

The University of Connecticut
Storrs, Connecticut



NECHE Interim Report
September 2021

Table of Contents

Table of Contents	1
Introduction.....	2
Institutional Overview	2
Area of Special Emphasis: Budget	3
Area of Special Emphasis: Faculty Diversity	4
Standard 1: Mission and Purpose.....	6
Standard 2: Planning and Evaluation.....	7
Standard 3: Organization and Governance	9
Standard 4: The Academic Program	12
Standard 5: Students	19
Standard 6: Teaching, Learning, and Scholarship.....	23
Standard 7: Institutional Resources	31
Standard 9: Integrity, Transparency, and Public Disclosure.....	33
Reflective Essay on Educational Effectiveness (Standard 8)	35
Institutional Plans.....	48

Introduction

In early Spring of 2021, the University administration convened a small steering committee for the purposes of preparing this report. The committee was co-chaired by Director of Academic Policy and Faculty Affairs, Sarah Croucher, and Senior Vice Provost for Academic Affairs, Jeffrey Shoulson, and it included Laura Burton, Head of the Department of Educational Leadership, Maria Chrysochoou, Head of the Department of Civil and Environmental Engineering, Frank Tuitt, Vice President and Chief Diversity Officer, and Manuela Wagner, Professor of Literatures, Cultures, and Languages.

The committee met weekly over the course of the Spring 2021 semester and through the summer. Because of the significant health concerns and constraining conditions created by the COVID-19 pandemic, all the work of the steering committee, from beginning to end, was done virtually. During the early stages of this process, members of the committee divided the preparation of each standard amongst themselves and identified the relevant unit leaders to be consulted on each topic. Widespread consultation with various units took place to provide information on all areas relevant for this report. As the semester progressed, the information and data gathered from these extensive consultations were consolidated into drafts for each standard. The steering committee continued to meet regularly and, as drafts were completed, they were reviewed, supplemented, and revised collectively.

In the final stages of preparation, the committee met weekly for more extended blocks of time in order to combine the sections and standards, flesh out or complete any remaining gaps, eliminate redundancies and inconsistencies, and give the report greater uniformity of style and substance. Provost Carl Lejuez was also consulted on certain components of the report.

Institutional Overview

UConn is the State of Connecticut's flagship research university. We are one of a small number of institutions across the U.S. to hold the triple designation as a Land-, Sea-, and Space-Grant university. The university consists of the main campus in Storrs, still a relatively rural area and the original home of our land-grant institution. We have regional campuses in Avery Point, Hartford, Stamford, and Waterbury, the latter three of which are in urban areas. Avery Point is a coastal campus and the home of our Sea Grant. Additionally, the UConn Health campus in Farmington is home to the UConn John Dempsey Hospital and a robust academic medical center, the UConn School of Medicine, the UConn School of Dental Medicine, and a thriving research enterprise. UConn is home to 13 schools and colleges: Agriculture, Health & Natural Resources; Business; Dental Medicine; Neag Education; Engineering; Fine Arts; Graduate; Law; Liberal Arts & