduates from Neag sources, including internet and phone surveys. Includes only those in public schools and requiring certification.
c	Survey of J.D. graduates nine months after degree conferred. Response rate of survey annually averages 95%.
d	School of Business Career Center compilation of percentage of bachelor's degree and MBA degree graduates employed, enrolled in graduate programs, or planning full-time graduate study by December after graduation. The bachelor's degree percentages are estimates based upon voluntary student reporting.

Form S4. COMPLETION AND PLACEMENT RATES FOR SHORT-TERM VOCATIONAL TRAINING PROGRAMS FOR WHICH STUDENTS ARE ELIGIBLE FOR FEDERAL FINANCIAL AID

NOTE: This section is not applicable to the University of Connecticut

		2 Years Prior	1 Year Prior	Most Recent Year	Goal Next Year	Goal 2 Years Forward
Completion Rates *						
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
Placement Rates **						
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						

* List each short-term vocational training program separately. In the following columns indicate the annual weighted average completion rate for the most recent and two prior years. In the final two columns, list institutional goals for the next two years.

** List each short-term vocational training program separately. In the following columns indicate the annual weighted job placement rate for the most recent and two prior years. In the final two columns, list the institutional goals for the next two years.

Appendix I.9

Distance Education Programs Form

DISTANCE EDUCATION PROGRAMS FORM FOR UNIVERSITY OF CONNECTICUT

TABLE 1. Program and Certificate Description

Programs and Certificates in which 50% or more of the courses may be completed entirely on-line

Program or Certificate Name	Level of Degree (A, B, M, D) or Certificate (C)	Initiation Date (First Enrollment) (Year Only)	Number of Required Credits	No. of Credits Which May be Completed On-Line
Bachelor of General Studies	B	2006	variable	variable
Master of Science in Accounting	M	1999	30	30
Master of Professional Studies	M	2006	36	30

TABLE 2. Students

Programs and Certificates in which 50% or more of the courses may be completed entirely on-line

Program or Certificate Name	Matriculated Students Fall 2010	Degree or Certificate Completers to Date	Total Number of Students Taking Courses on Ground*	In-State Students Taking Courses On-Line	Out-of-State Students Taking Courses On-Line	Students Based in Other Countries Taking Courses	Total Number of Students Taking Courses On-Line
Bachelor of General Studies[1]	781	n/a	n/a	737	20	24	**781**
Master of Science in Accounting	178	686	n/a	111	66	1	**178**
Master of Professional Studies	113	74	n/a	60	49	4	**113**
TOTAL	**1072**	**760**	**0**	**908**	**135**	**29**	**1072**

[1] Bachelor of General Studies students take a combination of online and in-person courses using total University resources. Residence data is for all Bachelor of General Studies students, regardless if they are taking in-person or online courses.

*Students enrolled in programs described in this table.

DISTANCE EDUCATION PROGRAMS FORM FOR UNIVERSITY OF CONNECTICUT

TABLE 3. Faculty

Programs and Certificates in which 50% or more of the courses may be completed entirely on-line

Program or Certificate Name	Faculty Teaching in The Program (Headcount)				FTE Faculty in Program	Number with Highest Degree	
	Faculty Employed Full Time at The Institution		Faculty Employed PT at The Institution	Total Faculty in Program			
	FT in Program	PT in Program				Ph.D or Equivalent	Masters or Equivalent
Bachelor of General Studies	various	various	various	**0**			
Master of Science in Accounting	4		3	**7**	5.26	5	1
Master of Professional Studies	2		4	**6**	3.32	3	2
TOTAL	**6**	**0**	**7**	**13**	**8.58**	**8**	**3**

TABLE 4. Course enrollments and completions

Programs and Certificates in which 50% or more of the courses may be completed entirely on-line

Courses Offered On-Line	Fall 08	Spring 09	Year Total	Fall 09	Spring 10	Year Total	Fall 10	Spring 11	Year Total
Undergraduate									
Total Number of courses	32	38	127	43	47	152	57	49	190
Total on-line enrollments	664	770	2470	833	1172	3179	1021	1075	3533
On-line course completions	614	718	2368	821	1106	3101	961	1052	3450
Graduate									
Total Number of courses	20	16	73	21	13	73	26	15	71
Total on-line enrollments	320	169	1211	369	206	1340	412	244	1127
On-line course completions	300	165	1187	357	200	1322	385	233	1089
TOTAL									
Total Number of courses	**52**	**54**	**200**	**64**	**60**	**225**	**83**	**64**	**261**
Total on-line enrollments	**984**	**939**	**3681**	**1202**	**1378**	**4519**	**1433**	**1319**	**4660**
On-line course completions	**914**	**883**	**3555**	**1178**	**1306**	**4423**	**1346**	**1285**	**4539**

Note: For enrollment and other data in all four tables, data are from most recently completed semester or year for which data are available.

Appendix I.10

Undergraduate & Graduate Catalogues

Appendix I.10: Undergraduate & Graduate School Catalogs

The Undergraduate Catalog is not available in print. It is, however, available online at:

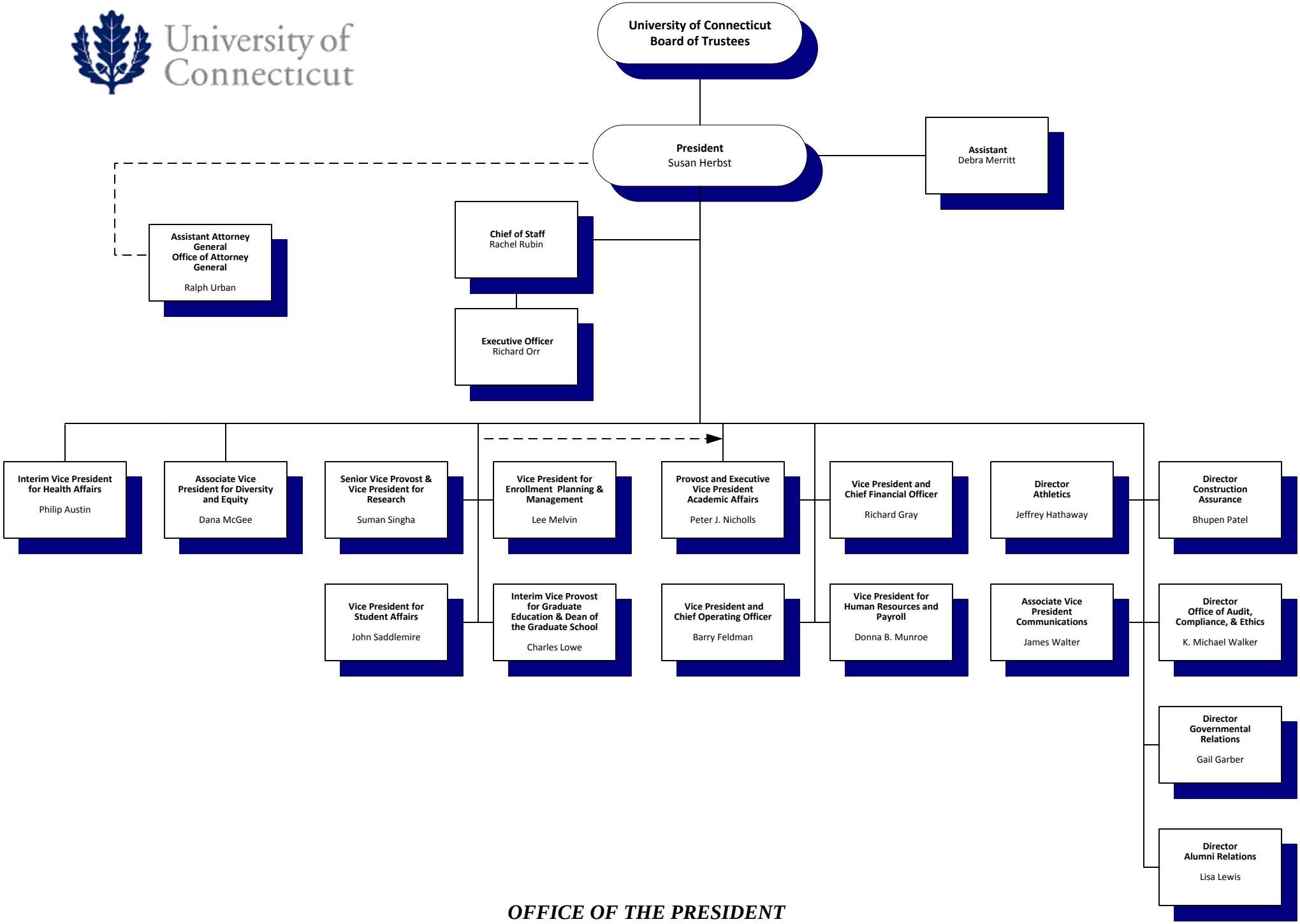
http://www.catalog.uconn.edu/11_12.pdf

The 2009-2010 Graduate School Catalog is available online at:

http://catalog.grad.uconn.edu/grad_catalog.html

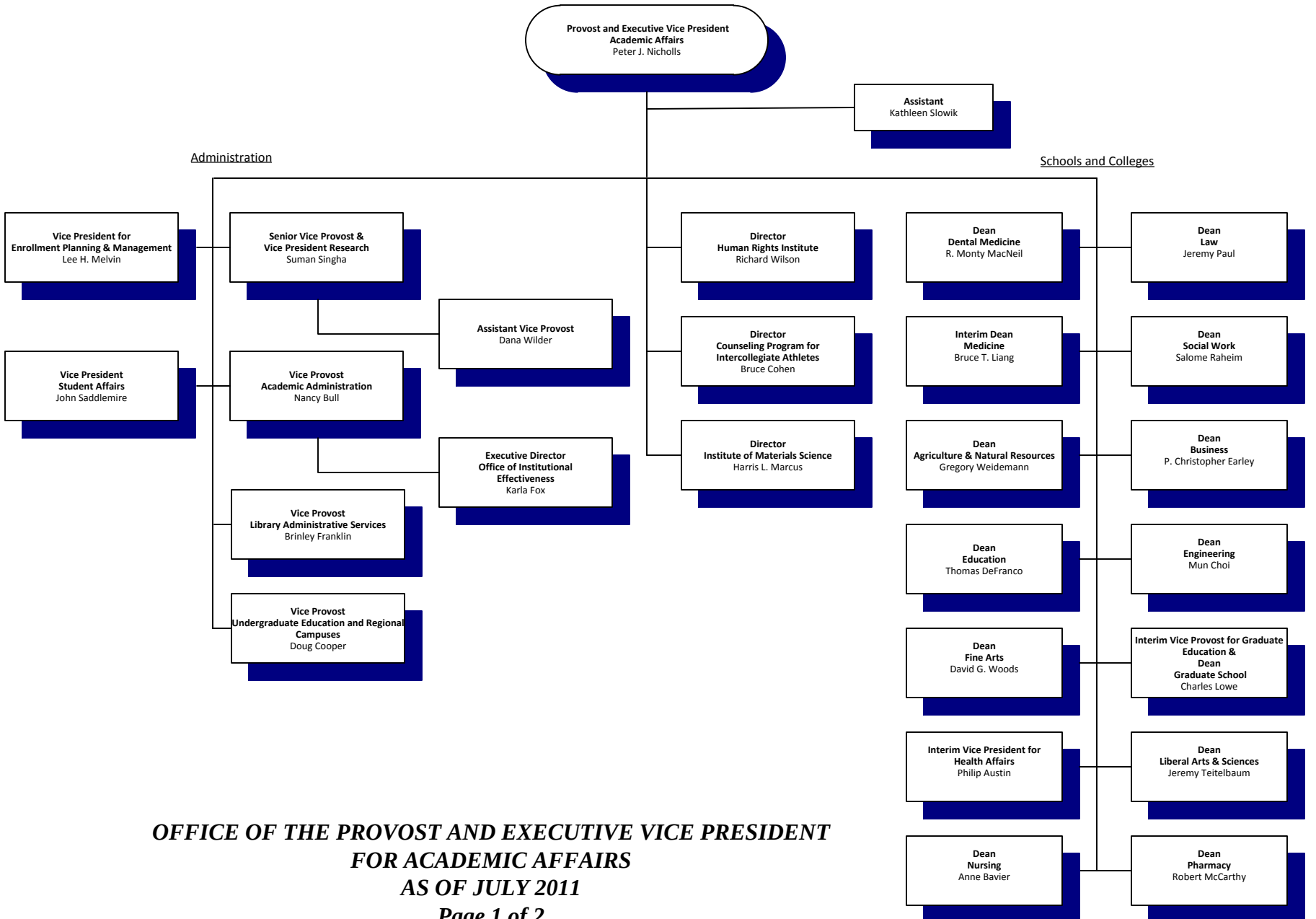
Appendix 3.1

University of Connecticut
Organizational Charts



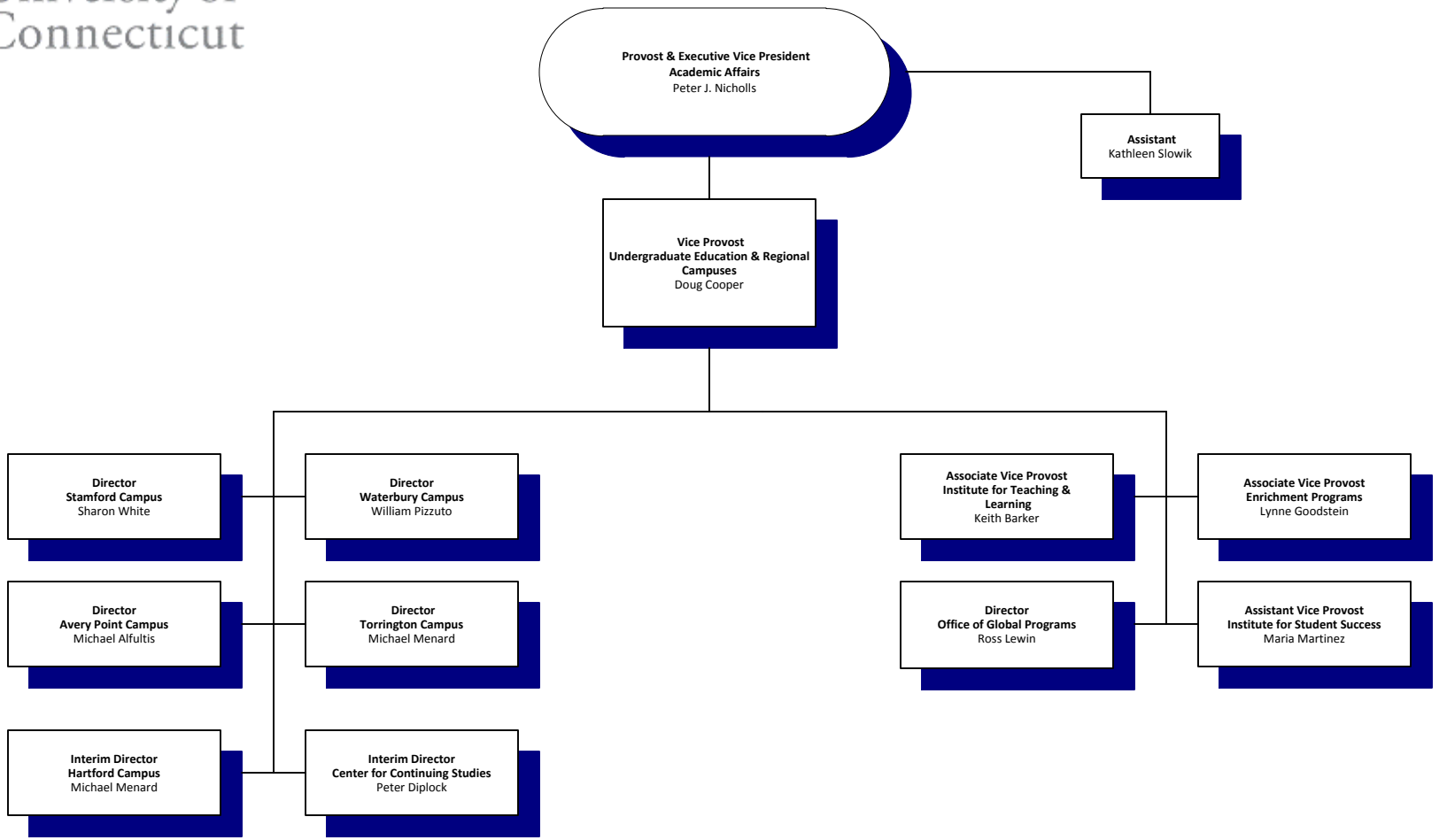
OFFICE OF THE PRESIDENT
AS OF JULY 2011

University of Connecticut



OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS
AS OF JULY 2011

University of Connecticut



OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS
AS OF JULY 2011
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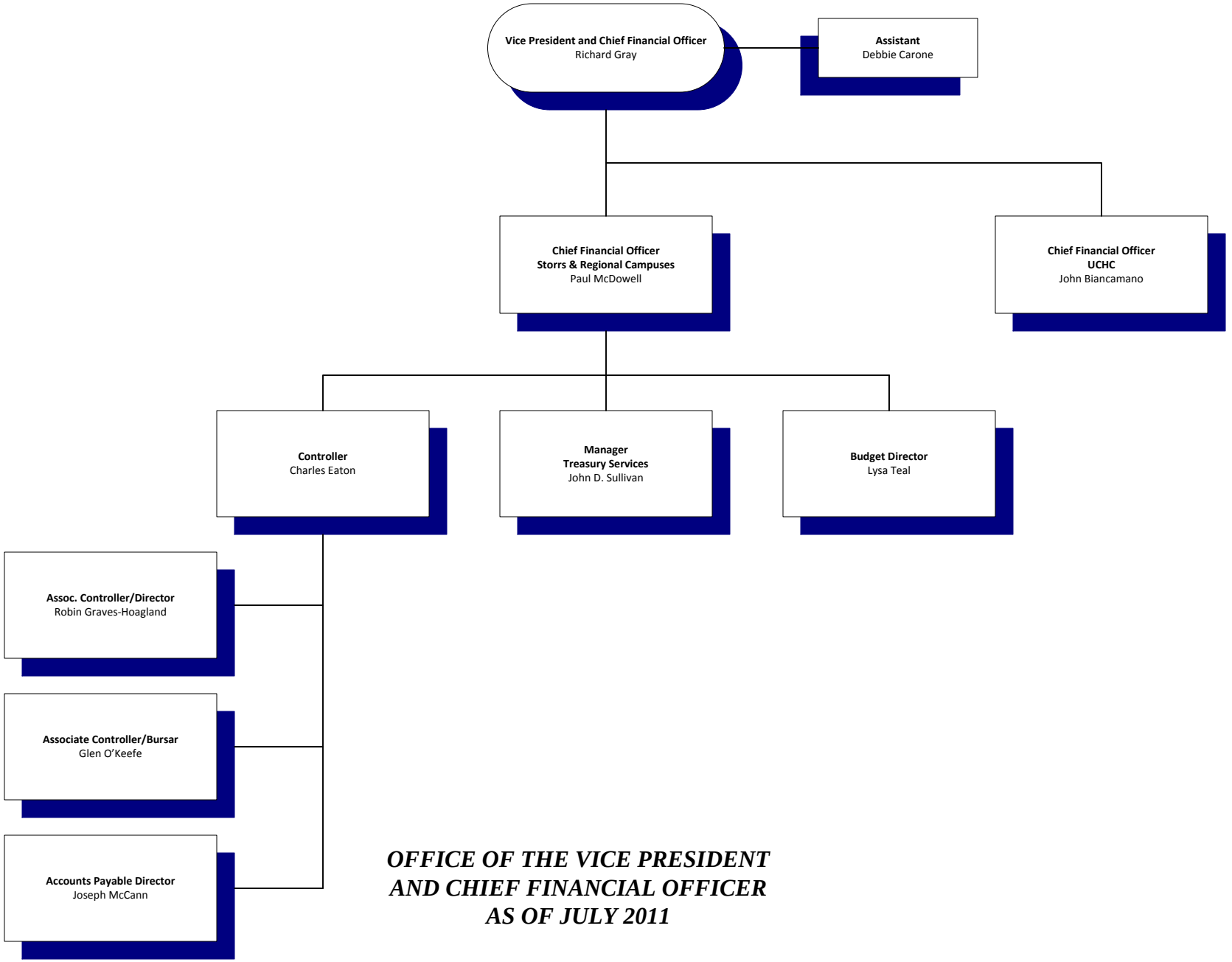
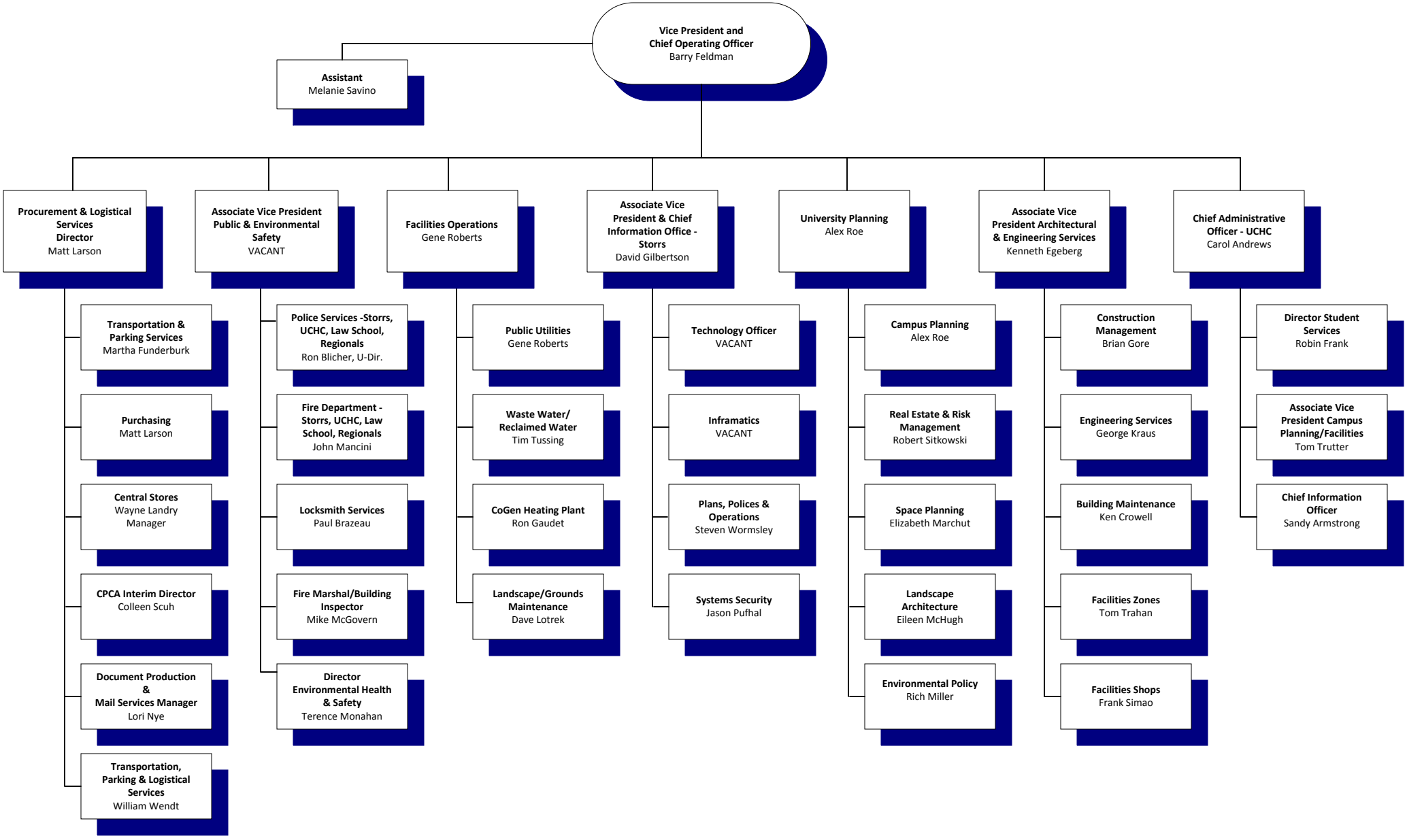
University of Connecticut



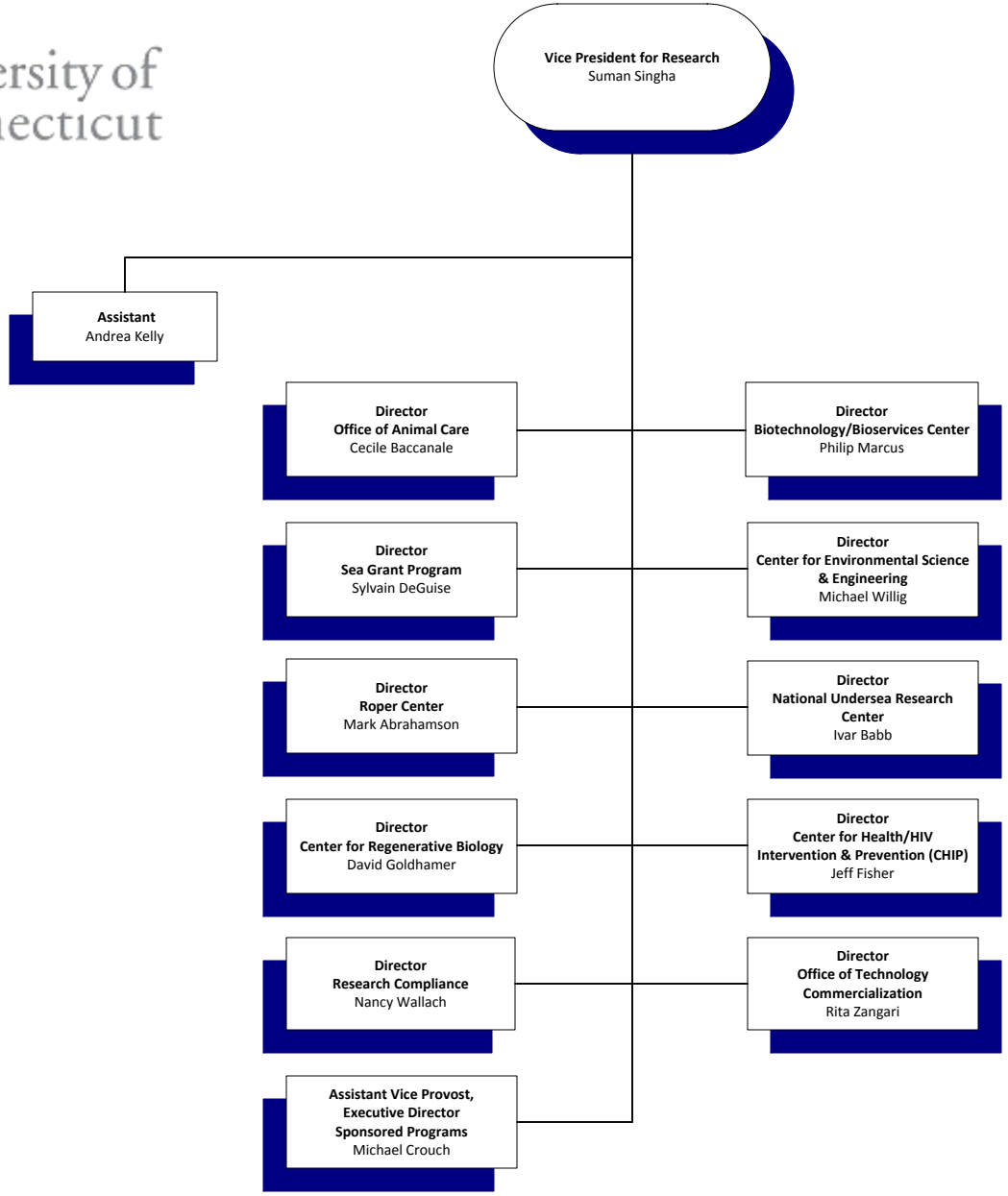
OFFICE OF THE VICE PRESIDENT AND CHIEF FINANCIAL OFFICER AS OF JULY 2011

University of Connecticut



OFFICE OF THE VICE PRESIDENT
AND CHIEF OPERATING OFFICER
AS OF JULY 2011

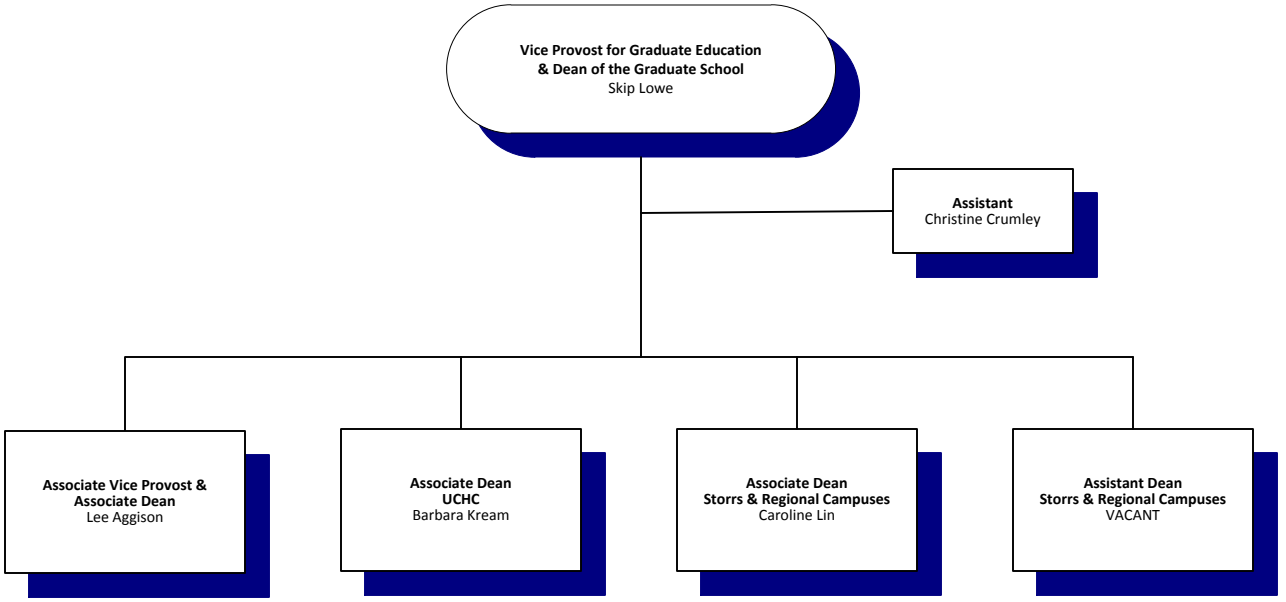
University of Connecticut



OFFICE OF THE VICE PRESIDENT FOR RESEARCH

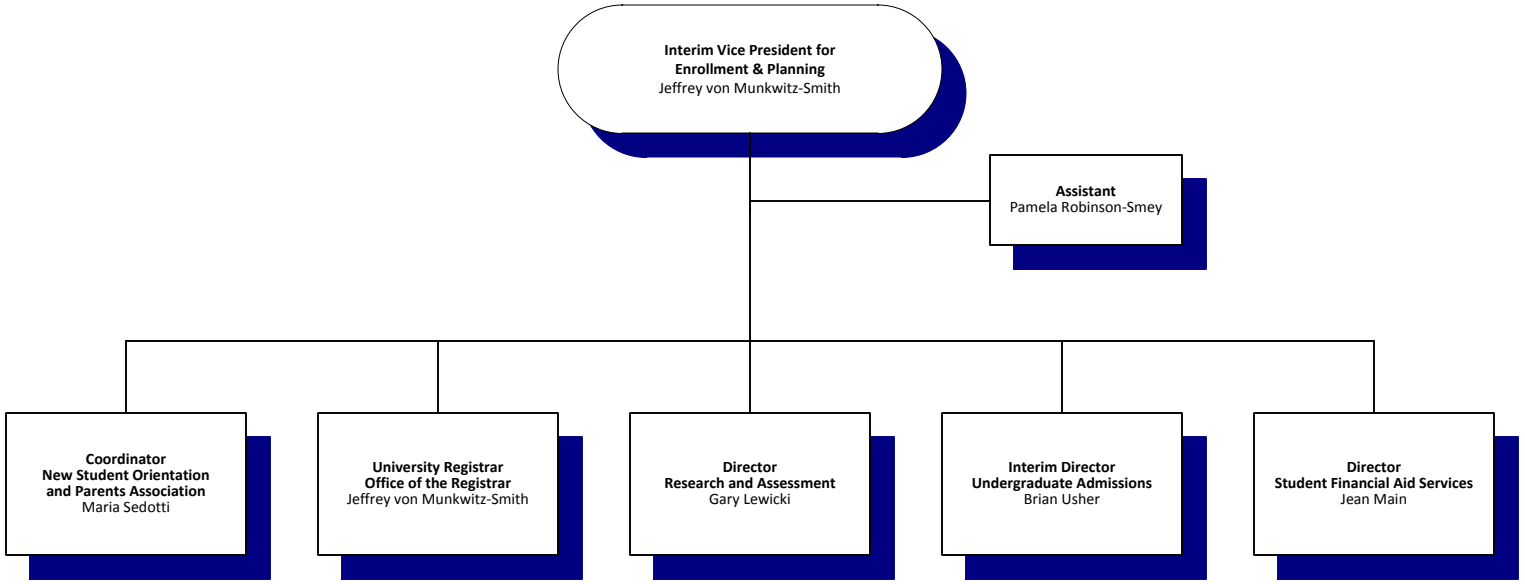
AS OF JULY 2011

University of Connecticut



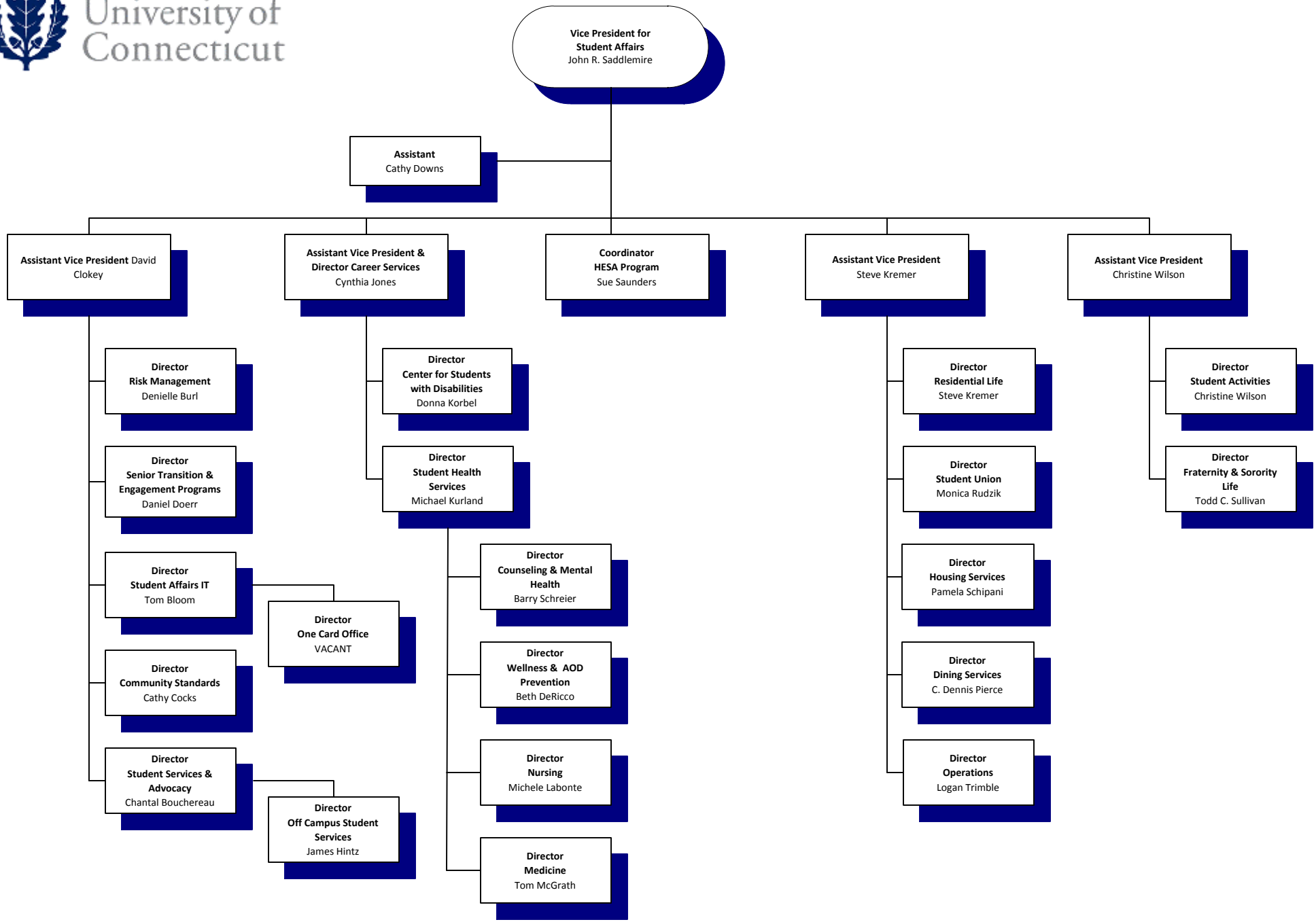
OFFICE OF THE VICE PROVOST FOR GRADUATE EDUCATION
AS OF JULY 2011

University of Connecticut



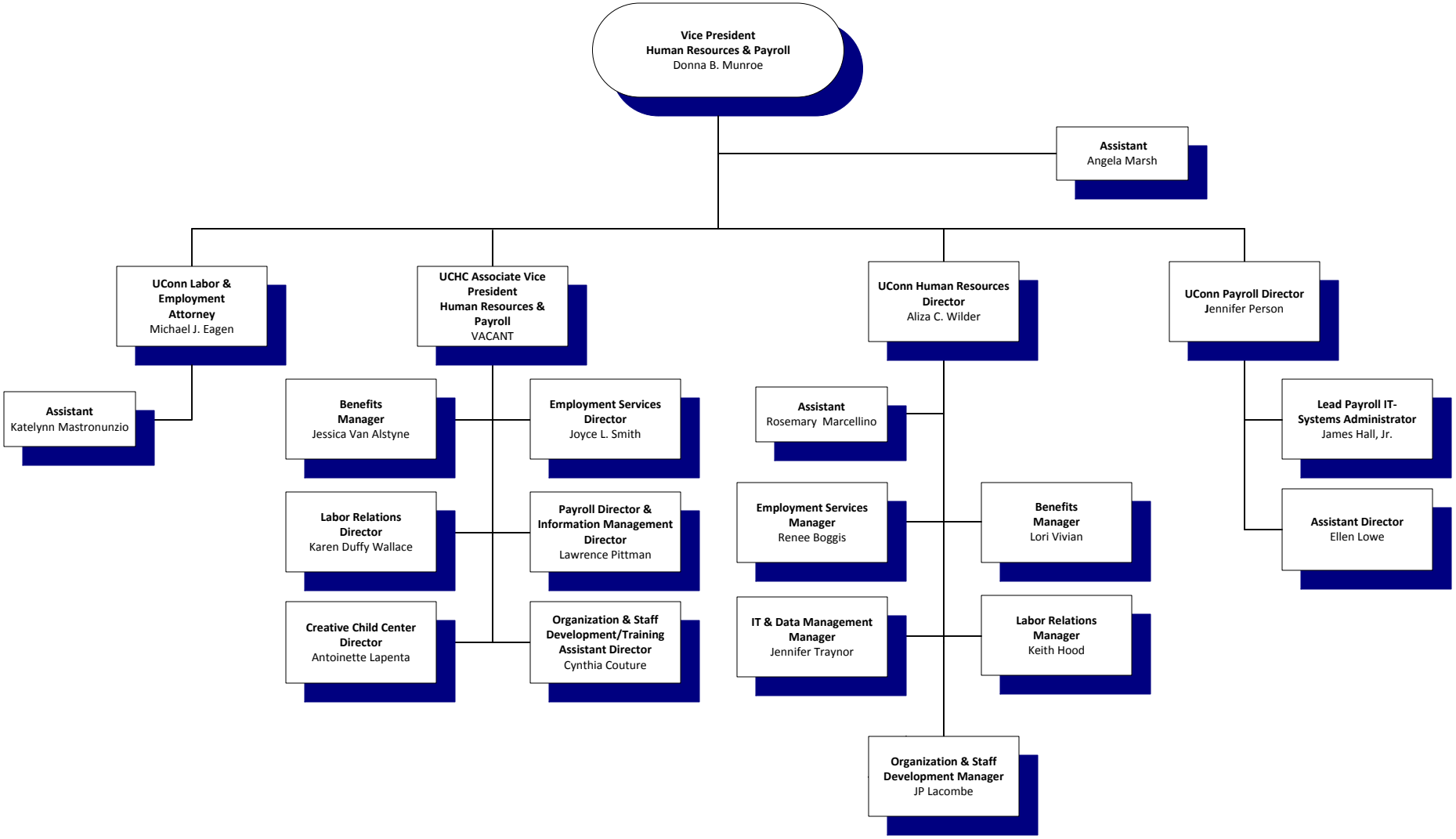
DIVISION OF ENROLLMENT PLANNING AND MANAGEMENT
AS OF JULY 2011

University of Connecticut



DIVISION OF STUDENT AFFAIRS
AS OF JULY 2011

University of Connecticut



OFFICE OF THE VICE PRESIDENT
HUMAN RESOURCES & PAYROLL
AS OF JULY 2011

Appendix 3.2

By-Laws of the University of Connecticut, March 23, 2011

BY-LAWS OF THE UNIVERSITY OF CONNECTICUT

BY-LAWS OF THE
UNIVERSITY OF CONNECTICUT

PREAMBLE

The University of Connecticut is the state's premier public university with a reputation for excellence in all of its missions: teaching, research, and service, including clinical care and outreach. It has highly-qualified and successful students, strong undergraduate programs, a growing research portfolio, and emerging strengths in its graduate, professional, and pre-professional programs. As a research-intensive university, it prizes excellence not only in teaching and learning, but also in scholarly endeavor, scientific research, and artistic production. As a land and sea grant institution, it is committed to active engagement with the larger community. In its goal to be recognized as one of the nation's top-20 public research universities, the University of Connecticut's policies, processes, and standards of performance in all of its missions should be comparable to those among which it aspires to be ranked. The University of Connecticut By-Laws and those of its constituent units should be interpreted and applied in this light and should also be regularly assessed to ensure that they are commensurate with those of the nation's top-20 public research universities.

BY-LAWS OF THE
UNIVERSITY OF CONNECTICUT

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BY-LAWS
OF THE
UNIVERSITY OF CONNECTICUT

ARTICLE I – Board of Trustees

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

ARTICLE II – Organization of the Board of Trustees

A. The corporate authority of the University of Connecticut is vested in a Board of Trustees.

B. Election of officers of the Board shall be conducted once a year.

C. The yearly schedule of regular meetings of the Board of Trustees shall be filed in advance in the Office of the Secretary of the State, as required by Statute. Prior written notice of any change in the scheduled time or location of a regular meeting shall be published and filed as required by Statute.

D. Special meetings of the Board of Trustees shall be called by the Chair upon the request of at least five members.

E. A written notice of regular meetings shall be sent to each member at least one week before the date set for the meeting.

Special meetings may be held no less than twenty-four hours after officially requested. Notice of special meetings shall specify the time and place of the meeting and the business to be transacted. Written notice of special meetings must be delivered to each Board member prior to the special meeting.

Emergency meetings may be convened at any time without formal notice requirements.

F. A majority of the current membership of the Board shall constitute a quorum for the transaction of all business.

G. Ordinarily, the last Board meeting of the spring semester shall be the regular meeting for the recommendations by the Provost and Executive Vice President for Academic Affairs for promotion of faculty members and for the award of academic tenure. Appointments to positions not leading to tenure and reappointments of those in probationary positions do not require prior action by the Board, but will be reported to them.

ARTICLE III – Rules of Procedure and Order of Business of the Board of Trustees

A. General parliamentary rules, except as modified by the rules and regulations of the Board, shall be observed in conducting the business of the Board in session. Members may participate in Board and Committee meetings by speakerphone.

B. So far as practicable, the order of business for regular meetings of the Board shall be set by the Secretary to the Board and shall follow a standard format.

C. Recommended adjustments to tuition and fees shall be developed and presented to the Board for action during the academic year. Prior to making such recommendations, the process shall provide an opportunity for campus community comment upon the recommended actions.

D. Public Participation

Under the conditions described below, the Board shall hear brief oral presentations from members of the public who wish to express views on issues pending before the Board or on other issues of concern to the University. The agenda for each regular public meeting of the Board shall allot up to thirty minutes for this purpose:

1. Requests to address the Board shall be made to the Chair or the Executive Secretary of the Board prior to the public meeting. In signing up to address the Board, each speaker shall specify the topic on which he/she wishes to remark.

2. The Chair of the Board shall recognize each speaker in the order of signing up, shall request proper identification, and shall use discretion in requiring adherence to such individual and total time limits as will permit the orderly progress of the Board through its agenda.

3. At a special meeting of the Board, comment by members of the public shall be limited specifically to the subject described in the call of the special meeting.

ARTICLE IV – Officers of the Board of Trustees

A. The officers of the Board of Trustees, apart from the Governor, who is President *ex officio*, shall be a Chair, Vice-Chairs, and a Secretary.

B. The duties of the Chair shall be as follows:

1. To call special and emergency meetings of the Board when necessary.

2. To preside, in the absence of the Governor, at all meetings.

The Chair is privileged to make or discuss motions and to vote on all questions.

C. The chairs of all standing committees shall be designated vice-chairs of the Board of Trustees. At the Board's annual organization meeting, the Chair of the Board of Trustees

shall designate a vice-chair who shall act for the Chair of the Board of Trustees in case of his/her absence or incapacity.

D. The duties of the Secretary shall be as follows:

1. To notify all members of the Board of Trustees of all regular meetings at least one week in advance.

2. To call meetings of the Board in the absence of the Chair and vice-chair designated by the Chair to act in his/her absence.

3. To call meetings of the Board in case the Chair fails to do so, upon receipt of a request of at least five members of the Board.

4. To keep a record of all meetings and transmit a copy of the minutes of each meeting to every member of the Board at least one week prior to the next meeting.

ARTICLE V – Committees of the Board of Trustees

A. The Board shall act as a committee of the whole on all matters requiring action with the exception of those listed in items B, C.1., D, and E below.

B. Executive Committee

1. *Membership*
   The Executive Committee shall consist of the Board Chair and the chairs of all the Board's standing committees. The President shall serve as an *ex officio* nonvoting member. The Chair of the Board shall chair this committee. A simple majority shall constitute a quorum. It shall meet at such times as deemed necessary by the Chair.

2. The Executive Committee shall exercise in emergencies all the authority of the Board of Trustees, consistent with the policies of the Board or with any action taken earlier by the Board. For purposes of executive committee action, a matter shall be deemed an emergency circumstance when delaying action until the full Board's next meeting could result in significant risk, expense, or disruption to the University or its operations.

3. The committee shall not preempt the Board except in those emergency circumstances that do not permit the handling of a matter in the normally prescribed manner by the Board, and shall report to the full Board any action taken at the next regular meeting of the Board.

C. The Board may appoint from time to time such special or standing committees as may be necessary to make studies or preliminary investigations necessary for determining Board action. Special committees are automatically discharged when their reports are acted upon by the Board or when the Board determines no action is warranted.

1. The standing committee charged with review of matters related to buildings, grounds, and environment may take action on behalf of the Board under emergency circumstances when delaying action until the full Board's next meeting could result in

significant risk, expense, or disruption to the University or its operations. Such actions shall be reported to the full Board at its next regular meeting.

D. The committee of the Board of Trustees having cognizance over financial matters is authorized to buy and sell securities and the Chair of this committee is authorized to instruct the Vice President and Chief Financial Officer or the University Controller to execute the necessary assignment.

E. A standing committee shall be established with jurisdiction over the University of Connecticut Health Center, the Schools of Medicine and Dental Medicine and the John Dempsey Hospital, and its core administrative units.

1. The name of the committee will be "Board of Directors of the University of Connecticut Health Center."

2. *Authority*
   a. The Board of Directors is authorized to approve the following:

      i. Grants, contracts, and indemnifications.

      ii. Compensation plans and labor contracts.

      iii. Faculty promotion, tenure, reappointments, and sabbatical leaves.

      iv. Medical staff appointments.

      v. Adjudication of all issues including, but not limited to, faculty grievances related to award of promotion, tenure, reappointments, compensation, and merit or incentive pay.

      vi. Staffing levels.

      vii. Business contracts and arrangements.

      viii. General operating policies and by-laws related to operations, administration, and clinical affairs.

      ix. Space allocations.

      x. Strategic planning.

      xi. New academic programs or the elimination of academic programs.

      xii. Changes in by-laws of the Schools of Medicine and Dental Medicine.

   b. The Board of Directors will act in an advisory capacity to the Board of Trustees in the following areas:

      i. Annual operating budget.

ii. Annual capital budget.

iii. Changes in the fundamental mission of the University of Connecticut Health Center.

iv. Development and fundraising program.

v. Declaration of fiscal exigency, closure of academic departments, and/or changes in policies related to tenure.

vi. Any areas set forth in state statute that specifically require the Board of Trustees to act as a committee of the whole.

3. *Membership*
The Board of Directors of the University of Connecticut Health Center shall have 18 members.

a. *Terms*
With the exception of the President of the University, the Secretary of the Office of Policy and Management, and the Commissioner of the Department of Public Health, members will serve for three year staggered terms. Members may serve a maximum of two full terms as a regular member plus a maximum of two additional terms when serving as an officer. Initial appointment to fill the balance of a vacant term shall not count toward the maximum of two full terms. Officers will include the Chair, vice-chair/secretary, and treasurer.

b. *Appointment process*

i. One member appointed by the Chair of the Board of the Trustees. This member will chair the Board of Directors.

ii. Two members from the Board of Trustees appointed by the Chair of the Board of Trustees.

iii. The President of the University. This appointment runs co-terminus with the position of the President.

iv. Three members appointed by the Governor.

v. The Secretary of the Office of Policy and Management or a deputy undersecretary designated by the Secretary. This appointment runs co-terminus with holding the position of Secretary.

vi. The Commissioner of the Department of Public Health. This appointment runs co-terminus with holding the position of Commissioner.

vii. Nine additional members to be selected by a nominating committee. The members of the nominating committee will be chosen by the Board of Directors and shall include the Chair of the Board of Trustees and the Vice President for Health Affairs as voting members.

4. *Subcommittees*
   The Board of Directors may establish standing subcommittees or ad hoc committees as needed.

   a. Membership
      i. The Board of Directors shall appoint the members of its subcommittees.

      ii. With the exception of the Peer Review Committee, a minimum of one-half of the voting membership shall be comprised of Board of Directors members.

      iii. The Board of Directors may appoint non-voting members to its subcommittees.

   b. Peer Review Committee
      i. The Peer Review Committee will also be known as the "Joint Conference Committee."

      ii. The sole topics of discussion shall be those that require confidentiality protection.

      iii. Peer Review Activities
      The Board of Directors functions in some of its activities as a Medical Review Committee conducting peer review as defined in Chapter 368a of the Connecticut General Statutes, as amended from time to time. When acting as a Medical Review Committee, the Board reviews and acts on reports or recommendations from peer review committees of the hospital or medical staff and participates in the evaluation of the quality and efficiency of health care services ordered and performed, including, but not limited to, review of the credentials, qualifications and activities of medical staff members, or applicants; evaluating and improving the quality of health care services rendered; analyzing clinical practices within the hospital; reviewing studies of utilization and medical audits; reviewing studies of morbidity and mortality; and reviewing analysis of sentinel events or potential claims. When the Board, or its officers, committees or subcommittees on its behalf, participate in these or similar studies, reviews, discussions, and actions, the Board is a Medical Review Committee conducting peer review. Proceedings of such peer review activities conducted by the Board, including data and information gathering, analyses, and reporting by authorized individuals for the primary purpose of these peer review activities, as well as minutes and other documents from meetings or portions of meetings addressing peer review, shall be kept strictly confidential.

      iv. Reports of the Peer Review Committee shall be presented to the Board of Directors in executive session only.

   c. Authority of subcommittees
      The subcommittees will report to the Board of Directors. The Board of Directors may delegate selected duties and authority as it deems necessary and appropriate to a subcommittee if such authority is approved at any regular meeting of the Board of Directors by a recorded majority vote.

ARTICLE VI – President of the University

A. The President is the chief executive of the University. In this capacity, the President is responsible for carrying out and enforcing all policies and regulations adopted by the Board for the operation of the University and is given authority requisite to that end.

B. The President may participate in all discussions in Board meetings, but shall not vote. The President is an *ex officio* member of all committees of the Board, but shall not vote.

C. The duties of the President shall be as follows:

1. To attend all meetings of the Board except when the Board requests otherwise.

2. To submit to the Board from time to time such recommendations and information concerning any phase of University policy or administration as may seem necessary to the best interests of the University.

3. To appoint, direct, and guide those members of the University staff who report to him/her.

4. To call and preside over meetings of the University Senate.

5. To oversee the development, implementation, and regular updating of the University's Strategic Plan.

6. To appoint such committees as he/she deems necessary and define their duties.

7. To act as the official medium of communication between the Board of Trustees, University officers, and staff members.

8. To sign diplomas of students certified for graduation.

9. To summarize and coordinate the budget estimates submitted by schools, colleges, divisions, and departments, and in consultation with the Provost and Executive Vice President for Academic Affairs and the Vice Presidents, prepare a budget adjusted to the income and the needs of the University.

10. To preserve at the University all papers and records ordered on file by the Board.

11. To present to the Board for prior approval the annual budget for each fiscal year.

12. To be the official representative of the Board of Trustees in all matters affecting the University which come before the General Assembly.

13. To be the official representative of the Board of Trustees in all matters affecting the University, which involve other departments of State Government or relations with the Federal Government.

14. To provide leadership in external relations, development, and fundraising.

15. To prepare such reports as are required by the Board, the State, and the Federal Government.

16. To make such organizational changes in University structure as does not affect degree programs or majors and report these matters to the Board at the next Board meeting. All actions involving the degree programs and the structure of schools and colleges will be brought to the Board for approval.

D. The Division of Athletics is directly responsible to the President

It is the function of the Division of Athletics:

1. To organize and carry out programs of athletic sports activities intended to meet the health and recreational needs of students and staff members.

2. To cooperate with the Department of Student Health Services in determining the students whose athletic and sports activities should be especially restricted.

3. To foster athletic and sports activities in line with good health and citizenship between this institution and competing institutions and in the whole area of public relations.

E. The President shall consult with the senior officers of the University and such other members of the administration as he/she may convene, on matters of University policy and procedure as he/she feels appropriate.

ARTICLE VII – The Provost and Executive Vice President for Academic Affairs and the Vice Presidents

A. The Provost and Executive Vice President for Academic Affairs and the Vice Presidents report to the President. They shall give direction and assistance to the deans and directors with respect to their administrative duties and shall accept such other responsibilities as may be assigned to them by the President.

B. Provost and Executive Vice President for Academic Affairs

1. The Provost and Executive Vice President for Academic Affairs (hereafter referred to as 'the Provost') is the chief academic officer and in this capacity, is responsible for managing the academic operations of the University. He/she also coordinates the formulation of policies and administration of all schools, colleges, divisions, institutes, and regional campuses of the University.

2. The Provost shall:

a. Serve as Acting President in the absence of the President and be a member of the President's cabinet.

b. Attend all meetings of the Board of Trustees, except when the Board requests otherwise. He/she may participate in discussions, but shall not vote.

c. Appoint those members of the University faculty and staff who report to him/her.

d. Preside at meetings of the Council of Deans.

e. Be a member of the University Senate, preside in the absence of the President at its meetings, arrange the schedule of its regular meetings, interpret in collaboration with the President its By-Laws, rules, and regulations, administer its rules and regulations in consultation with the Senate, and the Provost, or his/her designee, be a member of all its standing committees.

f. Be a member of the faculties of all Schools and Colleges.

g. Be responsible for University catalogs.

h. Conduct such studies and promote such activities in the University in those components of the University under his/her supervision, as will result in effective educational and research programs.

i. Disseminate among members of the University faculty and staff such information as will promote the understanding, integration, and coordination of the education program of the University.

j. Approve the selection and adjustment in service of all personnel under his/her jurisdiction and make recommendations for promotion and/or tenure to the Board of Trustees or the Board of Directors, as appropriate.

k. Eliminate so far as possible unnecessary overlapping and duplication in the offerings, functions, and services of the academic parts of the University.

l. Evaluate the effectiveness of personnel in the teaching, research, and administrative programs.

m. Assist deans and directors of divisions in preparing budgets and recommend budgets and budget adjustments for the several schools, colleges, and divisions to the President.

n. Serve as the appellate tribunal for students or staff members in appeals from decisions of deans or directors. The Provost, or his/her designee, shall serve as the appellate tribunal for decisions made within the parameters of the *Student Code of Conduct*, which would result in the suspension or expulsion of a student.

o. Arrange the schedule for regular meetings of the faculties of schools and colleges and preside at such meetings.

p. Interpret the by-laws, rules, and regulations of the schools and colleges.

q. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use for all areas under his/her jurisdiction.

r. Direct the negotiation and administration of faculty collective bargaining agreements in collaboration with the Vice President and Chief Operating Officer.

C. Vice President for Health Affairs

The Vice President for Health Affairs may also be the Dean of the School of Medicine. He/she is the executive director of the University's Health Center and chief operating officer, except for those operations that report to the Provost, subject to policies established by the Board of Trustees. At all times, he/she is responsible and accountable to the President for the implementation and execution of administration at the University Health Center.

1. The Vice President for Health Affairs is the coordinator of the University's programs of health care performed by the University Health Center, including the Schools of Medicine and Dental Medicine, and the John Dempsey Hospital. He/she is responsible to the President for the coordination and formulation of policies and administration of administrative, business, and other support departments of the University Health Center.

2. *The Vice President for Health Affairs shall:*

   a. Be a member of the President's cabinet and the University Senate.

   b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.

   c. Appoint those members of the University staff who report to him/her.

   d. Be a faculty member in the Schools of Medicine and Dental Medicine.

   e. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.

   f. Assist in preparing budgets and recommend budgets and budget adjustments for those units that report to him/her.

   g. Be responsible for all monies and funds of the University Health Center regardless of their source. He/she shall make provision for the safekeeping of such monies and funds and an accurate accounting of their receipt and expenditure.

   h. Submit regular reports to the President and to the Board of Trustees showing the financial condition of the University Health Center and all of its constituent parts and submit an annual statement showing the assets and liabilities of the various funds of the University Health Center.

   i. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University Health Center.

j. Serve as the appellate tribunal for staff members in appeals from decisions of staff supervised by him/her.

k. In collaboration with the Vice President and Chief Operating Officer, supervise the negotiation of collective bargaining agreements for the professional staff at the University Health Center and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.

l. Direct the assignment of all plant facilities, including buildings, offices, classrooms, laboratories, equipment, and land, and establish uniform rules pertaining to their proper use for all areas under his/her jurisdiction.

D. Vice President and Chief Financial Officer

1. The Vice President and Chief Financial Officer is the chief financial officer of the University. Reporting to the President, he/she is responsible for overseeing long-range financial planning and management of the operating and capital budgets for all units of the University. Working closely with the Provost and the other Vice Presidents, the Vice President and Chief Financial Officer oversees capital and operating budget development, monitoring, and reporting; coordinates operating and capital budgets in conformity with policies set forth by the Board of Trustees; develops financial policy and plans; serves as point of contact for external agencies and partners on financial matters; acts as the President's representative on financial matters to University units and constituencies; and generally promotes the financial health and stability of the University. The officers charged with budget oversight and coordination at the Storrs-based programs and the University Health Center report to the Vice President and Chief Financial Officer.

2. *The Vice President and Chief Financial Officer shall:*

   a. Be a member of the President's cabinet and the University Senate.

   b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.

   c. In consultation with the President, approve the selection and adjustment in service of all personnel under his/her jurisdiction.

   d. Assist the President in the preparation of the University budget and coordinate the activities of the Provost, the Vice Presidents, and other University officers in preparation of those components of the budget that are under their jurisdiction.

   e. Be responsible for all monies and funds of the University, regardless of their source. He/she shall provide for the safekeeping of such monies and funds and keep an accurate accounting of their receipt and expenditure.

   f. Ensure the timely completion of combined University of Connecticut financial statements. Submit regular reports to the President and, through the President, to the Board of Trustees showing the financial condition of the University and all of

its constituent parts and submit an annual statement showing the assets and liabilities of the various funds of the University.

g. Make such reports to the State Comptroller or to other State or Federal officials as may be required on the inventories, property, and financial operations of the University.

h. Manage and coordinate the University's responsibilities pertaining to bond financing of capital projects.

i. Provide support to the President, the Provost, the other Vice Presidents, and those reporting to the Office of the President by providing fiscal planning, coordination, and financial analysis.

j. Oversee or monitor the execution of major financing agreements.

k. Administer such support units of the University as the President may designate.

E. Vice President and Chief Operating Officer

1. The Vice President and Chief Operating Officer is the University's chief business and operations officer. Working closely with the Provost and the other Vice Presidents, the Vice President and Chief Operating Officer oversees construction, renovation, operation, logistics, and security of the University's physical plant; human resources, labor relations, and payroll; purchasing; information technology; business services; and public and environmental safety. The Vice President and Chief Operating Officer is responsible for the formulation of strategy and policies to ensure effective administration, sound business practices, safety and regulatory compliance within these areas in conformity with policies established by the Board of Trustees; serves as the University's point of contact for external agencies and partners on business and operational matters; acts as the President's representative on business and operational matters to University units and constituencies; and generally promotes the operational excellence of the University.

2. *The Vice President and Chief Operating Officer shall:*

   a. Be a member of the President's cabinet and the University Senate.

   b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.

   c. Assist the President in preparation of strategic and tactical operations, plans and initiatives, and coordinate the activities of the Provost and the other Vice Presidents in the preparation of similar plans for operational units that are under their jurisdiction.

   d. In consultation with the President, approve the selection and adjustment in service of all personnel under his/her jurisdiction.

e. Supervise the negotiation of collective bargaining agreements with all professional staff of the University and coordinate the carrying out of the Board of Trustees' responsibilities under those contracts.

f. Be responsible for the development, renovation, maintenance, and safekeeping of the physical assets of the University, regardless of their source.

g. Manage and coordinate the University's responsibilities pertaining to construction and renovation of facilities.

h. Direct the University's purchasing and contracting programs.

i. Provide executive leadership for the University's information technology initiatives and organization.

j. Provide support to the President, the Provost, and the other Vice Presidents in development of operational strategy, planning, coordination, and analysis.

k. Administer such support units of the University as the President may designate.

F. Vice President for Student Affairs

1. The Vice President for Student Affairs is the chief student personnel officer of the University, and supervises the work of the Division of Student Affairs and the Division of Health Services, and reports to both the President and the Provost.

2. *The Vice President for Student Affairs shall:*

   a. Be a member of the President's cabinet and the University Senate.

   b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.

   c. Approve the selection and adjustment in service of all personnel under his/her jurisdiction.

   d. Assist deans, directors, and department heads in preparing budgets and recommend budgets and budget adjustments in his/her area to the Provost.

   e. Serve as an appellate agency for students or staff members in appeals from decisions of deans or department heads supervised by him/her.

G. Vice President for Research

1. The Vice President for Research is the University's chief research officer, reporting jointly to the President and Provost. Working closely with the President and the Provost, as well as other Vice Presidents and deans, the Vice President for Research is responsible for the research enterprise and the coordination of research-related operations across the University of Connecticut (i.e., its regional campuses, School of Law, School of Social Work, Graduate Business Learning Center, and University of

Connecticut Health Center, including the School of Medicine and the School of Dental Medicine). The Vice President for Research oversees the Research Foundation, consistent with State Statute. He/she oversees the disbursement of funds acquired by the foundation from any source, for purposes of instruction, research, invention, discovery, development, or engineering for the dissemination of information related to such activities and for other purposes approved by the Board. The responsibilities of the Vice President for Research include compliance functions, sponsored programs, internal funding programs, animal research services, as well as overseeing the University's economic development and technology transfer activities and several university research centers.

2. *The Vice President for Research shall:*

    a. Be a member of the President's cabinet and the University Senate.

    b. Attend all meetings of the Board of Trustees, except when the President requests otherwise. He/she may participate in discussions, but shall not vote.

    c. In consultation with the President and Provost, approve the selection and adjustment of service of all personnel under his/her jurisdiction.

    d. Provide executive leadership for the University's research and economic development initiatives, including working with the President, Provost, and other Vice Presidents to create, implement, and regularly assess progress on a University-wide research agenda.

    e. Administer such centers and institutes related to research and economic development as the President and Provost may designate.

    f. Act as an advocate for the University's research enterprise and economic development initiatives to constituencies inside and outside the University.

    g. Manage the University's responsibilities pertaining to regulatory compliance in research activities.

    h. Oversee the execution of research grants and contracts.

    i. Oversee policies and administration of the University of Connecticut Research Foundation.

ARTICLE VIII – The University Administration

The administration of the University is determined in part by legislative enactment, in part by the Laws and By-Laws of the Board of Trustees, and in part by regulations made by the President, the University Senate, and the several faculties.

A. Officers of Administration

1. *Central*
   a. President

   b. Provost

   c. Vice Presidents

2. *Schools, Colleges, Divisions, Institutes and Centers, and Departments*
   Each school, college, division, institute, and center shall have a dean or director. Each department shall have an executive officer (the head or chair).

   Each administrative officer shall submit to the President such reports as are requested by the President.

B. The Council of Deans

1. The Council of Deans shall consist of the deans of the schools and colleges, and such others as the Provost deems appropriate. The Provost shall convene the Council.

2. The Council shall provide a forum in which the members may discuss matters of common interest.

C. The Trustee-Administration-Faculty-Student Committee

1. *Membership*
   The Trustee-Administration-Faculty-Student (TAFS) Committee shall consist of the members of the committee of the Board of Trustees having cognizance over academic matters; the President; the Provost; the Vice Presidents; the members of the Senate Executive Committee; the President, Undergraduate Student Government; the President, Student Union Board of Governors; the Chair, Residence Hall Advisory Board; the President, Graduate Student Senate; and such other individuals serving in a non-voting capacity as may be designated.

   The Chairperson of the TAFS Committee shall be chosen by the Committee at its first meeting each academic year.

2. *Functions*
   The TAFS Committee shall serve as a conference committee to facilitate communication among the groups represented thereon, and shall serve as an advisory body to the Board of Trustees on matters where Board action is requested by faculty or student groups and on any others matters that the Board deems appropriate.

3. The TAFS Committee shall meet at least once a year with the first meeting called by the President. Subsequent meetings shall be convened by the chairperson of the TAFS Committee when he/she deems it necessary or at the request of constituent unit members.

ARTICLE IX – The University Senate

There shall be a University Senate that shall be a legislative body for the purpose of establishing minimum rules and general regulations pertaining to all undergraduate schools and colleges and with policy insofar as it pertains in a general way to the educational program of the institution and is not reserved to the Board of Trustees, to the administration, to the Graduate Faculty Council, or to the several faculties.

A. Membership

The University Senate shall consist of *ex officio* and elected members. The *ex officio* members shall be the President, the Provost, all Vice Presidents, all Vice Provosts, the Associate Vice President and Chief Information Officer, and the Associate Vice President for Human Resources and Payroll Services. These *ex officio* members shall not vote.

The Senate shall contain ninety-one elected members, as follows:

1. Three administrative officers elected by and from a group composed of the deans of the schools and colleges, which are Senate electoral constituencies. Members of this group and the *ex officio* members listed above are not eligible to vote in or to be elected from any of the constituencies listed in Section B.2. or B.3. below.

2. Seventy-two members of the faculty elected according to one or the other of the two faculty electoral processes described in Section B.2. below.

3. Nine professional staff members elected by and from the constituencies described in Section B.3. below.

4. Five undergraduate students (see Section B.4 below).

5. Two graduate students (see Section B.5. below).

B. Elections

The election of faculty and other staff members to the Senate shall normally be held between October and March and shall be conducted by secret ballot. A minimum of one week, excluding time when the University is in recess, shall be allowed between the distribution and collection of ballots for Senate elections. Those elected shall take office on July 1. All elections shall be in the charge of the Senate Executive Committee and the returns shall be certified by two inspectors of election selected by the Senate.

In any Senate election, persons eligible for election who feel unable to serve shall be given an opportunity to withdraw their names from the list of candidates for nomination. The names of those persons who have withdrawn, as well as the names of persons who are completing two consecutive terms, shall be indicated on the nominating ballot.

The ballot for the second vote (election ballot) in any Senate election must indicate the number of votes each nominee received. In addition, there must be listed the names of those persons who were not nominated, but who received at least 70% of the number of votes received by the nominee with the fewest votes. After the election, the number of

votes received by those persons who were elected and the number of votes received by nominees who were not elected must be made public.

The Senate Executive Committee shall retain on file the number of votes cast for each candidate in each constituency for each annual class whose term has not expired, and shall designate the available candidate with the highest vote at the last previous election in the proper constituency as the alternate to replace any senator whose place will be vacant in any semester because of resignation, retirement, or leave of absence from the University. Priority in case of tie votes shall be determined by lot. Such alternates shall be designated for one semester at a time and at the beginning of the semester unless the vacancy occurs later.

When it is known that there will be a vacancy throughout the last year or last two years of a three-year term in a constituency not otherwise scheduled to participate in a regular annual election, then that constituency will participate in order to elect a replacement to serve for the one- or two-year period remaining in the unexpired term.

The term of office of a senator shall begin on July 1 and shall extend for one year in the case of student members and for three years in the case of other elected members.
Senators shall be eligible for re-election, except that a member who has completed two consecutive three-year terms shall be ineligible for re-election to serve during the year which immediately follows the period of consecutive service (which may have been extended by virtue of election to the Senate Executive Committee).

1. For purposes of electing the three administrative officers, the electors described in Section A.1. above, shall determine the procedure that they will follow.

2. Two electoral processes for faculty membership in the Senate shall be followed, (a) constituency and (b) at-large. Faculty members shall not be eligible to stand for election or to vote in the first regular election following their initial appointment to the faculty.

    a. *Faculty constituency elections*
    The voting members of the faculty (see Article X.A.) of each of the following units shall, for these purposes, be deemed an electoral constituency: College of Agriculture and Natural Resources, School of Business, Neag School of Education, School of Engineering, School of Fine Arts, School of Law, College of Liberal Arts and Sciences, School of Nursing, School of Pharmacy, School of Social Work, and the Avery Point, Hartford, Stamford, Torrington, and Waterbury Regional Campuses. A person who is a voting member of more than one faculty will belong to only one constituency, that of the faculty in which his or her principal appointment is held.

    The number of senators to be elected from each constituency will be one for each thirty faculty members or major fraction thereof within that constituency, with the proviso that each school, college, or regional campus will have at least one senator. The faculty of a school, college, or regional campus that is thus allocated more than one senator will have the option of establishing non-overlapping sub-constituencies. Senators chosen from a constituency will be elected by and from among the members of that constituency. The

determination of the proper number of senators to be allocated to each constituency will be reviewed annually by the Provost. The annual schedule for electing members from each constituency shall be determined by the Provost in such a way as to provide for the optimum staggering of three-year terms within each constituency and for a reasonable degree of uniformity in the total number of members to be elected each year from all constituencies. To achieve these objectives, when a constituency becomes eligible to elect an additional senator, the initial term may be limited to one or two years in order that succeeding three-year terms may begin in the most appropriate years.

b. *At-large elections*
The number of faculty elected at-large will be the number remaining after the number of senators to be elected from constituencies is subtracted from seventy-two. Senators chosen at-large will be elected by and from the faculty electoral constituencies.

3. The professional staff [1] members shall be elected according to procedures approved by the Provost and Executive Vice President for Academic Affairs from four constituencies as described below. Staff members are ineligible to stand for election or to vote in the first regular election following their initial appointment to the staff.

   a. Division of Student Affairs and Services and Enrollment Planning, Management, and Institutional Research (excluding regional campuses), who shall elect two senators.

   b. University libraries (excluding regional campuses), who shall elect one senator.

   c. Regional campuses, who shall elect one senator.

   d. All professional staff shall elect five at-large senators.

4. Undergraduate student members shall be selected by procedures established by the Undergraduate Student Government with the approval of the Provost.

5. Graduate student members shall be selected by procedures established by the Graduate Student Senate with the approval of the Provost.

C. Functions

The University Senate is a legislative body and concerns itself with minimum rules, general regulations, pertaining to all undergraduate schools and colleges and with policy insofar as it pertains in a general way to the educational program of the institution and is not reserved to the Board of Trustees, to the administration, or to the several faculties.

[1] For University Senate constituency purposes, professional staff shall be defined as:
I. Full-time (nine month or more) management exempt employees not included in the faculty or administrative constituencies.
II. Full-time (nine month or more, non-student) professional staff represented by the professional employees collective bargaining unit and not included in the faculty constituency.
III. Full-time (nine month or more, non-student) professional staff represented by the faculty collective bargaining unit but not included in the faculty constituency.

D. Officers

The President of the University shall be Chair of the University Senate. If the President chooses not to preside, the presiding officer shall be the Provost. A moderator shall be elected from the membership for an annual term beginning in September. At a meeting called at the request of at least twenty-five percent of the members, the presiding officer shall be the Chair of the Senate Executive Committee.

A recording secretary of the Senate, elected by the Senate, is responsible for recording and distributing minutes of Senate meetings.

E. Meetings

Meetings of the University Senate shall be held regularly at times to be fixed by the President on the advice of the Senate. The dates and times of meetings shall be published at the start of the academic year.

Special meetings of the University Senate may be called by the President or by the Secretary at the request of at least twenty-five percent of the members. Such request, with signatures, shall be presented in writing to the Secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

On the request of any member of the Senate, if supported by four colleagues, a record vote shall be taken. These record votes shall be made a part of the minutes.

F. Minutes and Reports

Minutes of the meetings of the University Senate shall be posted on the University Senate website and sent to the University Archives. The University Archives shall be the official place for filing minutes of the University Senate.

G. Committees

1. The Senate Executive Committee
   The Senate Executive Committee (SEC) shall consist of eight faculty members, one professional staff member, and one student member. The faculty and professional staff members shall be elected by the Senate from among the elected members of the Senate who are not primarily administrators. Department heads and directors are not regarded as primarily administrators. The student member shall be elected from among and by the student members of the Senate.

   Elections shall follow the annual election of such members and shall normally take place in April. For faculty and professional staff members, a term of service on the Executive Committee shall begin on July 1 and shall be for three years. The term of membership in the Senate of a faculty or professional staff representative elected to the Executive Committee shall be automatically extended, if necessary, to be co-terminal. For the student member, the term of service shall be one year, renewable to a maximum of three consecutive years. After the annual election, the Senate shall elect one of the nine faculty and professional staff members to serve as Chair

of the SEC for a one-year term, which may be renewed. A vacancy on the SEC shall be filled by election for the duration of the vacancy.

No school/college shall have more than one faculty representative elected in any class, except the College of Liberal Arts and Sciences, which may have as many as two representatives in any class. The College of Liberal Arts and Sciences may have no more than a total of four members on the SEC at any time and no other school/college may have more than two members at any time. No faculty or professional staff senator shall be eligible for immediate re-election to the SEC.

The SEC is responsible for organizing and coordinating the business of the Senate and of Senate committees. To this end, it shall maintain a clerical staff and an office. It shall distribute an agenda for each Senate meeting to the faculty and professional staff at least five days before the meeting. (Items of an extraordinary nature may be considered at a Senate meeting which have not been included in the agenda for that meeting.) It shall receive the reports of Senate committees before they are forwarded to the Senate. It also shall be available to be consulted as the voice of the Senate, especially in reference to resolutions of the Senate, which are designed to be transmitted ultimately to the Board of Trustees. SEC members shall also constitute the faculty membership of the Trustee-Administration-Faculty-Student Committee (see Section VIII.C.).

2. Committee of Three

   The Committee of Three, which functions in faculty dismissal and grievance procedures, is to be constituted as follows: Each spring, after the Senate elections for faculty are completed, the SEC will distribute to Senate members a first ballot with the names of newly elected faculty members (excluding those who have the administrative titles of department head or higher). A second ballot with the names of the two Senators receiving the highest number of votes will then be distributed to the members of the Senate. The Senator receiving a majority of the votes cast will be a member of the Committee of Three until the end of his/her term. Whenever a vacancy occurs in the membership of the Committee of Three, the Senate shall elect in the same manner from the faculty group in which the vacancy exists, except if the vacancy is for less than one year, then it shall be filled by the available candidate with the highest vote in the last previous election in the appropriate class and constituency.

   In an emergency, the SEC may authorize the remaining members of the Committee of Three to select a substitute for a member of the Committee of Three to serve while such member is absent from the campus.

3. Standing/Special Committees of the Senate

   The Senate may appoint and define the duties of standing or special committees. The Provost shall be *ex officio* a member of all standing committees.

   Each standing committee shall keep accurate records of its proceedings and shall provide these to the SEC. Reports shall be presented to the University Senate as often as the amount and nature of business warrants, and at least annually.

Special committees shall be considered as discharged, without formal vote, when their final reports have been received by the Senate.

ARTICLE X – The Schools and Colleges

A. Membership

The faculty of each school/college except the Graduate School, the School of Medicine, and the School of Dental Medicine shall consist of the President, the Provost, the dean of the school/college, and all full-time professors, associate professors, assistant professors, and instructors belonging to departments administratively organized, regardless of campus affiliation, in the school/college and others who are appointed by the Provost either as voting members of the faculty or as associates and consultants without voting rights.

The faculty of the Graduate School shall include the President, the Provost, the Vice President for Health Affairs, the Vice President for Research and Dean of the Graduate School, and all members of the University staff appointed as graduate advisors by the Provost.

The voting and non-voting faculty of the Schools of Medicine and Dental Medicine shall be defined in the by-laws of the schools and shall include the President, the Provost, the Vice President for Health Affairs and the Dean of the school.

B. Functions

The functions of each school/college are to:

1. Establish and maintain published policies and procedures, approved by the Provost in consultation with the President, describing the standards by which the school/college conducts its business.

2. Enforce the rules and regulations of the University Senate as they apply.

3. Establish degree programs in particular majors with the approval of the appropriate faculty, the dean of the school/college, the Provost, and the Board of Trustees.

4. Set up and administer curriculum and degree requirements appropriate to its mission and responsibility.

    a. Standards more rigid or more specific than those outlined by the University Senate may be imposed by the school/college voting faculty. Standards less rigid or less specific than those approved by the University Senate may not be established.

    b. Administer courses established by the Senate that serve to meet the curriculum requirements of the University. Establish and administer other courses in fields appropriate to the school/college provided that all courses open to freshmen and sophomores are approved by the Senate.

c. To suggest basic and prerequisite courses for the freshman and sophomore years and graduate programs, as appropriate.

d. Establish and administer other courses in fields appropriate to the school/college at the junior and senior years and graduate levels.

5. Set up admission requirements in line with the purpose and responsibility of the school/college and the University.

6. Plan and execute programs of research and service in line with the general policy of the University.
7. Monitor the academic progress of its students and assist them in educational planning and placement.

8. Maintain records and reports on students, staff, programs and services, and budget.

9. Integrate its program with the general program of the University and foster effective coordination of effort.

10. Secure the safety and proper inventory of all University property assigned to it for instructional, research, or service purposes.

In addition to the relevant functions above, the Graduate School facilitates graduate research and education at the University. It administers, promotes, and reviews all University post-baccalaureate educational programs and curricula, with the exception of programs in Law, Medicine, Dental Medicine, and the Sixth-year Professional Diploma in Education. It serves as an advocate for the University's research and scholarly mission.

C. Officers

The Provost shall preside at meetings of the faculties of the several schools and colleges. In the absence of the Provost, the dean of the school/college concerned shall preside, or if the dean prefers, the faculty may elect a presiding officer.

The dean of each school/college shall be its executive officer. The dean shall be responsible to the Provost for the work and proper administration of the school/college.

Each school/college shall elect annually a secretary who will call faculty meetings to order in the absence of the Provost and the dean.

D. Meetings

Meetings of the schools and colleges shall be held regularly. Special meetings of the schools/colleges may be called by the Provost, or by the secretary, at the request of at least twenty-five percent of the voting members. Such request, with signatures, shall be presented in writing to the secretary. The call for a special meeting shall be issued at least a week in advance of the meeting and shall state the purpose of the meeting.

E. Minutes and Reports

Minutes of the meetings of the schools/colleges shall be made available to the Provost and the faculty and sent to the University Archives. The University Archives shall be the official place for filing minutes of the school/colleges.

F. The Provost shall communicate in writing to the secretaries of the various schools/colleges and of the University Senate, insofar as they are mutually concerned, such actions by these bodies that will, impact the understanding, integration, and coordination of the academic program of the University.

G. Committees

1. *Standing Committees*
   The dean of each school/college shall appoint and define the duties of standing committees.

   The Provost and the dean of the school/college concerned, or their designees, shall be *ex officio* members of all standing committees.

   Each standing committee shall keep a record of actions taken and shall file copies with the President, the Provost, the University Archives, and the dean of the appropriate school/college. Reports shall be presented to the appropriate school/college by the committee chair, or designee, at least annually.

2. *Ad Hoc Committees*
   Ad Hoc committees may be set up by the President, the Provost, the deans of schools/colleges, or the faculties of schools/colleges at any time. The members of ad hoc committees shall be selected by the appropriate dean unless the faculty specifies some other means of selection.

   All ad hoc committees shall report to the authority that initiated their appointment and shall be considered as discharged, without formal vote, when their final reports have been made.

ARTICLE XI – The Divisions

The Divisions are administrative units with programs that serve the entire university. Divisions must integrate their programs with the general mission of the University and foster effective coordination of effort. Divisions do not administer academic programs.

Each division shall have an executive officer who reports to the President, Provost, or Vice President. The executive officer is responsible for the administration of the division, including the hiring of personnel. Each executive officer shall keep adequate records of all personnel, programs, and budgets of the division and shall submit such reports as are required including an annual report to the Senate.

Each executive officer may have an advisory committee appointed by the President, the Provost, or appropriate Vice President. These committees are advisory to the executive officers of the divisions, and not to the Senate, nor are they responsible to the Senate. Standing or ad hoc committees may be established by the President, the Provost, the Vice President or the executive officers as appropriate.

ARTICLE XII – The Institutes and Centers in Academic Affairs

A. Functions

The ability to make significant contributions to the University's teaching, research and outreach mission, and to solve increasingly complex problems, may be facilitated by interdisciplinary approaches that enable and encourage collaborative contributions from different disciplines. A center or institute provides a venue for activities that cannot flourish within existing academic structures. The goals of the center or institute should be congruent with those of the institution and capable of enhancing the achievement of these goals more efficiently than existing departments.

A *Center* is a unit that ordinarily has a focused mission and a clearly defined objective. It may involve a group of faculty from one or more departments from a single school/college or from different schools/colleges.

An *Institute* is a unit that ordinarily is larger, has a broader mission, and a more complex interdisciplinary focus than a center. It is expected that most institutes would involve faculty from multiple departments and schools/colleges. Unlike centers, a primary mission of institutes is an academic one.

B. Membership

Each institute or center shall consist of a director and a minimum of four affiliated faculty. The director will be appointed by the dean or other officer to whom the unit reports, in consultation with the Provost. The director shall be responsible for appointing any staff associated with the center or institute. Faculty appointments and consideration for promotion and/or tenure continue to be granted through academic departments of the University.

C. Reports

Each institute or center must have clear lines of responsibility, usually through a dean to the Provost or to the Vice President for Research. Centers may be primarily responsible to a department head, if department heads of affiliated faculty and the relevant dean approve. Externally sponsored activities (e.g., research/training grants, donations/gifts, fees for services and contracts and letters of agreement) of institutes and centers must have prior approval from the responsible administrative officers.

All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University's mission, except that centers and institutes in the Schools of Medicine and Dental Medicine will be reviewed at least every seven years. Each center and institute will submit an Annual Report that documents scholarly accomplishments

and productivity, including funding obtained during the year and any changes in the membership of participating faculty. The report is to be submitted to the department head(s) and dean(s) of the participating department(s) and school(s)/college(s) and a copy provided to the Provost. The Provost will routinely inform the Board of Trustees, and if appropriate, the Health Center Board of Directors, of the establishment and discontinuation of all centers and institutes.

ARTICLE XIII – The Departments

A. Membership

Department members shall consist of all faculty as defined in Article X at all campuses. Each faculty member is assigned to a primary campus and when granted tenure, is tenured throughout the University. Should the primary campus cease to exist or a tenured faculty member's program be terminated at the primary campus, the faculty member would be assigned to another campus with that program.

B. Functions

Departments are organized in terms of subject matter areas. They bear definite cross-relationships, but their organization into distinct administrative units is intended to assure that the attention of small groups of faculty members will be centered on teaching, research, clinical activities, and/or service in these areas.

The functions of each department are to:

1. Develop an educational program designed to meet the needs of the students in the various schools/colleges and of other individuals and groups served by the teaching, research, clinical, and/or service programs.

2. Evaluate and improve its educational programs.

3. Recommend to the faculty of its school/college changes intended to improve the work of the department.

4. Secure the safety and proper inventory of all University property assigned to it.

5. Integrate its program with the general program of the University and to foster effective coordination of effort.

C. Officers

Each department shall have an executive officer (head/chair) who shall represent his/her department and who shall report to the dean of the school/college within which the department is organized. Except at the Health Center, the executive officer shall not serve more than two consecutive terms unless the majority of his/her department recommends otherwise. Health Center executive officers do not have term limits.

D. Meetings

Meetings of the department may be called by the executive officer of the department, the dean of the school/college within which the department is organized, or the Provost. Each department shall hold meetings as needed.

ARTICLE XIV – The University Staff

A. The President shall appoint individuals and members of units reporting to him/her. All other members of the faculty and professional staff shall be appointed by the Provost, the Vice Presidents, or their designees. Tenure shall only be granted by the Board of Trustees or as delegated to the Board of Directors.

Termination for cause of a tenured faculty member or the dismissal for cause of a faculty member previous to the expiration of a term appointment shall be made only by the affirmative vote of a majority of members of the Board of Trustees or of the Board of Directors.

B. The Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees.

Academic freedom applies to all members of the faculty and professional staff of the university.

1. All members of the faculty, whether tenured or not, are entitled to academic freedom set forth in the 1940 Statement of Principles on Academic Freedom and Tenure formulated by the Association of American Colleges and the American Association of University Professors. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties, but research for monetary return should adhere to University policies.

2. The faculty member is entitled to freedom in the classroom in treating his/her subject and in conducting a class. The faculty members should not contravene the free speech and academic freedom of other members of the professional staff, nor impede faculty, other members of the professional staff, or students, in their central tasks of teaching, research, and learning.

3. The faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When the faculty member speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge the faculty member's profession and the University by his/her utterances. Hence, he/she should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she does not speak for the institution.

4. Membership in the academic community imposes on students, faculty members, professional staff, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals, damage institutional facilities, or disrupt classes. Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

   Students are entitled to an atmosphere conducive to learning and to even-handed treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or the student's own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

   It is a teacher's mastery of his/her subject and scholarship which entitle him/her to the classroom and to freedom in the presentation of his/her own subject. Thus, it is improper for an instructor persistently to introduce material that has no relation to his/her subject or to fail to present the subject matter of the course as announced to the students and as approved by the faculty in their collective responsibility for the curriculum.

   Because academic freedom has traditionally included the teacher's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute and the teacher's attention to his/her obligations as a citizen and moral agent precludes the fulfillment of substantial academic obligations, the teacher cannot escape the responsibility of that choice, but should either request a leave of absence or resign his/her academic position.

5. The University, in fulfilling an essential function as a forum for the free expression of ideas, shall endeavor to preserve and facilitate the full enjoyment of constitutionally protected civil liberties.

   Members of the professional staff shall have equal opportunity in their employment regardless of gender, race, religion, national origin, or disability.

   The highest standards shall be sought in the protection of all forms of freedom of thought, expression, association, and peaceful assembly. In the exercise of these civil liberties the members of the professional staff are obliged to protect the same rights of others and to bear in mind their respective obligations to their profession and to the University.

C. Academic Appointment and Tenure[2]

The Provost shall recommend to the Board of Trustees the categories of the professional staff to which the regulations concerning academic tenure apply. The Provost shall consult with the University Senate before making such recommendation to the Board of Trustees. No professional staff member who has not attained tenure by vote of the Board of Trustees or the Board of Directors, as set forth herein, shall have a claim that he/she has tenure.

1. The terms and conditions of every appointment to the faculty will be confirmed in writing and an appointment letter will be provided to the faculty member. Any subsequent extensions or modifications of an appointment and any special understandings or any notices incumbent upon either party to provide, will be confirmed in writing and a copy will be given to the faculty member.

2. With the exception of special appointments clearly limited to a temporary association with the institution, all full-time appointments to the rank of instructor or higher are of three kinds: (1) probationary appointments in a tenure track position; (2) tenured appointments; and (3) at the Health Center, in-residence appointments.

3. Except for faculty members who have tenure status, every person with a teaching or research appointment of any kind will be informed each year in writing of the terms of his/her appointment.

4. Beginning with appointment to a full-time, tenure track position, the probationary period shall not exceed seven years, except when the original appointment is in January or as provided elsewhere in the University By-Laws. When the original appointment is in January, the probationary period shall not exceed seven and one-half years.

   For faculty with primary appointments in the Schools of Medicine or Dental Medicine, the probationary period shall not exceed nine years, including within this period full-time service in all institutions of higher education, except when the original appointment is in January. Then the probationary period shall not exceed nine and one-half years.

[2] The regulations concerning academic tenure in this and the following sections apply only to members of the professional staff who hold full-time appointments in certain ranks recognized by the Board of Trustees. These recognized ranks include Instructor, Assistant Professor, Associate Professor and Professor, but do not include the following: Lecturer; Professor in Residence; Associate Professor in Residence; Assistant Professor in Residence; Instructor in Residence; Clinical Professor; Associate Clinical Professor; Assistant Clinical Professor; Clinical Instructor; Research Professor; Associate Research Professor; Assistant Research Professor; Research Instructor; Research Associate I, II, III; Research Assistant I, II, III; Research Specialist; Special Research Technician; Graduate Assistant; Extension Professor; Associate Extension Professor; Assistant Extension Professor; Extension Instructor; Specialist I, II, III, IV; Assistant Instructor; University Educational Director; Department Head, Student Affairs; University Educational Assistant I, II, III; University Associate Librarian; University Assistant Librarian; University Librarian I, II, III; University Library Assistant I, II, III; University Library Specialist; University Staff Professional I, II, III, IV, V, VI; University of Connecticut Professional I,II, III, IV, V, VI, VII, VIII, IX, X, XI, XII; University Technician I, II; University Physician; Resident Educational Counselor; and titles that contain the words "University Hospital" (e.g., University Hospital Nurse I).
Academic tenure does not confer upon any staff member the right to continued assignment to administrative responsibilities.

New appointees to tenure track positions with prior service in a tenure track position at another university may, in consultation with their deans and department heads, be granted up to a full probationary period at the time of hire. The probationary period agreed upon in the candidate's offer letter will be viewed as the tenure track period.

Ordinarily, a leave with or without pay awarded for the purpose of pursuing scholarly research activities shall be included in the probationary period toward tenure.

A leave of at least one semester for personal or other reasons ordinarily will not be included in the probationary period toward tenure. Such leaves must be requested in writing by the faculty member and granted in writing by the department head, dean, and the Provost.

Faculty members who provide timely notice to the University that they have experienced a qualifying major life event, as defined under the Federal Family and Medical Leave Act, prior to their mandatory tenure evaluation year will receive an automatic one-year extension of the tenure clock.

For faculty with primary appointments in the School of Medicine, significant life events may be allowed to increase the probationary period leading to promotion or tenure for a maximum of twenty-four months. An increase in the probationary period leading to promotion and/or tenure is automatically awarded when the faculty member takes leave documented and approved under the Federal Family Medical Leave Act, the State of Connecticut Family Medical Leave Act, or the State of Connecticut Workers' Compensation Act. Alternatively, the faculty member may request an increase in the probationary period to tenure (but not to promotion) even when the above criteria are not met, but when the faculty member's productivity is affected by a significant life event. Such requests must be approved by the Department Chair and the dean or his/her designee.

Faculty who wish to be considered for promotion and tenure before the end of the probationary period will be evaluated by the same standards applied to faculty who have taken the full probationary period.

The University ordinarily requires of all new appointees a probationary period of at least one year in this institution, but tenure may be granted at any time thereafter and before the expiration of the maximum probationary period by vote of the Board of Trustees or for the faculty of the Schools of Medicine and Dental Medicine, by vote of the Board of Directors. In appropriate circumstances, tenure may be granted by the Board of Trustees or for the faculty of the Schools of Medicine and Dental Medicine, by vote of the Board of Directors upon arrival at the University at the rank of Professor, and, in special circumstances, at the rank of Associate Professor.

Following award of tenure, a faculty appointment shall be terminated only for adequate cause or under extraordinary circumstances of financial exigencies.

5. Regardless of the stated term or other provisions of any appointments, written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of his/her appointment as follows: (1) Not later than March 15 of the first academic year of service, if the appointment expires at the

end of that year or if a one-year appointment does not coincide with an academic year, at least three months in advance of its termination; (2) not later than December 15 of the second academic year of service, if the appointment expires at the end of that year or if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination; (3) at least twelve months before the expiration of an appointment after two or more years of service at the institution. The institution will normally notify faculty members of their renewals by March 31.

D. Policies and Procedures Relating to Rank, Salary, and Advancement

1. Tenure and promotion in the professorial ranks will be granted only to persons of outstanding achievement consistent with standards expected of a top public research university. Specific evidence of superior performance in scholarship and in teaching is of primary importance. As a minimum standard for tenure and/or promotion, there must be evidence of strong performance in both scholarship and teaching and superior achievement in at least one of these areas. In addition, other contributions to the University will be considered. In individual cases where it is demonstrated that there has been meritorious professional service through which the faculty member has achieved distinction in the profession, such service may also receive significant weight. Ordinarily, those in the rank of assistant professor are not eligible for tenure. Continued reappointment of a person in a tenure track position, after it is clear that he/she will not become eligible for permanent tenure, cannot be justified on grounds of immediate convenience. In his/her own interest and that of the University, he/she should be released after the customary notice.

   Policies for promotion should operate to advance the most promising. These policies should give careful consideration both to current performance and to future promise and should convey an assurance of impartiality by recognizing and rewarding accomplishment and by maintaining opportunities for advancement. To do this, the policies must be based on merit, determined on the broadest possible basis.

   The value of a faculty member to the University results from the possession of a number of different qualities. In enumerating certain of these, it is not intended to formulate a rigid set of standards, nor to require that all faculty attain a stated minimum in each of the items. The value of each person is rather to be judged by both strengths and weaknesses so as to arrive at an estimate of his/her total contribution. No fixed numerical weighting can be prescribed, though greater emphasis should be placed on scholarship, teaching ability, and activity in research than on other characteristics.

   A faculty member's salary is in large part a payment for services rendered; however, it includes an additional element that is an investment by the University in the potential of the individual. Adequate salaries permit the assumption of the expenses of travel and study and other professional and cultural activities and provide an appropriate standard of living. Inadequate salaries are contrary to the interest of the University because they impede faculty development or force faculty to supplement earnings at the expense of the time needed for study, thought, and research – and may, of course, even involve the loss of valuable faculty.

2. *Qualities desired in faculty of all ranks*

All candidates for appointment to the faculty and for promotion are expected to show satisfactory attainment and continuous growth in the following qualities, though in varying degrees and in different proportions. The individual's accomplishment in each should be evaluated on every occasion when advancement in salary or rank is being considered and particular care must be exercised when it is proposed to grant tenure.

a. Professional competence in the field of his/her specialization, as evidenced initially by the record of his/her training and scholastic achievement, and later by the opinion of professional colleagues here and elsewhere; and in certain fields by the execution of professional commissions, the giving of expert testimony, and the like; or by the holding of a license for professional practice, where licensing has been established.

b. Teaching ability and performance, beginning with the capacity to excite interest and evoke response in students, to broaden their outlook, to impart knowledge, to see and convey relationships, to encourage the faculty of criticism, and to stimulate a sense of inquiry. The educational role of the faculty member is not confined to the classroom. It should include willing skillful attention to the individual student who can profit from additional help in the mastery of a course to which the faculty member is assigned. Also important is the role of academic advisor, who will encourage students to gain as much as possible from the educational resources of the University and will guide the student to the proper selection of courses consistent with his/her academic and life goals.

c. Research and such other scholarly activity as gives evidence of the effective utilization and continuing development of his/her natural endowment. This will ordinarily result in publications, lectures, or papers at professional meetings and should in any case be reflected in the vitality of the person's teaching. Such activity will take many forms, some of which are:

   i. Study, including reading, laboratory work, and museum work;

   ii. Membership and appropriate activity in one or more professional societies;

   iii. Writing–creative, critical, analytical, summarizing, or editorial;

   iv. Creative work in other fields, such as the arts and engineering;

   v. Research, including both the routine application of known techniques to the accumulation and analysis of new data, and the invaluable gift of making fundamental contributions to knowledge;

   Creative activity in the arts and the ability to make research contributions of the second or fundamental kind will be especially noted and rewarded.

d. Although the qualities listed above should receive the greatest consideration, the following items bearing on professional fitness also should be taken into account,

particularly when new appointments are being made and at the end of the probationary period.

i. Personal attributes; integrity, industry, open-mindedness, objectivity, friendliness, effectiveness in speaking, capacity for leadership and cooperation, breadth of intellectual interests.

ii. Concern for the educational, social, and personal welfare of students, such as is demonstrated, for example, by success in mentoring.

iii. Willingness and ability to assist in the various types of service which a state University renders, in the answering of inquiries, the giving of advice, the conduct of surveys, and the like.

iv. Competence in fulfilling responsibilities toward democratic University government, as in department and faculty meetings, committee work, and administrative duties.

v. A sympathetic but discriminating interest in the development of the University, and the assumption of a share of responsibility for the efficient execution of its functions; or in the case of recent appointees, indication that this interest will develop in due time.

3. In addition to these general desiderata, the following qualifications will be borne in mind in making appointments or promotions to the several ranks.

a. *Qualifications for instructors*

i. Training or experience appropriate to the performance of his/her assigned responsibilities. In many cases, this will mean the possession of, or evidence of, substantial progress toward the appropriate terminal degree.

ii. A consensus on the part of those qualified to judge that the faculty member's training, experience, and interest in his/her subject are appropriate for the performance of the duties to be assigned.

iii. For certain types of teaching, it may be more desirable to appoint persons whose qualifications will not ordinarily entitle them to advance into the upper levels of rank and salary.

Note: Two years is regarded as the maximum length of service in the rank of instructor for those in a tenure track position.

b. *Qualifications for assistant professors*

i. The possession of the appropriate terminal degree.

ii. A record of success in his/her work. Information considered may include the judgment of colleagues, information from students, and occasionally the progress and achievement of his/her students.

c. *Qualifications for associate professors*

Continued growth in the qualities desired in all faculty members, especially evidence that he/she is keeping abreast of the times in method and subject matter, and a consensus among colleagues that the faculty member is making a substantial contribution to the advancement of knowledge in his/her field.

d. *Qualifications for professors*

i. Service here or elsewhere as an associate professor of at least five years except when there is evidence that he/she is of superior ability as compared with other associate professors.

ii. Evidence that he/she is regarded by colleagues within and outside the University as a capable, mature teacher, and a recognized scholar.

e. *Special Title: Board of Trustees Distinguished Professor*

i. The title "Board of Trustees Distinguished Professor" should be reserved exclusively to recognize faculty who have achieved exceptional distinction in scholarship, teaching, and service while at the University of Connecticut.

ii. The Board of Trustees Distinguished Professor title will be conferred as a result of a peer review process. The Review Committee will solicit and evaluate all nominations. The Review Committee will obtain detailed information including materials from external sources and recommend candidates to the Board of Trustees via the Provost.

iii. The title will normally be awarded to three persons per year. Up to five persons per year may be recognized when the total number of Board of Trustees Distinguished Professors drops below 5% of the full professors on the active faculty.

4. Procedure for Reviews of Faculty

a. The status of every faculty member with regard to salary and/or rank shall be considered at least once each year. The head of the department shall ordinarily be responsible for seeing that this is done.

b. It is the duty of each department head to conduct a continuing appraisal of the work and potentialities of the people in the department and by informal consultation, to ascertain the views of the other members of the department. It is his/her responsibility not only to give his/her own appraisal, but also to transmit that of his/her colleagues within the department. In this connection, it should be emphasized that all such evaluations are to be based on the criteria listed above. Recommendations resulting from these reviews, with supporting data, shall be sent to the dean of the school or college, and by the dean, with his/her own recommendations, to the Provost.

5. Promotion and tenure procedures

   In considering nominations for promotion and tenure research activities of candidates shall be judged by those who are competent in the general field, who have read the publications of the candidate, and who are familiar with the progress of his/her unpublished work. Care must be exercised to determine the actual amount and true nature of the work. Undue emphasis should not be placed upon mere volume of publication.

   a. In view of the paramount importance of good teaching and the difficulty of judging the quality of a teacher's performance, student evaluations shall be taken into consideration during promotion and tenure decisions. Student evaluations shall be conducted according to procedures approved by the University Senate. Caution must be observed to discount mass prejudices and to avoid overestimating the impressions of the moment, which may well be different from the considered judgment of later years. Student evaluations shall also be available to deans and heads of departments.

   b. The Provost will accept and may request new information about a candidate's qualifications at any step in the promotion/tenure process.

   c. Final action on promotions and tenure will be based on all available evidence, and will be taken by the Board of Trustees or the Board of Directors for Health Center faculty, upon the recommendation of the Provost, following receipt of recommendations from the dean of the college, the department head, and such other officers as may from time to time be charged with this responsibility.

      For procedures on promotion and tenure, go to the Provost's website.
      For procedures on promotion and tenure for the Schools of Medicine and Dental Medicine, go to the Health Center Faculty Handbook.

E. Professional Staff Loads

1. While faculty members are employed for a variety of duties, as a general rule the University will expect to assign to each duties that are reasonable and consistent with good and effective practices in teaching, research, clinical care, and outreach. In addition, faculty will be expected to carry a reasonable amount of ordinary departmental duties and routine committee responsibilities and to undertake those activities of self-improvement and professional development which are part of every faculty member's investment in his/her own future.

   In determining teaching contact hours and clinical care assignments, consideration will be given to unusually heavy responsibilities for student advising, chairing committees, research projects, unusually large courses, and assigned administrative duties.

   Assignment of duties will be made by the appropriate deans and department heads consistent with University policy. Insofar as it is possible, these assignments should take into account the aptitudes and wishes of individual staff members and their opportunities for long-run professional development.

2. Except in the Schools of Medicine and Dental Medicine, the teaching duties of each department shall generally be regarded as a joint responsibility of all its members to be divided as far as possible by mutual agreement, with proper attention to the interests and activities of all. It shall be the responsibility of the department head to make decisions when agreement is lacking and to submit the complete schedule of teaching engagements to the appropriate dean.

   The preceding paragraph does not imply that teaching loads and assignments of individual faculty members are to be determined by departmental vote. Departmental action is to be limited to consideration of general policy.

   In settling details of teaching schedules within the department or in meeting situations that arise on short notice, the department head has three responsibilities:

   a. The department head must understand and put into effect the general policies and programs of the University.

   b. The department head must act on behalf of and as a representative of the department.

   c. All faculty of the department should participate in the formulation of general departmental policy and assess the department's professional program, both for long-run development and current decisions.

   d. The department head has a responsibility to discuss with individual faculty his/her ambitions and aspirations within the University and the profession. While no one is completely a free agent to lay out a program exactly as one pleases, scholarly activity flourishes best in an environment of self-direction and self-propulsion.

F. Resignation of a Faculty Member

A faculty member planning to resign is expected to give notice in writing at the earliest opportunity.

G. Termination of Appointments by the Institution

1. Dismissal, defined as termination of a tenured appointment, or a special or probationary appointment, or for faculty in the Schools of Medicine or Dental Medicine, an in-residence appointment before the end of the specified term, may be effected by the institution only for adequate cause. Dismissals will be pursuant to the procedure specified in Section H, below.

2. Non-reappointment of a special, probationary, or in-residence appointment at the end of the specified term shall not be defined as dismissal.

3. Where termination of appointment is based upon financial exigency, or bona fide discontinuance of a program or department of instruction, Section H will not apply, but faculty members shall be able to have the issues reviewed under the grievance procedure as provided in Sections S and T.

In every case of financial exigency or discontinuance of a program or department of instruction, an affected tenured faculty member will be given notice as soon as possible and never less than 12 months' notice, or in lieu thereof, he/she will be given severance salary for 12 months. Before terminating a tenured or probationary appointment because of the abandonment of a program or department of instruction, the University will make every effort to place affected faculty members in other suitable positions. If a tenured or probationary appointment is terminated because of financial exigency or because of the discontinuance of a program of instruction, the released faculty member's place will not be filled by a replacement within a period of two years from the date of termination unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

H. Dismissal Procedures

1. a. Adequate cause for dismissal will be related directly and substantially to the fitness of the faculty member in his/her professional capacity as described in Section D. Dismissal procedures will not be used to restrain faculty members in the exercise of their academic freedom or their rights as citizens.

   b. For faculty with primary appointments in the School of Medicine or the School of Dental Medicine, adequate cause for dismissal may also include unsatisfactory job performance, as determined in part by the post-tenure review process described in the faculty member's school by-laws.

2. a. If circumstances arise that, on their face, cause the Provost to anticipate the reasonable possibility of dismissal being recommended for a faculty member with tenure, or with a special or probationary or for faculty in the Schools of Medicine or Dental Medicine, in-residence appointment before the end of the specified term, the appropriate administrative officer (usually the Provost or his/her representative) will initiate discussion of the matter with the faculty member looking towards a mutually acceptable settlement.

   b. If such settlement is not reached, the question will be referred to the Committee of Three within 14 days[3] of the invitation of the administration to the faculty member to discuss the matter. The Committee of Three will proceed to an informal inquiry, including further attempts at conciliation. The Committee shall report to the Provost within 14 days from the date it enters the case its recommendations based on the results of its inquiry and efforts toward conciliation.

   c. If continued action seems to the Provost to be warranted, then he/she or his/her representative, taking into account the report of the Committee of Three, shall frame with reasonable particularity a statement of charges. The statement will then be provided to the concerned faculty member within 14 days after the Provost receives the recommendations of the Committee of Three.

3. A dismissal, as defined in Section G.1. must be preceded by the sequence of steps outlined in Section H.2., culminating in the statement of charges provided for in Section H.2.c. Both the individual concerned and the Provost will have the right to have the matter heard by a committee of five. In order to exercise this right, the faculty

[3] All references to days are to calendar days.

member, or the Provost, within 7 days of the faculty member's receipt of the statement of charges must request the Committee of Three to form a hearing committee.

The essential functions of the hearing committee are to assemble and review pertinent information and to make appropriate recommendations. In constituting a hearing committee, the Committee of Three shall choose a panel of nine members of the faculty from which either party, within 5 days of notification of the panel, may strike not more than two names. In the event that more than five names remain after the completion of this process, the Committee of Three shall select five to serve as the hearing committee.

The hearing committee shall, within 7 days after its appointment, select its own presiding officer and promptly notify the Provost and the Committee of Three of the name of the presiding officer and the date of selection. If the hearing committee wishes to retain independent counsel, prior approval of the Attorney General of the State of Connecticut is necessary. The University will bear any costs of the hearing procedure, except that the individual concerned will be responsible for any fees he/she incur may incur for counsel, expert witnesses, and other defense expenses, and for the expense of any witness provided for the individual by the University.

Within 7 days of the selection of a presiding officer for the hearing committee, written notice of specific charges will be served. The faculty member may respond to the charges in writing within 7 days.

The date for the hearing shall not be set until the faculty member has responded or the time limit for such response has expired. If the faculty member denies the charge against him/her, asserts the charges do not support a finding of adequate cause, waives his/her right to appear, or refuses to participate in the hearing in person or in writing, the hearing committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.

a. Since the hearing deals with personnel matters, it shall be closed unless the faculty member requires in writing that it be open.

b. During the hearing the faculty member will be permitted to be represented by or to have with him/her an academic adviser and/or legal counsel of his/her own choosing. The Provost may be accompanied by or represented at the hearing by a delegate and/or legal counsel of his/her own choosing.

c. At the request of either party or the hearing committee, representatives of professional organizations shall be permitted to attend the hearing as observers.

d. A verbatim record of the hearing or hearings will be taken and a typewritten copy or legible facsimile thereof will be made available without cost to the faculty member and to the hearing committee. The requirement of a verbatim record may be waived by mutual consent of the hearing committee and both parties.

e. The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

f. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the institution will, insofar as it is possible for it to do so, secure the cooperation of such witnesses and make available necessary documents and other evidence within its control.

g. The hearing committee may grant adjournment to enable either party to investigate evidence as to which a valid claim of surprise is made.

h. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the committee determines that the interest of justice require admission of his/her statement, the committee will identify the witness, disclose his/her statement, and if possible, provide for written interrogation.

i. In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.

j. The hearing committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every reasonable effort will be made to obtain the most reliable evidence available.

k. The findings of fact and the decision will be based solely on the hearing record.

l. Except for such simple announcements as may be required covering the time of hearing and similar matters, public statements and publicity about the case by the hearing committee, the faculty member, and the administrative officers will be avoided until the proceedings have been completed, including consideration by the Board of Trustees. The Provost and the faculty member will be notified of the recommendation in writing and will be given a copy of the record of the hearing.

4. The hearing committee shall report to the President within 30 days after the selection of its presiding officer. The committee may conclude, and shall report to the President, that the conduct with which the faculty member is charged (a) merits dismissal or (b) does not merit dismissal. If the committee concludes that the conduct does merit dismissal, but that there are circumstances that warrant clemency, it will so recommend, with supporting reasons. If the committee concludes that the conduct does not merit dismissal, (a) it may recommend that the conduct does not merit any disciplinary action or (b) it may recommend a penalty short of dismissal.

5. If the President does not accept the recommendation of the hearing committee, he/she will state the reasons therefore to the hearing committee and to the faculty member within 14 days after receiving the report of the hearing committee. The hearing committee shall, within 14 days, prepare a rejoinder or notify the President that it intends no rejoinder. The President shall within 10 days notify the faculty member, the hearing committee, and the Committee of Three of his/her decision in the case, together with reasons therefore if he/she does impose a penalty.

   The President shall report to the next meeting of the Board of Trustees any action taken by him/her in response to the report of a hearing committee. If dismissal or other penalty is invoked, the faculty member may within 30 days request the President to

notify the Board of Trustees that the faculty member wishes to appeal the decision. The President shall then within 10 days transmit to the Board the record of the case. In such an event, the Board's review will be based on the record of the committee hearing and the correspondence between the hearing committee and the President after the hearing committee makes its recommendation. This review will provide opportunity for argument, oral, written, or both, by the principals at the hearing or by their representatives. Such a review must be scheduled within 21 days of the date on which the Board members are supplied with the record. Since the review deals with personnel matters, it will be closed unless the faculty member requires in writing that it be open. If the Board disagrees with the recommendations of the hearing committee, it will so notify the committee with specific objections. Taking into account the stated objections, and receiving new evidence if necessary, the committee will then reply to the Board within 10 days. The Board will make a final decision only after study of the committee's reply.

6. Expeditious completion of these procedures is in the best interests of all parties concerned. The time limits specified are maxima. The Committee of Three may, upon request, extend, for cause, any of the foregoing time limits.

I. Suspensions

Until the final decision on dismissal has been reached, the faculty member may be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to him/herself or others is threatened by his/her continuance. Before suspending a faculty member, pending an ultimate determination of his status, the administration will consult the Committee of Three. Suspension is appropriate only pending a hearing; a suspension which is intended to be final is a dismissal, and will be dealt with as such. Salary will continue during the period of suspension.

J. Terminal Salary

Tenured faculty who are dismissed for reasons other than moral turpitude will receive their salaries for at least a year from the date of notification of dismissal, whether or not they are continued in their duties at the University. Faculty members on probationary appointment will receive their salaries to the end of the current year.

K. Retirement

1. A faculty member’s decision to retire is understood to be an individual one, but in the interests of continuity and proper academic planning, it is expected that the faculty member will give notice of his/her plans at the earliest opportunity.

2. Any member of the faculty, who at the time of retirement is at the University of Connecticut and retires under the provisions of the State Retirement Act or the Alternate Retirement Plan, may by vote of the Board of Trustees or Health Center Board of Directors be awarded emeritus status provided that one of the following conditions is met:

    a. The faculty member has served at least 25 years at collegiate institutions including at least five years at the University of Connecticut.

b. The faculty member has attained the rank of full professor at the University of Connecticut.

3. There shall be a standing University of Connecticut Retirement Committee. Faculty not meeting either conditions in Section 2a or Section 2b above may become emeriti by vote of the Board of Trustees following recommendation of the President and the Retirement Committee. Other professional staff are also eligible for this designation following recommendation of the President and the Retirement Committee.

4. It is in the interest of the University that emeriti, as defined in paragraph two, continue their scholarly activities. The University encourages the maintenance of informal and scholarly contacts between emeriti and their active colleagues and will endeavor to provide working space, equipment, library facilities, and the like to all who can demonstrate reasonable need. Such support will be contingent upon availability of resources at the time. Deans and department heads, where appropriate, may invite emeriti for professional activities such as lecturing, serving on academic committees, and advising students.

L. Leaves of Absence

1. *Sabbatical Leaves*

a. Sabbatical leave is a privilege to be applied for in each case and is in no instance to be considered an earned perquisite. Such leaves may be granted on application for the purpose of the advancement of knowledge or professional improvement of mutual benefit to the University and the individual. Following such leave, individuals are obligated to return to active service at the University for a minimum of one year. The applicant should file a specific written application accompanied by a statement as to how the leave is to be used. This application should be approved by the department head, the dean or director, and the Provost or the appropriate Vice President, who will in turn submit it to the Board of Trustees with his/her recommendation.

The privilege is open to all full-time teachers who have at least the rank of assistant professor or a corresponding rank and who have been in continuous full-time service at the institution for at least six years. Following a grant of sabbatical leave, the privilege may be renewed after an additional period of continuous full-time service of at least six years. Exceptions in regard to continuous service may be made upon recommendation of the Provost or the appropriate Vice President and the approval of the Board of Trustees or the Board of Directors. The receipt of grant or fellowship funds to cover travel and other expenses incidental to the leave will not ordinarily impact the granting of a request for such leave.

b. The duration of the leave granted shall be determined by the Provost or the appropriate Vice President. Six years of continuous full-time service is defined as full-time service for at least twelve of the fourteen semesters preceding the leave. Each sabbatical leave eligibility is for a period of one year (two semesters). Leave may be taken for the full period at half pay or for up to half the period at full pay. After each period of eligibility in which a sabbatical leave is taken, whether for all

or a portion of the period, there must be at least six years of continuous full-time service before the next eligibility period. Thus, the timing of eligibility periods is not affected by whether leave is taken for a full period at half pay or for up to half the period at full pay. Faculty members in tenure track positions are not eligible for sabbatical leave before the last year of their probationary periods.

Leave for faculty members employed on an eleven months' basis or for faculty in the Schools of Medicine and Dental Medicine may be for a period of up to six months with full pay or for a period up to twelve months with half pay.

c. Sabbatical leave, whether at full or reduced pay, is considered full-time service, and therefore, persons on sabbatical leave are not permitted to engage in paid employment elsewhere. If a staff member is considering an arrangement in which he/she will receive compensation for services from the University and from outside agencies which will together exceed his/her regular University salary, the staff member is expected to take a leave without pay rather than a sabbatical leave.

d. Members of the professional staff are in a separate classification. They shall make their application directly to the President if the unit reports to the President or to the Provost or appropriate Vice President, if any.

e. The recommendation of the head of the department and of the dean in charge of the school/college shall accompany applications for leave. All applications should be made at least one year prior to the date when the leave is to begin. Ordinarily the grantee will receive notification that the leave is granted at least two months before the end of the semester previous to the one in which the leave is to begin.

f. Arrangements for carrying on the duties of a person on leave shall be made by the appropriate department head and dean in consultation with the faculty member as appropriate. The department head is expected to certify whether or not the work of the department can be carried on if the leave is granted substantially as it would have been otherwise. If courses would have been withdrawn or other changes made in the department's program even without the granting of the leave, the changes may be made during the leave, but it is not expected that sabbatical leaves will be granted if they must be taken at the expense of the students or of the regular departmental program.

g. If an approved leave is postponed for a period by the administration, the applicant's next leave may be granted for the year in which it would have fallen if there had been no such postponement.

h. Sabbatical leaves are granted in the expectation that the recipient will resume his/her previous duties at the end of the leave. Ordinarily the staff member will return at the same rank and salary which he/she had when the leave began. This understanding, however, is subject to the qualification (which applies in the same degree to those in residence) that the Board may sometimes find it necessary to change the compensation or duties of some or all staff members because of changes in enrollment, financial exigencies, or other circumstances beyond its control. The grant of leave does not change the tenure-status of the recipient.

i. After leave has been taken, a written report of the work done shall be made to the officer who approved the leave through the department head and the dean or director.

2. *Leave Without Pay*

Leave of absence without pay may be granted by the President for those units which report to the President or by the Provost or the Vice Presidents for reasons considered to be in the best interest of the University and in the interests of professional growth and improvement of the staff member concerned. All such cases are treated as special cases and are in the first instance, ordinarily granted for up to a year. Professional staff members desiring such leaves should apply through their department heads and deans and through the appropriate Vice President, if any. A report of all such leaves as are granted shall be made to the Board of Trustees for their information.

3. *Military Leave*

Members of the professional staff are eligible for military leave consistent with applicable state and federal law. Part-time employees will be granted such leave if they have worked the equivalent of six months or more full time. Thus, an employee would become eligible after twelve months of half-time employment, etc.

4. Sick Leave for Faculty With or Without Pay

Each case is considered separately and involves careful consideration of length of service, nature of the illness, and anticipated length of disability. Application for sick leave should be made not later than ten days after the staff member's return to work.

5. *Other Regulations Regarding Leave of Absence*

a. No employee of the University of Connecticut shall receive leave with pay for service in any elective political office.

b. No member of the professional staff shall be absent from his/her duties at the University except by permission of the department head. Short leaves to cover emergency situations may be granted by the department head, who will make such arrangements as are feasible to re-assign the absent staff member's work. In each such case, the department head will file a record of the matter with the dean. No such emergency leave shall be granted for a longer period than ten days without previous permission of the President for those units which report to the President or by the Provost or the appropriate Vice President.

c. Except in very unusual circumstances, no tenured or tenure track faculty member may receive a leave of absence to accept a tenured or tenure track position with another University. Such exceptions will require advance approval from the Provost.

M. No employee in the service of the University shall devote to private purposes any portion of the time due the University without consent as may be provided in established University policy. Faculty members may take on outside consulting and research activities

after the specific project has been approved by the Provost. Nothing herein contained shall be construed as authorizing any private practice by any full-time member of the faculty of either the School of Medicine or the School of Dental Medicine.

N. To the extent that there are facilities available, University employees are entitled to receive from the University unit responsible for student health services immediate care for injuries incurred in the line of duty. This unit is to offer limited primary medical care services to University employees within available resources on a fee for service basis.

O. The University Libraries shall be used by faculty, staff, and students and as appropriate, by the citizens of the State.

P. Members of the faculty are permitted to audit courses without payment of fees, subject to consent of instructor, and availability of library, laboratory, and classroom facilities.

Q. No full-time member of the professional staff may take for credit any academic work at this institution or elsewhere during that employee's regular working hours, without prior written approval of the President for those units that report to him/her, the Provost, or appropriate Vice President.

R. The existence of a family relationship to a staff member does not affect the eligibility of any person for employment by the University. To avoid potential conflict between personal and institutional interests, no staff member may be assigned responsibility for supervising the work of a relative consistent with the University's policy on nepotism.

S. University Faculty Grievance Procedure[4]

If a member of the faculty under the jurisdiction of the Provost, excluding the faculty in the Schools of Medicine and Dental Medicine, believes there is a cause for grievance which cannot be resolved by ordinary means, the complainant may request the Committee of Three (Article IX.G.2.) to appoint a hearing committee to evaluate the grievance and to make appropriate recommendations concerning its resolution.

1. Complaints involving promotion, tenure, and reappointment decisions may be brought to the Committee of Three only at the end of a sequence of peer review procedures, including those of the Faculty Review Board (see Article I.X.G).

2. Other complaints may be brought to the Committee of Three only after appropriate administrative remedies have been exhausted.

3. The Committee of Three is empowered to mediate the complaint informally in consultation with the complainant, the person or persons against whom the grievance is lodged, and such other persons as the committee deems appropriate.

4. If the Committee of Three has been unable to mediate the complaint informally or determines mediation is not appropriate under the circumstances and believes that there may be such substance to the grievance as to justify further investigation, it shall appoint an ad hoc hearing committee of three or five faculty members and convey the

[4] This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

grievant's written statement of the grievance to the hearing committee with a copy (or copies) to be sent to the person(s) against whom the grievance is lodged.

5. The hearing committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The hearing committee, after consulting all parties to the dispute, may decide to conduct its proceedings in confidence or with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.

6. The hearing committee appointed by the Committee of Three shall be instructed by the Committee of Three to determine:

    a. Whether the relevant procedures established by the University have been followed in the case before them.

    b. Whether in substance the grievant has just cause for complaint.

    c. In cases involving promotion, tenure, and reappointment:

        i. the sufficiency and relevance of the evidence employed in making the decision.

        ii. whether the decision arrived at was in reasonable conformity with the evidence considered.

    d. Appropriate remedy, if any.

7. The hearing committee will make a report of its findings and recommendations to the Provost, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three. In those cases involving a grievance against the Provost, the report shall be sent to the President.

8. The collective bargaining agent shall be informed by the hearing committee of the substance of its report to the President or Provost.

9. Within thirty days of receipt of the hearing committee's report, the President or Provost shall inform the hearing committee, in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the Committee of Three.

10. The collective bargaining agent shall be informed by the President or Provost of his/her response. The Committee of Three may make the hearing committee's findings and the response of the President or Provost known to persons or groups it deems appropriate.

11. If not satisfied with the outcome of the hearing committee's investigation and the action of the President or Provost in response thereto, the grievant may within thirty days of receiving the response, address a written appeal to the Board of Trustees through the President or Provost. The Board of Trustees will respond to the appeal in writing within a reasonable time.

T. Health Center Faculty Grievance Procedure[5]

Under most circumstances, a faculty member in the School of Medicine or the School of Dental Medicine who has a grievance will seek resolution through the usual channels of administrative authority (e.g., initial referral of the grievance to the Department Chair, to the dean of the appropriate school, and then to the Provost) or through the appropriate standing faculty appeals committees (e.g. space or compensation appeals committees), if any. If resolution is not possible or if the aggrieved party is dissatisfied with the proposed resolution(s), faculty peer review committees are empowered to hear grievances. Grievances related to promotion, reappointment, and tenure issues shall first be reviewed by the Health Center Faculty Review Board (HCFRB). In the case of a possible dismissal of a tenured faculty, the grievance will be referred to the Committee of Three at Storrs [see By-Laws Article XIV.G]. All other appeals and grievances will be referred directly to the Health Center Appeals Committee (HCAC).

1. Health Center Faculty Review Board (HCFRB)

    a. The Health Center Faculty Review Board (HCFRB), in its advisory role to the Provost, shall be the primary body to hear grievances related to promotion, reappointment, and tenure. It shall consist of a standing committee of seven (7) members, with two (2) representatives from basic science departments, two (2) from clinical dental departments, and three (3) from clinical medical departments. Each member must be a School of Medicine or School of Dental Medicine faculty member of senior rank on the UCHC payroll and may not be a Department Chair or Type II Center Director or a dean of any rank, or be a current member of the Committee on Appointments and Promotions of either the School of Medicine or the School of Dental Medicine. The term of service is three (3) years and terms shall be staggered. The chair will be selected from the membership by the HCFRB. Each year, a nominating committee consisting of the chairpersons of the School of Medicine Oversight Committee and the School of Dental Medicine Council shall select at least two (2) candidates from the appropriate constituency to fill vacancies. The members of the HCFRB shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC. The HCFRB will develop, revise as necessary, and post rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.

    b. Grievances may be brought to the HCFRB by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCFRB in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and materials will be sent to the Provost and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.

    c. The HCFRB may conduct its proceedings in closed session or, with the concurrence of the grievant, hold public hearings. Parties to the proceedings may choose to be represented. The HCFRB shall evaluate the grievance in a prompt and timely manner.

[5] This procedure applies to individual grievances not covered by Article XIV.F, H, and I.

d. The HCFRB will submit its report and recommendations to the Provost. Copies of its report shall be sent to the grievant and to the person(s) against whom the grievance is lodged. In cases of grievances against the Provost, a copy of the report shall be sent to the President. Final disposition of grievances shall be effected without unnecessary delay.

e. If not satisfied with the outcome of the HCFRB investigation and the action of the Provost in response thereto, the grievant or the person or persons against whom the grievance is lodged may, within thirty days of receiving the response, address a written appeal to the HCAC.

2. Health Center Appeals Committee (HCAC)

a. This committee shall be a standing committee consisting of three (3) permanent members. The permanent members will include one (1) representative each from a basic science department, a clinical dental department, and a clinical medical department. Permanent members shall be School of Medicine or School of Dental Medicine faculty members of professorial rank on the UCHC payroll. They shall be elected by the faculty of the Schools of Medicine and Dental Medicine who are paid by the UCHC from a slate of candidates nominated by the chairs of the School of Dental Medicine Council and the School of Medicine Oversight Committee to serve staggered terms of six (6) years. A permanent member may not be a current member of the HCFRB or the Committee on Appointments and Promotions of either school and may not be a Department Chair, Type II Center Director, or dean of any rank. The HCAC will develop, revise as necessary, and publish rules governing its processing of grievances. Such rules must be in compliance with the University's Laws and By-Laws.

b. Grievances may be brought to the HCAC directly by the aggrieved party or referral by the Provost and must be submitted to the Chair of the HCAC in the form of a cover letter and accompanied by supporting documents. Copies of the cover letter and supporting documents will be sent to the Provost and Executive Vice President for Academic Affairs and to the person or persons against whom the grievance is lodged. The process of referral or evaluation of a grievance shall commence within 15 working days after formal filing of the grievance.

c. If, after consultation with the complainant, the person or persons against whom the grievance is lodged and such other persons as the committee deems appropriate, the HCAC has been unable to mediate the complaint informally, it then must determine if the complaint has enough substance to warrant a full hearing.

d. The HCAC may not come to a decision that there is insufficient substance to justify further investigation without first providing the grievant an opportunity to address the HCAC in person. In such a case, the grievant may be represented.

e. If the HCAC believes that there may be such substance to the grievances as to justify further investigation, it shall appoint a five member ad hoc committee called the Hearing Committee. Members of the HCAC may serve on the Hearing

Committee. The ad hoc members must be of senior rank, but not necessarily full professors, and must otherwise meet the same restrictions on eligibility as described for members of the HCFRB and HCAC.

f. The Hearing Committee shall be empowered to have access to information it deems pertinent, to hold hearings and interviews, and to seek informal resolution of the issues raised. The grievant and the person or person(s) to whom the grievance is lodged will be afforded the opportunity to directly address the Hearing Committee in person. The Hearing Committee, after consulting all parties to the dispute, may decide to conduct its proceedings in private or, with the concurrence of the grievant, to hold public hearings. Parties to the proceedings may, if they choose, be represented. It is incumbent upon all parties to refrain from aggravation of the issues during the course of grievance proceedings.

The Hearing Committees shall determine:

1. Whether the relevant procedures established by the University have been followed in the case before them.

2. Whether the grievant has just cause for complaint.

3. In cases involving promotion, tenure, and reappointment:

   a. Whether the evidence employed in making the decision was sufficient and relevant.

   b Whether the decision was reasonable considering the evidence presented.

4. An appropriate remedy, if any.

g. The Hearing Committee will issue its report and recommendations to the Provost. In those cases involving a grievance against the Provost, the report shall be sent to the President. Within thirty days of receipt of the Hearing Committee's report, the President or the Provost shall inform the Hearing Committee in writing, of his/her response to its recommendations, with copies to the grievant, the person(s) against whom the grievance is lodged, and the HCAC. Final disposition of grievances by the Health Center Appeals Committee shall be effected without unnecessary delay.

h. If not satisfied with the outcome of the Health Center Appeals Committees' investigation and the action of the President or Provost in response thereto, the grievant, the person against whom the grievance is lodged, the University President or Provost may, within thirty days of receiving the response, address a written appeal to the University of Connecticut Health Center Board of Directors through the President or Provost.

3. Board of Directors
The Board of Directors or its designee will examine the grievance for the process and will respond to the appeal in writing within a reasonable time. At its discretion, the Board of Directors or its designee may elect to mediate the grievance, conduct further

investigation, and/or act on the grievance. If the Board of Directors or its designee elects to hold interviews or hearings, these may be held in public only with the concurrence of the grievant. All parties to interviews and hearings may be represented.

U. Grievance Procedure for Management-Confidential Professional Staff

A member of the management-confidential professional staff who believes he/she has cause for a grievance that cannot be adjusted by informal means may present a formal grievance under the following procedure:

1. The employee, with or without a representative, shall first present the grievance to the immediate supervisor. The immediate supervisor shall answer in writing to the employee within seven calendar days from the date the grievance is submitted.

2. When the answer is not satisfactory to the employee, the employee, with or without a representative, shall present the grievance to the appropriate Vice-President. The Vice-President shall answer in writing to the employee within seven calendar days thereafter.

3. An employee who is still aggrieved may appeal the grievance to an ad hoc Appeal Board appointed by the President. The Appeal Board shall consist of seven members at least four of which shall be members of the management-confidential professional staff. The grievant may be represented in matters before the Appeal Board.

4. The decision of the Appeal Board shall be in writing and shall be in the form of a recommendation to the President. Copies of the Appeal Board's recommendation shall be forwarded to the employee.

ARTICLE XV – General Policies and Practices

A. No organization or group shall discriminate against or exclude a person because of race, religion, national origin or other protected class recognized by state or federal anti-discrimination laws, on that land owned or operated by the University of Connecticut, and organizations or groups that are found to have violated state or federal anti-discrimination laws shall not have the use of University-owned or operated buildings or property.

B. All purchasing and contracting for supplies, equipment, and/or services and the management, accounting, and deposit of University funds must conform to applicable state statutes and University policies and procedures.

C. Any business or communication from members or groups of the University staff that concerns the University or its departments and which requires action by the Board of Trustees shall be presented to the Board by the President of the University. If the President refuses or neglects to place such business or communication or any part thereof before the Trustees within a reasonable time, those concerned may present their petition directly to the Board.

D. All apparatus, museum, and scientific collections, and other University property shall be in the immediate charge of the department head to which such material has been assigned,

subject, however, to the control of the appropriate Vice President. Every person having charge of any apparatus, specimens, books, collections, or other University property shall be held responsible for their safety and shall ensure a record or inventory of all property for which he/she is responsible is maintained in compliance with University policy.

E. The name or insignia of the University shall not be used by any individual or by any group not duly organized as a part of the University without the approval of the President.

F. Naming of Facilities

The act of naming or renaming a University facility for a person, family or organization confers one of the University's highest and most conspicuous honors.

The President is authorized to establish guidelines and procedures in accordance with this policy for naming University facilities. The naming of any facility must be approved by the Board of Trustees upon recommendation of the President.

G. Intellectual Property

1. *Ownership of inventions*[6]

   The University shall be entitled to own, or to participate in the ownership of, any invention, on the following conditions:

   a. The University shall be entitled to own the entire right, title, and interest in and to any invention:

      i. conceived by one employee solely or by employees jointly in any instance in which such invention is conceived in the course of performance of customary or assigned duties of the employee inventor or inventors, or

      ii. in which the invention emerges from any research, development, or other program of the University, or

      iii. is conceived or developed wholly or partly at the expense of the University, or

      iv. with the aid of its equipment, facilities, or personnel.

   b. In each such instance, the employee inventor shall be deemed to be obligated, by reason of employment by the University, to (i) disclose the invention fully and promptly to an authorized executive of the University; (ii) to assign to the University the entire right, title, and interest in and to each such invention; (iii) to execute such instruments of assignment to that effect; (iv) to execute such proper patent applications on such invention as may be requested by an authorized executive of the University, and (v) to give all reasonable aid in the prosecution of such patent applications and the procurement of patents.

[6] For the purpose of this section, 'invention' shall mean that which is produced for the first time through the use of imagination or ingenious thinking and experiment.

c. The University shall have the rights defined in Section G.1.a. with respect to inventions conceived jointly between employees and non-employees to the extent to which an employee has or employees have disposable interests therein and to the same extent the employee or employees shall be obligated as defined in said Section G.1.b.

d. The University shall have no right to inventions conceived by non-employees, except as may be otherwise provided in contracts, express or implied, between the University and those entitled to the control of inventions.

2. *Management of Intellectual Property*

The University shall:

a. File and prosecute patent applications and obtain patents, relating to inventions or discoveries which the University may be justly entitled to own or control, wholly or partly, and receive and hold in separate custody, assignments, grants, licenses, and other rights in respect to such inventions, discoveries, patent applications, and patents.

b. Make assignments, grants, licenses, or other disposal, equitably in the public interest, of any rights owned, acquired or controlled by the University, in or to inventions, discoveries, patent applications, and patents, and to charge therefore and collect, and to incorporate such funds in the custody of the University, reasonable compensation in such form and measure as the Board of Trustees authorizes or ratifies.

c. Execute contracts with employees and others for the purpose of carrying out the appropriate management of the University's intellectual property. The entire beneficial ownership of intellectual property shall vest in the University and the Board shall exercise complete control thereof.

3. Employees to share in proceeds

a. Each employee who conceives any invention and discharges his/her obligations to the University as herein before provided shall be entitled to share in any net proceeds that may be derived from the assignment, grant, license or other disposal of such invention.

b. Proceeds shall be computed with reasonable promptness after collection and after deducting from gross proceeds the costs and expenses allocated to that invention or discovery.

c. A minimum of twenty percent of the net proceeds shall be paid to an employee who solely conceived or made the invention, and shall be paid in shares to two or more employees who jointly made the invention. The Board of Trustees may increase the amount by which any employee or employees may participate in such net proceeds.

4. *Dispute Resolution*

Disagreements as to the allocation of any invention to a category, or with respect to the obligations of any employee, or due performance thereof, or with respect to participation of any employee in net proceeds, or with respect to the rights or obligations with reference to inventions in any category, shall be resolved as follows:

a. By voluntary arbitration of all relevant issues if the disagreeing parties approve and agree to be bound by the decision upon such arbitration.

b. By compulsory arbitration if that is provided for in any applicable contract between the disagreeing parties.

c. By recourse to courts of appropriate jurisdiction within the State if arbitration cannot be resorted to under either subsection (a) or (b) of this section.

5. *Regulations for arbitration*

The Board is authorized to establish and regulate equitably in the public interest, such measures as the Board deems necessary for the purposes of such arbitration, and to make contracts for compulsory arbitration, in the name of the University.

6. *Rights as to products of authorship*

The University shall not claim any literary, artistic, musical, or other product of authorship covered by actual or potential copyright laws of the United States, but the University shall be authorized to make and enforce any contract, express or implied, which it may make with respect to any such subject matter.

H. Establishment of University Regional Campuses

Before a new campus of the University of Connecticut is opened in any locality, the University's Board of Trustees must be convinced that a significant number of prospective students in that locality are unable to secure education at the college level from resources already available in the community and that there is urgent local demand for the University to establish a campus there.

I. Student Organizations

Responsibility for the oversight and, where appropriate, support of student organizations is vested with the Vice President for Student Affairs or his/her designee. Such oversight shall include, but not be limited to, the development of policies and procedures related to student organization registration, recognition, and activities.

1. The University recognizes the right of any group of students to form a voluntary organization for any purpose not prohibited by law. Student organizations wishing to hold meetings and events in University facilities and be eligible for advice, training, and support from the University must have an active membership comprised chiefly of registered students and have met and maintained registration requirements as

determined by the Vice President of Student Affairs or his/her designee. Such organizations shall be deemed 'registered student organizations.'

2. The University assumes no responsibility for the actions and activities of registered student organizations or their membership.
   Registered student organizations having a formal advisee/advisor relationship with a University department may, in some cases, receive special help and supervision from those departments.

   University faculty, staff and graduate assistants serving in an advisory capacity for registered student organizations will not be held responsible for the actions of student organization members provided any advice offered is consistent with applicable University, State, and Federal laws and is in the best interest of the safety of students and all individuals involved.

3. So far as its facilities permit, the University will provide registered student organizations with suitable meeting places without charge and will encourage and protect lawful freedom of expression during meetings of such organizations. The responsibility for any views expressed in such meetings vests with the individuals concerned. The University's role is not to approve or disapprove such views, whatever their nature, but to be concerned exclusively with the discharge of its educational obligation to facilitate free discussion of all points of view to the extent guaranteed by the Constitution of the United States and of the State of Connecticut. The University does not approve the qualifications of speakers whom registered student organizations invite to address them, nor, except as to availability of space and related issues of public safety, on the number or size of meetings which may be held.

4. The name of the University shall not be used by any group not duly authorized as a part of the University, nor by any individual, without the approval of the President or his/her designee. Registered student organizations are considered not to be "duly organized as a part of the University." In authorizing or denying the use of the name of the University, the President will, in general, be guided by the need of making clear to the public the nature of the relation of the organization in question to the University.

5. The University places no restrictions as to purpose on the solicitation of funds by registered student organizations, within or without the University community unless such activities violate state or federal laws. The time, place, and method of solicitation within the University by registered student organizations shall be governed by regulations established by the Vice President for Student Affairs or designee in the interest of public safety, avoiding over-crowding and unreasonable interference with those using an area for other purposes.

J. Use, possession, sale, distribution, or manufacture of alcohol, controlled substances and/or drugs or drug paraphernalia are prohibited except as expressly permitted by law and University regulations.

K. Regulations Regarding Residence

1. All students, before registering for classes for the first time at the University of Connecticut, must file an affidavit of residence, on forms prescribed by the University.

On the basis of this information, each entering student will be initially classified as a Connecticut or an Out-of-State student.

2. The status of each student will be determined by the definitions established in the Connecticut General Statutes.

3. The failure of a student to disclose fully and accurately all facts relating to his/her residence status shall be grounds for suspension or expulsion.

L. Policy Regarding the Expression of Dissent

1. Orderly picketing and other forms of peaceful demonstration are permitted outside of buildings and in other public gathering areas. Significant interference with entry into or exit from such buildings or areas or with the free movement of any person on the University campus is not permissible.

2. Entry into University buildings, meeting halls, classrooms, and other designated areas may properly be restricted to those engaged in the normal or scheduled activities being conducted. The presence of unauthorized persons in such areas leading to substantial interference with other University activities, after due notice has been given, orally or in writing, will be construed as interfering with or obstructing a University activity and is not permissible.

3. The creation of loud or excessive noise that substantially disrupts or interferes with classes or other University activities is not permissible.

4. Direct personal abuse, whether physical or verbal, that significantly infringes upon the rights of others to participate in the academic community or leads to substantial disruption of a University related activity is not permissible.

M. Commencement

Commencement Exercises are authorized at the conclusion of both the Fall and Spring semesters.

ARTICLE XVI – Advisory Search Committee for President

A. The purpose of the committee is to assist the Board of Trustees in its statutory responsibility of selecting the President of the University of Connecticut. To this end, the committee will need to conduct a broad search, developing a diverse candidate pool, screen qualified candidates, and make appropriate recommendations to the Board.

B. The committee will be appointed by the Board of Trustees from recommendations submitted from various constituencies, including trustees, professional staff, faculty, students, and alumni. The committee should be large enough to represent each of the constituencies adequately. The Chair of the Board of Trustees shall serve *ex officio* as the Chair of the Search Committee. The faculty members of the search committee will include the faculty members of the Senate Executive Committee.

C. The Board of Trustees should designate a small steering committee of the Advisory Search committee composed of committee members who can devote long hours to the work. The steering committee will be used to expedite the search procedures in ways agreed upon by the full committee. It will keep the full committee informed of the progress of the search by means of periodic meetings and, when appropriate, by written report.

D. In order to insure equity and an objective evaluation of all candidates, it is essential that information on all candidates be available to each member of the committee and that no candidate be allowed to by-pass consideration by the committee.

E. The search will normally proceed along the following lines:

1. Clearly defining the needs of the University and the characteristics desired in the person to be chosen.

2. Developing a list of possible candidates and eliminating those unsuitable or not interested.

3. Developing a profile of the University for distribution to candidates being seriously considered.

4. Selecting and interviewing the most highly qualified candidates.

5. Ranking the leading candidates by vote and transmitting name(s) of finalist(s) to the Board of Trustees, with whatever qualifications the committee wishes to include.

During all of these stages, the steering committee will recommend steps to be taken to the Advisory Search committee, which will be responsible for all decisions.

F. Every possible method should be used in developing the initial list of candidates, including advertising and the solicitation of names from the various University constituencies, as well as from other sources, such as college presidents, foundation officials, officers of learned societies, business and labor leaders, and other prominent citizens.

G. Complete confidentiality of all proceedings must be maintained throughout the search; it becomes especially crucial during the later stages. Grave injustice to the candidates and serious harm to the University's reputation result from any breach of confidentiality. The damage to the University may not be immediately discernible, but will become evident in the willingness of outstanding individuals to be considered as candidates for high positions at the University of Connecticut.

ARTICLE XVII – Honorary Degrees

On recommendation of the Honors and Awards Committee and the President, the Board of Trustees may vote to confer honorary degrees on distinguished individuals. The Board should award an honorary degree only in recognition of extraordinary and lasting distinction. The award should represent the highest intellectual and moral values; it should reflect the very character and quality of the University itself.

A. There shall be an Honors and Awards Committee, consisting of the President, the Provost, (both *ex-officio*), three faculty members nominated by the University Senate Executive Committee and appointed by the President, four members of the Board of Trustees appointed by the Chair of the Board, and two students appointed by the President. The President will chair the Committee. The faculty appointed by the President will serve for staggered terms of five years each and ordinarily may not succeed themselves. Students will serve one-year terms. The Board-appointed members will serve at the pleasure of the Chair.

B. The Honors and Awards Committee will prepare for approval of the Board of Trustees written criteria and procedures for the selection of candidates for honorary degrees.

C. Honorary degrees may be conferred at Commencement or at special convocations. Only under extraordinary circumstances will honorary degrees be conferred in absentia.

ARTICLE XVIII – Repeal and Amendment

A. All rules, orders, and resolutions of the Board heretofore enacted and in conflict with these By-Laws are hereby repealed.

B. These By-Laws may be amended at any regular meeting of the Board by a recorded majority vote of all members of the Board, provided notice of any proposed amendment, including a draft thereof, shall have been given at the previous regular meeting.

ARTICLE XIX – Contravention with Law

Should it be determined that any provision of these by-laws contravene any applicable federal or state law or regulation, such provision shall be invalid only to the extent of such actual contravention.

Board of Trustees approved March 23, 2011

Appendix 4.1

The University of Connecticut Academic Plan, 2009-2014

OUR WORLD, OUR PEOPLE, OUR FUTURE: THE UNIVERSITY OF CONNECTICUT ACADEMIC PLAN 2009 - 2014

IDENTITY, MISSION, ASPIRATION, VALUES,

AND FOCUSED AREAS OF EXCELLENCE

INSTITUTIONAL IDENTITY & MISSION

The University of Connecticut is the state's premier public university with a high national ranking and a reputation for excellence in all aspects of its mission. It has highly-qualified and successful students, strong undergraduate programs, a growing research portfolio, and emerging strengths in its graduate, professional, and pre-professional programs, including programs in education, business, law and engineering, in the basic, social, and health sciences, and in the arts and humanities. As a research-intensive university, it prizes excellence not only in teaching and learning but also in scholarly endeavor, scientific research, and artistic production. And as a land and sea grant institution, it is committed to active engagement with the larger community, not just through its outstanding College of Agriculture and Natural Resources, but also through the cultural, economic, and health services it can provide to both the state and the nation.

Members of the University community are committed to freedom of academic inquiry and expression and dedicated to excellence as demonstrated in the national and international recognition of our faculty, students, and programs. We create and disseminate knowledge by means of our scholarly and creative achievements, graduate and professional programs, and outreach to the community. Through teaching and learning, we help students grow intellectually and become contributing members of the state, national, and world communities. Through research, teaching, and service, we embrace diversity and cultivate leadership, integrity, and engaged citizenship in our students, faculty, staff, and alumni. And through our work as a land and sea grant institution, we promote the health and well being of Connecticut's citizens and enhance the social, economic, cultural, and natural environments of the state and beyond. [Adapted from 2006 statement approved by the Board of Trustees.]

ASPIRATION AND VALUES

The University of Connecticut is already one of the top-ranked public research and teaching universities in the country. 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.

THEMES

The mission, aspiration, and values articulated above frame the major disciplinary and interdisciplinary[1] themes embedded in "Our World, Our People, Our Future." They serve to unify the plan and link new interdisciplinary initiatives to the strong traditional disciplines from which they emerge and in which they must remain grounded.

Our World emphasizes the need to build on our strengths in human rights, education, and environmental research and to prepare our students for work and personal success as participants in an internationalized economy and an increasingly diverse society.

Our People draws on our landmark accomplishments in health care and human behavior to improve the quality of life for people in this state and beyond.

Our Future stresses the importance of collaborating with the State and with partners in the private sector to develop new products, processes, and entrepreneurial opportunities, and thus to foster economic and community growth and opportunity.

[1] Throughout this plan, we use the term "interdisciplinary" broadly to reflect the many strategies and methods used in scholarship, research, and creative work that entail crossing the boundaries of disciplines to address problems whose study and solutions transcend any single discipline (including interdisciplinary, multi-disciplinary, trans-disciplinary strategies and methods).

Our Academic Plan seeks to do more than equip the state and the nation with the intellectual capital needed to prosper. It also strives to develop in our students the capacity for creative expression and the basic intellectual and communication skills that are essential for a well rounded life, for active engagement in the world of the 21st Century, and for meaningful participation as citizens in a democratic society. This plan thus emphasizes a holistic vision of education that promotes civic involvement and cultural competence in a diverse and global environment and that emphasizes not only the physical and natural sciences, or business, engineering, and technology, but also healthcare, legal reform, the humanities, the arts, and the social sciences and services.

FOCUSED AREAS OF EXCELLENCE

As this introduction suggests, emerging areas of interdisciplinary excellence grounded in traditional academic disciplines will be an important factor guiding the development of our existing research, teaching, and programs of public engagement. These areas of excellence encompass:

- The Environment, including the environment and human health, the environment and sustainable ecosystems, the environment and sustainable energy.
- Health and Human Behavior, including basic and clinical biomedical science; the relations between policy, law, behavior, science, and health; and the translation of discoveries in the basic sciences to products, policies, and practices that improve the health and quality of life of people everywhere.

- Arts, Culture, and Society from a Local to a Global Perspective, including human rights, intellectual property, research on multicultural and international topics, and cultural enrichment in the humanities and fine arts.

We identified these areas of excellence through a series of conversations, meetings, colloquia, task force deliberations, reports, and written feedback. They represent the unique strengths through which we can further our contributions to Our World, Our People, and Our Future.

Additionally, our regional campuses have a special place in the mission of the University. Each has a unique focus that complements the work carried out at the Storrs campus and the Health Center. These include:

- Avery Point: Marine sciences and maritime studies.
- Greater Hartford: Metropolitan issues, public policy, and health policy.
- Stamford: International, business, and selected arts and sciences programming.
- Torrington: Arts and humanities.
- Waterbury: Civic and community engagement.

THE ACADEMIC PLAN

What follows is a set of goals and strategic steps that will advance the University's standing in five interrelated areas. It is important to remember that in each of these areas, the goals articulated in the plan must also guide the way resources are allocated or reallocated. In other words, the goals pursued and the resources available must be aligned with each other, rather than at odds, or the plan will not succeed. The five interrelated areas are:

- Undergraduate Education
- Graduate and Professional Education
- Research, Scholarship, and Creative Activity
- Diversity
- Public Engagement

In each of these five areas, the plan articulates an overarching goal, describes the relationship between that goal and the values and themes underlying the plan, and then enumerates the strategies that we will use to achieve our goals. We also identify a goal and strategies for our administrative organization, capital infrastructure, and budget processes that will ensure efficient implementation of the plan. In Appendix I, we

include the metrics or performance indicators by which we will measure our progress over the life of the plan.

GOAL 1: UNDERGRADUATE EDUCATION

Engage 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.

Our World, Our People, and perhaps, most clearly, Our Future depend on providing well-prepared students with access to a four-year degree under conditions that nurture their prospects for success. Traditional disciplines, particularly in the arts and sciences, play a key role in that success. They provide students with the foundational knowledge and basic skills needed for success in graduate and professional school and for the interdisciplinary collaborations that are often key to addressing complex social issues. For example, problems of environmental sustainability cannot be addressed solely by grasping the scientific principles that lead to technical solutions. Successful resolution also requires understanding their ethical, social, legal, economic, and cultural implications from a global perspective. The same can be said of the pressing health concerns and human rights issues that will often arise in a global society. In short, we seek to prepare today's students for the world of tomorrow by cultivating in them an appreciation for the differences among us; developing their leadership skills as well as their basic skills; encouraging habits of collaboration, teamwork, and problem-solving; and creating more opportunities for them to

work closely with each other and with our faculty in small classes, on challenging research and creative pursuits, and in real world situations across the state.

Strategy A: Foster success in undergraduate education through multiple admission pathways that can ensure access for well-prepared students to excellent teaching and outstanding learning environments.

- Admit students whose test scores and level of preparedness maximize their chances for success at a nationally prominent research university;
- Work closely with the state's twelve community colleges and with our regional campuses to facilitate the transfer of well-prepared students to major programs available at the Storrs campus;
- Partner with the K through 12 education system to ensure that their graduates have adequate pre-college preparation and can imagine the possibility of a college education;
- Continuously improve teaching and learning through an ongoing process of assessment and by adopting best-practices across all disciplines and levels of education;
- Provide, so far as possible, the financial aid needed to ensure access and raise the university's national standing and visibility;
- Monitor the decline in the college-eligible population in Connecticut (and New England) and be prepared to vary the size of our non-resident population accordingly;

- Continue ongoing efforts to foster a cosmopolitan environment by recruiting a diverse population of students, including students from across the nation and around the world.

Strategy B: Prepare 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.

- Launch strategic efforts to increase student contact with people from diverse backgrounds;
- Expand student participation in cross-cultural learning opportunities, including study abroad and exchange programs;
- Establish new and enhanced partnerships with institutions abroad to facilitate faculty participation in international exchange programs and conferences;
- Ensure access to language and culture programs in areas of student interest.

Strategy C: Develop enhanced degree programming and course opportunities for undergraduates in emerging areas of interdisciplinary excellence and workforce demand.

- Leverage our emerging excellence in environmental studies to offer focused programs that will enhance the ability of our students to understand and solve critical environmental and ecological issues;

- Build on our vast resources (including the Thomas J. Dodd Center) and our growing reputation in the field of human rights to offer new interdisciplinary research, curricular, and co-curricular opportunities to students and faculty in disciplines as diverse as history, political science, law, literature, and the health sciences;
- Equip our students in the fine and performing arts, such as film, art, music, and drama, with the technical skills necessary to take advantage of new electronic and digital media;
- Develop new curricula and stronger programs that will integrate Connecticut's established presence in the literary arts.
- Provide enriched curricula and opportunities for students in healthcare-related disciplines, education, financial services, and engineering that are aligned with current and emerging workforce needs in the state.

Strategy D: Increase opportunities for small-group, experiential, and service learning.

- Recruit sufficient faculty in areas of strong student demand;
- Expand and differentiate our honors programming to provide more options for more students as they pursue an honors degree and other challenging curricula;
- Increase our small-class offerings, such as freshman seminars, service-learning courses, and courses that emphasize experiential learning;
- Establish living and learning communities in emerging areas of interdisciplinary excellence.

GOAL 2: GRADUATE AND PROFESSIONAL EDUCATION

Sustain and develop select graduate and professional programs of national and international distinction.

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, and social sciences, natural sciences, physical sciences, engineering, agricultural sciences, and marine sciences. Our World, Our People, and Our Future, not to mention the University's visibility as a top-ranked public university, are directly affected by the quality of our graduate and professional programs. In developing these programs, however, we must acknowledge our limited resources and channel them strategically.

Strategy A: Support the graduate and professional programs that are already in the top-tier or are:

- Moving on a strong upward trajectory toward national and international prominence in faculty research and scholarly productivity, including creative work and artistic performance;
- Consistently attracting the most promising undergraduate, graduate, and professional students;

- Constantly placing students in tenure-track positions in academia, competitive post-doctoral positions, or highly sought employment in public or private sector organizations upon timely completion of their degrees;
- Recruiting and retaining highly productive faculty;
- Competing successfully for external fellowships and grants as appropriate to the field;
- Performing at rates comparable to or above those of peer/aspirant programs at top-tier public research universities on commonly benchmarked metrics (e.g., job placement, time-to-degree, licensure pass rates, preparedness of admittees, extramural fellowships/funding for students);
- Demonstrating visionary leadership and a will to succeed;
- Addressing the state's needs in the area of economic and workforce development.

Strategy B: Offer a resource-rich training environment for graduate and professional students.

- Provide exceptional faculty mentoring to our graduate and professional students;
- Offer competitive funding to top students in programs with consistently rigorous admission criteria;
- Align doctoral program enrollments with job market demands and resources available to support students (e.g., funding, faculty mentoring capacity);
- Create additional graduate fellowships awarded by the Graduate School on a competitive basis to top students in strong programs as identified in Strategy A;
- Increase the recruitment and retention of graduate and professional students from underrepresented groups;

- Develop programs to ensure appropriate training, oversight, and evaluation for graduate teaching assistants.

Strategy C: Enhance timely placement of graduate and professional students in top positions.

- Maintain high standards for timely degree completion;
- Scale graduate and professional programs to placement opportunities, particularly in positions for which there is high demand throughout the state and nation and at institutions that will enhance our reputation;
- Provide professional development opportunities for graduate and professional students to enhance their progress and professional visibility, including support for travel to professional conferences and funding for their research as appropriate.

GOAL 3: RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY

Enhance the benefits to the state, nation, and world from faculty, staff, and student research, scholarship, and creative activity by increasing productivity, building on our existing strengths and focused areas of excellence, developing a stronger extramural funding portfolio, and expanding the infrastructure that supports research and strengthens our ability to translate new discoveries into practical applications, including our capacity in the area of technology transfer.

Maintaining UConn's standing as a top-ranked public university and improving its national and international prominence depends heavily on sustaining discipline-based research in

the arts, humanities, engineering, and sciences, including the social sciences and legal studies, while building on our interdisciplinary strengths in environmental studies, health & human behavior, arts, culture and society. Increasingly, experts are recognizing that interdisciplinary collaboration is a key channel through which discoveries lead to new policies, technologies, and aesthetic experiences that improve the quality of life for all people. For example, new discoveries by a chemist that alter materials at the nano-level may profoundly affect drug delivery and improve our success in treating what were previously considered terminal illnesses. Yet, the translation of basic-to-applied research occurs only if we facilitate collaboration between the chemists, pharmaceutical scientists, clinical researchers, and medical practitioners. At the same time, such new discoveries may not only lower mortality rates and increase life-spans, but also render existing economic, social, and cultural policies obsolete. Being prepared for these shifts means bringing social scientists and humanists into the dialogue at an early stage, so their disciplinary knowledge can be brought to bear on the social, legal, ethical, and cultural dynamics of scientific innovation. This example illustrates how critical it is to sustain core disciplines while also catalyzing interdisciplinary ventures. It underscores as well the need to invest limited resources in areas of greatest opportunity and in a research infrastructure that can accommodate both core disciplines and disciplinary boundary crossing.

Strategy A: Increase extramural support for research, scholarship, and creative activities.

- Empower the new Vice President for Research to coordinate research, scholarship, and creative activities across the University and eliminate barriers to interdisciplinary work;
- Actively support faculty pursuit of extramural funding, including support for and recognition of funding in areas where it is generally less available (e.g., NEH funding, Guggenheim Fellowships, NEA support, Fulbright Awards);
- Recruit top scholars in areas of disciplinary and interdisciplinary research where there are opportunities for extramural funding, especially if those areas have strong student demand;
- Provide faculty with competitive start-up packages and support their efforts to secure extramural funding;
- Develop clusters of research faculty in support of the continued development of our focused areas of excellence;
- Continue the development of our understanding of cultural differences through scholarship and creative activities involving diversity and internationalization;
- Make success in research, scholarship, and creative activity (including extramural funding) a criterion for appointment, tenure, and promotion, and benchmark our criteria against those that are typical at top-tier public research institutions.

Strategy B: Intensify efforts to move our discoveries into applied outcomes that further enhance our standing as a research university and the quality of life for our citizens.

- Step up activities related to technology transfer;

- Build productive relationships with partners in the private sector;
- Increase the number of invention disclosures, patent applications, and licensing opportunities;
- Encourage this kind of practical scholarship, by ensuring that it is appropriately recognized in salary, tenure, and promotion decisions.

Strategy C: Enhance the standing and national recognition of our programs of research, scholarship, and creative activity.

- Increase the visibility and volume of our research and creative activity that appears in peer-reviewed journals of the highest order, first-rate legal journals, books published by major presses, and juried shows and performances;
- Establish a system of regular program/unit review, which benchmarks research, scholarly, and creative performance against peers/aspirants in top-tier research universities;
- Provide appropriate assistance for professional development opportunities, research-related travel, and sabbaticals that will facilitate scholarship at the highest level;
- Seek opportunities to attract and funds to support top-tier journals in key fields;
- Encourage and reward faculty who are leaders in prominent professional associations or serve as editors and board members of the leading journals in their fields;
- Host, as appropriate, disciplinary and interdisciplinary conferences and research forums.

GOAL 4: DIVERSITY

Ensure an enriched learning and work environment by creating a more inclusive community that recognizes and celebrates individual differences.

An emphasis on diversity is woven throughout our Academic Plan. Providing opportunities for students to experience different perspectives and cultures is essential to preparing them for their future as citizens of a global society. Our faculty programs of research, scholarship, creative work, and engagement flourish in an environment of diversity that fosters new insights and viewpoints. The value and accessibility of our many contributions to the state and beyond will also be enhanced to the extent that we welcome and engage individuals from a variety of backgrounds. In summary, our tripartite mission of teaching, research, and outreach will thrive in an environment of diversity. The goal and strategies articulated in this section of the Academic Plan complement those related to diversity that appear elsewhere. Our emphasis on a climate that welcomes individuals with different viewpoints, experiences, and values underscores the importance that we place on diversity and the key role we believe that it must play in contemporary higher education.

Strategy A: Create more opportunities for interaction with people from different cultures and backgrounds.

- Improve recruitment and retention of faculty and staff from underrepresented groups;
- Increase retention and graduation rates among students from minority groups;

- Develop strong partnerships with institutions abroad to increase opportunities for scholarly exchange;
- Create more programs that improve access to higher education for underrepresented students and students from disadvantaged backgrounds;
- Ensure that the physical environment of our campuses is welcoming and accessible to faculty, staff, students, alumni, and visitors with disabilities and from different cultural backgrounds.

Strategy B: Strengthen programs that promote cultural competency among faculty, staff, and students.

- Enhance design and delivery of programs that aim to eliminate harassing and discriminatory behavior;
- Institutionalize training in best practices for recruiting underrepresented faculty and staff, as an element of all search processes;
- Provide training for directors of graduate and professional programs to facilitate recruitment of underrepresented and international students.

Strategy C: Build accountability for promoting diversity and creating an inclusive climate into all programs of the university.

- Incorporate diversity goals in the strategic plans of all university units;
- Assist units with gathering and tracking data related to performance on diversity goals;
- Include diversity performance in evaluations and reviews of all programs.

GOAL 5: PUBLIC ENGAGEMENT

Enhance the contributions of UConn faculty, staff, and students to the state, nation, and world through appropriate collaboration with partners in both the public and private sectors.

As a land and sea grant university, our mission extends beyond offering degree programs to include outreach, public performances and showings of creative activity, community participation in our programs of research and scholarship, and public service. With a gifted faculty possessing knowledge and expertise spanning a range of topics and issues, UConn represents an important resource for the State and its communities. It is also the steward of valuable public resources, including one-of-a-kind collections (such as the archives housed in our libraries, museums, research centers) and state-of-the-art facilities (including performance auditoriums, lecture halls, conference facilities, courtrooms, laboratories, studios, and recreational venues). In the spirit of true partnership, we seek to expand our interactions with groups beyond our campuses in areas of mutual concern and enhance their access to the resources available within the University. In addition to collaborations in the arts and humanities, we will encourage constructive partnerships in new areas of interdisciplinary excellence, such as health and human behavior, the environment, and human rights. Through broadened access and reciprocal interaction, we can realize synergistic outcomes that will further strengthen the University and benefit the people of Connecticut.

Strategy A: Increase the visibility and accessibility of faculty expertise.

- Identify, organize, and publish a database of faculty expertise;
- Foster strong partnerships with media to encourage consultation with UConn experts, as appropriate;
- Provide opportunities for faculty and staff to learn more about the media and the possibilities that may be available to share their work with audiences across the state and the nation.
- Leverage faculty expertise by encouraging faculty members to serve as members of private and public sector task forces and commissions, and share their knowledge through testimony at legislative hearings and in other advisory capacities.
- Engage faculty in assessing local needs and identifying problems in a holistic manner that strengthens the University's translational research efforts.
- Build and encourage new partnerships with state agencies, for-profit enterprises, and the not-for-profit sector.

Strategy B: Improve public access to University-housed resources and facilities.

- Enhance public knowledge of specialized collections in libraries and museums;
- Explore ways to improve transportation and access to public athletic, visual arts, and performing arts events on our campuses;
- Work with special interest groups and local organizations that may benefit from use of our facilities and resources to develop mutually beneficially shared-use agreements;

- Improve the visibility and reach of programming designed to promote lifelong learning and professional development, including non-degree and online learning opportunities.

Strategy C: Develop new and stronger partnerships throughout the state to improve healthcare.

- Reach out to relevant community and state agencies and organizations to identify common health-related challenges and develop partnerships to collaboratively address them;
- Work closely with regional hospitals to enhance medical education and the accessibility of cutting-edge developments in healthcare;
- Establish research ventures that reach beyond UConn's boundaries to jointly address the continuum of bench-to-bedside-and-back healthcare challenges with partners throughout the region.

Strategy D: Strengthen the State's K-12 education system by continuing to contribute our expertise to the state's efforts in education reform.

- Continue and strengthen outreach to pupils and teachers in the K-12 education system to improve student achievement, particularly for underrepresented groups;
- Enhance and extend partnerships aimed at urban school improvement;
- Facilitate more partnerships with the state and schools to promote evidence-based teaching and research on methods and policies that enhance learning.

Strategy E: Engage communities in collaborative efforts to address pressing environmental issues.

- Establish partnerships between students, faculty, staff and community leaders to identify and address local environmental challenges;
- Continue to enhance extension-related outreach activities;
- Develop a university plan to reduce our carbon footprint that involves university staff, students, and faculty as well as community members and leaders.

Strategy F: Enhance public engagement in human rights.

- Increase student participation in experiential human rights learning opportunities;
- Establish more service-learning opportunities that emphasize or integrate human rights issues;
- Enhance public participation in conferences and symposia related to human rights that are sponsored by the University of Connecticut.

GOAL 6: ADMINISTRATIVE ORGANIZATION, CAPITAL INFRASTRUCTURE, AND BUDGET PROCESSES

Establish administrative, infrastructural, and budget systems designed to efficiently realize the goals of the Academic Plan.

A plan with the ambitious aspiration that ours embodies requires substantial effort and investment by individuals and units throughout the University. Recognizing this, we are committed to having the administrative leadership, capital infrastructure, and financial

processes in place to efficiently support the goals of the plan and to provide faculty, staff, and students with the resources required to realize our aspirations. Anticipating our ambitions, we have already taken steps to reorganize our administrative structure to facilitate greater coordination of our academic and research enterprises and to reduce the barriers to interdisciplinary work. Further steps will follow to refine our administrative organization and to provide effective oversight of the Plan and our progress on achieving its aspiration and goals. Additionally, we are developing enhancements related to our capital planning and infrastructure that will engender new efficiencies as we move forward on this plan. This emphasis on the responsible stewardship of our resources will also extend to our financial planning, as we put into place processes that will direct funds to our highest priority activities, as articulated in this plan.

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

- Hire a Vice President for Research who will oversee the research enterprise across all campuses, colleges, schools, and colleges of UConn;
- Re-assign the reporting lines for the Dean of the School of Medicine and Dean of the School of Dental Medicine to the Executive Vice President & Provost and create a Health Sciences Council reporting to the Executive Vice President & Provost comprised of deans of the health science schools and colleges;
- Provide enhanced administrative leadership for each of the following domains: international programs, regional campuses, and community outreach;

- Elevate the Director of the Office of Diversity & Equity to the position of Associate Vice President for Diversity & Equity and expand the position's portfolio for enhancing and integrating diversity-related programming across all UConn campuses;
- Establish a Vice President to oversee Institutional Research and Enrollment Planning & Management, reporting jointly to the President and the Provost, who will track the alignment of our programs with our goals, strategies, and metrics; measure our progress and performance; analyze graduate and undergraduate enrollments, admissions, and outcomes; and respond to internal and external requests for data and analyses related to our teaching, research, and public engagement missions.

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

- Evaluate the academic building programs under UCONN 2000/21st Century UCONN to make sure that these programs are aligned with the goals of the Academic Plan;
- Conduct a space inventory that will link space allocation to teaching, research, and engagement activities and the demands and revenues generated by those activities;
- Develop space prioritization plans in each school and college to establish principles by which space will be allocated across different needs and activities;

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

- Seek new revenue from the state, emphasizing additional faculty lines as a high priority for all our campuses;

- Use UConn's upcoming capital campaign to pursue philanthropic funding to support the priorities outlined in the Academic Plan, especially priorities related to student financial aid;
- Generate additional revenues by addressing the increasing demand for summer and inter-session programs;
- Ensure that we are appropriately budgeting the costs of research and education programs in accord with the allowable costs articulated in our federal, state, and agency agreements, including indirect costs and the costs of supporting research assistants, while remaining competitive in our pursuit of extramural funding;
- Engage in an open and transparent review of base budgets, while making certain that common goods (e.g., honors programs, library resources) are funded;
- So far as possible, allocate marginal increases in revenues and reallocated resources to areas of high student demand and strategic importance.

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.

- Conduct a review of information technology systems across all UConn campuses, including those supporting administrative, research, teaching, and outreach operations;
- Inventory committees, task forces, and other advisory and governance bodies with the aim of eliminating those that have become obsolete or redundant;

- Ensure that all academic units have a set of appropriate by-laws and that these are consistent with University regulations and the UConn By-Laws approved by the Board of Trustees.
- Implement the Sunset Policy and Selective Investment Principles detailed in Appendix II to guide the allocation and re-allocation of resources from low priority or less successful programs to support the priorities identified in the Academic Plan.

IMPLEMENTATION OF THE ACADEMIC PLAN

The Academic Plan will be implemented by gearing the distribution and re-distribution of resources to the goals we have articulated and by measuring our progress through a set of metrics detailed in Appendix I to this document. For example, decisions related to the distribution of revenues; recruitment and retention of faculty, students, and staff; space assignment; capital improvements; and curricular enhancements will be driven by their effects on the goals of the Academic Plan. Furthermore, decisions that stimulate greater achievement of these goals will be given priority.

Over the next six months, campuses, colleges, schools, and departments will be asked to develop or refine their own academic or strategic plans to bring them into alignment with the new university Academic Plan. These plans should clearly demonstrate how the units will prioritize their activities and investments in ways that contribute to this university-wide plan. Academic deans, heads, directors, and other administrative officers will be responsible for reviewing and approving the plans of their units. The Provost and Executive Vice President, in consultation with the President, will review and approve directly reporting collegiate and administrative plans. The President will also review and approve the plans of the administrative offices reporting directly to the President's Office. All plans will be public documents.

We will continuously assess our performance related to the Academic Plan's six goals through corresponding metrics, in the form of an annual "report card," which will be shared with the Board of Trustees and our community. As the Academic Plan is implemented, we will also update the environmental scan reported in the next section.

ENVIRONMENTAL SCAN

Strategic planning is a dynamic process. It begins by articulating the purpose, values, and aspiration that guide the collective pursuit of excellence, as represented in our goals, but it does not end with these statements. Rather, it continues under a process of ongoing assessment, including evaluation of the conditions under which the plan is developed and implemented – conditions that may change over the five-year life of the Plan. Below, we describe the context in which we are operating and expect to continue operating with respect to our demographic and fiscal environment. This context informs the ambitious metrics that will be used to measure our progress toward the goals articulated in the Plan. It is important to note that while the environment may shift and thus require some adjustment of our metrics, values, aspirations, and goals to which we are collectively committed will remain in place.

DEMOGRAPHIC CONTEXT

Despite an increasingly competitive market, the University of Connecticut has experienced significant success in attracting, retaining, and graduating students in greater quantity, quality, and diversity over the past five years. The projected decline in high school graduates over the next five years, however, will make the New England marketplace even more competitive. There is a projected seven-percent decline in the

number of Connecticut high school graduates between 2008 and 2015 (from 43,600 to 39,400) and similar declines are projected for our primary out-of-state markets across New England and the Middle Atlantic States. To keep pace and thrive within these changing demographics, we must take an increasingly strategic approach to recruiting students within Connecticut and beyond.

Along these lines, in 2004 we established a national recruitment model and in 2008 we launched an international recruitment plan, both of which will help us offset declining pools in our primary markets. Our national recruitment plan focuses on areas of the country that anticipate large increases in the number of high school graduates. Such increases are forecasted in the South, Southwest, and Western regions of the United States, which are viewed as our secondary and tertiary markets. Our plan has already produced results, with the percentage of Storrs undergraduates from states in these regions growing from 10% (128) in fall 1999 to 14% (231) in fall 2007.

It is important to note that the downward trend in the economy, the changing landscape of private student loans, and the price sensitivity of out-of-state students requires annual analysis of our pricing and financial aid policies, if we are going to remain competitive in this turbulent marketplace. Additionally, we note that the racial/ethnic composition of high school graduates is projected to change dramatically and this, too, will have an impact on undergraduate enrollment. Addressing this demographic shift is as important as addressing the forecasted decline in the overall pool of high school graduates in Connecticut.

WORKFORCE & ECONOMIC DEVELOPMENT OPPORTUNITIES

While we are currently confronting a downturn in the economy, the news is not all bad. As noted in various reports and studies, including those published by the Connecticut Center for Economic Analysis, Connecticut Department of Labor, and the Battelle Institute, Connecticut's economy is rapidly changing from one characterized by a large manufacturing base and blue-collar workforce, to a knowledge economy dominated by a growing services sector and higher paying white-collar jobs. In this transformed economy, higher education plays a critical role in ensuring an expanding population of college-educated workers.

In light of the anticipated decline in the college-age population described above, the growing demand for college graduates poses a challenge for the State, but one that UConn is well-positioned to address. Coelen and Berger, in *New England 2020*, observed that college students comprise a substantial portion of the new residents attracted to states from outside their borders. These students are then likely to remain in the state following graduation and provide a steady supply of educated professionals who are crucial to growing the state's economy. As the State's flagship university and the highest ranked public research university in New England, UConn has the potential to continue to attract a growing number of resident and non-resident students, who are likely to remain in the state to address its workforce demands. In addition, through its traditional programs and those offered by its Center for Continuing Studies, UConn

offers multiple pathways to facilitate workforce re-training, as the state economy continues to transition.

Finer grained analyses of the opportunities for economic development suggest that Connecticut is poised to seize a share of the growing biotechnology, nanotechnology, financial services, and healthcare sectors. These analyses, in turn, highlight the importance of fostering strong undergraduate, pre-professional, graduate and professional programs in the sciences, engineering, business, and healthcare professions. And, to prepare students to pursue these areas of study, we must continue to train the next generation of teachers through our Neag School of Education.

In addition to helping address workforce demands, economic analysts also point to public research universities as catalysts for the cultivation of new businesses and industries. Universities are hotbeds for discoveries that can be translated to new products, which, in turn, generate or leverage new markets. In Connecticut, there will be a growing need for partnerships among scientists and public and private sector organizations to more rapidly translate discovery into economic development for the region. Biotechnology and nanotechnology are two particularly promising areas for such partnerships. Furthermore, analyses by multiple organizations, including the Connecticut Academy of Science & Engineering (CASE), the Connecticut Center for Economic Analysis, and Tripp Umbach, reaffirm the vital role of an academic health center in the well-being of the State and its potential for economic development. Thus, UConn's success at fostering excellence in basic and translational science, including and importantly, research and education

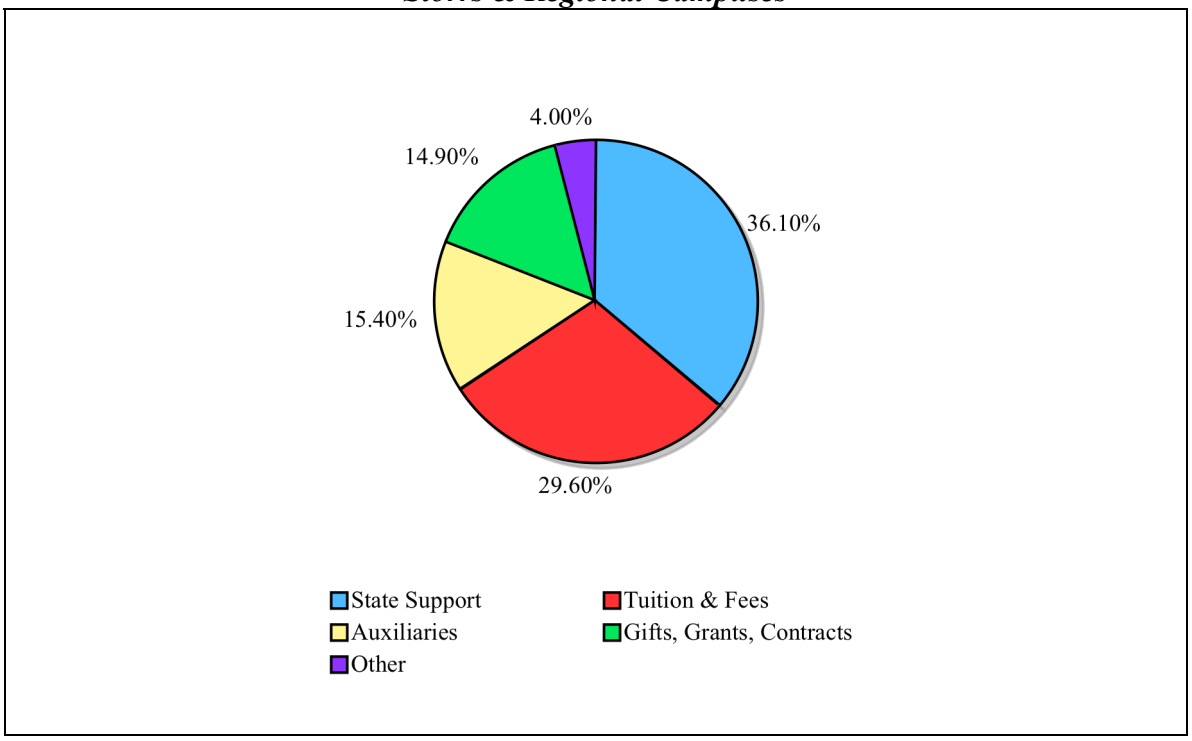
occurring at the University of Connecticut Health Center, will continue to be a critical contributor to the state's economic vitality.

FISCAL ASSUMPTIONS

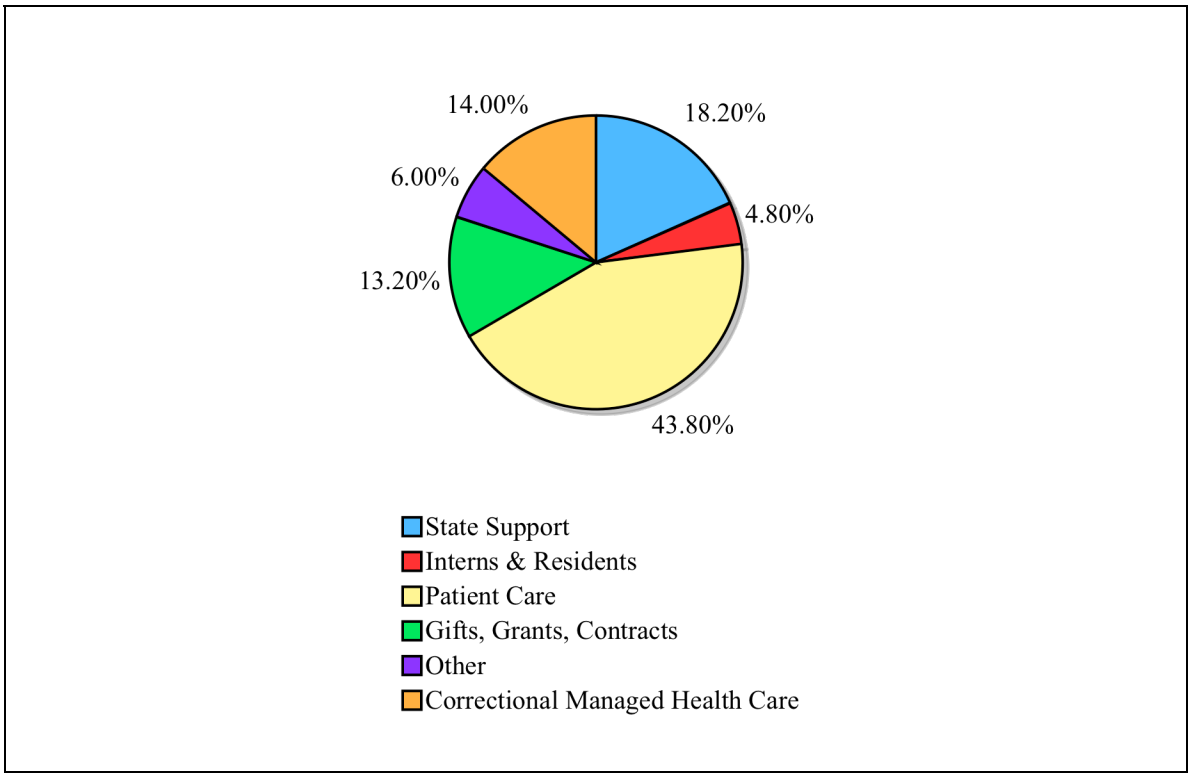
UConn's operations are supported through four key revenue sources at the Storrs and regional campuses and five sources at the University of Connecticut Health Center (UCHC). The relative contribution of the revenue sources to the FY08 budget are depicted below.

FY08 Revenue Sources – Storrs & Regional Campuses and UCHC

Storrs & Regional Campuses

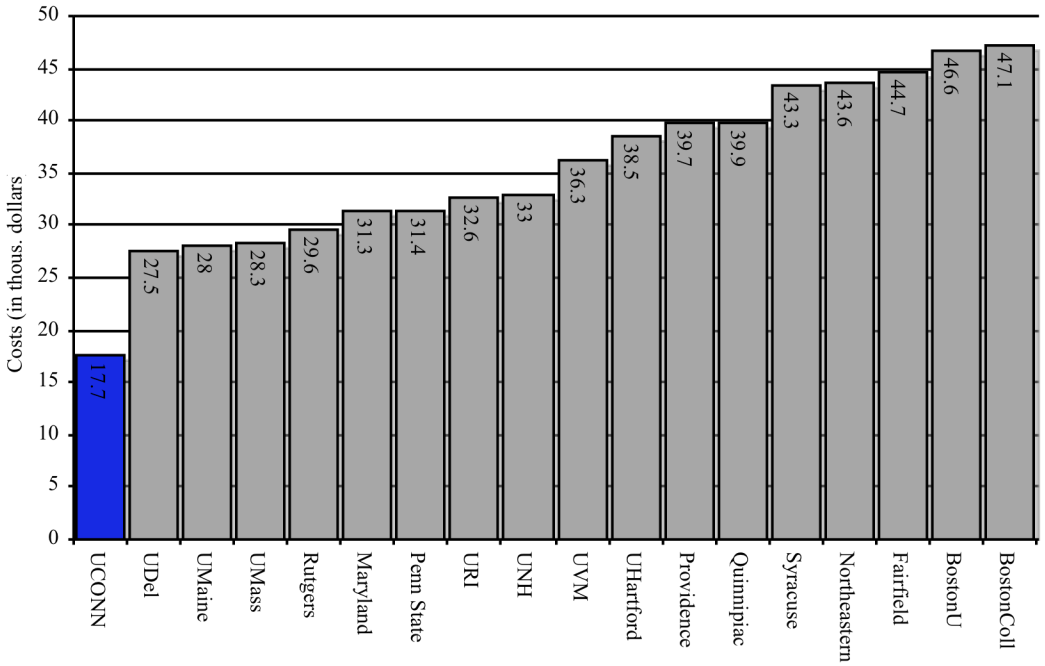


UCHC



As the first figure depicts, about two-thirds of the revenues supporting Storrs and the regional campuses arise through state support and tuition revenues. The percent of revenues from state support has remained steady in recent years, as has the relative contribution from tuition and fees. Yet, the current economic trends confronting the state challenge this stability. Additionally, the previous discussion of the demographic context in which we are operating highlights the importance of carefully monitoring enrollments and managing tuition and mandatory fees, if demand from in- and out-of-state students shifts. Compared to our regional market as depicted in the next figure, UConn remains a highly affordable option for Connecticut students and we are committed to maintaining the accessibility of a highly valued UConn degree.

UConn's Affordability: Tuition, Fees, Room & Board Costs for Connecticut Students at UConn Compared to Those at Other Regional Universities and Colleges



While the percentage of revenues from tuition have remained stable at UCHC in recent years (at about 2% of all revenues), the mix of other revenue sources has fluctuated somewhat, with between 16% - 18% of revenue coming from state support, and between 55% and 58% from correctional managed health care and patient care. These fluctuations reflect, in part, the complexities that our John Dempsey Hospital confronts related to the mix of payers and services in a small academic hospital. These complexities, alongside costs associated with mandated fringe benefits the University pays its state employees create unique challenges for the state's only public academic health center. The same set of complexities are recognized in a report that the Connecticut Academy of Science and Engineering presented in March 2008 to the General Assembly. The study notes the

importance of constructing new clinical facilities at the Health Center in Farmington to address these challenges, as well as the potential value of developing alliances with affiliated hospitals to enhance healthcare delivery throughout the region. At this point, it is difficult to forecast the fiscal impact of actions by the University, State, and affiliated hospitals in response to the report, although it is clear that the report recognizes the challenges we confront and its recommendations are aimed at stabilizing our fiscal environment.

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 13% of revenues at UCHC. We are already taking measures to address these challenges. We have created a new Vice President for Research to help the President and Provost establish a coherent vision for our research enterprise and to develop a stronger infrastructure to assist faculty, staff, and students in identifying grant opportunities and successfully pursuing them. Additionally, we 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.

INTERDEPENDENCIES

The environmental context described above reflects well-recognized interdependencies. For instance, on the one hand, the state's economic growth depends on the availability of a college-educated workforce. But, on the other hand, attracting the best and brightest students to the University of Connecticut is facilitated by a healthy economy, which prospective students view as likely to generate a high quality of life and generous work opportunities following their college experience. UConn's standing as a top-ranked public university represents an important advantage for the State in this recursive relationship. It explains why our goal is to remain a highly ranked and continuously improving institution, and why we aspire to join the ranks of the top-20 public universities in the nation.

Of course, Connecticut's economic health has implications for the support the University receives from state, and consequently, the resources we are able to drive toward our goals and aspiration. In particular, our capacity to attract the best and brightest students to UConn, and thus Connecticut, depends on continuously improving our programs of teaching and research. This is accomplished primarily through our own workforce, notably, our faculty. The goals articulated in this plan and the metrics we will use to measure our progress depend heavily on increasing the size of our faculty. We cannot expect to measurably enhance the quality of our undergraduate, graduate, and professional programs simply by teaching more students with the same number of faculty (particularly when our student-faculty ratio already exceeds that of similarly ranked public universities). Rather, continuous improvement of our academic programs will rely

heavily on ensuring that students have access to small classes, regular course offerings, and experiential and interactive learning opportunities, which, in turn, will require increasing the size of our faculty. We will seek additional funding from the State to support this initiative, alongside internal reallocations.

The quality of our academic programs is inextricably linked to the quality of our research programs. Indeed, the interdependence between learning and research is the "value-added" for students attending a public research university. To be a top-ranked and continuously improving public research university, we must grow our research enterprise and, in doing so, provide increasing opportunities for undergraduates to participate in that enterprise. The exposure of undergraduates to research experiences is a major factor in attracting outstanding students to UConn. By improving our research infrastructure, we will be able to attract more of the world's most research productive faculty and improve research productivity among our existing faculty.

University research, in turn, fuels the local economy and contributes to our capacity to improve the quality of life for the citizens of Connecticut and beyond. Thus, teaching, research, and public engagement are themselves interdependent and, at the core, our capacity for continuous improvement across all three depends on faculty and their productivity.

In summary, trends in the demographic profile of the State alongside economic shifts and the interdependencies among these factors, the University's resources, and its success as a top-ranked public university provide both a starting point and a road map for UConn as it embarks on the priorities outlined in this Academic Plan. While there are many challenges, through partnership with the State and other entities, these challenges can be re-framed as opportunities and drivers that will guide the implementation of our Academic Plan.

APPENDIX I

ACADEMIC PLAN METRICS

(* = Board-Approved Metric)

GOALS AND ASPIRATION: ***The University of Connecticut Seeks to constantly improve its performance in teaching, research, and outreach and to emerge as one of the top-20 public research universities in the nation.***

Metric	Baseline	2014 Goal
National Ranking among Public Research Universities	26	20

GOAL 1: UNDERGRADUATE EDUCATION

Engage 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.

Metric	Baseline	2014 Goal
*Freshman average SAT (Math & Verbal)	1192	1220
% Students in top-10% of high school class	40%	45%
*6-year graduation rate	74%	78%
First-year retention rate	93%	95%
# Annual Guaranteed Admissions Program transfer students	0	30
% International students comprising entering class	5.5%	7%
Study-abroad participation rate	18%	30%
*Student-Faculty Ratio	17:1	15:1
*Undergraduate credit hours per faculty	422	470
% Classes with less than 20 students	44%	47%
# Students entering the honors program annually	290	550
# Students participating in internships annually	2,000	2,300
% First-year students participating in living & learning communities	17%	25%

GOAL 2: GRADUATE AND PROFESSIONAL EDUCATION

Sustain and develop select graduate and professional programs of national and international distinction.

Metric	Baseline	2014 Goal
# Graduate and professional programs ranked in top-25 among public institutions	9	14
# Entering students holding national fellowships/scholarships	6	15
#Federally funded training programs at the university	2	6
Median time to degree - Masters	3.0 yrs.	2.0 yrs.
Median time to degree – PhD (assumes no Masters)	6.0 yrs.	5.5 yrs.
% Doctoral students receiving full-time (20-hour/week) assistantships funded through extramural grants, contracts	5.8%	10.0%
Pass rates on national licensure exams	85%-100%	95%-100%
*Doctoral degrees awarded per 100 faculty	19	23
*Graduate & professional credit hours per faculty	80	90

GOAL 3: RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY

Enhance the benefits to the state, nation and world from faculty, staff, and student research, scholarship, and creative activity by increasing productivity, building on our existing strengths and focused areas of excellence, developing a stronger extramural funding portfolio, and expanding the infrastructure that supports research and strengthens our ability to translate new discoveries into practical applications, including our capacity in the area of technology transfer.

Metric	Baseline	2014 Goal
Recruit 145 net additional faculty	0	145
*External research expenditures ($) per faculty	$90k	$100k
Extramural research awards ($)	$186M	$220M
*Post-doctoral appointees per 100 faculty	14	18
# Fellows in national/international learned societies/academies	139	150
# Articles in refereed journals	2,154	2,400
# Books published	183	200
# Juried shows and curated exhibits	26	35
# Artistic and creative products	770	850
# Annual patent applications	23	30
# Annual commercial development agreements (options, licenses)	9	15

GOAL 4: DIVERSITY

Ensure an enriched learning and work environment by creating a more inclusive community that recognizes and celebrates individual differences.

Metric	Baseline	2014 Goal
% Tenured/tenure-track faculty from underrepresented groups	8%	13%
% Executive/managerial from underrepresented groups	17%	20%
% Female tenured/tenure-track faculty	34%	40%
% Executive/managerial/ staff who are female	36%	40%
% Undergraduate students from minority groups	18%	22%
First-year retention rate among minority undergraduates	91%	95%
*Six-year graduation rate among minority undergraduates	69%	78%
% Graduate and professional students from minority groups	14%	18%
% International graduate and professional students	17%	22%

GOAL 5: PUBLIC ENGAGEMENT

Enhance contributions of UConn faculty, staff, and students to the state, nation, and world through appropriate collaboration with partners in both the public and private sectors.

Metric	Baseline	2014 Goal
# On campus fine and performing arts events	600	700
# Off-campus fine and performing arts events	400	500
# Expert consultancies to private and public sector organizations	941	1,100
# Students participating in service-learning and volunteer programs	1300	2000
# Campus visitors (Lodewick Visitor Center; excl. performances, athletic events)	43,000	50,000
# Formal outreach programs for schools or businesses	449	550
# Clinical/Extension System contacts	30,531	35,000

GOAL 6: ADMINISTRATIVE ORGANIZATION, CAPITAL INFRASTRUCTURE, AND BUDGET PROCESSES

Establish efficient administrative, infrastructural, and budget systems designed to efficiently realize the goals of the Academic Plan.

Metric	**Completion Target**	
Complete re-organization related to decanal reporting lines in Medicine, Dental Medicine, and Vice President for Research	2009	
Complete re-organization in the Office of the Provost related to leadership of institutional research, community outreach, regional campuses, international programs, and diversity.	2010	
Develop integrated plan for enhanced diversity programming across all UConn campuses	2009	
Implement Sunset Policy & Selective Investment Principles for re-allocation from low priorities/unsuccessful programs to high priority programs (see Appendix II)	2009	
Conduct annual assessment of alignment between UCONN 2000/21st Century UCONN and Academic Plan progress	Ongoing - Annual	
Review base budgets and develop reallocation plans to support the goals of the Academic Plan.	Ongoing - Annual	
Establish space allocation policy within every college and school	2010	
Review information technology infrastructure and systems.	2010	
Review committees, task forces, and advisory/governance bodies and eliminate those that are obsolete/redundant.	2009	
Review by-laws of colleges/schools to ensure consistency with University by-laws (create by-laws in units where they are non-existent)	2010	
Metric	**Baseline**	**2014 Goal**
*Endowment assets market value	$316M	$505M
*Alumni giving rate	21%	25%
Annual level of private support in new gifts and commitments	$55M	$85M

APPENDIX II

SELECTIVE INVESTMENT PRINCIPLES & SUNSET POLICY

SELECTIVE INVESTMENT PRINCIPLES

The Academic Plan identifies six major goals, supported by 23 strategies. Achieving these goals through the strategies enumerated will help UConn achieve its goal of continuous improvement and its aspiration of becoming one of the top-20 public research universities in the United States. Underlying the plan is the recognition that maintaining such excellence in today's highly competitive and fiscally challenging environment requires focused investment in units, programs, and activities that address key needs of the state and the students we serve.

To ensure such focused investment, resources will be allocated and re-allocated differentially, with additional resources directed to programs, units, and activities that are central to the core missions of the University and characterized by:

- Sustained high-levels of demand from undergraduates;
- Ability to address workforce needs within the State of Connecticut;
- A strong upward trajectory toward national and international prominence in the quality and quantity of faculty research, scholarship, or creative work;

- Outstanding graduate and/or professional students who are able to compete successfully for extramural fellowships and awards and obtain tenure-track positions in academia, competitive post-doctoral positions, or highly sought employment in public or private sector organizations upon timely completion of their degrees;
- Visionary leadership that demonstrates strategic fiscal stewardship;
- Potential to generate extramural funds through grants, contracts, or philanthropy;
- Capacity to contribute in concrete ways to multiple strategies articulated in the Academic Plan.

Concurrently, the University will reduce funding or discontinue programs, units, and activities that reflect declining demand on the part of students and the State; lack vitality in faculty programs of research, scholarship, or creative work; are deficient in meeting external standards of performance (e.g., as operationalized through external review/accreditation); lack strong leadership and a will to advance their academic standing; are unsuccessful in establishing an upward trajectory compared to peer and aspirational groups; fail to attract competitive graduate/professional students or successfully place them in desirable positions upon graduation; and/or are not operating on a solid financial basis. Resources currently allocated toward programs, units, and activities that are discontinued or reduced will be re-allocated toward programs, units, and activities that meet the principles in the bulleted list above.

SUNSET POLICY - GRADUATE PROGRAMS

UConn's development of tomorrow's scientific, artistic, and scholarly leaders through doctoral training represents an important contribution to the state, nation, and world. Yet, it takes a significant investment from the University to carry out this charge. Successful doctoral programs require investments in highly productive faculty, in staff devoted to administrative support of the programs, and in graduate assistantships and scholarships that can attract the brightest students, not to mention capital investments in the provision of equipment, laboratory and studio supplies, scientific instruments, and library materials.

In light of the importance and costs of doctoral programs, and being mindful of the many other obligations of the University, UConn must be careful that resources are channeled to programs where there is a steady student demand and good prospects for the placement of these students upon conferral of their degree (e.g., in tenure-track positions in universities, positions in businesses and organizations, state and federal governmental positions, sought-after post-doctoral opportunities). By extension, this means that the University cannot afford to devote scarce resources to programs where student demand is waning and job prospects are not strong. With these points in mind, it is important for the University to track trends in doctoral programs and to take the bold but responsible step of identifying programs for sunsetting that do not warrant ongoing investment. Programs that may be candidates for a sunset plan are ones in which[†]:

[†]Programs that are less than six years old would be exempt from the policy.

(1) The entering cohort of students is, on average, two or fewer for each year over the last three consecutive years (i.e., a mean of two/year or less over three years);

(2) Total enrollment in the program is six or fewer students/year over the last three consecutive years;

(3) No doctoral degrees have been awarded in the last three consecutive years or less than a total of five doctoral degrees have been awarded in the last five years.

If any of the above conditions hold, the Dean of the Graduate School will immediately place a hold on admissions and initiate discussions with the program's graduate director to determine if/how the program should be closed. While sunsetting (i.e., a systematic plan to close a program) should be seriously considered, there may be factors that deem program closure unwise, such as demonstrated workforce needs or other demands in the state.

After discussions with the director of a graduate program that meets one or more of the sunset criteria, the Dean of the Graduate School will make a written recommendation for either sunset or recovery to the Provost and Executive Vice President. If the Provost decides to embark upon a recovery plan, written notice to the Dean of the Graduate School and graduate program director will be made of the decision. The Dean will then work with the graduate program director to develop a recovery plan for the program, including a timeline, through which healthy enrollments and graduate student progress toward the degree will be restored. If the Provost determines that sunsetting is appropriate for the program, then written notice of the decision will be made to the Dean

of the Graduate School, to the program's graduate director, and currently enrolled graduate students, including the anticipated period over which the sunset plan will be implemented and completed. The program's graduate director will develop plans of study for students in the program designated for a sunset. The plans must identify a timeline and benchmarks for each student toward meeting the degree requirements within the sunset period. During the sunsetting period, applications to the program will not be accepted.

SUNSET POLICY – CENTERS/INSTITUTES

Like graduate programs, centers and institutes have the potential to contribute significantly to UConn's standing as a top-ranked public research university and they also involve an allocation of resources by the University in activities that contribute to our research, teaching, and outreach missions. Faculty and staff time, student support, space, and capital support represent some of the types of investments that must be made to sustain centers and institutes. Just as is the case for our graduate programs, these investments must be made wisely, with the goal of directing resources toward centers and institutes that are characterized by vitality (as evidenced by faculty, staff, and student participation in the center/institute activities), solvency, and substantial and unique (compared to existing units and programs) contributions to the goals and aspirations of the University. To ensure such wise investment, the University will review all centers and institutes on a five-year cycle and consider sunsetting those centers and institutes characterized by:

(1) Contributions that duplicate the work of other units or programs and are less cost-effective than the other units/programs;

(2) Participation by faculty, staff, or students from only a single discipline;

(3) Fewer than three tenured/tenure-track faculty participants;

(4) Failure to remain financially solvent without substantial investment on the part of the University (particularly, the inability to attract extramural support, for example, through philanthropic contributions, pay-for-service arrangements, grants/contracts);

(5) Failure to contribute to the University's standing as a top-ranked university.

If the review of a center/institute indicates that any of the above conditions hold, the Provost will immediately meet with the director to discuss the viability of the center/institute and develop either (a) a recovery plan to overcome deficiencies related to the above conditions within two years; or (b) a timeline for closing (i.e., sunsetting) the center/institute.

Appendix 8.1

Master Plan (2006)

Storrs Campus Master Plan Update

January 2006

UCONN

PAULIEN & ASSOCIATES, INC.

CHANCE MANAGEMENT ADVISORS, INC.

SVIGALS + PARTNERS

JJR

landscape architecture
planning
urban design
civil engineering
environmental science

University of Connecticut

Storrs Campus Master Plan Update

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Introduction

The Need to Update

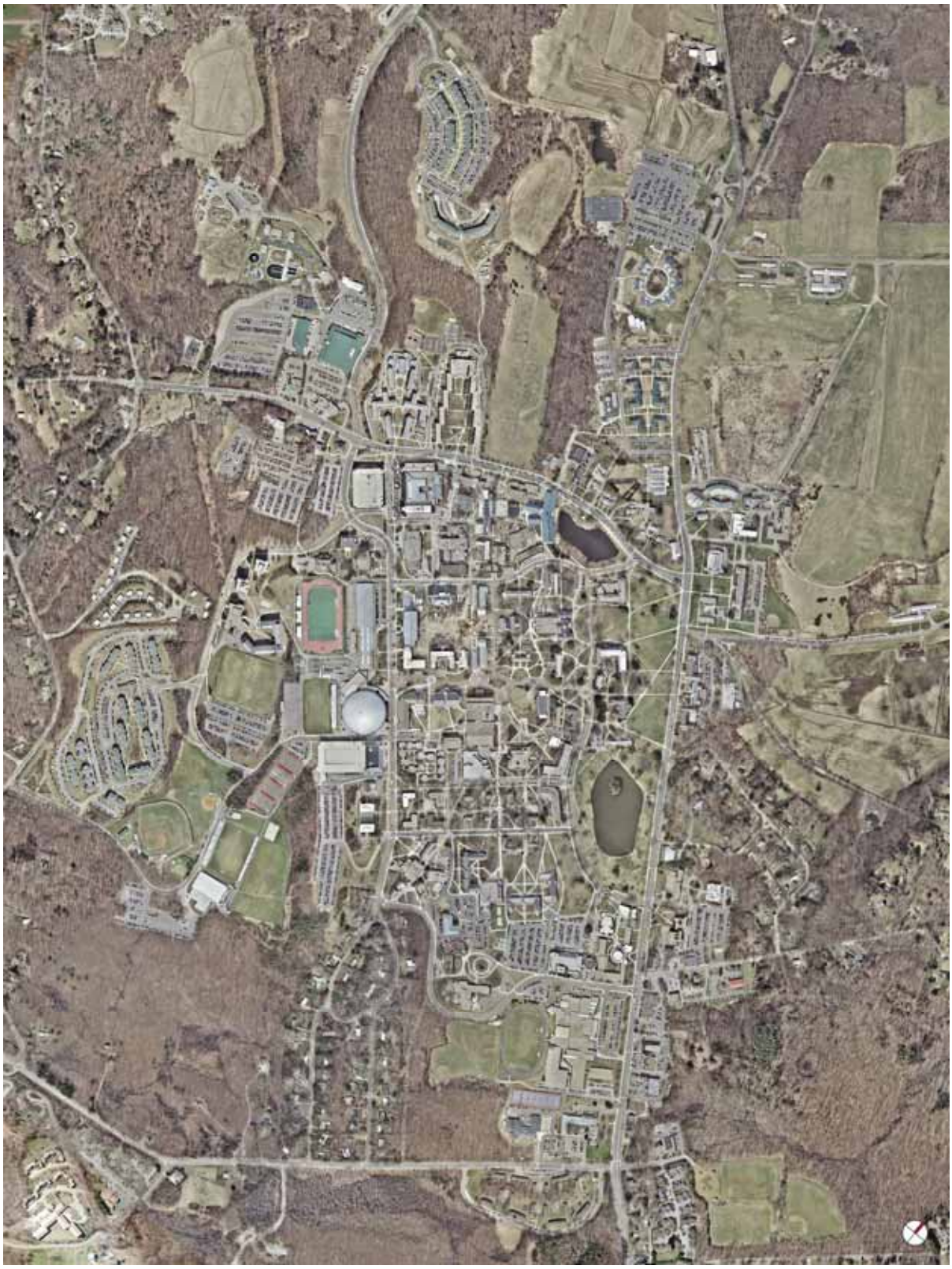
As a result of the UCONN 2000 initiation, the 1998 University of Connecticut Campus Master Plan was adopted. The master plan set the principles, goals, concepts, and guidelines for a bold transformation of the Main Campus at Storrs.

Because of the remarkable success of Phase 1 and 2 of UCONN 2000, the university is now embarking on 21st Century UConn (technically phase 3 of UCONN 2000) that identifies additional academic and research facility needs including new buildings and numerous projects to replace and upgrade existing outdated, ineffective, and unsafe facilities.

The University of Connecticut Storrs Campus Master Plan Update (Master Plan Update) was commissioned as a result of significant changes to the physical campus setting since the substantial completion of UCONN 2000 improvements. These significant changes, while both positive and in keeping with the principles of the master plan, have also changed the operational dynamic, vehicular and pedestrian circulation routes, and parking and open space systems. The Master Plan Update will focus on these and other remaining issues relating to the creation of a cohesive campus.

The Master Plan Update is not a rethinking of the 1998 Campus Master Plan, but a refinement. At the onset of the UCONN 2000 initiative, the physical infrastructure of the university was in such poor condition that nearly any project would be a step in a positive direction. Now, at the commencement of the 21st Century UConn initiative, there must be a focused effort to ensure that the allocation of resources is driven by programmatic needs and the enhancement of safety and operational efficiencies.

The Master Plan Update will strive to continue the successful transformation of the Main Campus at Storrs from one that was once dispersed and automobile dependent to one that is increasingly interconnected and welcoming to pedestrians.



2004 Aerial Photograph of the Main Campus at Storrs

Planning Purpose

The purpose of the Master Plan Update is to:

- Assess the current campus composition after the substantial completion of UCONN 2000 improvements and identify priority issues requiring planning and design guidance.

- Focus on the Central Campus, South Campus, West Campus, Research, East Campus, and North Campus Neighborhoods, determine what makes each neighborhood unique and develop ways to unite them as one cohesive campus.

- Identify additional specific enhancements that will improve campus pedestrian and vehicular circulation, open space, parking, wayfinding, image, and building operation in support of master planning principles and goals. The principles and goals are clearly explained in the 1998 Campus Master Plan Technical Report and were reaffirmed in this update process.

Planning Principles

- Respect what is already in place.
- All campus elements must inter-relate.
- Campus is about people, not just buildings and spaces.

Planning Goals

- Establish a clear organizational concept.
- Develop an articulated hierarchy of spaces and paths.
- Create a humane campus in scale, function, and materials.
- Provide a flexible framework to accommodate future university needs.
- Articulate a plan of conservation and development.

- Identify opportunities for accommodating 21st Century UConn projects within the fabric of campus. Priorities include: enhancing academic facilities (e.g., replacement of the Jaime Homero Arjona Building and the Henry Ruthven Monteith Building), additional research facilities (e.g., collocation of all biology activities), consolidating the now scattered fine arts facilities into a single Fine Arts Complex, the North Hillside Road extension to Route 44, and residential and student life enhancements.

- Project campus space capacities for meeting future programmatic needs.

- Develop environmentally sustainable design guidelines for consideration in future project implementation.

In addition to the Master Plan Update, several supplemental planning reports were prepared with more specific detailed recommendations. These companion studies are referenced here (see the individual reports for more detail).

Athletic Master Plan
This report assesses the existing and future program requirements of all athletic programs and presents recommendations for accommodating future needs.

East Campus Plan of Conservation and Development
This report is an update of a study conducted in 2000. It refocuses the earlier study into a more balanced conservation approach for future planning on East Campus.

Campus Sustainable Design Guidelines
This report sets forth guidelines for low-impact, sustainable design of the campus environment and represents the university's commitment to protect our natural resources.

Campus Wayfinding
This report sets recommendations for an efficient, effective, and consistent wayfinding system both on and off campus.

Classroom and Laboratory Utilization Study, Classroom Mix Study, and Space Needs Analysis
This document analyzes the current university space and offers recommendations based on present and future needs.

Master plan reports were also developed for three regional campuses concurrently with the Master Plan Update. The reports analyze space needs as well as vehicular, pedestrian, open space, parking, and other needs which led to recommendations for future opportunities on these campuses.

Avery Point Campus Master Plan

Torrington Campus Master Plan

Greater Hartford Campus Master Plan

Planning Methodology

The Master Plan Update process was initiated in April 2003. A kick-off session was held with the Master Plan Advisory Committee (MPAC) to review and renew the plan's principles and goals, review the process and expectations, and discuss the opportunities and issues on campus. A campus-wide open house was held in Homer Babbidge Library to inform faculty, staff, and students of the master plan process and to facilitate a dialogue on priorities, observations, and concerns regarding the campus and its facilities. An open planning method was utilized with input from the campus and neighboring community through periodic open houses, an interactive website, committee workshops, and university leadership reviews.

An analysis of existing conditions and improvements since the 1998 Campus Master Plan was conducted, and areas requiring attention were identified. Space needs assessment interviews were conducted with assistance from the provost, deans, and administrative staff in order to assess program needs to inform the planning of future facilities with a focus on maximizing utilization and minimizing redundancy.

The 21st Century UConn project list was reviewed and discussed with MPAC to understand the priorities and critical adjacencies of each. Alternatives were explored for each proposed facility and shared with the campus community to facilitate discussion and set preferred directions. The 21st Century UConn projects were then assessed in context with one another and the rest of the university campus framework, and further refinement and discussion took place.

Priority issues identified in the analysis, workshops, and open houses were investigated generating alternative concepts that were further refined through dialogue. Specific projects were identified that would strengthen the connectivity and continuity of campus, facilitate efficient movement of pedestrians and vehicles, provide a safer environment, and create memorable open spaces. As recommendations were finalized, they were tested within the framework of the campus environment in order to prepare a preliminary master plan. Input received from MPAC, students, faculty, and university administration was incorporated into the master plan document.

It is important to remember that the master plan is a living document and therefore is never "final." A master plan is not the physical representation or a plan to hang on the wall. It is the planning principles and goals that guide the process of creating the master plan. Although the plan helps visualize patterns, a campus is ever-changing and plans are altered as administration, budgets, and trends evolve. This Master Plan Update represents an important point in time in the evolution of the University of Connecticut.

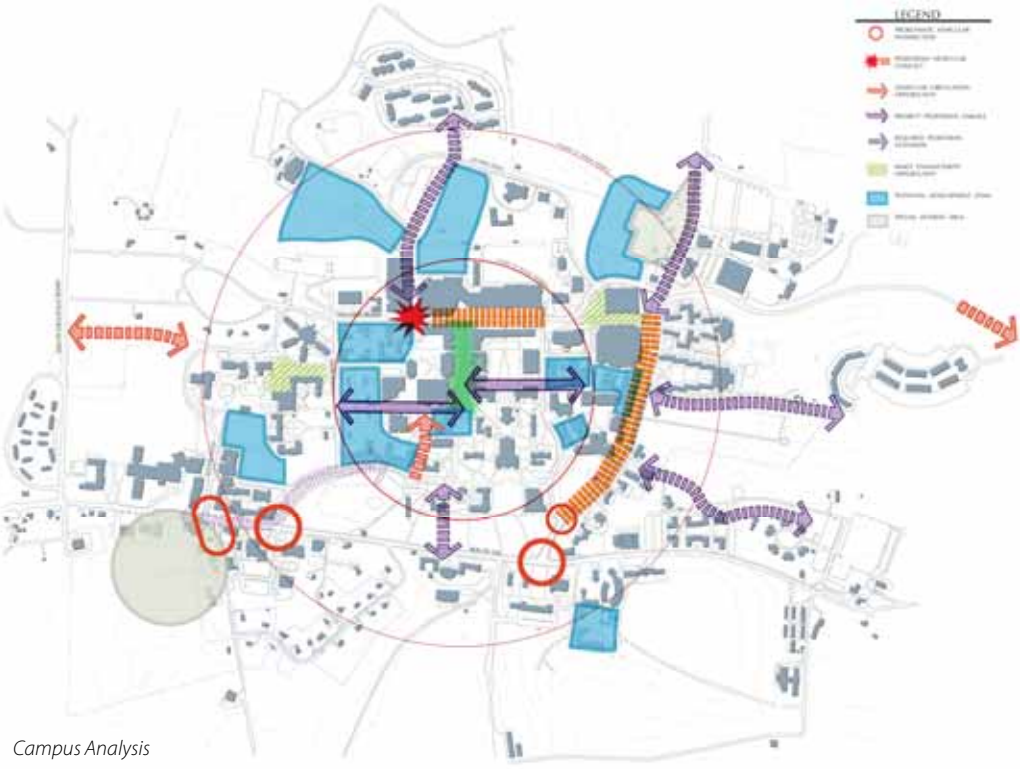
Analysis of Existing Conditions

Prelude

The transformation of the Main Campus at Storrs since the implementation of the UCONN 2000 initiative is stunning. There have been a great number of buildings constructed that improve the academic and research space on campus resulting in the University of Connecticut (UConn) being named the top public university in New England. Vehicular circulation routes have been altered and parking largely removed from the heart of campus, enabling the transformation from a vehicle dominated environment to a pedestrian centered campus.

While the transformation is dramatic, there are elements of the campus setting which remain unresolved. Many of the grand and difficult moves of the 1998 Campus Master Plan have now been made, and this update seeks to identify remaining issues and provide recommendations that will allow the university to knit together the individual projects into a cohesive, vibrant, functional, and beautiful campus environment.

The following observations were critical in the process of setting forth the recommendations for the Master Plan Update.



Campus Analysis

Buildings & Facilities

- A space needs and facility utilization assessment was prepared as a companion document to the Master Plan Update. The report analyzed space utilization at a critical time – after substantial completion of the UCONN 2000 initiative and prior to building 21st Century UConn space. It was important to take a step back and analyze the types of spaces that had been built and the types needed in the future.
  - Classroom utilization for the fall 2002 term showed the overall campus classroom utilization at UConn (Main Campus at Storrs) to be reasonable for a campus of its size and mission with centrally scheduled classrooms being utilized more effectively than those scheduled by the departments.
  - Findings for the teaching laboratory utilization showed the overall campus teaching laboratory utilization at UConn (Main Campus at Storrs) to be within the expected range of hours per week of use and expected occupancy rate.
  - At the current enrollment level, the consultants believe that the overall number of general purpose classrooms is reasonable, but the room sizes are not optimal. The mix analysis showed a need for 11 more rooms with less than 30 seats, 16 less rooms with 48 stations, 7 additional rooms between 64 and 80 seats, and 3 more rooms of 160 to 190 stations. Since faculty often desires larger rooms for small enrollment sections, the consultants urge further study before small classrooms are added unless they directly support seminar or discussion section needs.
  - At fall 2002 enrollment and staffing levels, UConn (Main Campus at Storrs) showed a campus-wide need for nearly 900,000 additional assignable square feet of space.
  - Please see the Appendix (*Classroom and Laboratory Utilization Study, Classroom Mix Study, and Space Needs Analysis*) for more specific information.
- Consolidation of campus support services on North Campus is working well. These operations require better visual screening from North Hillside Road, which will be more important with the North Hillside Road extension to Route 44 creating a new campus vehicular gateway.
- Indoor student recreation facilities are not adequate to support the current and projected student populations. Based on these student populations, approximately 320,000 square feet of additional space is needed. Student recreation facilities are very popular, assist in both recruitment and retention, and provide productive on-campus activities. The ideal facility would be consolidated with the outdoor playing fields in a central location. While not a part of the UCONN 2000 or 21st Century UConn initiatives, its potential should be seriously considered.

Open Space

Beyond implementation of the Fairfield Mall, the campus open space system and landscape improvements need prioritized attention. The buildings at UConn have gone through a much needed upgrade, but the open space system has not kept pace. It is the spaces that occur between the buildings that make a campus. Open space ties disparate architectural styles together into an understandable whole, and creates that indelible image and memory of UConn. Therefore, a great deal of effort should be put into both the design of individual spaces as well as how they knit together to form a cohesive, memorable whole.

- An effort to improve the open space system should be made on both building-specific projects as well as campus-wide landscape initiatives. The redesign process for the Main Quadrangle is laudable for such an important campus space, but should be expanded to smaller site efforts as well.
- The building identification signs and other campus sign systems are very successful unifying elements. However, there are many wayfinding issues approaching campus as well as on campus that must be addressed. There are many unnecessary and obsolete signs, and there are many signs which are confusing. The size, quantity, location, and message on visitor signs are inadequate, and vehicular gateways to campus are not identified in a manner that is appropriate to UConn. These and other issues are addressed in a companion *Campus Wayfinding* report. Please see this report for specific recommendations.

- No area of campus was so impacted by increased density as the Research Neighborhood. With the recent addition of the Chemistry Building, Biological Sciences and Physics Building, and Pharmacy/Biology Building, and the future redevelopment of George Stafford Torrey Life Sciences Building and Edward V. Gant Science Complex, a great deal of additional space has been added. Because of this increase in square footage and building heights, it will become imperative to balance the high development density with adequately proportioned and appropriately designed open spaces.
- There are no student recreation fields on the Main Campus at Storrs. For a university the size of UConn, approximately 20 acres should be devoted to active recreation fields. There are very few areas on campus that are large enough and have the appropriate topography and soils for athletic fields. A specific study of this and other issues relating to intercollegiate athletics are addressed in a companion *Athletic Master Plan* report. Please see this report for specific recommendations.

Circulation

- Pedestrian circulation has improved dramatically with the implementation of the Fairfield Mall, the Forum, and the southern segment of the north/south Academic Way. The northern portion has not been implemented because of ongoing construction.
- A vibrant pedestrian environment has been created on Central Campus, and with the implementation of popular student housing options at the perimeter, there is a need for improved pedestrian linkages. The South Campus Residence Halls are a good example of how to effectively connect housing with Central Campus. However, in several areas, such as the Hillside Apartments, housing has been created with no pedestrian connection to the Central Campus, and in other areas, such as Towers Residence Halls, Husky Village, Hillside Residence Halls, and Charter Oak Apartments/Suites, the connection is untenable. The university must provide safe, efficient, accessible pathways from university housing into the heart of campus in order to increase pedestrian activity and further reduce the dependence on the automobile.
- Pedestrian desire lines develop and change as new buildings are implemented. There are many examples on campus of pedestrian desire lines appearing, especially adjacent to some of the newer buildings. The university needs to be cognizant that when changes occur on campus such as a new building, a road closure, or a new open space, pedestrian patterns change as well and many times ripple across an entire district. When developing new projects, care should be taken in planning and integrating new pedestrian and open space systems into the existing framework.

- There are numerous areas of serious pedestrian/vehicular conflict. The most troublesome pedestrian safety concerns occur at the Stadium Road/Hillside Road intersection, along Hillside Road in front of the Student Union, and along North Eagleville Road.

Construction of the South Parking Garage and new UConn Co-op west of Hillside created new pedestrian and vehicular circulation patterns. A negative aspect of these new patterns is increased pedestrian/vehicular conflicts at the intersection of Hillside Road and Stadium Road. This intersection is the principal circulation issue for the university to address.

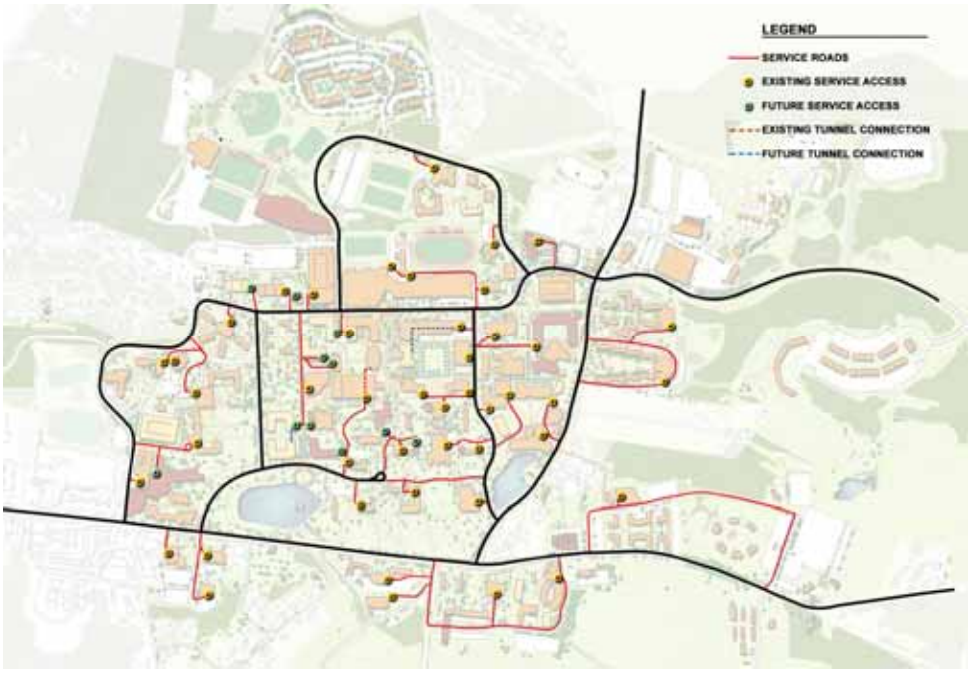
With the construction of Husky Village and Charter Oak Apartments/Suites, there are now approximately 5,000 students that cross North Eagleville Road several times a day. The North Eagleville Road conflicts were amplified by on-street parking, which has subsequently been removed by the university. There are numerous improvements to be made to the roadway cross-section in order to facilitate safe pedestrian crossings.

- The Bolton Road connection from Route 195 to Hillside Road has improved vehicular circulation by reducing traffic on Mansfield and Gilbert Roads. The ultimate

extension of North Hillside Road to Route 44 is imperative to optimize the effectiveness of this road in servicing the campus from the north, reducing campus-related traffic on Route 195, and opening up development opportunities on North Campus.

- Traffic on Route 195 has continued to increase as the university grows. Vehicular access from Bolton Road to South Eagleville Road is still worthy of future implementation to help disperse university-related traffic to the community roadway system and to eliminate traffic through the adjacent residential neighborhood (Eastwood and Westwood Roads).
- Construction of the Nathan Hale Inn & Conference Center has increased visitor vehicular traffic within the South Campus Neighborhood. Traffic utilizes Gilbert Road, creating pedestrian/vehicular conflicts at the Academic Way where students move from the South Residence Halls to the Central Campus (see *Campus Wayfinding* report for recommendations). The site plan of the inn has also severed any pedestrian connectivity between uses to the South and Central Campuses.
- The busway in front of the Wilbur Cross Building has improved bus system efficiencies. Overall ridership of the bus system has increased immensely. Between 1998 and 2002 (academic years), undergraduate enrollment grew by 26% (11,715 to 14,716). During that same time period, ridership on the transportation system grew by 129% (from 482,802 riders to 1,105669 riders). The university should study the continued expansion and improvement of the transit stops on campus and encourage this trend.

- Service, delivery and accessibility to all buildings continue to be a challenge on campus as the road patterns change. Careful consideration should be given to the manner in which goods and services are delivered to each and every building.



Goods & Service Delivery Diagram

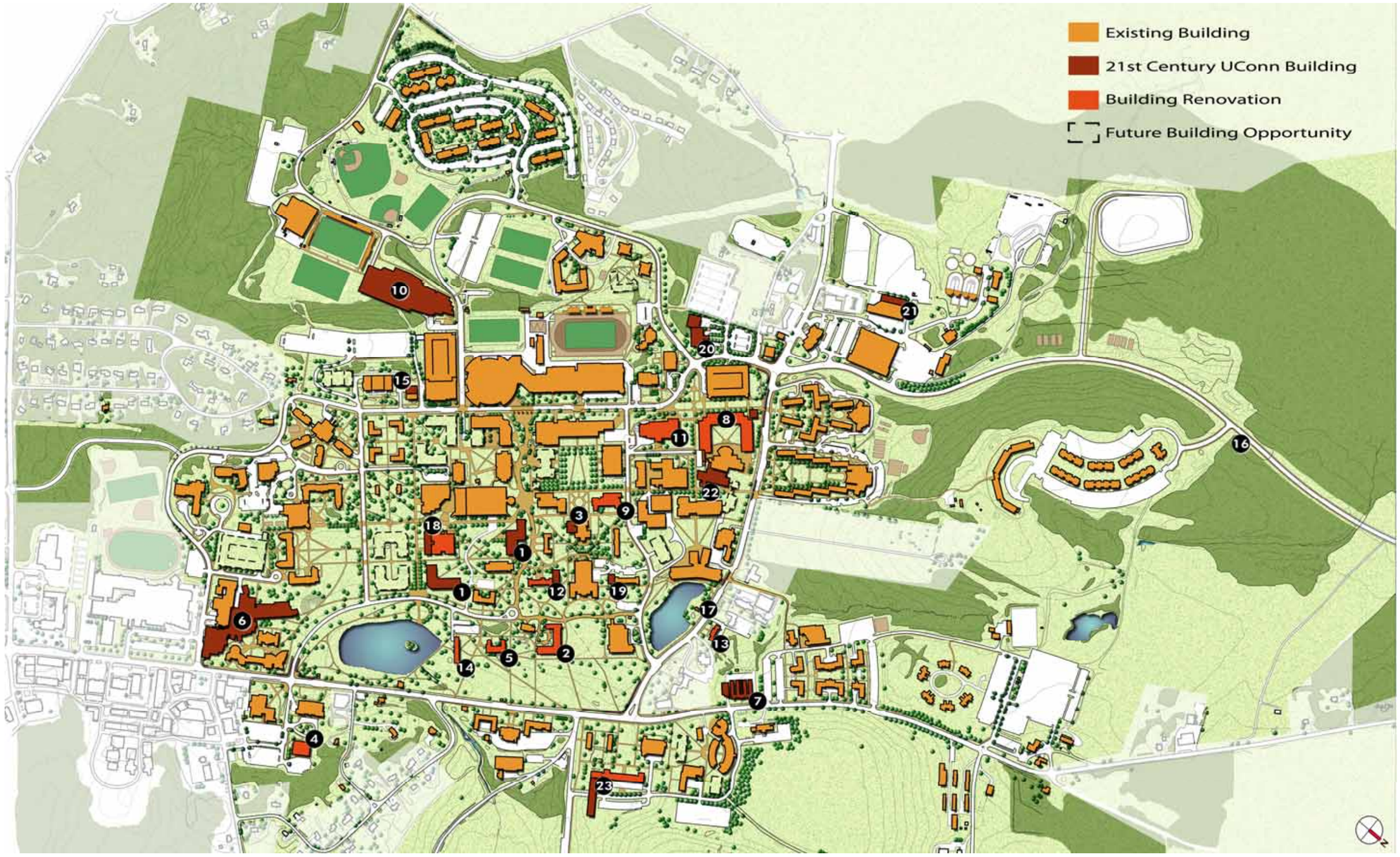
- Access to buildings along the Fairfield Mall for the physically disabled is complicated by the restricted access. Special considerations for university operated vehicles will need to be made for these activities.
- Alumni Drive will become increasingly important to the overall circulation system on campus in an effort to reduce traffic on Hillside Road. Major improvements need to be made in order to make it a safe and efficient roadway.

Parking

- The quantity of parking is adequate for the university population. There may be some argument about the distribution, but the numbers are as follows:
  - Parking spaces lost since 1998 = 1,549
  - Beds added since 1998 = 2,427
  - Parking spaces added since 1998 = 3,274
  - There is a very slight increase in employee permits overall.
  - These figures illustrate parking activity, but no real deficit exists due to excess parking prior to 1998.

  - Regarding parking permits:
    - Total permits fall 2003 = 11,352
    - Total spaces = 11,660
    - Oversell of 0.97
      - Oversell ratios are difficult to calculate by category (faculty/staff/student) due to the ability of one category to park in another's space, but the oversell campus ratio is very low compared to many campuses.
      - The permits do not contain visitor parking demand, but at present there are more spaces than permits.

- The North Parking Garage occupancy is now 80% on a peak Tuesday morning, and the South Parking Garage occupancy is 60% on a peak Tuesday period just before noon. This means that 600 spaces still remain vacant in the garages at peak times.
- Construction of a remote parking lot capping the landfill will provide adequate additional supply for converting S Lot over to faculty/staff.
- The final program and visitor functions for the Fine Arts Complex as well as future displacement for academic/research facilities will determine when and if the third parking garage is necessary (future assessments required).
- Policy issues relative to the parking and transportation system that need to be addressed include: (1) financial self-sufficiency for parking and transportation (currently two separate operational units), (2) relative rates of surface parking and garage parking (garage rates are high and utilization is not optimal), (3) evening student parking in the garages (desired by students at no additional cost), and (4) location of parking to serve resident students (adjacent or remote) with differential rates based upon convenience.



Preliminary Master Plan

21ST CENTURY UCONN PROJECTS

1 Arjona and Monteith (new classroom buildings)
2 Beach Hall Renovations
3 Benton State Art Museum (completion addition)
4 Bishop Renovation
5 Family Studies (DRM) Renovation
6 Fine Arts Phase II
7 Floriculture Greenhouse
8 Gant Building Renovations
9 Gentry Completion
10 Intramural, Recreational & Intercollegiate Facilities
11 Jorgensen Renovation
12 Koons Hall Renovation/Addition
13 Lakeside Renovation
14 Manchester Hall Renovation
15 Natural History Museum Completion
16 North Hillside Road Completion
17 Observatory
18 Psychology Building Renovation/Addition
19 Storrs Hall Addition
20 Student Health Services
21 Support Facility (Architectural & Engineering Services)
22 Torrey Renovation Completion & Biology Expansion
23 Young Building Renovation/Addition

Central Campus Neighborhood

Buildings & Facilities

1 – Weston A. Bousfield Psychology Building Addition
2 – New Classroom Building
3 – William Benton Museum of Art Addition
4 – New Classroom Building
5 – Benjamin Franklin Koons Hall Addition
6 – Augustus Storrs Hall Addition
7 – Future Academic/Research Buildings
8 – Future School of Business Expansion
9 – Future Academic/Student Services Building
10– Bell/Clock Tower Designed
11– Future Academic Building

Open Space

1 – Central Campus Open Space Redesign
2 – Preserve Oak Lawn
3 – Develop the Sundial Space
4 – New Open Space
5 – Reinforce Connection to Mirror Lake

Circulation

1 – Eliminate Vehicular Access
2 – New Walkway Connection
3 – Reconfigure Walks to Reflect Pedestrian Desire Lines
4 – New Drop-Off and Accessible Parking Spaces
5 – Develop and Reinforce the Academic Way
6 – Create Combined Pedestrian Walkway/Service Corridor
7 – Whitney Road Converted to Pedestrian Walkway/Service Corridor
8 – Realign Fairfield Mall to Accommodate New Classroom Building

Goals

- Locate all 21st Century UConn projects.
- Enhance image of existing open spaces.
- Reinforce safe pedestrian environment.
- Accommodate service in a safe and aesthetic manner.
- Preserve future building opportunities beyond the 21st Century UConn initiative.

Buildings & Facilities

1 – Weston A. Bousfield Psychology Building Addition

The addition to the south of the Psychology Building will reinforce the future Whitney Road pedestrian/service corridor. Carefully consider which side of the building is most appropriate to add onto.

2 – New Classroom Building

This building reinforces the Forum as the heart of campus by placing many students in the area. The form of the building should respond to adjacent buildings in terms of height and should respect their historic character through careful setbacks. The building should be placed near the edge of the Fairfield Mall, but not terminate it. It should both respect the mall and the Academic Way, form the edge of a new open space to the south, and should form several smaller, more intimate open spaces/plazas. Building entrances should be accessible from both Fairfield Mall and the Academic Way.

Fairfield Mall

3 – William Benton Museum of Art Addition

The building addition to the Benton Museum of Art should be placed to the south and should respect the architecture of both the historic structure and the successful later addition that was added to the west.

William Benton Museum of Art

4 – New Classroom Building

This building becomes an important link between the South Campus Neighborhood and Central Campus. In order to facilitate this north/south movement, this building should accommodate a pedestrian corridor. Because of its prominent location with clear views from Route 195, careful consideration of its scale and design should be given. The building should define open space, take advantage of its proximity to Mirror Lake, and reinforce the campus open space system.

5 – Benjamin Franklin Koons Hall Addition
The Koons Hall addition should be carefully placed to respect both the historic architecture as well as the open space character of the surrounding area.

6 – Augustus Storrs Hall Addition
The Storrs Hall addition should be carefully placed to respect both the historic architecture as well as the open space character of the surrounding area. Koons and Storrs Hall additions should be considered together because of their collective impact on the architectural symmetry that is prevalent in this historic area of campus.

7 – Future Academic/Research Buildings
Relocation of the Graduate Residence Halls would provide future academic/research opportunities. Several buildings could together create a courtyard open space and connect West Campus Residence Halls to Central Campus.

8 – Future School of Business Expansion
If the School of Business expands, the addition should enclose the courtyard space that exists adjacent to the existing building. The addition should respect the current walkway systems, service corridors, and adjacent open spaces.

9 – Future Academic/Student Services Building
This building could serve as either additional academic space or student services (Student Union expansion). The placement would reinforce the Fairfield Mall and enclose the large Main Quadrangle. Prior to the need for this additional building, this space could serve as an open space that connects Fairfield Mall with the Main Quadrangle.

10 – Bell/Clock Tower Designed
With the recent addition of the Center for Undergraduate Education, implementation of the Academic Way and Fairfield Mall, and the future addition of a major academic building, the Forum will finally become the true academic crossroads that the original 1998 Campus Master Plan intended. An iconic, vertical feature that can be seen from all over campus such as a bell/clock tower should be placed adjacent to the Forum, Academic Way, and Main Quadrangle to strengthen the center of campus.

The Forum

The Academic Way

11 – Future Academic Building
These buildings should help reinforce the campus fabric, define open space, strengthen connections to South Campus, and reinforce the Academic Way.

Open Space

1 – Central Campus Open Space Redesign

The Main Quadrangle should be redesigned to function as the most significant open space on campus. A large expanse of open lawn with large shade trees placed formally along the perimeter would provide an organizing feature for the entire campus and allow a variety of active and passive activities to occur, thereby becoming the "living room" of campus. If laid out carefully, large ceremonial events, including graduations, can be held here.

2 – Preserve Oak Lawn

The area between South and Central Campus is important for several reasons. The space is a serene transition between neighborhoods, the tall canopy of mature oaks creates a unique open space that cannot be found anywhere else on campus, and it is an area that is unique to UConn. This Oak Lawn should be preserved and utilized for passive recreation.

Oak Lawn

3 – Develop the Sundial Space

The sundial space west of the Benton Museum of Art should be further designed in conjunction with the Main Quadrangle and Academic Way to relate to all these spaces, and yet it should have a unique character. The space should be landscaped so it is unique to UConn.

4 – New Open Space

The open space between the two proposed academic buildings should be carefully developed as several smaller spaces. The space should act as a connection between the two academic buildings and should be a unique space unlike any other on the Main Campus at Storrs. The space should also relate in some way to the Academic Way. In addition, small plazas adjacent to the buildings for casual interaction or perhaps an amphitheater as an outdoor classroom could be incorporated by utilizing the natural change in grade.

5 – Reinforce Connection to Mirror Lake

UConn has a tremendous asset on campus in Mirror Lake. Although technically a stormwater retention pond, it creates a unique foreground feature that has gone relatively unused. With the redevelopment of the Jaime Homero Arjona Building and Henry Ruthven Monteith Building sites, it presents an opportunity to make a meaningful connection from campus to Mirror Lake. Using plazas, walks, and landscaping, the connections to campus can be reinforced.

Circulation

1 – Eliminate Vehicular Access

Create a welcoming transition between the vehicular and pedestrian environment in this very important area. Form a true gateway for pedestrians to enter Fairfield Mall, and decrease the size of the space to reduce its overall importance and increase the significance of the Forum.

2 – New Walkway Connection

Connect the open space to the rest of campus with well-planned walkways.

3 – Reconfigure Walks to Reflect Pedestrian Desire Lines
Reconfigure walks in this important confluence area so that they reflect the desire lines of pedestrians. In this area as well as others across campus, walks should connect doorways where pedestrians wish to go.

4 – New Drop-Off and Accessible Parking Spaces
In order to provide additional accessible parking spaces to the Central Campus, and especially the library, reconfigure the parking lot, add a drop-off, and designate all spaces as accessible only. The accessible only designation for this lot would eliminate heavy vehicular traffic.

5 – Develop and Reinforce the Academic Way
One of the main concepts of the 1998 Campus Master Plan is the implementation of the north/south pedestrian connection called the Academic Way. The Academic Way has been implemented very successfully from the Forum to the South Campus Residence Halls. Now that the Center for Undergraduate Education (CUE) and the Charles B. Gentry Building have been renovated, the Academic Way should be fully implemented from the Forum north to the Research Neighborhood and reinforced with large canopy trees.

South Campus Residence Halls

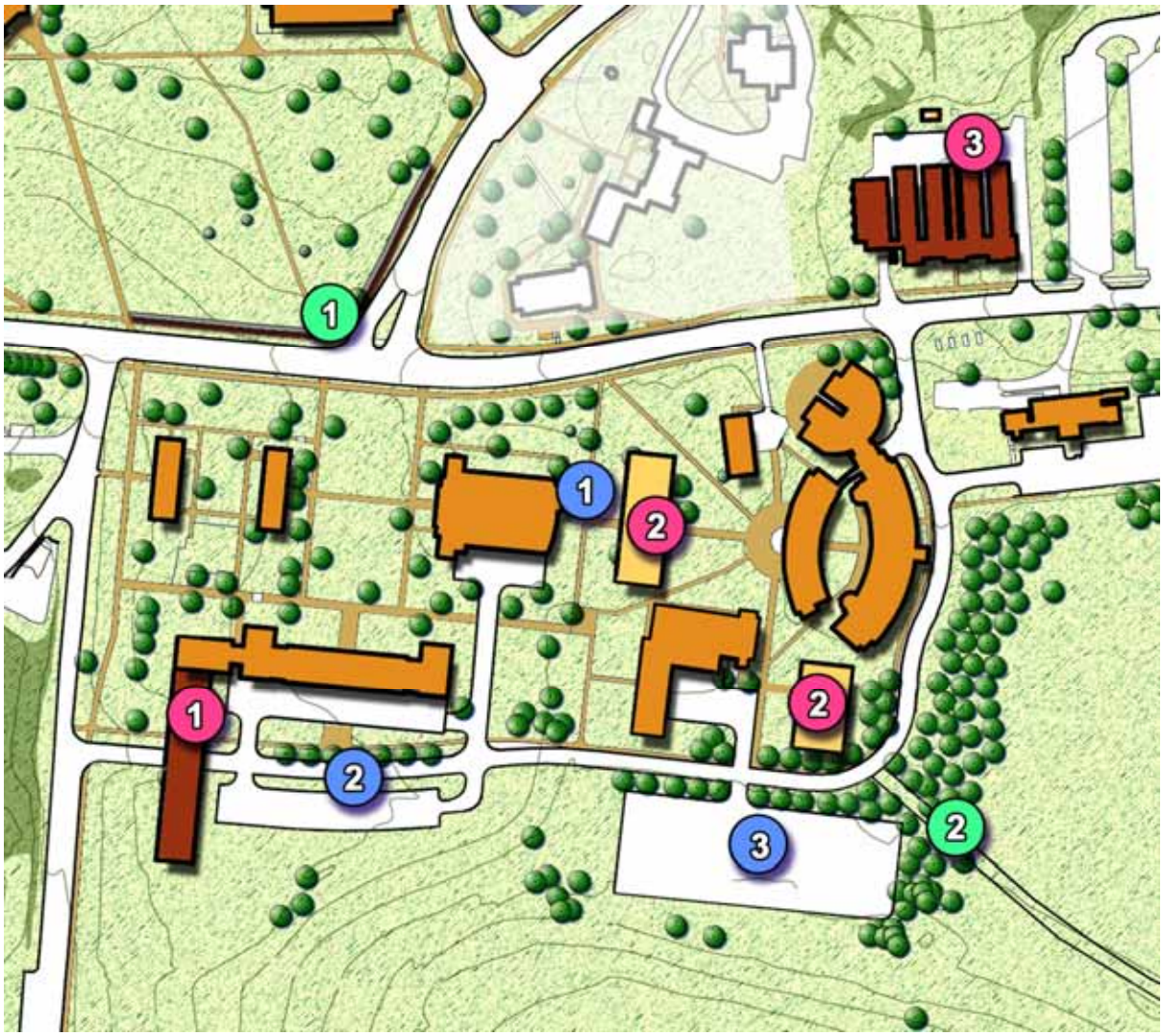
The Academic Way

6 – Create Combined Pedestrian Walkway/Service Corridor
With the implementation of the Academic Way as the major north/south pedestrian connection across campus, service access should be developed east of CUE and Gentry Building, and combined with a secondary pedestrian walk. The shared pedestrian walk/service access should be designed carefully to look like a campus walkway, yet allow the occasional necessary service vehicle.

7 – Whitney Road Converted to Pedestrian Walkway/Service Corridor
In the future, Whitney Road will no longer be necessary to accommodate regular campus vehicular traffic. By removing the road and turning it into a shared pedestrian walk/service access, the Central Campus Neighborhood gets ever closer to reaching the goal of becoming pedestrian oriented.

8 – Realign Fairfield Mall to Accommodate New Classroom Building
Fairfield Mall should be slightly modified to allow the development of a new academic building. The mall will remain curvilinear, and the academic building should not terminate the very important east/west pedestrian connection and views. The current asphalt pavement on the mall emphasizes vehicular dominance. Therefore, pavement of the path should be changed from asphalt to concrete or brick to reinforce the pedestrian dominance. Emergency access along Fairfield Mall will remain.

East Campus Neighborhood



Buildings & Facilities

1 – Wilfred B. Young Building Addition
2 – Future Agriculture Research Buildings
3 – Rebuild the Floriculture Greenhouse

Open Space

1 – Create Campus Gateway/Entry Image at Route 195/North Eagleville Road Intersection
2 – Landscape Buffer to Protect Views from Route 195

Circulation

1 – Remove the Roadway to the North of the Ratcliffe Hicks Building and Arena
2 – Create a Loop Road
3 – Create East Campus Parking

Goals

- Preserve existing character of key natural features.
- Enhance image and identity along Route 195.
- Improve circulation and wayfinding.
- Identify future infill opportunities.

Buildings & Facilities

1 – Wilfred B. Young Building Addition

Add to the Young Building in such a way as to protect the integrity of the existing building, create open space, and preserve the new loop road.

2 – Future Agriculture Research Buildings

As buildings become obsolete in this area, new buildings should be developed within the loop road. Building locations should be chosen for their ability to create open spaces and respect the historic character of this campus neighborhood.

3 – Rebuild the Floriculture Greenhouse

The existing location of the Floriculture Greenhouse is programmatically and practically ideal. When rebuilding the facility, create a new head house that is more appropriate to the image of UConn along Route 195.

Open Space

1 – Create Campus Gateway/Entry Image at the Route 195/North Eagleville Road Intersection

Create an appropriate gateway image to UConn (see *Campus Wayfinding* report for more detail). Incorporate the stone wall theme that currently exists at the Hillside Road/North Eagleville Road corner with text that proclaims the University of Connecticut.

2 – Landscape Buffer to Protect Views from Route 195

Views of East Campus from Route 195 are among the most scenic in the region and form a positive first impression of the university. There are some views into service areas and parking that could be screened with planting. One such area is the loop road/service drive north of the Agricultural Biotechnology Laboratory. Large groves of trees should be planted in this area to buffer the views from Route 195. Trees should be appropriate species for a wetland edge.

Circulation

1 - Remove the Roadway to the North of the Ratcliffe Hicks Building and Arena

The existing roadways within the East Campus academic area should be reconfigured and consolidated to simplify circulation and reduce the number of intersections along Route 195.

2 – Create a Loop Road

Simplify vehicular circulation by creating a single loop road connecting Horsebarn Hill Road and Route 195 behind the existing facilities. While there are challenges with the topography in several places, this loop road will create a pedestrian environment within the East Campus academic district.

3 – Create East Campus Parking

East Campus is challenged by an inadequate parking supply. As buildings become obsolete in this area, new buildings should be developed within the loop road with parking supplied outside the loop road. When new parking areas are developed in this area, it will be imperative to screen them adequately and respect the heritage of the Horsebarn Hill area.

Horsebarn Hill

North Campus Neighborhood

Buildings & Facilities

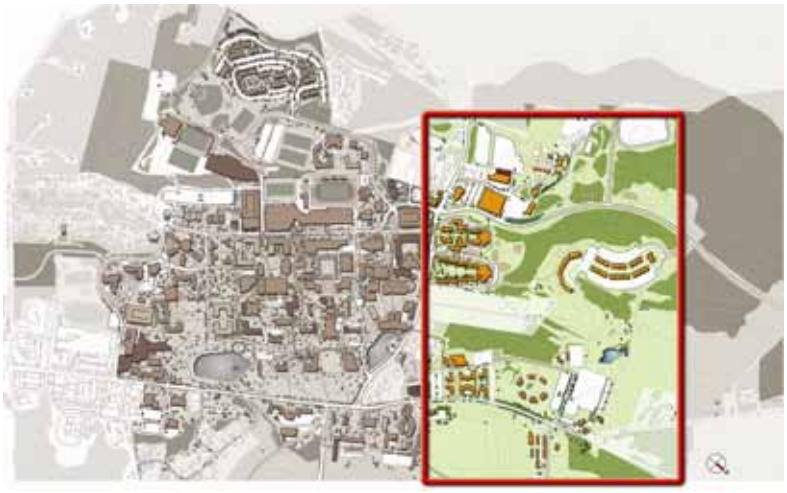
1 – New Architectural and Engineering Services Building
* New Student Recreation Facility

Open Space

1 – Landscape Screening of Vehicle Storage/Central Receiving
2 – Replace Existing Riprap; Introduce Vegetation for Erosion Control
3 – Landscape Buffer for Husky Village

Circulation

1 – Gateway Parking Lot
2 – Walkway Upgrades
3 – North Hillside Road Extension to Route 44
4 – Improvements to the Pedestrian Walk to Charter Oak Apartments/Suites
5 – Walkway Improvements
6 – New Pedestrian Walk to W Lot
7 – Remove "University of Connecticut" Sign
8 – Remove Existing Road



Goals

- Ease traffic on Route 195 and open development opportunities on North Campus – North Hillside Road extension to Route 44.
- Resolve pedestrian/vehicular conflicts on North Eagleville Road.
- Ensure safe pedestrian connections to student residential areas (include Celeron Square Apartments).
- Improve image and appearance of campus facilities and related activities.

Buildings & Facilities

1 – New Architectural and Engineering Services Building

Architectural and Engineering Services should be relocated as an addition to the Facilities Operations and Locksmith Services (FO) building. The small addition should respect the F Lot and be of a similar architectural vocabulary as the FO building.

* – New Student Recreation Facility

Student recreation facilities are vitally important to campus student life. While UConn currently has a facility on campus, the *Classroom and Laboratory Utilization Study, Classroom Mix Study, and Space Needs Analysis* and *Athletic Master Plan* report shows a severe shortage of space per student. This shortage is also reflected in comparisons to other peer institutions. There is not enough space to expand the current facility, so several alternative locations were studied. Ideally, the student recreation facility would be collocated with intramural athletic fields (which are also in severe shortage on the Main Campus at Storrs), occupy gently sloping land, have adequate parking supply, and be located on a transit line to reduce parking. A site near the former landfill and proposed Gateway Parking Lot has been identified as meeting many of the criteria above, but further study must be done to locate this building if it is ever to become a campus priority.

Open Space

1 – Landscape Screening of Vehicle Storage/Central Receiving

When the North Hillside Road extension is connected to Route 44 and becomes the main visitor entry to campus, the image of the roadway should be enhanced to reflect the quality of the campus environment. There are many service oriented uses along the roadway that should be screened. Landscape screening of these functions should be implemented.

2 – Replace Existing Riprap; Introduce Vegetation for Erosion Control

As the North Hillside Road extension to Route 44 is constructed and it becomes an important road into campus, the image of this area becomes increasingly important. The riprap stone for erosion control on the north slopes along North Hillside Road should be replaced with a mix of native trees and shrubs/grasses with fibrous root systems to serve the same function.

3 – Landscape Buffer for Husky Village

The views to campus along Route 195 create a first impression for visitors. The height of the Husky Village buildings and their setback from the road creates a need to plant larger trees closer together to mitigate the perceived scale. The university should consider requiring planting of larger trees with building projects in critical viewsheds.

Circulation

1 – Gateway Parking Lot

Construction of the Gateway Parking Lot on the former landfill will provide necessary automobile storage for on-campus residents and/or daily commuter parking. Adequate transit and pedestrian connections to Central Campus will be critical.

2 – Walkway Upgrades
Improve the walkway between Celeron Square Apartments and campus. Provide adequate lighting, paving, and emergency phones. The walkway could become more active through the placement of uses adjacent to it, such as a student recreation facility. Create better sight lines on the walkway by clearing vegetation further away from the walkway.

3 – North Hillside Road Extension to Route 44
Completion of North Hillside Road extension to Route 44 will change the vehicular approach to campus. This new campus entrance will reduce traffic on Route 195 by allowing visitors, students, and staff to access and depart campus without having to use Route 195. All signs to the Main Campus at Storrs will guide visitors to North Hillside Road (see *Campus Wayfinding* report) so they can easily access the parking garages and Lodewick Visitors Center. No longer will it be a "road to nowhere."

North Hillside Road Looking North to Route 44

4 – Improvements to the Pedestrian Walk to Charter Oak Apartments/Suites
The current walk should be improved with new pavement, lighting, and grading. Trees should be removed to open views to Central Campus. Like the walk to W Lot, this walk must be heavily maintained during winter months because its steep slope can be hazardous. An improved walkway will encourage students to walk to campus rather than drive, reducing the demand on Central Campus parking.

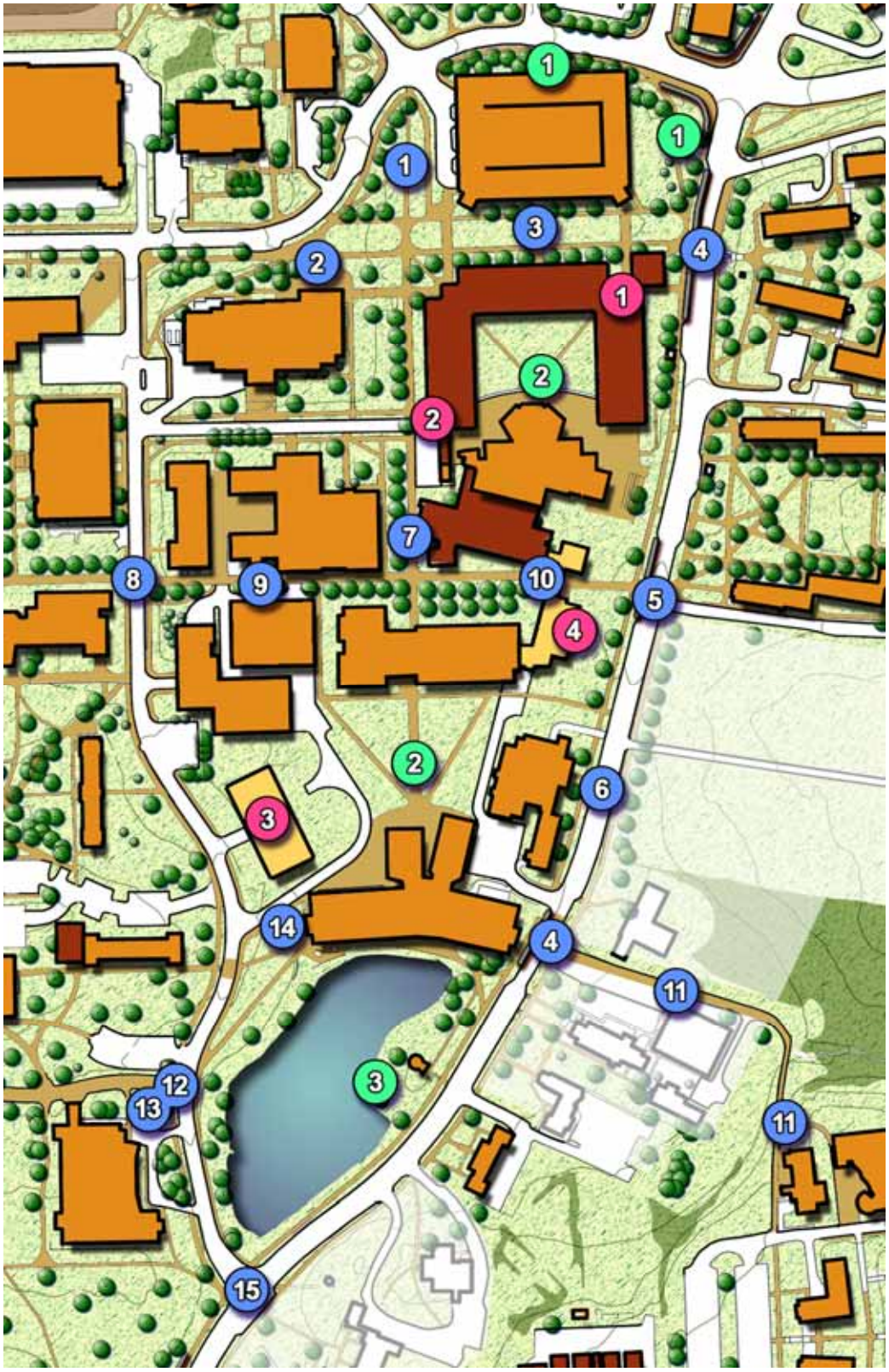
5 – Walkway Improvements
Complete the walk (uninterrupted) to North Hillside Road for a safe crossing at the proposed traffic light. Remove some parking at North Campus Residence Halls to provide an adequate pedestrian path.

6 – New Pedestrian Walk to W Lot
Create a dedicated walk between W Lot and Towers Dining Hall along the edge of Tower Loop Road. Many pedestrians use this connection. Provide adequate width, lighting, and emergency phones along the walkway.

7 – Remove "University of Connecticut" Sign
Remove the confusing "University of Connecticut" sign at the entrance to W Lot on Route 195. This sign remains from a time when all visitors were guided to this entrance. A sign in this location prematurely announces the "arrival" to UConn. If this sign is removed, the "arrival" to UConn happens appropriately at the Route 195/North Eagleville Road corner where the Central Campus vistas open. This is an appropriate location for a temporary event sign (see *Campus Wayfinding* report).

8 – Remove Existing Road
The roadway system at the entry to W Lot should be improved by eliminating confusing and redundant entrances left over from a time when all visitors were guided here.

Research Neighborhood



Buildings & Facilities

1 – Edward V. Gant Science Complex Replacement
2 – New Combined Loading/Service Dock
3 – Future Research Building
4 – George Stafford Torrey Life Sciences Building Replacement

Open Space

1 – Screen Parking with Landscaping
2 – Create Research Courtyards
3 – Encourage Use of Swan Lake for Passive Recreation

Circulation

1 – Walkway and Landscape Enhancements
2 – Improve Jorgensen Center for the Performing Arts' Relationship with Surrounding Walkways
3 – New Pedestrian/Service Corridor
4 – New Pedestrian Crosswalk
5 – New Signalized Crosswalk
6 – Remove Street Cross-Section
7 – Replace the East/West Portion of Auditorium Road with a Pedestrian Mall
8 – New Crosswalk on Glenbrook Road at the Academic Way
9 – Develop the Academic Way
10– Create Academic Way Connection through the Redeveloped Torrey Life Sciences Building
11– Improve Pedestrian Connection to Student Housing and W Lot
12– Walkway Realignment
13– Transit Stop Improvements
14– Walkway Enhancements
15– Revise Traffic Flow; Require Glenbrook Road Traffic to Stop

Goals

- Create north pedestrian portal to the campus.
- Alleviate high density, height, etc.
- Impart sense of organization.

Buildings & Facilities

1 – Edward V. Gant Science Complex Replacement

Rebuild Gant Science Complex in a phased way. The new building should respond to its surroundings on all sides and create a welcoming image along North Eagleville Road. Special consideration should be given to the setback along North Eagleville Road and how it interfaces with the Biological Sciences and Physics Building.

Biological Sciences and Physics Building

2 – New Combined Loading/Service Dock

When Gant Science Complex is redeveloped, it will provide an opportunity to change how service is provided to the complex. Service access should be provided from Jorgensen Road via Glenbrook Road. The existing Biological Sciences and Physics Building loading dock should be enlarged to include loading and access for the rebuilt Gant Science Complex. A single service courtyard could serve the entire complex through lower level corridors. Care should be taken to screen the loading area from surrounding pedestrian corridors.

3 – Future Research Building

The current location of Hilda May Williams Student Health Services provides an opportunity for a future research/technology related building. Because of the grade change, this building could step down the slope and have entrances on multiple levels. Care should be given to how close the building is ultimately placed to the Chemistry Building. A service corridor and heavily used pedestrian path creates a constrained site.

Chemistry Building

4 – George Stafford Torrey Life Sciences Building Replacement

The placement of this building, or series of buildings, should respect and accommodate the Academic Way. Special care should be given to the setback from North Eagleville Road and the creation of an open space adjacent to the Pharmacy/Biology Building.

Open Space

1 – Screen Parking with Landscaping

Once North Hillside Road is connected to Route 44, all visitors will be guided to the Hillside Road/North Eagleville Road intersection, increasing its significance as an important campus entry. A landscape buffer should be added to the east side of the road to reduce the visual impact of the parking garage to the east.

2 – Create Research Courtyards

When Gant Science Complex is rebuilt, remove the plaza level and create an at-grade green open space framed by the buildings. Create a small plaza or courtyard space within the open space as a quiet, reflective area. In order to keep the scale of campus,

look for opportunities to create sunny, open lawn areas, such as the space between the Pharmacy/Biology and Chemistry Buildings, to contrast the large research buildings in this campus neighborhood.

3 – Encourage Use of Swan Lake for Passive Recreation

Like Mirror Lake, Swan Lake is a great campus asset near the front door of UConn, but has gone mostly unused as an open space. Look for opportunities to enhance the edge of Swan Lake by adding amenities such as walks, benches, and lighting, and tie the walks into the overall campus pedestrian system.

Circulation

1 – Walkway and Landscape Enhancements

The area to the south of the North Parking Garage is an important campus space that has been underutilized. Opportunities for enhancement:

- Create walkways that facilitate the many different desire lines across this space.
- Create a small plaza or memorial in the center to give it a focus and a western terminus of the east/west pedestrian path through this neighborhood.
- Landscape with large canopy trees and ornamental flowering trees to screen views of the parking garage and help tie it into the campus fabric.

2 – Improve Jorgensen Center for the Performing Arts' Relationship with Surrounding Walkways

Create a more meaningful connection between Jorgenson Center and the surrounding pathways. The connection between the North Parking Garage and Jorgensen Center is a very important pedestrian area and should be improved with landscaping and paving to signify its importance to campus.

3 – New Pedestrian/Service Corridor

Remove the north/south portion of Auditorium Road (between Gant Science Complex and the North Parking Garage) and replace with a pedestrian/service corridor. This walk would be an important pedestrian connection between the North and Central Campuses and should be treated as such with appropriate paving, landscaping, and lighting. Small plazas at important intersections could also enhance the physical environment and create places for student interaction.

Crosswalks on North Eagleville Road: There are approximately 5,000 students living on North Campus and crossing North Eagleville Road several times during the day. Additionally, W Lot and the proposed Gateway Parking Lot add even more students crossing North Eagleville Road, creating potentially dangerous pedestrian/vehicular conflicts. The removal of parallel parking from both sides of the road was important in order to increase the visibility of pedestrians. A set of well-defined, dedicated, visible crosswalks at critical locations is important to create a safe pedestrian environment. There are many ways to enhance crosswalks: raised tables or speed bumps, a change in paving, vertical elements such as columns or banners, a change in lighting, crosswalk signs, and flashing lights or in-pavement LED lights. If safe, dedicated crosswalks are developed in favorable locations, the students will use them.

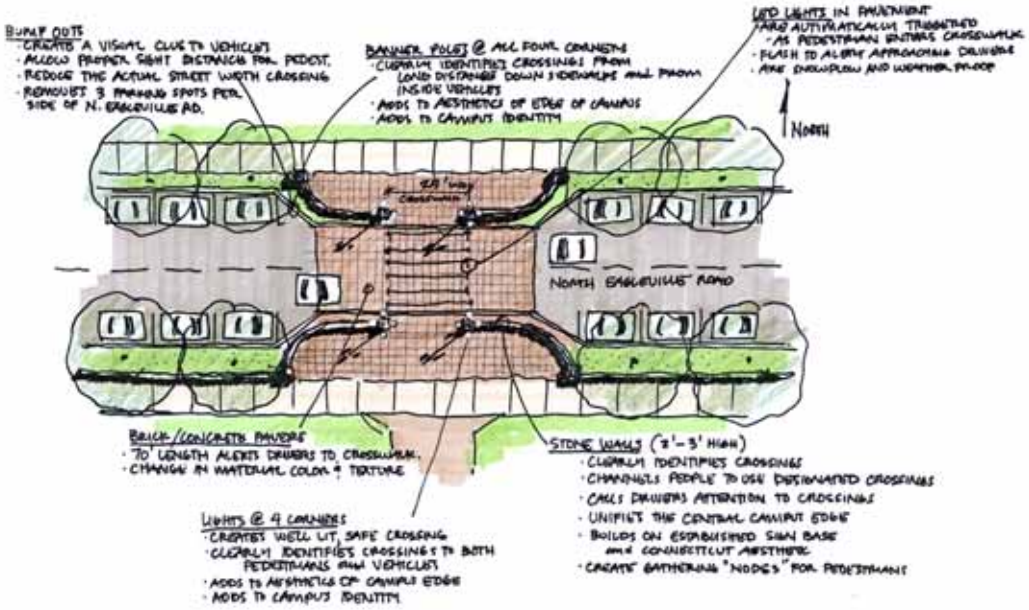
4 – New Pedestrian Crosswalk

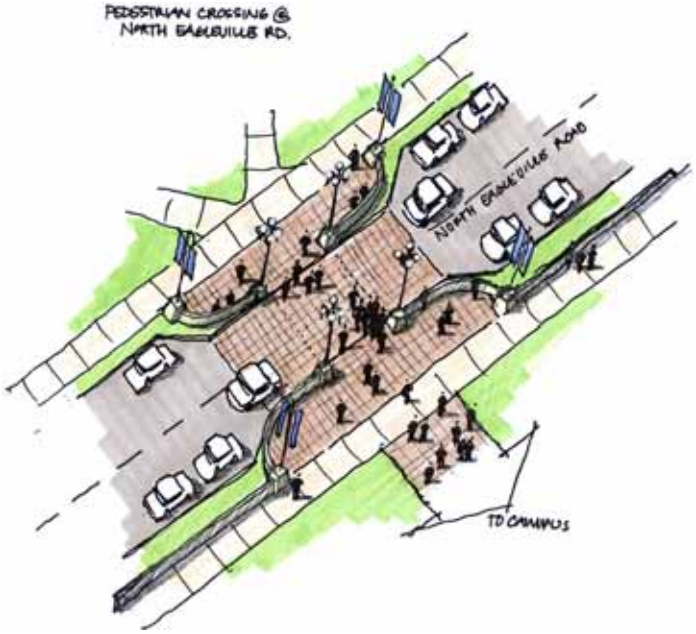
Create a significant crosswalk at the old Hillside Road/North Eagleville Road intersection. This location is important to capture pedestrians who cross from Northwest Residence Halls and would enter a new pedestrian corridor connecting into the Central Campus and

Research Neighborhoods. The traffic signal, which is a remnant of the old Hillside Road/North Eagleville Road intersection, should be removed from this crossing and placed further east at a more prominent crossing.

5 – New Signalized Crosswalk

This location becomes the most important crosswalk along North Eagleville Road. First and foremost, it is at the north end of the Academic Way. This major pedestrian walk serves to unite North Campus and South Campus to the most important activity space, the Forum. Therefore it becomes the most efficient way to access the center of campus. It serves not only North Campus Residence Halls but also Charter Oak Apartments/Suites. The signal removed from the old Hillside Road/North Eagleville Road intersection should be moved here to create a signalized crosswalk.





6 – Reduce Street Cross-Section

With the removal of parallel parking on North Eagleville Road, the cross-section of the roadway is uncomfortably wide for pedestrians to cross. Opportunities to narrow either the entire length of road or, at the very least, at the crosswalks should be seriously considered. This would slow the vehicular traffic and allow a shorter and easier pedestrian crossing.

7 – Replace the East/West Portion of Auditorium Road with a Pedestrian Mall

Auditorium Road will be an important pedestrian gateway into the Research Neighborhood from the North Parking Garage and transit stops to the west. The roadway should be removed, and it should be replaced with a wide, landscaped, and well lit pedestrian path, connecting the Chemistry Building, Pharmacy/Biology Building, and the North Parking Garage.

Auditorium Road View of Pharmacy/Biology Building

8 – New Crosswalk on Glenbrook Road at the Academic Way

Create a significant crosswalk at the Academic Way to encourage crossing Glenbrook Road at a single point for safety. Use similar elements to those on North Eagleville Road to signify the importance of the crossing.

The Academic Way

9 – Develop the Academic Way

Create the northern section of the Academic Way using materials and guidelines from the recently built southern portion to unify the various neighborhoods. It is important to use landscaping, lighting, and paving to reinforce the importance of this walk to the overall campus.

10 – Create Academic Way Connection through the Redeveloped Torrey Life Sciences Building

Create a 24-hour, unenclosed connection through the redeveloped Torrey Life Sciences Building. It is important that pedestrians are not forced through the building. This connection becomes the northern terminus of the north/south Academic Way and guides pedestrians to a new enhanced and signalized pedestrian crossing of North Eagleville Road.

11 – Improve Pedestrian Connection to Student Housing and W Lot

Improve the pedestrian connection between Central Campus and Towers Residence Halls/Husky Village/W Lot across North Eagleville Road. Work with St. Thomas Aquinas Chapel to separate pedestrian and parking conflicts at the southern end of the walk where students currently travel through the chapel parking lot. As the walkway moves uphill towards Towers Dining Hall, the walk becomes difficult to navigate, especially in winter. Replace and widen pavement, replace lighting and handrails, and provide careful snow/ice removal due to its steep grade.

Central Campus Pedestrian Connection

12 – Walkway Realignment

Improve the alignment of walks crossing Glenbrook Road in this location. Provide adequate sight distance for pedestrians and motorists to navigate this area safely, and provide a crosswalk.

13 – Transit Stop Improvements

Significantly enlarge the paved area adjacent to this heavily used bus stop. With the increase in ridership of the UConn transit system, most bus shelter locations could benefit from bigger outdoor waiting areas that consist of larger paved areas, benches, information kiosks, and other amenities that would both encourage the use of transit and reduce the amount of maintenance necessary adjacent to the bus shelters.

Transit Stop

14 – Walkway Enhancements

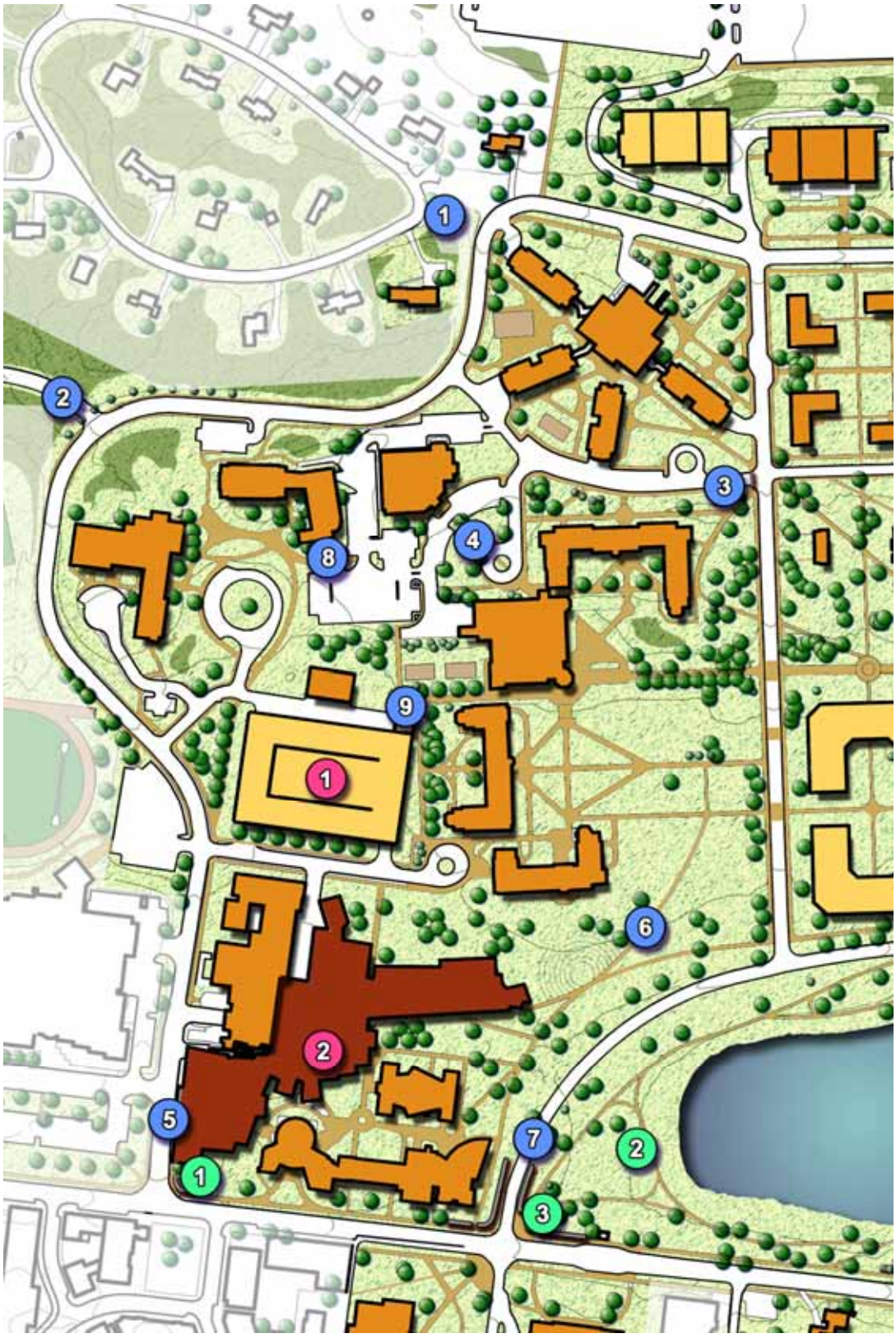
Dangerous desire lines exist in this very steep lawn area. Consideration should be given to improving the pathway or landscaping the area in such a way as to prevent pedestrian access.

Desire Line

15 – Revise Traffic Flow; Require Glenbrook Road Traffic to Stop

The North Hillside Road extension to Route 44 is intended to reduce the traffic congestion on Glenbrook Road, North Eagleville Road, and Route 195. To further improve traffic flow at the Glenbrook Road/North Eagleville Road intersection, consider requiring all traffic to stop. This new three-way stop would also alleviate traffic congestion at the Route 195/North Eagleville Road intersection.

South Campus Neighborhood



Buildings & Facilities

1 – Potential Bolton Road Parking Garage Location
2 – New Fine Arts Complex

Open Space

1 – Create Bolton Road Campus Gateway/Entry Image
2 – Develop Mirror Lake as an Effective Campus Space
3 – Create Mansfield Road Campus Entry Image

Circulation

1 – Disconnect Hillside Circle from Hillside Road
2 – Connect Bolton Road to South Eagleville Road
3 – Close Connection to Gilbert Road
4 – Reconfigure Parking to Promote Pedestrian Safety
5 – Bolton Road Improvement
6 – New Pedestrian Connection
7 – Mansfield Road Improvements
8 – Pedestrian Connection to David C. Phillips Communication Sciences Building
9 – Provide Garage Access at Top and Base of Hill

Goals

- Fit the Fine Arts Complex within the campus fabric.
- Construct a new parking garage.
- Alleviate pedestrian/vehicular safety concerns.
- Facilitate Bolton Road roadway improvements to alleviate future traffic concerns.
- Ease traffic on Route 195/South Eagleville Road connector.

Buildings & Facilities

1 – Potential Bolton Road Parking Garage Location

If it is necessary to develop a parking garage in this location, place it to make meaningful connections to the Academic Way (east of Lewis B. Rome Commons) and the new Fine Arts Complex, and navigate the topographic grade difference to allow easy access to Rome Commons and the Nathan Hale Inn & Conference Center. Provide adequate space to accommodate service requirements for the chiller plant and an adequate separation from South Campus Residence Hall B. Create two separate entrance/exits to/from the garage, and consider a lower level (ground floor) use that could service this campus neighborhood (i.e., coffee shop, convenience retail, ticket office for the Fine Arts Complex, etc.).

2 – New Fine Arts Complex

The new Fine Arts Complex, being designed by Frank O. Gehry, assists in making a meaningful connection from proposed Storrs Center development to the Central Campus. There is an opportunity to create several memorable small outdoor spaces adjacent to the building.

Open Space

1 – Create Bolton Road Campus Gateway/Entry Image

Create an appropriate gateway image from the south to the university at the Bolton Road entrance (see *Campus Wayfinding* report for more detail). Incorporate the stone wall theme that currently exists at the Hillside Road/North Eagleville Road corner with text that proclaims the University of Connecticut. When developing a gateway at this location, it will be very important to take the proposed Fine Arts Complex and the Storrs Center development into consideration.

Hillside Road/North Eagleville Road Intersection

2 – Develop Mirror Lake as an Effective Campus Space

Mirror Lake and its open space surroundings is a tremendous asset to UConn and the community, but the potential of this space is greatly unrealized. The area should be developed as a more useful campus open space by creating pathways and benches to form a park-like environment that acts as a common ground between UConn and the community.

3 – Create Mansfield Road Campus Entry Image

Create an appropriate entry image at the Mansfield Road/Route 195 entrance. Use stone walls similar to those proposed at the other entrances, but without a "University of Connecticut" sign. This entrance will be ceremonial only – no visitors will be guided here (see *Campus Wayfinding* report for more detail).

Circulation

1 – Disconnect Hillside Circle from Hillside Road

Remove the connection between Hillside Circle and Hillside Road. With the new connection between Bolton Road and South Eagleville Road, the campus traffic through this neighborhood will be completely eliminated.

2 – Connect Bolton Road to South Eagleville Road

Create a new road connecting Bolton Road to South Eagleville Road to reduce some congestion from Route 195 and eliminate the shortcut through the Hillside Circle residential area. The road alignment should line up with the western end of the Mansfield Apartments loop road to help tie them into campus. This location for the new connector also creates the best sight distance onto South Eagleville Road.

3 – Close Connection to Gilbert Road
Permanently close the Bolton Road/Gilbert Road connector using removable bollards, leaving the infrastructure in place to allow temporary access during student move-in.

Gilbert Road Crosswalk

4 – Reconfigure Parking to Promote Pedestrian Safety
Reconfigure the parking between Nathan Hale Inn and Rome Commons to simplify circulation and promote an open space connection between the two facilities. Because of heavy pedestrian traffic between the two, remove a bay of parking and create a green space. Retain the service road and drop-off, and create parking in front of the Nathan Hale Inn.

View of Rome Commons Entry from Nathan Hale Inn

5 – Bolton Road Improvements
When the Fine Arts Complex is developed, there will be added traffic demand on Bolton Road during special events. Bolton Road should be widened to three lanes (two travel lanes and a center turn lane) from Route 195 to S Lot (or a potential parking garage location on S Lot) to alleviate congestion into and out of the parking lot.

6 – New Pedestrian Connection
Create a pedestrian walkway connecting the Fine Arts Complex through the academic buildings to the Academic Way, and into Central Campus. This new walkway will become an important link between the campus neighborhoods and to the proposed Storrs Center development. This area also makes a very good location for an outdoor amphitheater because of the change in elevation and the proximity to the Fine Arts Complex and Mirror Lake.

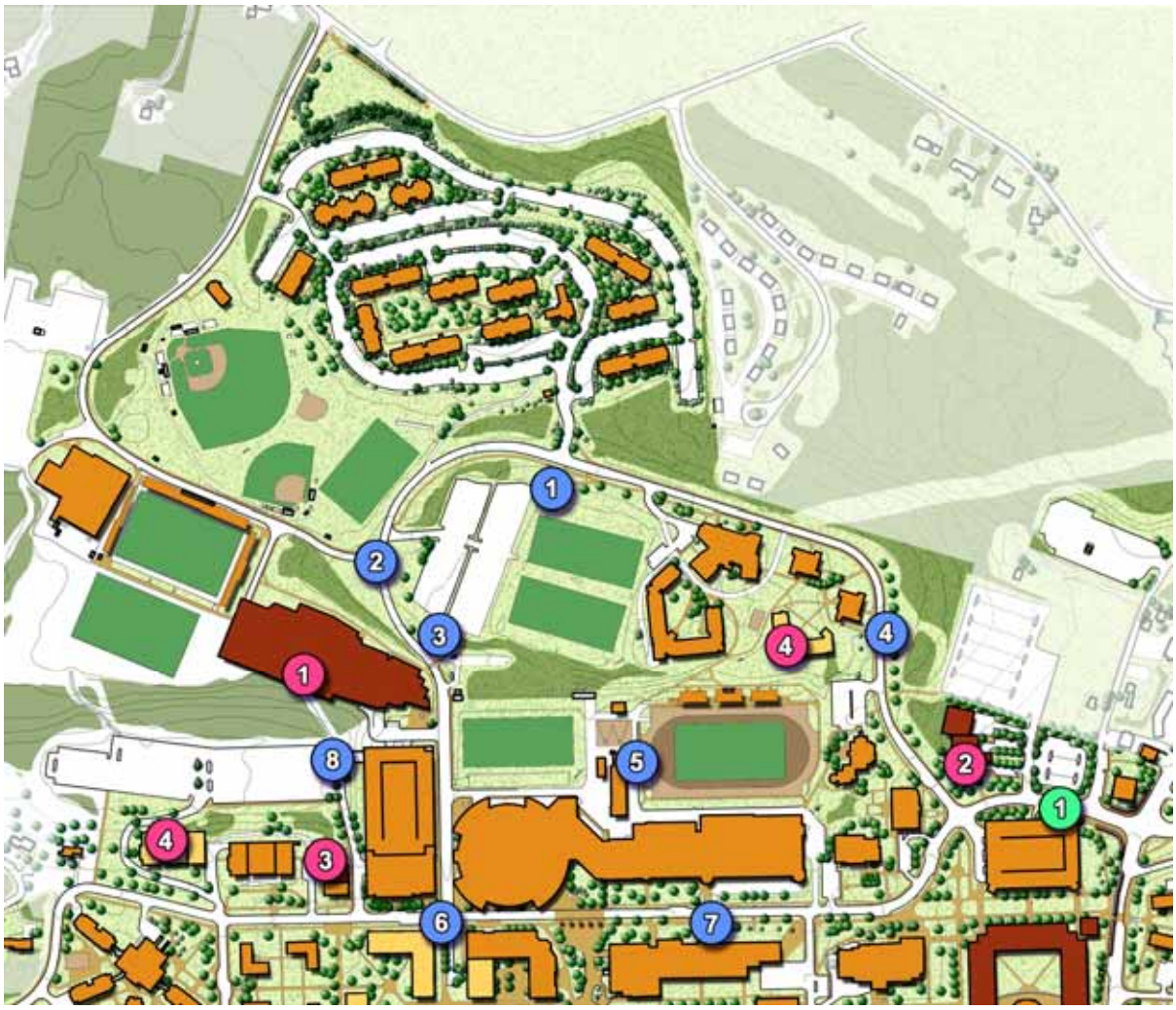
7 – Mansfield Road Improvements
Mansfield Road should be realigned with the Merlin D. Bishop Center access road across Route 195. This will increase the distance between Mansfield Road and the Fine Arts Complex, and provide a safer intersection. Landscape screening should be provided between the road and the Fine Arts Complex to soften the edges of the building.

8 – Pedestrian Connection to David C. Phillips Communication Sciences Building
Currently, there is no pedestrian connection between the Communication Sciences Building and Central Campus, and there are desire lines through lawn areas. Create a pedestrian connection that is well lit and landscaped to tie this area into campus.

9 – Provide Garage Access at Top and Base of Hill

There is a steep grade change between the future parking garage at the lower level and the entrances to Rome Commons and Nathan Hale Inn at the upper level. Provide a pedestrian connection from the garage to the upper level in order to more easily navigate the grade change and fully utilize the garage for functions within Rome Commons and Nathan Hale Inn. A lower level pedestrian connection should be connected to the Academic Way to the north in order to facilitate pedestrian movement into Central Campus.

West Campus Neighborhood



Buildings & Facilities

1 – New Burton Family Football Complex and Mark R. Shenkman Training Center
2 – Relocate Hilda May Williams Student Health Services
3 – Museum of Natural History Addition
4 – Future Residence Hall

Open Space

1 – Screen Parking with Landscaping

Circulation

1 – New Pedestrian Connection
2 – Alumni Drive/Stadium Road Intersection Realignment
3 – Pathway and Stair Improvements
4 – Alumni Drive Improvements
5 – Improved Pedestrian Connection
6 – Pedestrian Improvements to Hillside Road
7 – New Crosswalk at Student Union Main Entrance
8 – Allow Ingress/Egress at South (upper level) Entry to South Parking Garage

Goal

- Consider long term athletic and recreational needs of the campus community.
- Ensure adequate and safe pedestrian linkages to campus residential areas.
- Alleviate pedestrian/vehicular conflicts on Hillside Road.

Buildings & Facilities

1 – New Burton Family Football Complex and Mark R. Shenkman Training Center
Locate this new facility adjacent to the hill to reduce its visual scale.

2 – Relocate Hilda May Williams Student Health Services
This convenient location for a new Student Health Services allows easy access for pedestrians, vehicles, transit, and emergency vehicles. The size and massing of the building is consistent with the Alumni Center, University of Connecticut Foundation, and the Lodewick Visitors Center. Limited short-term parking and drop-off at the entry should be created, and the building should be effectively screened with landscape.

3 – Museum of Natural History Addition
The location of the Museum of Natural History addition should be sensitive to the historic architecture of the existing building and access to the parking to the west.

4 – Future Residence Hall
If additional on-campus residences are necessary, these two locations provide opportunities that are adjacent to existing dining facilities as well as within already established residential neighborhoods.

Open Space

1 – Screen Parking with Landscaping
The Hillside Road/North Eagleville Road intersection is a very significant campus entry which will only increase in importance once North Hillside Road is connected to Route 44, routing all visitors here. A landscape buffer should be added on the west side of the road to reduce the visual impact of the surface parking lot to the west.

Circulation

1 - New Pedestrian Connection
Hilltop Apartments has no pedestrian connection to Central Campus. A significant, well-lit pedestrian path should be created connecting Hilltop Apartments to campus via either D Lot, through Hilltop Residence Halls, or both.

2 - Alumni Drive/Stadium Road Intersection Realignment
The Alumni Drive/Stadium Road intersection should be realigned so that Alumni Drive has the right-of-way. The existing intersection has inadequate and dangerous sight distances. Allowing Alumni Drive to have the right-of-way will permit easier entrance/exit from the South Parking Garage on a daily basis as well as during events. Sight distances are also improved.

3 – Pathway and Stair Improvements
Construct an improved set of stairs (to code) connecting D Lot with Alumni Drive, improve the paths leading to and from the stairs, and pave some obvious desire lines.

Walking Path from D Lot

4 – Alumni Drive Improvements
With pedestrian enhancements to Hillside Road, Alumni Drive will become an important route to access the South Parking Garage. All parking should be removed, bus stops improved, and the road widened to allow easy vehicular travel.

Bus Stop on Alumni Drive

5 – Improved Pedestrian Connection
Improve the pedestrian connection between Hillside Road and Hilltop Residence Halls. The passageway between Harry A. Gampel Pavilion and the Student Recreation Facility could be dramatically enhanced to create a welcoming transition through the building. The pedestrian path to Hilltop Residence Halls should be improved with a dedicated pedestrian path through the athletic facilities that is well lit and landscaped.

6 – Pedestrian Improvements to Hillside Road
Construction of the UConn Co-op west of Hillside Road has created major pedestrian/vehicular conflicts along Hillside Road, especially at the Hillside Road/Stadium Road intersection, as students cross between the UConn Co-op and Central Campus. There are several alternatives that would alleviate the conflicts. One alternative is to add a four-way "smart" traffic signal to the Hillside Road/Stadium Road intersection to better control both pedestrian and vehicular traffic. The concept of the "smart" signal is that the traffic light stops traffic in all four directions, allowing pedestrians to cross in any direction, even diagonally. The other solution is to close Hillside Road to vehicular traffic from Glenbrook Road to Stadium Road. The closure could either be limited to certain times of the day or could be made permanent while allowing service, bus, and emergency vehicles. The closure of Hillside Road could be implemented on a temporary basis to test the feasibility of such a bold move.

7 – New Crosswalk at Student Union Main Entrance
If Hillside Road remains open to vehicular traffic, create a dedicated crosswalk directly across from the Student Union main entrance. The crosswalk should have a change in paving materials, signs for pedestrians and vehicles, perhaps a change in grade (raised table), and vertical elements such as columns or walls signifying the importance of the crossing.

8 – Allow Ingress/Egress at South (upper level) Entry to South Parking Garage
Open the south entry on the upper level of the South Parking Garage for card ingress/egress at all times to alleviate traffic congestion at the Hillside Road/Stadium Road intersection.

UCONN

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Appendix 8.2

Fine Arts Master Plan (2009)

Appendix 8.2: Fine Arts Master Plan (2009)

Due to its length – 386 pages – the School of Fine Arts Facilities Master Plan is available in full online.

It can be found at the following website: http://masterplan.uconn.edu/storrs.html

The following is a direct link to the PDF:
http://masterplan.uconn.edu/School%20of%20Fine%20Arts%20Facilities%20Master%20Plan%202009.pdf

Appendix 8.3

Landscape Master Plan (2010)

Appendix 8.3: Landscape Master Plan (2010)

Due to its length – 164 pages – the Landscape Master Plan is available in full online.

It can be found at the following website: http://masterplan.uconn.edu/storrs.html

The following is a direct link to the PDF:
http://fas.uconn.edu/about/Landscape_Master_Plan_and_Design_Guidelines.pdf

Appendix 8.4

Hardcopy of *UCONN 2000, 5-Year Progress Report* (2006-2011)

UCONN 2000

5

YEAR PROGRESS REPORT

University of Connecticut

As UCONN 2000 enters the sixth year of its second iteration, the University continues to attract record numbers of applicants, most of them from out-of-state, due in large part to the continued renewal of the University's campuses. As of October 2010, more than 105 projects had been completed through the program, including Chemistry Building, Biology/Physics Building, and Information Technology and Engineering Building seen on the cover.

UCONN 2000

REBUILDING, RENEWING AND ENHANCING THE UNIVERSITY OF CONNECTICUT

January 2011

FIVE YEAR PROGRESS REPORT

Governor Dannel P. Malloy
and the
Connecticut General Assembly

UNIVERSITY OF CONNECTICUT

University of Connecticut
Office of the President

Philip E. Austin
Interim President and
University Professor

TO: The Honorable Dannel Malloy, Governor
Members of the Connecticut General Assembly

FROM: Philip E. Austin

DATE: January 22, 2011

For the third time, it is my privilege to present to the Governor and the members of the General Assembly the University of Connecticut's UCONN 2000 Performance Review Report.

As in the previous two reports, this document tells the story of a public research university in the midst of an ongoing, positive, and dramatic transformation. Long a leader in our New England region, UConn continues its move toward national prominence as a center of excellence in instruction, research, and service to the people of our State—and beyond.

As UCONN 2000 enters its final stages, it is appropriate for all of us who care about the University to express our gratitude to the people whose vision and courage made this program—the initial authorization in 1995 and the supplement that followed in 2002—a reality. One hundred five major projects completed, underway, or authorized and more than 10 million new and renovated square feet of space completed tell the physical part of the story. A 65% increase in Storrs freshman enrollment since 1995 (including 1,286 valedictorians and salutatorians); a 172% increase in minority freshmen; major enhancements in every important measure of student strength and satisfaction; massive increases in research and private giving; an overall rise in the national rankings—these describe another, even more important aspect of what UCONN 2000 has wrought.

A program of this size and scope, especially one without precedent in our State, has faced inevitable challenges along the way. As outlined in the five-year Performance Review Report issued in 2006, working with the General Assembly and the Governor's Commission on UConn Review and Accountability, we addressed those challenges and assured that the UCONN 2000 program would move forward toward its goals. That progress has been the story of the five years just passed.

The University of Connecticut will soon welcome a new president, the fifteenth to lead the institution in a long and proud history. We are indeed fortunate that the University has attracted a scholar of outstanding stature to lead the institution to a new level of excellence. Thanks in enormous measure to the contributions of the UCONN 2000 program, she has an excellent foundation on which to build.

An Equal Opportunity Employer

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UCONN 2000: 2010 YEAR-END UPDATE

In the five years that have elapsed since the filing of the first five-year Performance Review Report on January 11, 2006, the University of Connecticut has implemented policies and procedures as described in the Corrective Action Plan submitted to the General Assembly in April of 2005, has implemented the recommendations of the Governor's Commission on UConn Review and Accountability, and has fully complied with **Public Act No. 06-134**, An Act Concerning Construction Oversight At The University Of Connecticut And The Prequalification Of Substantial Contractors. The sum total of these actions has created both an internal and external review process to eliminate the weaknesses related to the administration of the program, code compliance, building inspection, and organization checks and balances as identified by the University in 2004 and 2005. The University is pleased to report these actions have been successful and produced results that have been validate by both internal and independent external audits. Marcum, formerly UHY, have completed audits for the years 2005 to 2009 and have not identified any material weaknesses in the administration and related construction of the UCONN 2000 program.

Although the University is pleased with these audit reports, it will continue to vigorously enforce all policies and procedures that have produced these positive results and will continue its aggressive internal and external monitored compliance activities. The University, by these actions, will ensure there is no reversion to pre-2005 program practices.

In addition to the internal and external audits, the University was informed in July 2009, that it had been selected by the Internal Revenue Service for examination of its General Obligation Debt Service Commitment Bonds 2003-A. The examination was part of a nationwide audit program of tax exempt bonds issued by higher education, healthcare and other non-profit institutions. Selection of an institution for an examination does not directly or indirectly imply any violations of the Internal Revenue Service Code, but is part of an audit program that commenced over five years ago that randomly selects certain bond issues for examination in order to test compliance with the complex regulations that govern the issuance of tax exempt bonds. Failure to comply with these regulations could have serious tax consequences to bond holders and the ability of the University to sell future bond issues in the public markets.

Over the next seventeen months, the University's Office of Treasury Services, in collaboration with the Office of the State Treasurer and bond counsel, coordinated the University's response to various requests for information and documentation issued by the Internal Revenue Service.

In August 2009, staff members from the University Office of Treasury Services, the Office of the State Treasurer and bond counsel led an Internal Revenue Service agent on a tour of University campus facilities financed by the bond issue that was subject to the examination. Over the next several months, the University received two additional requests for information and documents and the team provided responses in November 2009 and January 2010.

On March 19, 2010, the University received a letter from the Internal Revenue Service indicating "No Action" would be taken by the Service on the bonds and the interest received by bond holders was exempt from gross income. In lay language, the letter states the Internal Revenue Service's examination of the bond issuance found there were no code violations that would have negated the tax exemption on the interest received by bond holders.

A copy of the letter from the Internal Revenue Service is included in the report as Appendix A.

UCONN 2000: PERFORMANCE REVIEW REPORT TO GENERAL ASSEMBLY

Section 10-109y of the Connecticut General Statutes requires the University to submit to the Governor and to the joint standing committees having cognizance of matters related to education and finance and bonding, two five-year performance reviews dated January 15, 2006 and January 11, 2011.

These performance reports must contain the following information:

- A detailed description of each project undertaken to date under the UCONN 2000 program
- The progress made under the program
- A comparison of actual project expenditures to original costs
- A summary of programs, services and facilities which the University coordinates with other public and independent institutions of higher education.

UCONN 2000: PROGRESS ON LEGISLATIVE GOALS

Through UCONN 2000, the executive and legislative branches recognized and addressed the University's need for a comprehensive infrastructure renewal program to attract Connecticut's high-achieving students, to educate a top-notch workforce and to compete effectively for job-creating research grants. The legislative program was designed to rebuild, restore and enhance the University's physical infrastructure, but it was also designed to enhance programmatic excellence by jump-starting the University's private fundraising with an endowment matching grant program. The overwhelming bipartisan support for UCONN 2000 reflected the depth of consensus regarding the goals as articulated in the law's statement of purpose:

> The purpose of the University of Connecticut 2000 Act is to promote the welfare and prosperity of the people of the state and the continuation and improvement of their educational opportunities by approving a special capital improvement program for the University of Connecticut and enabling the University of Connecticut to borrow money and enter into financing transactions in its own name, on behalf of the state, to expand the authority of the University of Connecticut to construct projects and to assure a state commitment to support the financing of the acquisition, construction, reconstruction, improvement and equipping of facilities, structures and related systems for the benefit of the educational and economic development needs of the state and the University of Connecticut, all to the public benefit and good, and the exercise

of the powers, to the extent and manner provided in the University of Connecticut 2000 Act, is declared to be for a public purpose and to be the exercise of an essential governmental function.

Section 10a-109b
Legislative finding of purpose

The return on the UCONN 2000 investment to date has far outstripped even the most optimistic expectations at the time the law was passed. In the ensuing decade, the University has seen unprecedented growth in the size, diversity and academic skill of its student body, as well as tremendous strides in research activity and private fundraising. The data displayed below tell the story of a remarkable - and remarkably rapid - transformation.

	Fall 1995	**Fall 2010**
Freshmen Applications (Storrs+)*	10,809	23,278
Freshmen Enrollment (Storrs)	2,021	3,339
Freshmen Enrollment (Regionals)	668	1,241
Freshmen Enrollment (Total)	2,689	4,580
Freshmen In-State Enrollment (Storrs+)	2,229 (82.9%)	3,389 (74.0%)
Freshmen Out-of-State Enrollment (Storrs+)	460 (17.1%)	1,191 (26.0%)
Freshmen Minority Enrollment (Storrs+)**	17.9%	28.3%
Freshmen International Enrollment (Storrs+)***	49	114
Freshman SAT Scores (Storrs)	1,113 Fall '96	1,221
Freshman SAT Scores (National Average)	1,013 Fall '96	1,017
Freshmen in Top 10% of High School Class (Storrs)	23%	44%
Freshmen in Top 25% of High School Class (Storrs)	60%	79%
Valedictorians & Salutatorians (Storrs)	40	110
Freshman Retention Rate (Storrs)	86%	93%
Minority Freshman Retention Rate (Storrs)	84%	92%
6-Year Graduation Rate (Storrs)	70%	81%
6-Year Minority Graduation Rate (Storrs)	51%	72%
Undergrad In-State Enroll (Storrs+)	12,826 (87.4%)	17,458 (79.8%)
Undergrad Out-of-State Enroll (Storrs+)	1,841(12.6%)	4,423 (20.2%)
Undergrad Enrollment (Storrs+)	14,667	21,881

Undergrad Transfers to UConn from CT Institutions through Undergraduate Admissions (Storrs+)	356	500
Graduate/Professional Enroll (Storrs+)	7,804	7,623
Total Undergrad/Grad/Prof Enroll (Storrs+)	22,471	29,504
Medicine/Dental Medicine Enroll (UCHC)	502	530
Grand Total Enrollment	22,973	30,034
Undergrad Degrees (Storrs+)	2,951	4,632
Grad/Prof Degrees (Storrs+)	1,757	2,299
Medicine/Dental Medicine Degrees (UCHC)	114	115
Total Degrees Awarded	4,822	7,046
Full-Time Faculty (Storrs+)	1,148	1,304
Full-Time Staff (Storrs+)	2,662	3,017
Total Faculty & Staff (Storrs+)	3,810	4,321
Full-Time Faculty (UCHC)	408	491
Full-Time Staff (UCHC)	1,964	3,379
Total Faculty & Staff (UCHC)	2,372	3,869
Alumni living in Connecticut	85,000+	117,000+
Total Alumni (approximately)	136,900+	208,500+
	FY 1996	**FY 2010**
Research Awards (Storrs+)	$55.9M	$131.3M
Research Awards (UCHC)	$42.5M	$101.9M
Total Research Awards	$98.4M	$233.2M
Foundation-Disbursements in Support of Students, Faculty & Programs	$6.2M	$23.1M
Foundation-New Gifts & Commitments	$20.2M	$45.5M
Foundation-Cash Gifts Received	$13.3M	$39.8M
Foundation Endowment Assets		
Scholarship Support	$17.7M	$94.2M
Program Support	$18.3M	$89.0M
Faculty Support	$28.9M	$79.8M
Non-Endowed Assets	$20.0M	$85.2M
Total Endowment Assets	$85M	$348.2M

* Storrs+ refers to the University exclusive of the Health Center

** Minority enrollment excludes minority students enrolled as an international – with a non-resident alien visa.

*** International enrollment includes all ethnicities (minority groups, white, and unknown/other) for students enrolled with a non-resident alien visa.

Other Returns on the UCONN 2000 Investment

Educating Connecticut:
Data for the period 2008 to 2009 published on the State Department of Education website indicates the State and its municipalities will spend approximately $182,000 to educate a student from preschool to grade 12. In order for the this investment to mature and generate a return to the State, the State's institutions of higher education must provide a robust and rich educational experience that is competitive to options offered by out of state schools that aggressively compete for Connecticut's best students. The UCONN 2000 capital program has transformed the University of Connecticut from a second or third choice school for in-state students to a first choice school that attracts and retains high quality students, many of whom live and work here after graduation. The economic benefits to the State by retaining these students after high school and transforming them into educated and productive residents pays enormous dividends on the investments made by the State in the early years of their educational life and in a its flagship university.

Jobs for Connecticut:
The University of Connecticut contributes mightily to our state's economic growth. UConn's ongoing operations add $2.3 billion annually to our state's gross domestic product, are responsible for generating 29,000 jobs in the state, and increase the state's gross domestic product by $5.05 for every state dollar allocated to UConn. Since 1996, annual faculty research awards have increased 137%, from $98 million to $233 million. Nationally renowned research programs in stem cell, fuel cell and nanotechnology have been developed and expanded. Enrollment and degrees awarded in key workforce shortage areas like engineering, life sciences and nursing have increased dramatically. In the last 12 years, UConn faculty have been responsible for 226 patents, starting 35 companies, and 97 active technology licenses. In 2009, our Technology Incubation Program hosted 18 companies at three campuses, and our incubator companies created 100 jobs and generated $19.3 million in revenue.

UConn also contributes to the state's well-being by conducting research that enhances Connecticut's scientific and technological infrastructure, and by improving health care, education and the environment. The UCONN 2000 investment has been a major factor in UConn's growing economic capacity.

The UCONN 2000 program itself has been a significant job creator. As of November 2010, construction and related contracts for the program totaled $1.52 billion, with Connecticut businesses receiving $1.23 billion or 81% of total contracted dollars and "set-aside" (women, minority and small business) contractors receiving $325.7 million or 21% of total contracted dollars.

Today, UConn's role is particularly vital. Our mission, in keeping with the UCONN 2000 statement of purpose articulated by the General Assembly, is to increase Connecticut's intellectual capital by producing graduates of the highest quality. We know the workplace is responding positively: according to a previous report by the Department of Higher Education, employer satisfaction with Connecticut's public college graduates is very high overall, with employers rating UConn grads highest on basic skills (reading, math, written and oral communication, and computer applications). These graduates will go on to repay their state's investment many times over as they build careers, raise families, pay taxes and contribute in many other ways to enhancing Connecticut's quality of life.

UCONN 2000: PROGRAM OVERVIEW

The basic provisions of the UCONN 2000 program have remained the same through Phases I, II and III (also known as 21st Century UConn). The law sets forth the following parameters and requirements:

- The submission of the project list and master indenture by the University to the State Bond Commission for its review and approval.
- The State's pledge to fund the "debt service commitment" bonds for the University of Connecticut ($962 million for Phases I and II and $1.5 billion for Phase III, which includes the UConn Health Center for the first time).
- The maximum annual amounts that the University's Board of Trustees may authorize for debt service commitment bonds to finance projects.
- The authority of the State Treasurer over the sale of University of Connecticut bonds and for setting the terms and provisions for each sale in conjunction with UConn.
- The authority of the University to issue special obligation bonds to fund projects on the project list, with debt service to be paid by UConn with associated and dedicated revenue streams (e.g. residential facilities and parking garages).
- The authority of the General Assembly, upon recommendation by the University's Board of Trustees, to add or delete projects on the list approved by the State Bond Commission.
- The authority of the University's Board of Trustees to make material revisions to projects and to determine the budget, scope and sequencing of projects.
- The authority of the University to manage all projects.
- The requirement that all projects comply with state laws pertaining to state public construction projects, including environmental and labor standards.
- The submission of semi-annual progress reports and a mid-term performance review report by the University to the Governor and the General Assembly.
- Requirements concerning UCONN 2000 contained in Public Act 06-134 have been implemented by the Board of Trustees and University management. The seven-member Construction Management Oversight Committee comprised of four members appointed by the Governor and legislative leadership and three members from the Board of Trustees appointed by the Chairman of the Board of Trustees is in place and meets on a regular basis.
- The University has established the Office of Construction Assurance with a Director engaged in daily oversight duties including reviews of named UCONN 2000 Phase III projects for conformance with University policies and procedures. The Director reports to the Construction Management Oversight Committee and to the President.
- As required by P.A. 06-134, the University engaged UHY, LLC to perform a comprehensive audit of the UCONN 2000 program. The audit assignment is complete and a report has been provided to the Board of Trustees Joint Audit and Compliance Committee. While the audit confirmed problems in the UCONN 2000 program in 2003 and 2004, UHY also found that none of those problems reappeared since 2005. The audit gives the University's construction accounting a clean bill of health for 2005 through 2009 and also finds that all of the policy and procedure recommendations of prior audits have been implemented. Copies of the audit reports were provided to the Governor, the leaders of the General Assembly and the members of the Higher Education and Employment Advancement and Finance, Revenue and Bonding Committees.

- In February 2009, due to the economic challenges it was facing, the State notified the university that the scheduled Fiscal Year 2010 bond authorization in the amount of $140.5 million would be deferred. Accordingly, the schedule for all UCONN 2000 projects was adjusted based on available funding.
- In 2010, PA 10-104, An Act Establishing the University of Connecticut Health Network and the Connecticut Bioscience Initiative was enacted, which reallocates the Fiscal Year 2010 bond authorization of $140.5 million over the remaining years of the UCONN 2000 program, reallocates $25 million from UCHC projects for the planning and design of a new hospital bed tower and renovations of portions of the existing John Dempsey Hospital, provides $207 million in bond authorizations for the construction and renovation project, and extends the UCONN 2000 program until Fiscal Year 2018. Accordingly, the schedule for all UCONN 2000 projects was adjusted based on available funding. The planning and design for the construction and renovation project is underway.

UCONN 2000: PROJECT SUMMARIES

Listed here are all UCONN 2000 projects, completed or underway, as of December 2010. Please note that expenditure data are based on the best available information to date; however, adjustments may still be made in the course of routine audit and review procedures. When the need arises, the University, on a project-by-project basis, makes adjustments as appropriate, from specific project subaccounts all the way through to the amendment of supplemental indentures. These adjustments are made in full keeping with the statutory framework of UCONN 2000 and with the assistance of bond counsel. Modifications will continue to be necessary, both 1) to accommodate the types of ongoing adjustments contemplated by the law as necessary to the administration of a ten-year (now twenty three-year) program and 2) to correct any inaccuracies that may be found as part of ongoing financial review and audit.

STORRS & REGIONAL CAMPUSES

Agricultural Biotechnology Facility

A new 46,000 square foot Agricultural Biotechnology laboratory and greenhouse which houses laboratories, seminar and conference rooms, offices for Cooperative Extension Service faculty and outreach specialists, a computer lab, a reference library, administrative offices, and space for a Transgenic Animal Facility, a Plant Biotechnology Laboratory and a Transgenic Plant Facility was completed in the east part of the Storrs Campus.

UCONN 2000 funding along with a Department of Energy Grant ($7,770,162) provided for the completion of the Agriculture Biotechnology project. This project allowed for the construction of the second building (approximately 16,000 sq. ft.) and a new greenhouse facility (approximately 14,000 sq. ft.) as provided in the original project and the Master Plan. The facility provides research and incubator space, including the Center for Regenerative Biology.

In 2007, the university undertook code and building remediation projects to comply with inspection reports issued by the Office of the State Building Inspector and the Office of the State Fire Marshall with the assistance of the architectural design team and one of the original general contractors.

Statutory Estimate (1995)	$19,400,000
Total Funding (as of 11/30/10)	$27,049,320
UCONN 2000 Funding	$12,400,000
Other Funds	$14,649,320
Actual Expenditures (as of 11/30/10)	$27,049,320
Completion Date	December 1999 & August 2002

Alumni Quadrant Renovations
Work on the 222,000 square foot Alumni Quad complex included a broad range of renovation activities, including the installation of sprinklers.

Statutory Estimate (1995)	$14,338,000
Total Funding (as of 11/30/10)	$18,183,624
UCONN 2000 Funding	$11,183,624
Other Funds	$7,000,000
Actual Expenditures (as of 11/30/10)	$18,183,624
Completion Date	April 2003

Arjona and Monteith (New Classroom Buildings)
These two original classroom buildings are perhaps the most visible on campus and were constructed in 1959 with each having 68,600 square feet of space on four levels. Connected to the Monteith building is the 4,000 square foot Schenker Lecture Hall. These two buildings are the most heavily used classroom facilities on the Storrs campus. They also contain offices for some of the departments within the College of Liberal Arts and Sciences. It was anticipated within the UCONN 2000

program that these buildings would be renovated; however, 1) the cost far exceeded planned allocations and 2) the University could not take critically important existing classroom space off-line. The current project includes the construction of two new classroom buildings.

The West building, on the site of the former Pharmacy Building, will consist primarily of classrooms and auditoria. The East building, on the site of the former UConn Co-op, will contain departmental offices and classrooms. Construction of the West building is approximately 45% complete with an anticipated opening in summer 2011. Underground utilities, including relocation of a steam line and reconfiguration of Fairfield Way, were completed in October 2010. The East Building has been successfully bid and construction started in September 2010. The East Building is anticipated to be complete in July 2012.

Statutory Estimate (2002)	$66,100,000
Total Funding (as of 11/30/10)	$95,000,000
UCONN 2000 Funding	$95,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$22,278,430

Avery Point Campus Undergraduate & Library Building

During Phase I of the UCONN 2000 program, the need for research space was addressed with the new Marine Sciences building, as well as construction of a new facility for Project Oceanology. With the repairs to the Branford House, the needs for administrative space were met when new infrastructure was installed. However, the remaining significant need is for undergraduate program space, currently housed in the WWII era former Coast Guard facilities. This project will support new or renovated undergraduate co-curricular space as well as plan the demolition of certain of the Coast Guard R&D facilities. The architectural/engineering team began the first phase of planning and design, assessment and programming in August 2010 and design will take approximately one year to complete. Other projects include replacement of the existing roof and repair of exterior masonry of the library, as well as reconfiguration of the interior of both the library and undergraduate building. Mechanical system upgrades of piping and equipment are currently underway.

Statutory Estimate (2002)	$35,000,000
Total Funding (as of 11/30/10)	$12,800,000
UCONN 2000 Funding	$12,800,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$719,574

Avery Point Marine Science Research Center – Phase I & II

This project encompasses the construction of approximately 145,000 square feet of new classroom and research space and a new Project Oceanology building which together serve as a Coastal Marine Science and Technology Center, and a new central chilled water plant.

Statutory Estimate (1995)	$50,682,000
Total Funding (as of 11/30/10)	$42,785,691
UCONN 2000 Funding	$37,254,246
Other Funds	$5,531,445
Actual Expenditures (as of 11/30/10)	$42,785,691
Completion Date	December 2001

Avery Point Renovation

This project provides for renovation to various undergraduate buildings. The project includes interior renovations to the classrooms and offices; and exterior renovations including new roofs, windows and facades for various buildings. Projects include repair of the Pool and Gymnasium facility, including a new roof, replacement of the steam line to the Marine Sciences building, various improvements to accommodate new research equipment, upgrades and renovations to classrooms and laboratories and improvements to various buildings on the Avery Point Campus.

Statutory Estimate (1995)	$5,600,000
Total Funding (as of 11/30/10)	$5,323,000
UCONN 2000 Funding	$5,323,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$5,028,941
Completion Date	Various

Beach Hall Renovations

Beach Hall was constructed in 1929 and contains research labs, offices and classrooms for various departments in the College of Liberal Arts and Sciences. The four-story building has 83,500 square feet of space. A general renovation (including building systems, code/ADA and interior upgrades) of the facility is required to meet its current use. The project design phase is underway; and construction will take place over several years. A variety of code upgrades including a new fire alarm system have been completed as well as individual laboratory renovations to accommodate research activities.

Statutory Estimate (2002)	$10,000,000
Total Funding (as of 11/30/10)	$8,000,000
UCONN 2000 Funding	$8,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$749,824

Benton State Art Museum Addition (Completion)

This project built a 6,500 square foot gallery space with support spaces for a café, museum shop and space for general orientation which was completed in January 2004. The original museum was constructed in 1920 and ongoing improvements have included roof replacement, parapet and exterior wall re-pointing, reconstruction of deteriorated entry walls and foundation systems to prevent water infiltration. Recently, the University began replacement of the mechanical systems and installation of a new sprinkler system in the original museum.

Statutory Estimates (1995 & 2002)	$8,065,000
Total Funding (as of 11/30/10)	$5,822,839
UCONN 2000 Funding	$4,200,000
Other Funds	$1,622,839
Actual Expenditures (as of 11/30/10)	$3,599,053

Biobehavioral Complex Replacement
The Biobehavioral Sciences Complex was constructed in the Horsebarn Hill quadrant of campus between 1965 and 1974. This complex is primarily comprised of prefabricated metal buildings that have been used as research laboratories. In 1994, an annex was constructed adjacent to the 1974 Biobehavioral Science Building #4 providing an additional 23,300 gross square feet of research space. The original project plan involved construction of a centralized facility and, upon completion, demolition of the old buildings. Based on evaluation of the complex, renovation now appears to be a more cost-effective approach than replacement. The Fiscal Year 2011 plan provides funding for building envelope repairs, mechanical system improvements, and interior room modifications. The University will renovate portions of the complex to accommodate the Center for Environmental Science and Engineering (CESE) laboratory, office, and research collaboration spaces, as well as temporary offices for programs displaced by construction and renovation projects elsewhere on campus.

Statutory Estimate (2002)	$4,000,000
Total Funding (as of 11/30/10)	$5,000,000
UCONN 2000 Funding	$5,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$39,828

Bishop Renovation
The Merlin D. Bishop Center was completed in 1971 and houses the Center for Continuing Studies. This 36,000 square foot facility has offices and meeting rooms which are among the most heavily used on campus. These meeting rooms remain the same as when they were originally constructed. They need acoustical treatment, A/V improvements, and lighting system upgrades. Also, included in the general renovation would be masonry repointing, window replacement, replacement of interior finishes, ADA improvements, fire alarms upgrades, sprinkler installation, HVAC systems upgrade, and restroom fixtures upgrades. A study of the mechanical systems and elevators is currently underway.

Statutory Estimate (2002)	$8,000,000
Total Funding (as of 11/30/10)	$6,000,000
UCONN 2000 Funding	$6,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$0

Business School Renovation – Phase II

Additions and alterations to the building which previously housed the School of Business have converted it to the Center for Undergraduate Education. The building has 72,254 square feet of floor space including 27,356 square feet of new construction, 44,898 square feet of renovation, and exterior modifications including windows and a new roof.

Statutory Estimate (1995)	$4,803,000
Total Funding (as of 11/30/10)	$10,907,242
UCONN 2000 Funding	$7,958,470
Other Funds	$2,948,771
Actual Expenditures (as of 11/30/10)	$10,907,242
Completion Date	January 2004

Central Warehouse New

This project provided for a new 85,000 square foot building comprised of 40,000 square feet for the warehouse function and 45,000 square feet for Purchasing, Accounts Payable, Transportation, Mail Services and Document Production. This project was originally undertaken with State General Obligation Bond authorization; it was transferred to and completed by the University in keeping with the provisions of the law.

Statutory Estimate (1995 & 2002)	$0 (Pre-UCONN 2000 bond authorization)
Total Funding (as of 11/30/10)	$10,848,752
UCONN 2000 Funding	$6,933,752
Other Funds	$3,915,000 (Pre-UCONN 2000 bond auth.)
Actual Expenditures (as of 11/30/10)	$10,848,752
Completion Date	August 2000

Chemistry Building

The Chemistry building was the first of the new "Technology Quad" facilities envisioned to centralize science and engineering programs at the northern side of the central campus. This 199,000 square foot, five story building received an AIA merit award for excellence in architecture

in September 2001. The building contains more than 47,000 square feet in 64 research laboratories and 20,000 square feet in 20 teaching laboratories, as well as state-of-the-art lecture halls.

Statutory Estimate (1995)	$53,700,000
Total Funding (as of 11/30/10)	$56,863,347
UCONN 2000 Funding	$53,062,000
Other Funds	$3,801,347
Actual Expenditures (as of 11/30/10)	$56,862,291
Completion Date	November 1998

Deferred Maintenance/Code/ADA Renovation Lump Sum
In general, projects undertaken fall into one or more of the following categories:

- Safety and code required improvements
- Roof and exterior repairs
- Building mechanical system improvements
- Utilities repairs and upgrades
- General building renovations
- Roads, walks and grounds
- Environmental remediation
- Lump sum funding to supplement named project budgets to cover specified renovation/code activities

A summary of expenditures by fiscal year may be found in Appendix B.

Statutory Estimates (1995 & 2002)	$359,000,000
Total Funding (as of 11/30/10)	$443,692,608
UCONN 2000 Funding	$443,692,608
Actual Expenditures (as of 11/30/10)	$248,188,297

East Campus North Renovations
These projects were part of the University's accelerated plan for the installation of sprinklers in residence halls as approved by the Board of Trustees in 2001. At the same time this work was undertaken, such repairs as roof replacement, façade repairs, and interior improvements were completed.

Statutory Estimate (1995)	$11,820,000
Total Funding (as of 11/30/10)	$8,382,605
UCONN 2000 Funding	$7,382,605
Other Funds	$1,000,000
Actual Expenditures (as of 11/30/10)	$8,382,605
Completion Date	2002

Engineering Building
The School of Engineering is located in several buildings, five on the main Storrs campus and four at the Depot Campus. The three oldest and least renovated buildings on the main campus were built between 1959 and 1987 and can no longer support emerging interdisciplinary engineering programs such as bioengineering and nanotechnology. A planning study is underway to identify

program components for a new building. Deferred maintenance projects including code upgrades, mechanical improvements and interior renovations are ongoing in all engineering buildings.

Statutory Estimate (2002)	$42,700,000
Total Funding (as of 11/30/10)	$41,200,000
UCONN 2000 Funding	$41,200,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$73,195

Equipment, Library Collections & Telecommunications

The enhancement of the University's infrastructure includes its instructional and scientific equipment. The equipment replacement category permits the University to replace outmoded items with state of the art laboratory devices and computers. The funding encompasses seven major categories: management information systems, computers, research equipment, instructional equipment, furnishings, operational and public safety support and library materials. Library materials are no longer purchased with UCONN 2000 funds; this expense is part of the operating budget. A summary of expenditures by fiscal year may be found in Appendix B.

Statutory Estimates (1995 & 2002)	$442,618,146
Total Funding (as of 11/30/10)	$222,726,575
UCONN 2000 Funding	$222,726,575
Actual Expenditures (as of 11/30/10)	$209,721,798

Family Studies (DRM) Renovation

This four story building has 33,600 square feet of offices and classrooms. It was constructed in 1942 with the major occupant being the Department of Family Studies. The only major construction on the building in the past ten years was the replacement of the building roof in 1993. The interior of the building is in poor condition with the need for all systems and finishes to be replaced and/or upgraded. Additionally, all areas of the building need to be brought into compliance with ADA standards along with an upgrade of the elevator. Recently the University replaced the elevators, windows, and repaired the facade.

Statutory Estimate (2002)	$6,500,000
Total Funding (as of 11/30/10)	$6,500,000
UCONN 2000 Funding	$6,500,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$2,810,297

Farm Buildings Repairs/Replacement

The College of Agriculture and Natural Resources has over 100 buildings under its care, many of which have required repairs, remodeling, demolition or replacement. The majority of these buildings are used to support the farm operations. These improvements are important to the instructional program and to the research program of the entire University. UConn must comply with federal requirements concerning animal care in order to remain eligible for federal grants. As part of the pre-accreditation process, the University evaluated its farm buildings to identify buildings for renovation, consolidation or demolition to comply with the Association for Assessment and Accreditation for Laboratory Animal Care (AAALAC) mandates. Projects included roof and

facade repairs, demolition of deteriorated buildings, exterior landscaping, upgrade to electrical and mechanical systems and interior finishes. The University obtained AAALAC standing in 2010.

Statutory Estimate (2002)	$6,000,000
Total Funding (as of 11/30/10)	$4,600,000
UCONN 2000 Funding	$4,600,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$3,220,459

Fine Arts Phase II

Numerous planning and design efforts since 1991 have evaluated the needs of the School of Fine Arts. In light of the changes in these programs, the Storrs Center initiative, and the dispersal of the School of Fine Arts (SFA) facilities throughout the Storrs and Depot campuses since 1991, a revised Master Plan has assessed the condition of the current facilities, updated the program requirements of the School, and made draft recommendations to guide the use of UCONN 2000 funds at this location. The final Master Plan recommends a multi-phased approach to the expansion and renovation of the entire SFA complex. Evaluation of the needs of the existing buildings currently occupied by SFA departments and new initiatives is underway. Immediate improvements are ongoing to ensure continued code compliance and upgrades to the ventilation system in the photography labs.

Statutory Estimate (2002)	$20,000,000
Total Funding (as of 11/30/10)	$23,000,000
UCONN 2000 Funding	$23,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$384,389

Floriculture Greenhouse

This facility is located on Route 195, south of the Towers Dormitories. Constructed in 1953, it contains 23,750 square feet of headhouse and greenhouse space. The headhouse has both classroom lab space and support space for the greenhouse. The original materials used to construct this facility require a large amount of annual maintenance given the significant impact of a greenhouse environment. This project will renovate the headhouse to provide updated mechanical infrastructure, required code improvements, and curriculum support spaces. A new research

greenhouse will provide a critically needed sponsored research and curriculum support facility. Design is complete and construction is anticipated to begin in spring 2011.

Statutory Estimate (2002)	$3,000,000
Total Funding (as of 11/30/10)	$5,000,000
UCONN 2000 Funding	$5,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$177,866

Gant Plaza Deck

This project corrected serious long-standing leaks through the concrete plaza deck of the Gant Science Center and abated water leakage in administrative offices, general student work areas, hallways and the mainframe computer operations areas by installing a new waterproof membrane and by enclosing the deck area to create 14,000 square feet of classroom and office space.

Statutory Estimates (1995 & 2002)	$0 (Pre UCONN 2000 bond authorization)
Total Funding (as of 11/30/10)	$9,229,174
UCONN 2000 Funding	$7,287,174
Other Funds	$1,942,000
Actual Expenditures (as of 11/30/10)	$9,229,174
Completion Date	January 2000

Gant Building Renovations

This complex, which includes the Institute of Materials Science, Physics and Math buildings, was completed in the early 1970's. The complex has a total of 238,000 square feet of space with offices, research labs, classrooms and computer facilities. The original design of the building was so flawed that the past 30 years have been an exercise in addressing those shortcomings. A major renovation of the space is required to address the physical deterioration caused by bad design, to update the facilities and to meet changed program requirements. This would include repair of the building envelope (roofs, windows and masonry), improvement of fire alarm and fire suppression systems, and upgrade to mechanical, electrical and plumbing systems. An architecture and engineering team has been selected and the pre-planning work is underway. A new fire alarm was installed throughout the complex and roof replacement and parapet repairs to the Math Science wing was completed in 2010.

Statutory Estimate (2002)	$40,000,000
Total Funding (as of 11/30/10)	$63,600,000
UCONN 2000 Funding	$63,600,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$603,798

Gentry Renovation & Completion

Additions and alterations to the Gentry Building were designed to consolidate all the programs of the Neag School of Education into one facility with state-of-the art classrooms and space for faculty offices. The building houses 82,000 square feet of floor space, including 24,000 square feet of new construction, interior renovations and exterior modifications. The first stage of this project was completed in May 2004. Renovation of the existing wing was completed in late 2009 and included the installation of new windows, a sprinkler system, new mechanical and electrical systems and various interior upgrades. The Neag School of Education has been using the renovated space since the beginning of the spring term in January 2010.

Statutory Estimate (1995 & 2002)	$19,299,000
Total Funding (as of 11/30/10)	$20,446,417
UCONN 2000 Funding	$19,664,597
Other Funds	$781,821
Actual Expenditures (as of 11/30/10)	$19,951,898

Grad Dorm Renovations

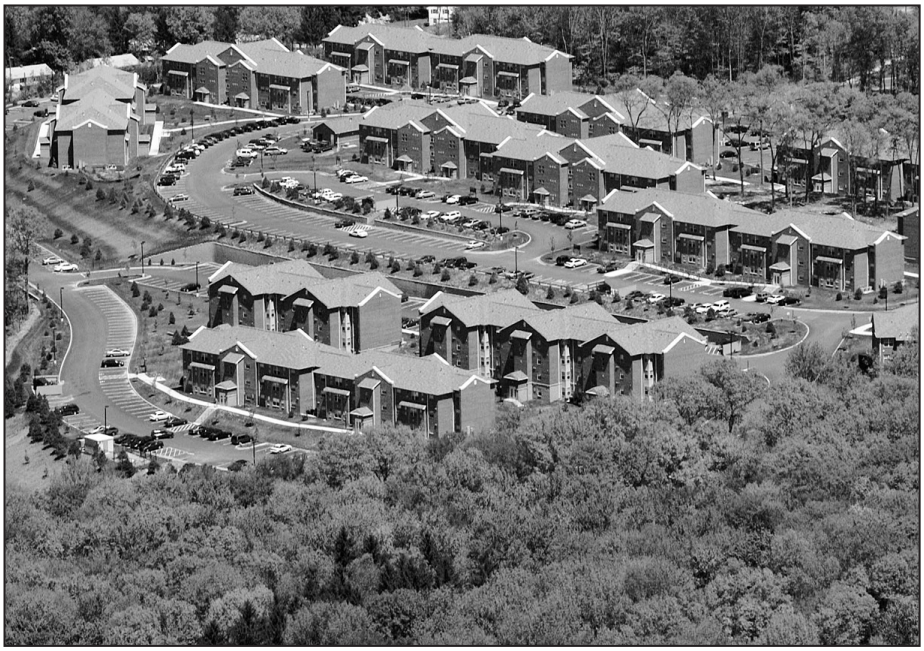
This project was part of the University's accelerated plan for the installation of sprinklers in residence halls as approved by the Board of Trustees in 2001. At the same time this work was undertaken, other repairs such as roof replacement, façade repairs, and interior improvements were completed by August 2003. Recently, the university designated this residential complex an important component of its Honor's Program and is in the process of upgrading the facility to accommodate undergraduate students by creating suites, converting the older central bathrooms and showers to suite type bathrooms and installing common rooms.

Statutory Estimate (1995)	$7,548,000
Total Funding (as of 11/30/10)	$2,928,228
UCONN 2000 Funding	$2,928,228
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$2,928,228

Heating Plant Upgrade

This project provides for the upgrade to the University's Heating Plant, including replacement of boilers and associated systems, new central chilled water plant and upgrade of systems to current technologies. The total scope of the utility upgrades includes three named project categories – Heating Plant Upgrade, North Superblock Utilities and Underground Steam and Water Upgrades Projects to provide a new automatic switching system for buildings connected to the emergency generators.

Statutory Estimate (1995)	$10,000,000
Total Funding (as of 11/30/10)	$11,157,272
UCONN 2000 Funding	$9,969,000
Other Funds	$1,188,272
Actual Expenditures (as of 11/30/10)	$11,157,272
Completion Date	May 1999



Hilltop Dormitory Renovations

This project was part of the University's accelerated plan for the installation of sprinklers in residence halls as approved by the Board of Trustees in 2001. At the same time this work was undertaken, other repairs such as roof replacement, façade repairs, and interior improvements were completed. A variety of code compliance and upgrade projects were completed as mandated by the Offices of the State Fire Marshal and State Building Inspector.

Statutory Estimate (1995)	$3,141,000
Total Funding (as of 11/30/10)	$8,456,164
UCONN 2000 Funding	$8,176,529
Other Funds	$279,635
Actual Expenditures (as of 11/30/10)	$8,456,164
Completion Date	August 2001

Ice Rink Enclosure
This project enlarged the rink footprint to 50,000 square feet, enclosed the rink, air conditioned the building, and added locker rooms, spectator capacity and support facilities, and meeting/office space. Minor renovations to ensure environmental compliance with the ice system and locker room renovations were completed in 2009.

Statutory Estimate (1995)	$2,616,000
Total Funding (as of 11/30/10)	$4,044,001
UCONN 2000 Funding	$3,280,000
Other Funds	$764,001
Actual Expenditures (as of 11/30/10)	$4,044,001
Completion Date	October 1998

International House Conversion/Museum of Natural History
This project was the first phase of a three phase program to create a vibrant Natural History Museum. The project converted vacant space to accommodate the museum's relocation from the Wilbur Cross building and provided for exterior façade restoration, utility upgrade and creation of an office and exhibit area.

Statutory Estimate (1995)	$800,000
Total Funding (as of 11/30/10)	$886,134
UCONN 2000 Funding	$886,134
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$886,134
Completion Date	December 2000

Intramural, Recreational and Intercollegiate Facilities
This project will construct facilities to meet a broad range of activities, including scholastic support to student athletes, indoor practice space for intercollegiate and intramural team sports and individual recreational activity, and outdoor athletic and recreational fields (soccer, football and softball). The first major undertaking was the indoor practice facility which was completed in July 2006. This facility houses the football program including offices, training rooms, locker rooms,

dining facilities, lounge, strength and conditioning room and an indoor practice facility. When not used by athletic teams, the indoor facility will be used by the recreational programs. The building includes 170,000 square feet of space. Funding for the project includes $31 million from Phase III of UCONN 2000 and the remainder from private fundraising and Division of Athletics funds. The university has begun a planning study to identify funding and program uses that could be housed in a new recreation facility.

Statutory Estimate (2002)	$31,000,000
Total Funding (as of 11/30/10)	$51,392,038
UCONN 2000 Funding	$34,000,000
Other Funds	$17,392,038
Actual Expenditures (as of 11/30/10)	$48,313,341

Jorgensen Renovation

The Jorgensen Center for the Performing Arts was constructed in 1956 for orchestra performances. Over the years, it has been modified to accommodate events and gatherings ranging from student functions to theater performances. The building contains five levels, including mezzanine levels above the basement and first floor. With a total of 76,408 square feet of space, the lower floor houses the Little Theatre, the Jorgensen Gallery, and a television studio. The upper floors contain a 2,600-seat auditorium, lobby areas, and support facilities. One of the shortcomings of the building is the lack of a fly loft. This project will evaluate the need for such capacity. Also included in the project are life safety, mechanical and electrical systems improvements, ADA modifications, and perimeter drainage repairs. Construction has begun on the life safety improvements (including a new fire alarm system). Replacement of the existing seating, installation of new sloped risers and upgrade to interior finishes was completed.

Statutory Estimate (2002)	$7,200,000
Total Funding (as of 11/30/10)	$7,200,000
UCONN 2000 Funding	$7,200,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$1,513,693

Koons Hall Renovation/Addition

Benjamin Franklin Koons Hall was constructed in 1915 and houses the Allied Health programs. It is 28,600 square feet on five levels with classrooms, offices and labs. Within the past ten years, the following construction activities were undertaken: roof repairs, masonry repointing and installation of an elevator. The building is in need of general renovation work including HVAC, lighting and utility upgrades, window and door replacements, and new interior finishes. A construction project to replace the windows and repair the exterior masonry will take place in 2011.

Statutory Estimate (2002)	$7,000,000
Total Funding (as of 11/30/10)	$7,000,000
UCONN 2000 Funding	$7,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$48,992

Lakeside Renovation

The Lakeside Apartments were constructed in 1931 to serve as a facility for overnight guests at the University. The building has a total of 15,000 square feet on three levels. With the completion of the Nathan Hale Inn, the privately owned hotel on campus, the use of this facility to house overnight guests has been discontinued. This project renovated the building for the operations of University Communications, Governmental Relations and University Events. Renovation activities included roof replacement, ADA changes, systems upgrades and various interior upgrades to accommodate office related activities.

Statutory Estimate (2002)	$3,800,000
Total Funding (as of 11/30/10)	$5,235,200
UCONN 2000 Funding	$3,800,000
Other Funds	$1,435,200
Actual Expenditures (as of 11/30/10)	$5,235,200
Completion Date	September 2006

Law School Renovations/Improvements

In May 2000, as part of a plan to undertake a renovation of the Starr building (former Law Library building); a facility program was developed for all original campus buildings. Starr Hall will be

developed as an administration and special function building. Knight Hall will become the central student support building. Hartranft Hall will house specialized student and faculty functions, large classrooms, graduate programs, student journals and faculty and independent offices. A new elevator provides handicap accessibility. Hosmer Hall will continue its present use as a faculty office and special function building.

In Phases I and II of the UCONN 2000 program, a major renovation of Starr Hall and other deferred maintenance projects were completed. The remaining buildings, formerly a seminary, have extraordinarily beautiful exteriors with severely outdated and cramped interior quarters; many student organization and outreach activities, as well as faculty offices, are in closet-like warrens never renovated.

The Law School Library was built by the Department of Public Works (DPW) in 1996. Almost immediately, problems with water infiltration were apparent and pointed out to DPW, but were never adequately addressed. Through a series of tests, it was determined that the problems could only be corrected by removing the exterior façade and reinstalling the waterproofing and flashing.

The corrective action plan called for the removal of the exterior façade; new flashing installation; new waterproofing system for the structural steel and concrete masonry structural wall; installation of the exterior stone façade wall with proper anchoring and structural support; removal of windows to drain water and reinstall in watertight manner; removal and replacement of sheetrock, carpentry and other interior materials that have water damage; and the installation of containment systems to protected occupants from construction operations or potential release of mold or other microbial contamination.

The University is working with the Office of the Attorney General in an effort to pursue remedies from the original contractors. While an initial ruling held that the State's claims were barred by the passage of time, that decision is being appealed, and we expect the litigation to continue thereafter. In the meantime, repairs have been undertaken. Special Act 04-2 contained a legislative authorization for $8 million in State General Obligation Bonds for the repair work for this facility. In April 2008, these funds were approved by the Bond Commission.

The University hired a forensic engineer and consultant to investigate, identify problems and design solutions and entered into a construction contract to make repairs. The project is complete.

Statutory Estimate (2002)	$15,000,000
Total Funding (as of 11/30/10)	$27,582,775
UCONN 2000 Funding	$19,500,000
Other Funds	$8,082,775
Actual Expenditures (as of 11/30/10)	$20,883,559

Litchfield Agriculture Center – Phase 1
This project entailed the construction of a new 7,000 square foot facility for the Cooperative Extension System. The Litchfield Agriculture Center contributed a $465,000 grant toward the cost of the new building.

Statutory Estimate (1995)	$1,000,000
Total Funding (as of 11/30/10)	$1,515,682
UCONN 2000 Funding	$1,000,000
Other Funds	$515,682
Actual Expenditures (as of 11/30/10)	$1,515,682
Completion Date	August 2001

Mansfield Apartments Renovation
This project provided for installation of smoke detectors, conversion of two units to handicapped access, replacement of oil-fired furnaces and hot water heaters with gas units, installation of pitched roofs and roof canopies, kitchen improvements and site improvements. The Mansfield Apartments complex has been designated as graduate student housing; therefore, upgrades to the complex include new sprinklers, updated kitchens and bathrooms, a new roadway, permeable pavers for parking and landscaping to comply with sustainability guidelines.

Statutory Estimate (1995)	$2,612,000
Total Funding (as of 11/30/10)	$2,786,281
UCONN 2000 Funding	$2,071,000
Other Funds	$715,281
Actual Expenditures (as of 11/30/10)	$2,784,899
Completion Date	August 1997

Mansfield Training School Improvements Phases II & III
This project, in its two phases, will stabilize the facilities that comprise the former Mansfield Training School. Funding to date has been used for renovations in the Longley building (for Engineering research functions and Technology Incubator Program), the Thompson building (for Fine Arts functions), Merritt Hall (for Engineering and other administrative activities), a campus-wide high voltage electrical system, mechanical and electrical system improvements to various cottages, roof repairs and the construction of new student recreation fields.

Additional renovations, electrical improvements and demolition of uninhabitable buildings will be included in later years of the program.

Statutory Estimates (1995 & 2002)	$56,614,000
Total Funding (as of 11/30/10)	$12,000,000
UCONN 2000 Funding	$12,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$4,623,342
Completion Date	Various

Monteith Renovation

The Arjona/Monteith (New Classroom Building) project, described above, now authorizes the replacement of the two most utilized classroom buildings on campus. Originally, in the early phases of UCONN 2000, the project was envisioned as a summer-time renovation due to the importance of the buildings to meet classroom needs during the school year. An architect was hired to investigate the feasibility of the renovation concept. The study determined that the work could not be accomplished over the summer, and furthermore, that the original design of the buildings was sufficiently outdated to preclude an upgrade to a modern classroom facility. Limited renovation activities have been undertaken to keep the facility operational.

Statutory Estimate (1995)	$8,234,000
Total Funding (as of 11/30/10)	$444,348
UCONN 2000 Funding	$444,348
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$444,348
Completion Date	Various

Music Drama Addition

This project provided for renovation to the Music and Drama/Music Building as well as additions to the Fine Arts quadrant including a new Band Orchestra Building, music library and studio/ classroom building. This project was originally undertaken with a State General Obligation Bond authorization; it was transferred to and completed by the University in keeping with the provisions of the law.

Statutory Estimate (1995 & 2002)	$0 (Pre-UCONN 2000 bond authorization)
Total Funding (as of 11/30/10)	$16,784,315
UCONN 2000 Funding	$7,400,000
Other Funds	$9,384,315 (Pre-UCONN 2000 bond auth.)
Actual Expenditures (as of 11/30/10)	$16,784,315
Completion Date	September 1999

Natural History Museum Completion

The State Museum of Natural History serves as home to the new Connecticut Archaeology Center, which provides support for UConn graduate and undergraduate students and to operate archaeology field schools. The Center also provides services to Connecticut's elementary and secondary schools

and municipalities, as well as access to maps, collections and an archaeology library. The project provides support for the Office of the State Archeologist which is mandated to provide assistance to municipalities regarding anthropological collections and oversees native Indian burial sites. The project is complete.

Statutory Estimate (2002)	$4,900,000
Total Funding (as of 11/30/10)	$999,669
UCONN 2000 Funding	$500,000
Other Funds	$499,669
Actual Expenditures (as of 11/30/10)	$999,669
Completion Date	Various

North Campus Renovation

During the summer of 2000, sprinklers were installed in the dormitory complex and telephone and data equipment was upgraded. In the summer of 2003, windows and exterior doors were replaced.

Statutory Estimate (1995)	$23,703,000
Total Funding (as of 11/30/10)	$12,937,389
UCONN 2000 Funding	$10,996,050
Other Funds	$1,941,339
Actual Expenditures (as of 11/30/10)	$12,937,389
Completion Date	September 2003

North Hillside Road Completion

Design and permitting activities are underway on the North Hillside Road completion project. This project will extend Hillside Road by 3,400 linear feet from its current terminus to Route 44 and will include related utilities such as gas, electrical, water, sewer and telecommunications. The new extension will allow enhanced access to campus and sorely needed relief from traffic congestion on Route 195. Also, the road and accompanying utilities will permit future development of this key parcel. The North Campus is envisioned as the primary area of expansion for the main campus, permitting new University buildings, residential capacity, public/private partnerships (including incubator space) and other initiatives. The Town of Mansfield is supportive of the project. UCONN 2000 funds will be augmented by $6.1 million in federal funds for this project. This project is expected to move forward when the University has obtained the necessary environmental permits for the project.

Statutory Estimate (2002)	$11,500,000
Total Funding (as of 11/30/10)	$8,200,000
UCONN 2000 Funding	$8,200,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$1,193,197

North Superblock Site & Utilities

This project constructed a utility tunnel and installation of central utilities for the campus Tech Quad area and connected the new Chemistry building, Biology/Physics building, and Pharmacy/Biology building to the central heating plant.

Statutory Estimate (1995)	$8,000,000
Total Funding (as of 11/30/10)	$7,668,000
UCONN 2000 Funding	$7,668,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$7,668,000
Completion Date	May 1999

Northwest Quadrant Renovation – Phase I & II

Work on these residential facilities included renovations and improvements to superstructures, roofs, exterior walls, HVAC, electrical systems, plumbing, and interior areas; asbestos abatement, code required improvements, and development of a new dining hall.

Statutory Estimate (1995)	$17,875,000
Total Funding (as of 11/30/10)	$32,124,843
UCONN 2000 Funding	$32,001,000
Other Funds	$123,843
Actual Expenditures (as of 11/30/10)	$32,124,843
Completion Date	May 2001

Old Central Warehouse

The Old Central Warehouse was constructed in 1958 and occupies a site in the Science/Technology Sector of the main campus. A new central warehouse was constructed in 2000 to accommodate warehouse activities, parking, purchasing and transportation offices. The master plan recommends the demolition of the warehouse, however, prior to executing that action, the university undertook planning studies to determine if the building could be retrofitted as either a laboratory or classroom building. The building's structure and low floor to floor heights ensure that retrofitting it to accommodate the mechanical systems for science, technology and classroom programs is not feasible. The university will proceed with demolition of the structure and construct a new academic building designed to accommodate modern research and technology.

Statutory Estimate (1995 & 2002)	$0 (Project added after 2002)
Total Funding (as of 11/30/10)	$10,000,000
UCONN 2000 Funding	$10,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$125,745

Parking Garage – North

This project provided a new five story, 1027-space parking garage adjacent to the Technology Quadrant on the North side of the campus. It represented a significant step in moving parking toward the outer perimeters of campus in order to establish a pedestrian campus core as outlined in the Master Plan. Periodic maintenance and repair activities have been completed.

Statutory Estimate (1995)	$10,000,000
Total Funding (as of 11/30/10)	$9,658,000
UCONN 2000 Funding	$9,658,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$9,658,000
Completion Date	April 1998

Pedestrian Spinepath & Walkways

Conversion of the former Fairfield Road to plazas and walkways were a key part of the transformation of the campus core to a pedestrian mall. The project provided for surface improvements from the intersection of Hillside Road to Mansfield Road and construction of 600 feet of underground utility tunnel for domestic water services, chilled water and steam, electrical services, and sanitary and storm sewers to serve the campus core.

Statutory Estimate (1995)	$5,789,000
Total Funding (as of 11/30/10)	$6,074,000
UCONN 2000 Funding	$6,074,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$6,074,000
Completion Date	January 1999

Psychology Building Renovation/Addition

The Weston A. Bousfield Psychology Building contains 87,000 square feet and was constructed in 1974. Its three levels contain offices, classrooms, research laboratories and animal care facilities. Previously, in the UCONN 2000 program, the animal care facilities were renovated and roofs and plazas re-built. The programs of the Psychology Department are in increasingly high demand; with

expanded enrollment and rapidly increasing research activity. An addition and selected renovations to the building are essential. A team of architects and engineers has completed the pre-design evaluation and schematic design; all phases of design will be completed in 2011.

Statutory Estimate (2002)	$20,000,000
Total Funding (as of 11/30/10)	$20,000,000
UCONN 2000 Funding	$20,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$592,068

Residential Life Facilities

This named project represents the overarching authorization to undertake activities to provide housing and dining facilities for the University's students. The difference between the statutory estimate and the total funding amount reflects the availability of special obligations bonds (to be repaid by the University with fee revenue) to finance projects in whole or in part. Although the quantity and the diversity of campus living arrangements were expanded under the first two phases of UCONN 2000, much remains to be done. Some renovations of the older dormitories, with code improvements and sprinkler installations, were accomplished. This project provides funds for renovation and construction activity as deemed appropriate by the Board of Trustees. Multiple projects are underway or completed for the installation of sprinkler systems, replacement of elevators, security system upgrades, windows and roofs in various residential facilities.

Statutory Estimate (2002)	$90,000,000
Total Funding (as of 11/30/10)	$57,009,675
UCONN 2000 Funding	$57,000,000
Other Funds	$9,675
Actual Expenditures (as of 11/30/10)	$1,369,120

School of Business

This 101,000 square foot building is the new home of the University's School of Business. The new facility provides necessary space as well as modern teaching media, case rooms, and skill labs needed for one of our most sought-after academic majors. Private donations augmented UCONN 2000 funds.

Statutory Estimate (1995)	$20,000,000
Total Funding (as of 11/30/10)	$27,821,725
UCONN 2000 Funding	$25,652,366
Other Funds	$2,169,359
Actual Expenditures (as of 11/30/10)	$27,821,725
Completion Date	September 2001

School of Pharmacy/Biology Completion

This project provides for a new 220,000 square foot facility to replace two existing Pharmacy buildings as well as to provide space for Ecology and Evolutionary Biology and Physiology and Neurobiology programs. The facility's original design was expanded to include a Vivarium (animal care) facility to serve these research departments as part of the University's need to address the USDA audit recommendations for research animal care. The outdated Pharmacy buildings were demolished in 2007 to provide a site for a new Classroom Building.

Statutory Estimate (1995)	$41,450,000
Total Funding (as of 11/30/10)	$94,709,000
UCONN 2000 Funding	$94,609,000
Other Funds	$100,000
Actual Expenditures (as of 11/30/10)	$93,284,356
Completion Date	June 2005

Shippee/Buckley Renovations

This project covered the installation of sprinklers, code improvements in Shippee/Buckley and repairs to existing service lines in the Shippee dining hall.

Statutory Estimate (1995)	$6,156,000
Total Funding (as of 11/30/10)	$11,920,000
UCONN 2000 Funding	$6,920,000
Other Funds	$5,000,000
Actual Expenditures (as of 11/30/10)	$11,920,000
Completion Date	August 2002

South Campus Complex
This new 674-bed dormitory complex replaced the seven buildings that comprised the former South Campus. The three gothic style, state-of-the-art residence halls are adjacent to a new dining hall facility, which also serves other residence halls in the southern part of the main campus. Funding for the project included UCONN 2000 state debt service commitment bonds plus proceeds from the University's first special obligation bond issue.

Statutory Estimate (1995)	$13,127,000
Total Funding (as of 11/30/10)	$48,339,432
UCONN 2000 Funding	$12,251,000
Other Funds	$36,088,432
Actual Expenditures (as of 11/30/10)	$48,339,432
Completion Date	February 1999

Stamford Campus Improvements
This project provides for the first of several needed repairs to the Stamford Campus parking garage. The parking structure is constructed of a steel super structure. One of the interior ramps is corroded and must be replaced. This project removes and replaces the ramp. In 2009, the University identified the need to perform essential repairs and maintenance due to water intrusion in the precast panels. The work was completed in summer 2010.

Statutory Estimate (2002)	$3,000,000
Total Funding (as of 11/30/10)	$2,318,676
UCONN 2000 Funding	$2,300,000
Other Funds	$18,676
Actual Expenditures (as of 11/30/10)	$299,354
Completion Date	May 2006

Stamford Downtown Relocation – Phase 1
The University relocated its Stamford campus to the downtown area to establish a full four-year undergraduate institution focusing on business, communication sciences, mathematics and biology; and to expand programs in psychology, economics, English, general studies, and graduate/masters programs in computer sciences and economics, including the CITI program, a major expansion in information technology capacity. Unanticipated costs were incurred for abatement of significant amounts of asbestos in the original structure, as well as the costs of legal fees and additional construction management expenses resulting from the bankruptcy of the general contractor, Walsh Construction.

In 1998, the City of Stamford purchased the former Scofieldtown Road campus from the University for a price of $2,000,000. These funds were applied to the project. Recent activities include carpet replacement and renovations to accommodate academic and administrative activities.

Statutory Estimate (1995)	$41,000,000
Total Funding (as of 11/30/10)	$72,374,187
UCONN 2000 Funding	$55,781,472
Other Funds	$16,592,716
Actual Expenditures (as of 11/30/10)	$72,374,187
Completion Date	August 1998

Storrs Hall Addition
The School of Nursing is housed in the 35,000 square foot Storrs Hall completed in circa 1908 and a 4,000 square foot modular building. Earlier in the UCONN 2000 program, Storrs Hall underwent some renovation. This project provides for an addition to Storrs Hall to accommodate offices, classrooms and clinical simulation laboratories, as well as building envelope repairs and renovations for faculty offices in Storrs Hall. Design documents for the project are nearly complete with an anticipated construction start of spring 2011.

Statutory Estimate (2002)	$4,300,000
Total Funding (as of 11/30/10)	$14,000,000
UCONN 2000 Funding	$14,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$799,054

Student Union Addition – Phase II & III

This project represents additions and alterations to provide space and facilities needed in the Student Union, a unifying force enhancing the student campus life, as well as that of the entire University community. The project includes 76,500 square feet of new construction and 99,399 square feet of renovation to existing facilities. This project was designed as a complete rehabilitation and addition to the Student Union to make it a focal point for student life on campus. The first phase of the project, included a 500-seat theater, student activity offices and meeting spaces, cultural centers and offices for student organizations. It also included space for the student-run radio and TV stations. The second phase work included the demolition of the south end of the building and construction of a new facility to accommodate a food court, retail space, cultural center facilities and a ballroom. The project was complete in 2006.

Statutory Estimate (1995)	$23,000,000
Total Funding (as of 11/30/10)	$70,141,753
UCONN 2000 Funding	$57,622,633
Other Funds	$12,519,120
Actual Expenditures (as of 11/30/10)	$70,141,753
Completion Date	June 2006

Technology Quadrant - Phase 1A

This project, also known as the Biology/Physics building, is key to the University's Technology Quadrant initiative, which centralizes most major scientific activity into one quadrant on campus. It provided for construction of an 111,000 square foot Biological Sciences facility for Electron Microscopy, Biotechnology, Ecology and Evolutionary Biology, labs, office and support space. The project also included a 22,000 square foot Physics addition for accelerator and laser technology research.

Statutory Estimate (1995)	$38,000,000
Total Funding (as of 11/30/10)	$70,848,246
UCONN 2000 Funding	$39,993,000
Other Funds	$30,855,246
Actual Expenditures (as of 11/30/10)	$70,848,246
Completion Date	February 2003

Technology Quadrant – Phase II (Engineering)
This new Information Technology and Engineering Building (ITEB) is located between Babbidge Library and the new School of Business along Fairfield Way. It houses the computer science and electrical engineering programs in the information technology field. 94,000 square feet of space is provided for classrooms, offices, computer labs and research labs. As part of the effort to address the campus-wide need for large lecture hall space, the project also included a 350-seat lecture hall.

Statutory Estimate (1995)	$72,000,000
Total Funding (as of 11/30/10)	$34,434,179
UCONN 2000 Funding	$34,120,000
Other Funds	$314,179
Actual Expenditures (as of 11/30/10)	$34,434,179
Completion Date	June 2003

Torrey Life Science Renovation & Completion & Biology Expansion
This project is a replacement facility for the programs in the George Safford Torrey Life Sciences Building. It will include new research and teaching laboratories, classrooms and offices for various biology programs. Due to ongoing planning efforts, the project budget has been revised to reflect program needs for other new buildings; however, due to a lack of funding, planning will analyze the building's potential for renovation.

Statutory Estimate (1995 & 2002)	$65,000,000
Total Funding (as of 11/30/10)	$127,181,000
UCONN 2000 Funding	$127,181,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$864,370

Torrington Campus Improvements
The Torrington Campus Academic Building was constructed in 1965. It has 37,000 square feet of classrooms, teaching labs, library, office and cafeteria space. This project will support renovation, including window and door replacement, exterior work (roof, masonry and drainage), and upgrades to systems and interior finishes. Construction has commenced on the roof replacement. Additional renovation activities are scheduled for later in the UCONN 2000 program.

Statutory Estimate (2002)	$1,000,000
Total Funding (as of 11/30/10)	$2,500,000
UCONN 2000 Funding	$2,500,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$264,149

Towers Renovation
This project was part of the University's accelerated plan for the installation of sprinklers in residence halls as approved by the Board of Trustees in 2001. At the same time as this work was undertaken, other repairs such as roof replacement, façade repairs, and interior improvements were completed.

Statutory Estimate (1995)	$17,794,000
Total Funding (as of 11/30/10)	$27,378,195
UCONN 2000 Funding	$17,950,243
Other Funds	$9,427,952
Actual Expenditures (as of 11/30/10)	$27,378,195
Completion Date	August 2003

Underground Steam & Water Upgrade & Completion – Phases I & II
The purpose of this project was to upgrade the underground steam lines and install new chilled water lines on campus. It was a continuation of the North Superblock project and included extensions to the North Campus dormitories and connection to the Fairfield Road Utility Distribution tunnel.

Statutory Estimate (1995)	$12,500,000
Total Funding (as of 11/30/10)	$12,000,000
UCONN 2000 Funding	$12,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$12,000,000
Completion Date	December 2002

Waring Building Conversion
This project converted the former Waring Chemistry Building into a general classroom building. Along with the interior reconfiguration of the 1959 building, HVAC and electrical system upgrades, correction of fire code violations, interior lighting and finish improvements, asbestos abatement, and exterior improvement were also addressed.

Statutory Estimate (1995)	$7,888,000
Total Funding (as of 11/30/10)	$11,452,000
UCONN 2000 Funding	$11,452,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$11,452,000
Completion Date	August 2001

Waterbury Downtown Campus
The new campus courtyard has been enhanced to include an exterior water feature as part of the 1% for Public Art program, a basketball court, and site amenities. Minor modifications to roof enclosures were also made. The project is complete.

Statutory Estimate (2002)	$3,000,000
Total Funding (as of 11/30/10)	$2,350,000
UCONN 2000 Funding	$1,850,000
Other Funds	$500,000
Actual Expenditures (as of 11/30/10)	$779,897

Waterbury Property Purchase
This named project was intended for the acquisition of an existing three-floor, converted single-family residence with garage, parking and greenhouse to use as office, storage and parking space. After appraisals, the owner of the property, located at 47 Buckingham Street, accepted the University's offer of $200,000.

Statutory Estimate (1995)	$325,000
Total Funding (as of 11/30/10)	$200,000
UCONN 2000 Funding	$200,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$200,000
Completion Date	January 1999

West Campus Renovations
This limited renovation included fire code work and minor repairs. The installation of sprinkler systems was undertaken as part of the Residential Life Facilities project (see above).

Statutory Estimate (1995)	$14,897,000
Total Funding (as of 11/30/10)	$519,507
UCONN 2000 Funding	$519,507
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$519,507
Completion Date	September 2004

West Hartford Campus Renovations/Improvements
The majority of these funds will be used to support major renovations/additions in keeping with the Master Plan for the campus. The major buildings on the West Hartford campus are: Library Building (67,700 square feet of space), School of Social Work (34,000 square feet of space) and the Undergraduate Building (67,400 square feet of space). These buildings were constructed in 1964, 1968 and 1971 respectively. Virtually no renovation or expansion has taken place in the intervening decades. In order for the buildings to meet their functional needs for the twenty-first century renovations/improvements are needed on all buildings. The renovations are being phased over several years. Roof replacement of the Library and Undergraduate Buildings was completed in late spring 2010; a preliminary study of the HVAC systems is underway and sidewalk/parking/

ADA upgrades are in construction. The School of Social Work's exterior upgrades are expected to be complete in late 2010. Other design projects include ADA upgrades at various buildings, campus wide electrical upgrades, renovation of science laboratories and road replacement and repair.

Statutory Estimate (2002)	$25,000,000
Total Funding (as of 11/30/10)	$13,000,000
UCONN 2000 Funding	$12,650,000
Other Funds	$350,000
Actual Expenditures (as of 11/30/10)	$2,990,149

White Building Renovation

This project provided for the White Building (Dairy Bar) renovation, including installation of new doors, floor, and electrical systems to bring the building into full code (fire, ADA and food codes) compliance. It relocated the Dairy Bar to a new, more visible location in the front of the building.

Statutory Estimate (1995)	$2,430,000
Total Funding (as of 11/30/10)	$2,641,008
UCONN 2000 Funding	$2,427,269
Other Funds	$213,739
Actual Expenditures (as of 11/30/10)	$2,641,008
Completion Date	May 1999

Wilbur Cross Building Renovation

The complete renovation of this historic building enabled the University to centralize all student services business functions at a single location, including registrar, bursar, financial aid, career services and services to students with disabilities. The project required relocations of the Booth Research Center from this building to Babbidge Library with $3 million in funding for this relocation coming out of the project. Recently the University finished exterior façade repairs to replace or repair existing limestone coping that had become deteriorated due to water infiltration.

Statutory Estimate (1995)	$3,645,000
Total Funding (as of 11/30/10)	$20,005,296
UCONN 2000 Funding	$19,999,571
Other Funds	$5,725
Actual Expenditures	$20,005,296
Completion Date	July 2002

Young Building Renovation/Addition

This building was constructed in 1953 and has 71,937 square feet of office, classroom and lab spaces. The occupant of the building is the College of Agriculture and Natural Resources. This building, because of its lab needs and generally poor condition of all its systems, was slated for a full renovation and an addition should space needs require. The renovation work is the first order of business, with the project scope including replacement of windows, repointing of masonry, restroom renovations, and upgrading of mechanical systems (including laboratory ventilation). An architecture and engineering team is under contract and has completed the evaluation and programming phase of the project.

Statutory Estimate (2002)	$17,000,000
Total Funding (as of 11/30/10)	$10,000,000
UCONN 2000 Funding	$10,000,000
Other Funds	$0
Actual Expenditures	$79,367

HEALTH CENTER

CLAC Renovation Biosafety Level 3 Lab

The Health Center's Center for Laboratory Animal Care (CLAC), has been renamed the "Center for Comparative Medicine" (CCM). This project is focused on renovations to the vivarium facilities ("B" Building) that support the UCHC research enterprise. The project will replace the outdated mechanical infrastructure and provide renovations to the program space in the B Building. Planning does not include provisions for a Biosafety level 3 lab because the UCHC programs no longer require this type of space. The project design is approximately 30 % complete and full design will be complete in December 2011. The project construction is deferred until FY 14 to allow for other priority projects to proceed.

Statutory Estimate (2002)	$14,000,000
Total Funding (as of 11/30/10)	$15,000,000
UCONN 2000 Funding	$15,000,000
Actual Expenditures (as of 11/30/10)	$377,900

Deferred Maintenance/Code/ADA/Renovation Lump Sum – Health Center

The University of Connecticut Health Center is a large complex, housing the University's School of Medicine, School of Dental Medicine, Graduate School, John Dempsey Hospital and related support services. It contains two million gross square feet in 35 buildings and is located on a 162-acre campus. It was designed and built in the mid 1960's, and has seen very little capital improvement since.

The majority of the identified needs are the result of deferred maintenance, required program and facility upgrades, and normal plant deterioration. The majority of the buildings on the Farmington campus are more than 30 years old and require upgrades to extend their life and meet code requirements. In general, projects fall into one or more of the following types of work:

- Roof and exterior repairs
- Code required improvements
- Building mechanical system improvements
- Utilities repair and upgrades
- Classroom renovations
- Roads, walks and grounds
- Environmental remediation
- Lump sum funding to supplement named project budgets to cover specified renovation/code activities

Significant projects completed to date include upgrades to the main cooling tower system, replacement of portions of the chiller plant, repaving main roadways, repairs to walks and stairs, fire alarm system upgrades, electrical vault and primary power repairs, parking structure repairs, water heater and boiler repairs, security system installation, and misc roof repairs. A summary of expenditures by fiscal year may be found in Appendix B.

Statutory Estimate (2002)	$50,000,000
Total Funding (as of 11/30/10)	$45,900,000
UCONN 2000 Funding	$45,900,000
Actual Expenditures (as of 11/30/10)	$16,917,944

Dental School Renovation

The School of Dental Medicine has facilities in the "C", "L" and "A" Buildings totaling 103,118 square feet. Prior to UCONN 2000 most of these areas remained the same as when they were originally constructed in 1975, In need of major renovations to bring the facilities in line with current code and accreditation standards, it is extremely important that we have up-to-date facilities and equipment to properly train our students in the most modern dental techniques utilizing equipment that is appropriate for private practice, keeping in mind that the Health Center is the

primary provider of new dentists for the entire State of Connecticut. The project will not renovate the Dental School space in total; however significant renovations to the Schools' highest priority areas have been or will be completed.

Completed in November 2010, the Dental Pre-Clinical Lab and the Prosthetics Lab provides new space for critical teaching functions. This project renovated approximately 4,500 SF of existing Dental School space to relocate and create a new teaching lab space. The renovated space provides a learning environment with the very latest technologies and equipment including an integrated simulation lab with 48 student workstations.

The next component of the School's renovation is the Orthodontics renovations. The approximately 4,500 SF of existing Dental School space has not been significantly renovated since its construction over 35 years ago. The renovated space will provide an efficient state of the art environment for the teaching of the orthodontics skills and practice in a patient care setting. The renovated area will increase the number of operating chairs and treatment stations from 16 to 22. This will significantly streamline the patient care and the orthodontic residency program can be increased from currently five new residents each year to seven. This renovation will also allow an increase in new orthodontic patient intake from approximately 350 to 500. Design work will be complete in March 2011 and construction will be completed in October 2011.

Statutory Estimate (2002)	$5,000,000
Total Funding (as of 11/30/10)	$5,000,000
UCONN 2000 Funding	$5,000,000
Actual Expenditures (as of 11/30/10)	$1,392,887

Equipment, Library Collections and Telecommunications – Health Center

These funds support the Health Center's equipment, library collections and telecommunications infrastructure. Outmoded items are replaced with equipment that is necessary to support research and instructional activities, maintain building compliance, conserve energy, and provide a safe environment for the students, staff, and hospital patients. It is essential that the equipment be current in the laboratories and student learning environments for the institution to remain competitive for research dollars and top faculty and students. Equipment start-up packages are key elements in attracting talented new faculty to the Health Center. Library acquisitions are also integral to the support of academics and research. The medical resources in the library require continual updating to ensure rapid access to print and electronic documents. A summary of expenditures by fiscal year may be found in Appendix B.

Statutory Estimate (2002)	$75,000,000
Total Funding (as of 11/30/10)	$63,595,850
UCONN 2000 Funding	$63,595,850
Actual Expenditures (as of 11/30/10)	$33,987,054

Library/Student Computer Center Renovation
Phase 1 of the Health Center's Lyman Maynard Stowe Library renovations, funded by previously authorized bond funds, were completed in February 2005. Phases 2 of the renovations to the library were completed in June 2008. The renovations provided a reconfigured centralized information area, computer classroom spaces, renovated library stack areas, and new student study work areas. Funding from a donor supplemented the UCONN 2000 funds to allow the completion of a 24 hour student study area. Additional funding from donors is being sought to complete the last phase of the library renovations.

Statutory Estimate (2002)	$5,000,000
Total Funding (as of 11/30/10)	$5,360,000
UCONN 2000 Funding	$5,250,000
Other Funds	$110,000
Actual Expenditures (as of 11/30/10)	$1,064,081

Main Building Renovation
The Health Center's enormous main building includes access areas used by the general public as well as research, academic and clinical space. This renovation's primary focus is the building's research facility (the "L" building). The 518,145 square foot Research Laboratory was built in the late 60's

to provide laboratory and support areas for ongoing research programs. The facility consists of seven floors, which house over 200 research labs and support space, and five floors of mixed use that include classrooms, student support spaces, operations support and mechanical spaces. Over the life of the building no substantial renovations or upgrades have been undertaken.

The L Building Renovation design work is in progress and is approximately 50% complete. Full design will be complete in December 2011. The project will renovate approximately 151,440 square feet (SF) of space on the research floors in the building (approximately 54% of the space on the research floors). The project will be implemented in three phases with Phase 1A (56,340 SF) scheduled for completion in 2013. Phase 1B (42,255 SF) and Phase 2A (52,845 SF) will be completed in 2015/2016. The project will provide for modernized "open" research labs creating more efficient and flexible working areas for the UCHC research activities. A portion of the buildings outdated mechanical infrastructure will be replaced as part of this project.

An early phase of this project, the Clinical Skills Assessment Program Renovations, was completed in December, 2007. This $1.03 million renovation provided education space for medical students to practice and receive observation and feedback from simulated patients to improve interpersonal and physical exam skills.

Statutory Estimate (2002)	$75,000,000
Total Funding (as of 11/30/10)	$77,639,150
UCONN 2000 Funding	$77,639,150
Actual Expenditures (as of 11/30/10)	$2,968,039

Medical School Academic Building Renovation

The Academic Building was built in the late 1960's to house the Schools of Medicine and Dental Medicine. The 181,880 square foot facility includes classrooms, laboratory space, lecture halls, bookstore, and academic and administrative support areas for both schools.

The renovations to the Academic Building are phased. The initial phase of the renovations focused on the complete renovations of the Patterson and Massey Teaching Auditoria. These auditoria are the largest teaching areas at UCHC. The extensive renovations provided for completely revitalized space including theater style seating with tables, advanced programmable lighting, state of the art audio/visual systems with remote video conferencing capabilities, and all new finishes. The renovations were completed in September 2008.

The upcoming work in the academic building will focus on the ground floor area and will provide for updated student focused space including student services, student lounge and bookstore, fitness area and independent study areas. The planning work for these renovations is not scheduled until Fiscal Year 2017.

Statutory Estimate (2002)	$9,000,000
Total Funding (as of 11/30/10)	$9,950,000
UCONN 2000 Funding	$9,950,000
Actual Expenditures (as of 11/30/10)	$3,697,487

Research Tower
This project provided for the acquisition of an existing research laboratory building at 400 Farmington Avenue and extensive renovation of approximately 87,000 gross square feet (gsf) on the ground level of the building to provide wet lab research, research support space, and incubator space. The newly renovated lab research space will be utilized to support the Health Center's current stem cell research activity including grants received under the State of Connecticut's $100 million stem cell initiative.

A Final Budget in the amount of $51,565,000 was approved by the Board of Trustees on January 27, 2009, allowing UCHC to proceed with construction work. This project is now Substantially Complete and the user groups moved into the building in July 2010. The project is anticipated to receive Leadership in Energy & Environmental Design (LEED) Silver status and will be completed $2,000,000 under the budget.

Statutory Estimate (2002)	$60,000,000
Total Funding (as of 11/30/10)	$49,565,000
UCONN 2000 Funding	$49,565,000
Actual Expenditures (as of 11/30/10)	$45,814,012
Completion Date	July, 2010

Support Building Addition/Renovation
This project is deferred to allow planning of the New Hospital Construction.

Statutory Estimate (2002)	$4,000,000
Total Funding (as of 11/30/10)	$100,000
UCONN 2000 Funding	$100,000
Actual Expenditures (as of 11/30/10)	$85,979

University of Connecticut Health Center New Construction and Renovation
Pursuant to Public Act 10-104 the UCHC New Construction and Renovation project includes the planning, design, construction, furnishing, equipping and completion of a new bed tower for the John Dempsey Hospital and renovations to existing space. The bed tower will include 165-169 new patient rooms resulting in an increase in total licensed beds not to exceed two hundred thirty-four (234). Also included in the new construction is a new 10-12 room operating room suite and additional Emergency Department space. Renovations are anticipated to include the existing Emergency Department, Dental Clinics, Cardiology, Psychiatry, and other ancillary programs such as radiology, pharmacy and lab services.

Programming and Master Planning for the project began in October 2010 and this phase of the planning will be complete in February 2011. Schematic Design will begin in the spring of 2011and full design is anticipated to be complete in 2012.

Statutory Estimate (2010)	$207,000,000
Total Funding (as of 11/30/10)	$207,000,000
UCONN 2000 Funding	$207,000,000
Other Funds	$0
Actual Expenditures (as of 11/30/10)	$0

Planning and Design Costs

Statutory Estimate (2010)	$25,000,000
Total Funding (as of 11/30/10)	$25,000,000
UCONN 2000 Funding	$25,000,000
Actual Expenditures (as of 11/30/10)	$5,653
Completion Date	2012

OTHER PROJECTS UNDER UCONN 2000 AUTHORITY

Heating Plant Upgrade (Cogeneration Chiller Facility)
The University has brought its new cogeneration plant online. This project is a lynchpin of the University's efforts to maximize energy efficiency. This plant produces both steam and electricity and chilled water for the Storrs campus allowing the plant to utilize energy released during combustion. It includes:

- 24.9 MW electricity capacity from 4 generating units
- 200,000 lbs/hr steam capacity from 3 heat recovery steam generators
- 6,300 tons chilled water capacity from 3 chillers
- direct connection to natural gas transmission line
- campus steam, electric and chilled water metering, and
- a classroom for engineering education

Funding is from a capital lease-purchase arrangement with Caterpillar Financial. The financing is comprised of two parts, with a combined average annual interest rate of 4.5% over 20 years.

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$81,900,000
UCONN 2000 Funding	$0
Other Funds	$81,900,000
Actual Expenditures (as of 11/30/10)	$81,900,000
Completion Date	January 2006

Hilltop Dormitory New
The Board of Trustees approved in 2000 the second Supplemental Indenture which authorized the issuance of Special Obligation Bonds (to be paid off by the University) for the construction of the new Hilltop Dormitory as part of the overall strategy for meeting the housing demand on the Storrs campus as enrollments increased. Part of this plan was the construction of suite type dormitory housing at the Hilltop complex. The project created an additional 654 beds in suite-style dormitory housing at the existing Hilltop complex.

The Hilltop site was selected for these dorms for several reasons, most importantly the space available to site the project, and an existing dining facility with the capacity to feed 400 to 500 additional students and community spaces for student activities. $6,323 from the deferred maintenance budget was also allocated to this project.

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$21,009,042
UCONN 2000 Funding	$0
Other Funds	$21,009,042
Actual Expenditures (as of 11/30/10)	$21,009,042
Completion Date	September 2002

Hilltop Student Rental Apartments

The Board of Trustees approved in 2000 the second Supplemental Indenture which authorized the issuance of Special Obligation Bonds (to be paid off by the University) for the construction of the Hilltop Student Apartments. An integral part of the University's housing plan was the construction of this apartment style housing across the street from the Hilltop Dormitories. The facilities consist of 13 residential buildings and a community building with a total of 961 beds. The apartments are rented to University students with one student occupying each bedroom.

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$42,000,000
UCONN 2000 Funding	$0
Other Funds	$42,000,000
Actual Expenditures (as of 11/30/10)	$42,000,000
Completion Date	August 2001

North Campus Renovation (including North Campus Suites & Apts)

This project covered the construction of suites (486 beds) and apartment style (504 beds) student housing in a complex consisting of seven residential buildings and one community center. The project was funded by special obligation bonds to be repaid from fee revenues. $226,163 from the deferred maintenance budget was also allocated to this budget.

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$47,150,508
UCONN 2000 Funding	$0
Other Funds	$47,150,508
Actual Expenditures (as of 11/30/10)	$47,150,508
Completion Date	August 2003

Parking Garage – South

The main campus' parking needs were further addressed by this project, which resulted in a net increase of 1,320 parking spaces at a site next to Gampel Pavilion. The new facility also houses the UConn Co-op. The project was funded by Special Obligation bonds which the University pays off through parking fee and rental revenue. Periodic maintenance and repair activities have been completed.

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$27,942,928
UCONN 2000 Funding	$0
Other Funds	$27,942,928
Actual Expenditures (as of 11/30/10)	$27,942,928
Completion Date	November 2002

Towers Renovation (including Greek Housing)
This project was to replace old and non-code-compliant fraternity houses with a new "Greek" housing complex located adjacent to the Towers residences and served by the Towers dining facility. The project includes twelve units in 6 buildings with a free-standing unit for a resident adviser. Housing is provided for more than 300 students. Capstone Building Corporation led the design/ build team. Funding for this component was through special obligation bonds to be repaid from revenue from rents paid by students residing in the facilities. Exterior painting and general deferred maintenance activities took place as well as the installation of the first permeable asphalt paving lot for students was completed.

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$12,704,501
UCONN 2000 Funding	$0
Other Funds	$12,704,501
Actual Expenditures (as of 11/30/10)	$12,704,501
Completion Date	August 2003

Gampel Pavilion Seating Expansion
This project provided for the addition of nearly 2,000 seats to the Harry A. Gampel Pavilion in Storrs. Additional seating has helped UConn meet ticket demand, particularly for the men's and women's basketball games. The project was funded through a self-liquidating pre-UCONN 2000 bond.

Statutory Estimate	$0 (Pre-UCONN 2000 bond authorization)
Total Funding (as of 11/30/10)	$2,500,000
UCONN 2000 Funding	$0
Other Funds	$2,500,000
Actual Expenditures (as of 11/30/10)	$2,500,000
Completion Date	December 1996

Precision Manufacturing Enterprise Building
This project was for the construction of a 2,000 square foot building for fuel cell research at the Mansfield Training School. Space was used to accommodate industrial-type high-bay manufacturing, labs, incubator space, entrepreneurial activities and administrative offices. The project was largely funded by a $2 million U. S. Department of Commerce Grant, augmented by state bond funds and operating dollars.

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$2,618,656
UCONN 2000 Funding	$0
Other Funds	$2,618,656
Actual Expenditures (as of 11/30/10)	$2,618,656
Completion Date	

Student Recreation Facility Renovation (Field House)
This project renovated approximately 128,685 square feet in the Green Field House and Guyer Gymnasium, and refurbished the Brunndige Pool. The renovation addressed students' recreational needs for weight training equipment, mat floor, athletics, racquetball, volleyball, swimming, track and other activities. Locker and shower facilities were upgraded and office, storage and support space were provided. The pre-UCONN 2000 bond authorization was $9.6 million; the remaining funding was from private gifts and operating dollars.

Statutory Estimate	$0 (Pre-UCONN 2000 bond authorization)
Total Funding (as of 11/30/10)	$10,190,331
UCONN 2000 Funding	$0
Other Funds	$10,190,331
Actual Expenditures (as of 11/30/10)	$10,181,675
Completion Date	August 1996

Visitor's Center/University Programs Building
Occupancy of the University's new Visitors Center took place in September 2000. This project, funded through a generous gift from alumni Philip and Christine Lodewick, includes a center for visitor tours and information about the University and events. $921,965 from the deferred

maintenance budget was also allocated to this project. (Audit review raised concerns about this allocation, and revised policies and procedures for the use of deferred maintenance funds have been put into place.)

Statutory Estimate	$0
Total Funding (as of 11/30/10)	$1,556,471
UCONN 2000 Funding	$0
Other Funds	$1,556,471
Actual Expenditures (as of 11/30/10)	$1,556,471
Completion Date	September 2000

Waterbury Campus Relocation
A State General Obligation Bond funded the construction of a new downtown facility for the Waterbury campus. The relocation from the old Hillside campus was completed upon the opening of the new 105,872 square foot facility in the fall of 2003. The State bond funds were augmented by private gifts and operating funds.

As enrollment increases at the campus, changes will be needed to meet new enrollment levels and program needs. The project would permit these modifications, as well as more immediate needs.

Statutory Estimate	$0 [State General Obligation bonds]
Total Funding (as of 11/30/10)	$27,238,315
UCONN 2000 Funding	$0
Other Funds	$27,238,315
Actual Expenditures (as of 11/30/10)	$27,238,315

UCONN 2000: Higher Education Collaborations

With the Community College System
The Guaranteed Admission Program is an agreement between the Connecticut Community College System and the University of Connecticut, 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. Advisors from individual community colleges and UConn meet with Guaranteed Admission Program students throughout their community college careers, helping their eventual transition to the University.

The College of Agriculture and Natural Resources (CANR) participates in the CT Tech Prep program which is coordinated by the Connecticut Community College System. In addition, CANR provides information and guidance to students at Manchester Community College and Northwestern Community College interested in transferring to UConn. In conjunction with Gateway Community College, CANR offers the Physical Activity and Nutrition for Youth programs. CANR collaborates with Manchester, Quinebaug Valley, and Three Rivers Community Colleges on the STRONG-CT (Science and Technology Expansion Program). As part of the turf program,

CANR offers classes at Three Rivers Community College, as well as speakers and presentations at Naugatuck Valley Community-Technical College, Tunxis Community College, and Three Rivers Community College. CANR has shared a National Science Foundation grant with Manchester Community College, Quinebaug Valley Community College, and Three Rivers Community College to help prepare minority students to receive a bachelor's degree in the sciences.

The School of Engineering has an articulation agreement with the Community College System to facilitate their students' admission to UConn and transfer to the School. Qualifying students are those who complete the College of Technology Transfer Pathway Program with a cumulative GPA of 3.0 or above. Students completing the Pathway program with a lower GPA or completing a technically-oriented two-year degree program other than the Pathway program with a GPA of 3.0 or above are considered for admission to the School of Engineering on a case by case, space available basis. The School of Engineering provides information and guidance to students interested in transferring to UConn. In addition to a transfer scholarship offered to a student in each community college, a scholarship fund has been established by an alumnus for students completing an A.S. degree in Engineering Science from any of the community colleges.

The School of Nursing received an appropriation from the State to create a nursing learning laboratory at UConn Waterbury campus in conjunction with opening its master's entry into nursing program on that campus. Instead of completely creating another learning laboratory, the School of Nursing collaborated with Naugatuck Community College. UConn used the funds to purchase sophisticated equipment for the existing laboratory at Naugatuck that the community college had been unable to afford. Subsequently, students in both the community college and UConn programs use the well equipped site on alternate days.

The School of Dental Medicine participates in a number of the allied health programs at Tunxis Community College. The School is a clinical and preclinical training site for both the Dental Hygiene degree program and the Dental Assisting certificate program. The School also provides didactic instruction for the Dental Hygiene program at Tunxis.

The regional campuses of the University have significant partnerships with the community colleges. UConn-Waterbury Campus has an articulation agreement with Naugatuck Valley Community College for the Bachelor of Science degree in Business and Technology (BSBT) program. UConn-Stamford has articulation agreements with Norwalk Community College for the BSBT and for Psychology majors. UConn-Avery Point participates with Three Rivers Community College in the Southeastern Connecticut Higher Education Consortium, as does UConn-Greater Hartford in the Hartford Consortium of Higher Education. Capitol Community College has been a tenant at UConn-Avery Point.

UConn-Torrington collaborates extensively with Northwestern Connecticut Community College (NCCC). UConn Biology and Chemistry students use NCCC laboratory facilities. NCCC stores equipment and conducts motorcycle safety courses on the Torrington Campus. Torrington and NCCC faculty and staff meet to discuss transfer opportunities, provide advising, and help smooth the way for students who wish to transfer to UConn Torrington upon completion of an associate degree at NCCC. The Litchfield County Compact, a partnership with economic development and business leaders from the County, UConn Torrington and NCCC, enables discussions and planning

aimed at connecting education, higher education, and businesses in Litchfield County with a growing creative economy in northwestern Connecticut.

A substantial number of courses in many fields of study have been formally articulated for transfer from community colleges into the University of Connecticut. The list of courses can be found for the specific community college at **http://transfer.uconn.edu/ccc.html.**

With the Connecticut State University System
The College of Agriculture and Natural Resources (CANR) participates in the Environmental Impacts of Aquaculture Extension Program with Central Connecticut State University; in the Family and Youth Communities Program with Eastern Connecticut State University; and in Youth United, a youth leadership program, with Western Connecticut State University. With ECSU (and Yale University), CANR provides educational materials on promoting healthy eating and physical activity. Also with ECSU, CANR participates in the Ragged Hill Woods program, including classroom presentations in area schools. CANR provides a lecture on food safety for a summer nutrition institute at Southern Connecticut State University.

The School of Engineering has articulation agreements enabling qualifying students from Central and Southern Connecticut State Universities to transfer to UConn following their sophomore year, provided they have completed appropriate Liberal Arts and Sciences coursework and earned a cumulative GPA of 2.5 or greater.

The School of Nursing has an agreement with Eastern Connecticut State University to reserve places in each master's entry into nursing class for individuals who graduate from Eastern with a major in the basic sciences.

The School of Social Work collaborates with Southern Connecticut State University on a 45-hour non-credit post master's certificate program in Clinical Issues in Adoption. The program trains child welfare professionals, community mental health, adoption services providers and private practitioners to establish a cadre of adoption competent professionals in the community. Over the past 5 years, 131 practitioners have participated in the program and developed the clinical expertise for post adoption services to families who have adopted through the Connecticut Department of Children and Families.

With Independent Colleges and Universities
The School of Pharmacy has an agreement with the University of Bridgeport (UB) to enable pre-pharmacy students from UB to apply to the UConn pharmacy program. As part of the agreement, UB follows the UConn pre-pharmacy requirements in their pre-pharmacy curriculum. The School provides assistance to UB in the development of their pre-pharmacy program, including extracurricular and co-curricular components. UB has a very diverse student body, including students underrepresented in pharmacy education.

The School of Dental Medicine participates in the dental assisting certificate program as a clinical training site and in the Dental Administrative Assistant (AAS) degree program at Lincoln College of New England (formerly Briarwood College).

The School of Social Work offers a joint graduate degree program, the MSW/Mdiv, in collaboration with the Yale University Divinity School. The Center for Continuing Studies offers a Mediation Certificate in conjunction with Quinnipiac Law School.

The College of Agriculture and Natural Resources (CANR) participates in forestry and wildlife projects with Connecticut College, with the Chronic Disease Extension Initiative with St. Joseph College, and with the Redesign Project for Unionville Village in Farmington with Yale University. CANR researchers collaborate with researchers at Yale, Connecticut College, Wesleyan, the University of New Haven, and St. Joseph College on projects that include graduate student education, healthy eating, and plant production, studies of the loss of agricultural lands, sea grant initiatives, lobster research, tidal marshes, and seaweed.

The School of Engineering has an agreement with Fairfield University enabling students to transfer to UConn after successfully completing 3 years in a Liberal Arts and Sciences program; they begin as juniors and receive an A.B. degree from Fairfield and a B.S. in Engineering from UConn. The School has extensive national and international research partnerships in topics ranging from improved microchips to pathogenic bacteria detection and genomic motif studies. In-state collaborations include Yale University and the University of Hartford.

Faculty in the College of Liberal Arts and Sciences participate in a number of academic exchanges and working groups with colleagues at other colleges and universities in Connecticut and New England. An example is the "New England Logic and Language Consortium." This group of 16 university faculty consists of logicians and philosophers who study logic and the philosophies of mathematics, logic, and language. The consortium comprises faculty from UConn and Yale, in addition to CUNY Grad Center, NYU, MIT, Harvard, UMass Amherst, and Brown.

The Alexey von Schlippe Gallery of Art at UConn-Avery Point collaborates with many institutions of higher learning, including Connecticut College, Lyme Academy College of Fine Arts, Manchester Community College, Mitchell College, the U.S. Coast Guard Academy, and Wesleyan University. The Gallery exhibits the work of those institutions' art professors who are professional working artists and brings students from the institutions to review the exhibitions and to attend accompanying artist talks.

Connecticut Sea Grant program located at UConn-Avery Point holds research competitions and other funding and graduate fellowship opportunities open to institutions of higher education in Connecticut and beyond. Recent recipients include departments at Yale University, University of New Haven, Sacred Heart University, and University of Hartford, as well as University of Connecticut. Connecticut Sea Grant participates annually in the Mitchell College Environmental Studies Career Seminar Series for undergraduate students.

Additional Collaborations

The University's Office of Global Programs is a member of the National Student Exchange and works with over 50 public universities around the world, primarily through undergraduate exchange programs. In addition, the Office of Global Programs works closely with public universities through UConn's membership in *Universitas 21.*

Under the leadership of the Office of Public Engagement and the Office of the Provost, the University recently was selected for the Community Engagement Classification by the Carnegie Foundation for the Advancement of Teaching. The designation acknowledges the institution's commitment to and demonstration of teaching and learning experiences in both curricular engagement and in outreach/partnerships to generate socially responsive knowledge to benefit communities through the state. UConn joins Central Connecticut State University and Norwalk Community College in the Connecticut institutions with this classification.

The Office of Community Outreach in the Division of Student Affairs coordinates University of Connecticut student participation in the Connecticut Campus Compact which offers student service and service-learning opportunities in communities, both locally and globally, for tutoring at-risk youth in reading and math, building houses for low-income families, conducting environmental safety studies, and caring for the sick, the hungry, the homeless, and the elderly. Other Campus Compact members include Central and Eastern Connecticut State Universities, Gateway, Manchester, Norwalk, Three Rivers, and Tunxis Community Colleges, and several independent institutions – Connecticut College, Fairfield University, Trinity College, University of Bridgeport, University of Hartford, and University of New Haven.

Through the Provost's Office, the University participates in the national Consortium for Student Retention Data Exchange which involves over 400 colleges and universities and provides a reference guide for benchmarking retention and graduation rates. Other Connecticut institutions involved in the data exchange include Central Connecticut State University, Eastern Connecticut State University, Quinnipiac University, Southern Connecticut State University, and University of New Haven.

The University Libraries participate in interlibrary loan services and works collaboratively with other higher education institutions' libraries, faculty, staff, and students.

The Hartford Consortium for Higher Education is an alliance of colleges and universities in the Hartford area and includes, in addition to UConn's Greater Hartford Campus, Capital Community College, Central Connecticut State University, Saint Joseph College, Hartford Seminary, Trinity College, and the University of Hartford. Through the Consortium, full-time students can cross-register for modern/classic languages, women's studies, urban studies and religious studies courses.

The University's Office of Undergraduate Admissions, Law School and School of Medicine offer the New England Regional Student Program through the New England Board of Higher Education. The Program, which also includes the Connecticut Community College and State University Systems and Connecticut independent colleges and universities, enables students of New England states to attend a Connecticut higher education institution with a tuition reduction when they pursue selected degree programs not available at a public institution in their home state.

The Division of Diversity and Equity partners with a number of higher education institutions to expand educational opportunities and access to college students from under-represented groups. University of Connecticut membership in the Louis Stokes Alliance for Minority Participation (LSAMP) enables the collaboration of UConn's LSAMP Scholar Program with Yale Peabody

Museum's GeoPATH component of the Evolutions After School Program for high school students. UConn LSAMP also partners with Capital Community College through the Traveler's Edge Program. Northeast LSAMP collaborations extend beyond Connecticut to other New England universities.

The Women's Center is working with eight Connecticut higher education institutions on the Connecticut Campus Coalition to End Violence Against Women. The project is funded by the Department of Justice's Office on Violence Against Women for a three year period and is designed to address areas that are considered critical to addressing violence against women on campuses. The other Coalition members are Trinity College, Quinnipiac University, the Universities of Hartford and Bridgeport, and the four State University System campuses - Southern, Central, Eastern, and Western.

The University is an active member of the Connecticut Statewide Healthy Campus Initiative, created by the Department of Mental Health and Addiction Services in partnership with 25 institutions of higher education in the state, including the Community College and State University Systems and most of the independent colleges and universities. The initiative has the goal of creating and supporting efforts to reduce the high risk alcohol and drug use on Connecticut campuses and to create healthy campus environments.

The University's Health Center and its Storrs-based programs participate in the Biomedical Engineering Alliance & Consortium (BEACON), a non-profit collaborative which includes Trinity College, University of Hartford, University of New Haven, Rensselaer Polytechnic Institute's Hartford Campus, Springfield Technical Community College, Asnuntuck Community College, and a number of area hospitals and Connecticut corporations. BEACON is dedicated to the development and commercialization of new medical devices and technology.

The UConn-Avery Point Police Department Substation participates in the Campus Law Enforcement Partnership (CLEP), a group which includes representatives from Three Rivers Community College, Connecticut College and Mitchell College. The Police Department Substation also has provided International Police Mountain Bike Association (IPMBA) training to police officers from Capital Community College, as well as from Eastern Connecticut State University, the United States Coast Guard Academy, Yale University, Mitchell College and Wesleyan University.

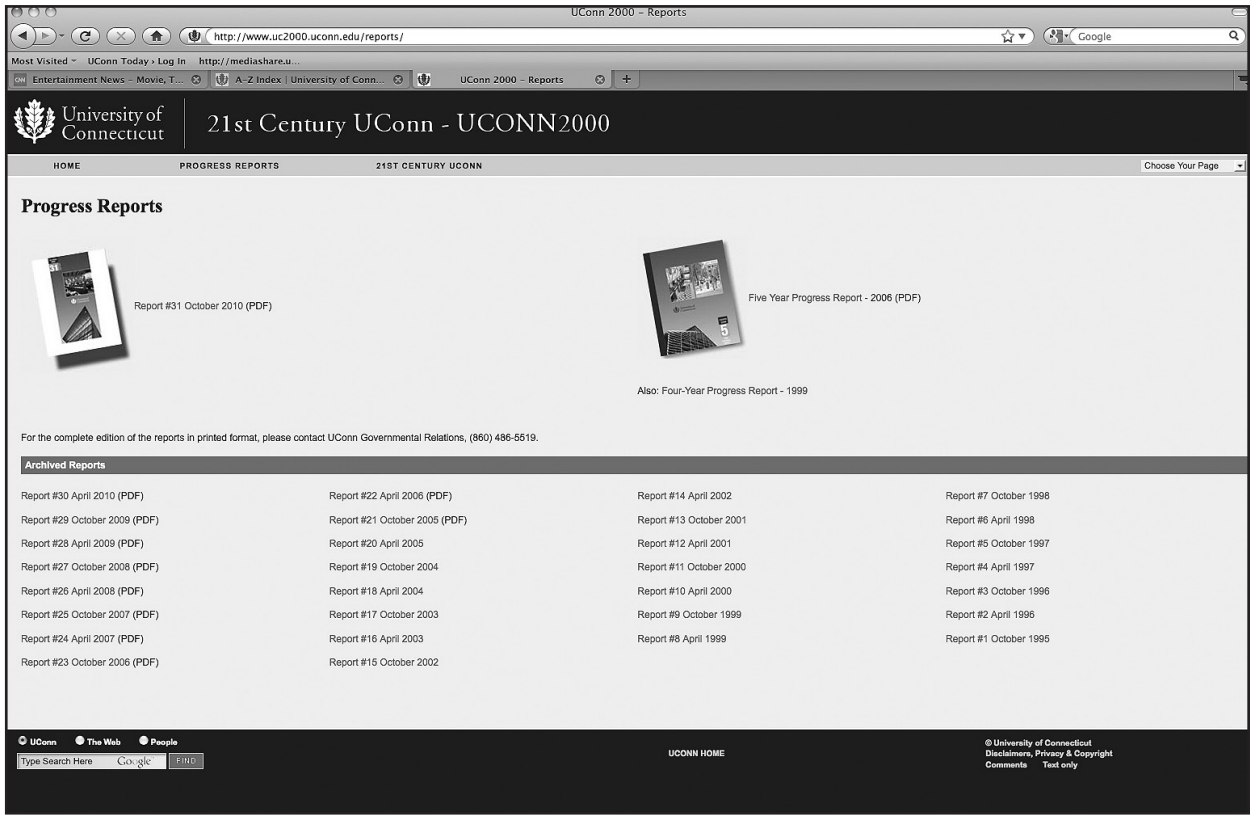
The Center for Academic Programs, a unit of the Institute for Student Success, administers the pre-college program, GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs), through partnerships with other Connecticut institutions of higher education. Gateway Community College provides GEAR UP with office space, use of facilities for programs, and access to technology. Yale University provides volunteers for tutoring. Albertus Magnus College and Quinnipiac University refer their education students to the program for tutoring opportunities with the GEAR UP students. Southern Connecticut State University math club creates Saturday Academy workshops for high school students exposing students to higher level mathematics, college visits, mentoring, and tutoring.

The Office of Early College Programs offers a concurrent enrollment program that allows motivated high school students in Connecticut to take UConn courses at their high schools for both high school and college credit. Every course taken through UConn's Early College Experience (ECE) is equivalent to the same course at the University of Connecticut and is accepted as college credit at many higher education institutions in Connecticut, including the Community College and State University Systems. The Office of Early College Programs also has established a partnership with the Community College System Office and, to a lesser extent, with the Connecticut State University system, to form a statewide consortium of concurrent enrollment programs (CEPs). The partnerships are intended to promote collaboration among CEPs in Connecticut, providing a forum for dialogue, best practice, and coordination of college credits earned in Connecticut's high schools.

With regard to operational matters, the University is an active member of the Connecticut Colleges Purchasing Group, a purchasing consortium of colleges and universities statewide. Many of the large dollar volume contracts used by fellow members of the Connecticut Colleges Purchasing Group are UConn contracts. Additionally, the University works with the membership to strategically plan and coordinate procurement efforts to leverage aggregate dollar volume, State procurement resources and address common issues.

UCONN 2000 IN CYBERSPACE

Information about UCONN 2000 is available on the World Wide Web via the UCONN 2000 homepage. The address: www.uc2000.uconn.edu/



The website contains all previous legislative updates to the Governor and the General Assembly, the four year progress report, the original UCONN 2000 proposal and UCONN 2000 project updates from the homepages of the University's Facilities Management Department.

DEPARTMENT OF THE TREASURY
INTERNAL REVENUE SERVICE
WASHINGTON, D.C. 20224

TAX EXEMPT AND
GOVERNMENT ENTITIES
DIVISION

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Date : MAR 17 2010

University of Connecticut
352 Mansfield Rd
Storrs, CT 06269
Mr. Richard D Gray, V.P./C.F.O.

RE: 96,210,000 General Obligation Bonds, 2003 Series A

Dear Mr. Gray,

We have recently completed our examination of the bond issue named above. As a result, we have decided to close the examination with no change to the position that interest received by the bondholders is excludable from gross income under section 103 of the Internal Revenue Code.

Please note that if the need to open another examination arises on this bond issue, any change resulting from the future examination may affect all open years of bondholders from the issue date of the bonds.

Thank you for your cooperation in this matter.

Sincerely yours,

Robert E. Henn

Robert E. Henn
Manager, TEB Field Operations

Cc: Marie V. Phelan

University of Connecticut

UCONN 2000 Phases I-III Deferred Maintenance/Code/ADA Renovation Lump Sum

Expenditures For Fiscal Years 1996 - 2010

	FY 1996	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY2009	FY2010	Total
Storrs & Regional Campuses	$1,420,128	$14,154,228	$12,246,321	$18,037,697	$15,641,050	$16,255,971	$22,577,978	$28,592,478	$16,410,065	$25,855,735	$ (951,948)	$12,531,250	$19,548,353	$20,869,953	$16,342,058	**$239,531,318**
Health Center	-	-	-	-	-	-	-	-	-	11,700	1,396,608	2,567,873	3,178,646	4,286,953	5,156,558	**16,598,339**
Grand Total	**$1,420,128**	**$14,154,228**	**$12,246,321**	**$18,037,697**	**$15,641,050**	**$16,255,971**	**$22,577,978**	**$28,592,478**	**$16,410,065**	**$25,867,435**	**$ 444,660**	**$15,099,123**	**$22,726,999**	**$25,156,906**	**$21,498,616**	**$256,129,656**

UCONN 2000 Phases I-III Equipment, Library Collections and Telecommunications

Expenditures For Fiscal Years 1996 - 2010

	FY 1996	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	Total
Storrs & Regional Campuses																
Academic Services [1]	$2,940,377	$ 8,128,127	$ 7,574,733	$10,237,010	$ 9,014,022	$10,805,768	$11,436,705	$13,713,793	$ 7,738,516	$ 8,375,174	$ 4,093,617	$ 5,203,765	$14,934,628	$ 8,577,412	$ 2,079,299	**$124,852,947**
Libraries [2]	2,060,636	4,686,769	5,092,746	5,184,700	6,242,439	5,890,528	5,910,946	5,682,963	6,155,468	4,768,972	4,232,986	1,010,344	201,713	110,274	50	**57,231,533**
Student Services [3]	14,540	59,328	258,219	209,278	242,544	216,111	503,255	101,088	472,100	229,892	2,651	43,731	200,860	131,085	39,040	**2,723,721**
Operational Support & Physical Plant Services [4]	208,131	1,508,420	2,286,198	1,832,423	1,159,177	2,549,020	2,247,481	2,963,768	1,009,343	1,119,411	1,020	1,109,297	5,151,818	567,335	347,822	**24,060,665**
Total - UConn Storrs & Regional Campuses	**$5,223,683**	**$14,382,644**	**$15,211,897**	**$17,463,412**	**$16,658,181**	**$19,461,427**	**$20,098,387**	**$22,461,613**	**$15,375,426**	**$14,493,449**	**$ 8,330,274**	**$ 7,367,137**	**$20,489,019**	**$ 9,386,105**	**$ 2,466,211**	**$208,868,866**
Health Center																
Academic Services [1]	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 3,653	$ 2,881,808	$ 2,755,229	$ 2,815,439	$ 2,657,351	$ 2,611,195	**$ 13,724,674**
Libraries	-	-	-	-	-	-	-	-	-	-	1,407,677	1,139,897	566,486	1,161,182	1,244,581	**5,519,823**
Operational Support & Physical Plant Services [4]	-	-	-	-	-	-	-	-	-	3,653	2,881,809	2,755,230	2,815,436	2,657,351	2,611,195	**13,724,674**
Total Spent by UConn Storrs & Regional Campuses for Health Center [5]	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 7,306**	**$ 7,171,294**	**$ 6,650,356**	**$ 6,197,361**	**$ 6,475,883**	**$ 6,466,971**	**$ 32,969,171**
Grand Total	**$5,223,683**	**$14,382,644**	**$15,211,897**	**$17,463,412**	**$16,658,181**	**$19,461,427**	**$20,098,387**	**$22,461,613**	**$15,375,426**	**$14,500,755**	**$15,501,568**	**$14,017,493**	**$26,686,380**	**$15,861,988**	**$ 8,933,182**	**$241,838,036**

Notes:

1) Academic Services includes instruction, research, public service and academic support. Libraries are normally classified as part of academic support, but are shown separately on this report.
2) The funding of library acquisitions is being shifted to operating dollars as part of a phase-in plan which makes UCONN 2000 dollars available for reallocation to other capital expenses. This is important in the long-term, because at the end of Phase III of UCONN 2000 we must ensure a stable funding stream for this activity.
3) Student Services comprises all activities related to the University's student body excluding degree related activities and student records. For Student Services activities such as Residential Life and Dining Services that are classified as Auxiliary Enterprises activities, equipment purchases are not funded through UCONN 2000.
4) Operating Support & Physical Plant Services includes those activities within the University that provide campus-wide support such as executive management, fiscal operations, general administrative services and physical plant operations.
5) Health Center expenditures reflect amounts that have been spent and reimbursed by UCONN 2000 bond funds.

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Appendix 11.1

AAUP 1940 Statement of Principles on Academic Freedom

1940 Statement of Principles on Academic Freedom and Tenure

With 1970 Interpretive Comments

In 1940, following a series of joint conferences begun in 1934, representatives of the American Association of University Professors and of the Association of American Colleges (now the Association of American Colleges and Universities) agreed upon a restatement of principles set forth in the 1925 *Conference Statement on Academic Freedom and Tenure*. This restatement is known to the profession as the 1940 *Statement of Principles on Academic Freedom and Tenure*.

The 1940 *Statement* is printed below, followed by Interpretive Comments as developed by representatives of the American Association of University Professors and the Association of American Colleges in 1969. The governing bodies of the two associations, meeting respectively in November 1989 and January 1990, adopted several changes in language in order to remove gender-specific references from the original text. The 1940 *Statement of Principles* has been endorsed by more than 200 scholarly and education groups.

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher[1] or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.**[1]**[2]

Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

Academic Freedom

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.[2] Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.[3]

College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.[4]

Academic Tenure

After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.

2. Beginning with appointment to the rank of full-time instructor or a higher rank,[5] the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution, it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years.[6]Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.[7]

3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have.[8]

4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, either from the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries

for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution.[9]

5. Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.

1940 Interpretations

At the conference of representatives of the American Association of University Professors and of the Association of American Colleges on November 7–8, 1940, the following interpretations of the 1940 *Statement of Principles on Academic Freedom and Tenure* were agreed upon:

1. That its operation should not be retroactive.

2. That all tenure claims of teachers appointed prior to the endorsement should be determined in accordance with the principles set forth in the 1925 *Conference Statement on Academic Freedom and Tenure*.

3. If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph (c) of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher's fitness for his or her position, it may proceed to file charges under paragraph 4 of the section on Academic Tenure. In pressing such charges, the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

1970 Interpretive Comments

Following extensive discussions on the 1940 *Statement of Principles on Academic Freedom and Tenure* with leading educational associations and with individual faculty members and administrators, a joint committee of the AAUP and the Association of American Colleges met during 1969 to reevaluate this key policy statement. On the basis of the comments received, and the discussions that ensued, the joint committee felt the preferable approach was to formulate interpretations of the *Statement* in terms of the experience gained in implementing and applying the *Statement* for over thirty years and of adapting it to current needs.

The committee submitted to the two associations for their consideration the following "Interpretive Comments." These interpretations were adopted by the Council of the American Association of University Professors in April 1970 and endorsed by the Fifty-sixth Annual Meeting as Association policy.

In the thirty years since their promulgation, the principles of the 1940 *Statement of Principles on Academic Freedom and Tenure* have undergone a substantial amount of refinement. This has evolved through a variety of processes, including customary acceptance, understandings mutually arrived at

between institutions and professors or their representatives, investigations and reports by the American Association of University Professors, and formulations of statements by that association either alone or in conjunction with the Association of American Colleges. These comments represent the attempt of the two associations, as the original sponsors of the 1940 *Statement*, to formulate the most important of these refinements. Their incorporation here as Interpretive Comments is based upon the premise that the 1940 *Statement* is not a static code but a fundamental document designed to set a framework of norms to guide adaptations to changing times and circumstances.

Also, there have been relevant developments in the law itself reflecting a growing insistence by the courts on due process within the academic community which parallels the essential concepts of the 1940 *Statement*; particularly relevant is the identification by the Supreme Court of academic freedom as a right protected by the First Amendment. As the Supreme Court said in *Keyishian v. Board of Regents*, 385 U.S. 589 (1967), "Our Nation is deeply committed to safeguarding academic freedom, which is of transcendent value to all of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom."

The numbers refer to the designated portion of the 1940 *Statement* on which interpretive comment is made.

The Association of American Colleges and the American Association of University Professors have long recognized that membership in the academic profession carries with it special responsibilities. Both associations either separately or jointly have consistently affirmed these responsibilities in major policy statements, providing guidance to professors in their utterances as citizens, in the exercise of their responsibilities to the institution and to students, and in their conduct when resigning from their institution or when undertaking government-sponsored research. Of particular relevance is the *Statement on Professional Ethics*, adopted in 1966 as Association policy. (A revision, adopted in 1987, may be found in AAUP, *Policy Documents and Reports*, 9th ed. [Washington, D.C., 2001], 133–34.)

2. The intent of this statement is not to discourage what is "controversial." Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to their subject. Back to text

3. Most church-related institutions no longer need or desire the departure from the principle of academic freedom implied in the 1940 *Statement*, and we do not now endorse such a departure. Back to text

4. This paragraph is the subject of an interpretation adopted by the sponsors of the 1940 *Statement* immediately following its endorsement which reads as follows:

If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph (c) of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher's fitness for his or her

position, it may proceed to file charges under paragraph 4 of the section on Academic Tenure. In pressing such charges, the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

Paragraph (c) of the section on Academic Freedom in the 1940 *Statement* should also be interpreted in keeping with the 1964 "Committee A Statement on Extramural Utterances" (Policy Documents and Reports, 32), which states inter alia: "The controlling principle is that a faculty member's expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member's unfitness for his or her position. Extramural utterances rarely bear upon the faculty member's fitness for the position. Moreover, a final decision should take into account the faculty member's entire record as a teacher and scholar."

Paragraph 5 of the *Statement on Professional Ethics* also deals with the nature of the "special obligations" of the teacher. The paragraph reads as follows:

As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of other obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Both the protection of academic freedom and the requirements of academic responsibility apply not only to the full-time probationary and the tenured teacher, but also to all others, such as part-time faculty and teaching assistants, who exercise teaching responsibilities.

5. The concept of "rank of full-time instructor or a higher rank" is intended to include any person who teaches a full-time load regardless of the teacher's specific title.* Back to text

6. In calling for an agreement "in writing" on the amount of credit given for a faculty member's prior service at other institutions, the *Statement* furthers the general policy of full understanding by the professor of the terms and conditions of the appointment. It does not necessarily follow that a professor's tenure rights have been violated because of the absence of a written agreement on this matter. Nonetheless, especially because of the variation in permissible institutional practices, a written understanding concerning these matters at the time of appointment is particularly appropriate and advantageous to both the individual and the institution.** Back to text

7. The effect of this subparagraph is that a decision on tenure, favorable or unfavorable, must be made at least twelve months prior to the completion of the probationary period. If the decision is negative, the appointment for the following year becomes a terminal one. If the decision is affirmative, the provisions in the 1940 Statement with respect to the termination of service of

teachers or investigators after the expiration of a probationary period should apply from the date when the favorable decision is made.

The general principle of notice contained in this paragraph is developed with greater specificity in the *Standards for Notice of Nonreappointment*, endorsed by the Fiftieth Annual Meeting of the American Association of University Professors (1964). These standards are:

Notice of nonreappointment, or of intention not to recommend reappointment to the □governing board, should be given in writing in accordance with the following standards:

(a) Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.

(b) Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.

(c) At least twelve months before the expiration of an appointment after two or more years in the institution.

Other obligations, both of institutions and of individuals, are described in the *Statement on Recruitment and Resignation of Faculty Members*, as endorsed by the Association of American Colleges and the American Association of University Professors in 1961. Back to text

8. The freedom of probationary teachers is enhanced by the establishment of a regular procedure for the periodic evaluation and assessment of the teacher's academic performance during probationary status. Provision should be made for regularized procedures for the consideration of complaints by probationary teachers that their academic freedom has been violated. One suggested procedure to serve these purposes is contained in the *Recommended Institutional Regulations on Academic Freedom and Tenure*, prepared by the American Association of University Professors. Back to text

9. A further specification of the academic due process to which the teacher is entitled under this paragraph is contained in the *Statement on Procedural Standards in Faculty Dismissal Proceedings*, jointly approved by the American Association of University Professors and the Association of American Colleges in 1958. This interpretive document deals with the issue of suspension, about which the 1940 *Statement* is silent. Back to text

The 1958 *Statement* provides: "Suspension of the faculty member during the proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. Unless legal considerations forbid, any such suspension should be with pay." A suspension which is not followed by either reinstatement or the opportunity for a hearing is in effect a summary dismissal in violation of academic due process.

The concept of "moral turpitude" identifies the exceptional case in which the professor may be denied a year's teaching or pay in whole or in part. The statement applies to that kind of behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the offering of a year's teaching or pay. The standard is not that the moral sensibilities of persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.

Endnotes

1. The word "teacher" as used in this document is understood to include the investigator who is attached to an academic institution without teaching duties. Back to text
2. Boldface numbers in brackets refer to Interpretive Comments which follow. Back to text

* For a discussion of this question, see the *Report of the Special Committee on Academic Personnel Ineligible for Tenure*, *Policy Documents and Reports*, 88–91.

** For a more detailed statement on this question, see *On Crediting Prior Service Elsewhere as Part of the Probationary Period*, ibid., 100–101.

Endorsers

The 1940 *Statement of Principles* has been endorsed by more than 200 scholarly and education groups. You can see them alphabetically, by date, or by discipline.

Printer-Friendly Page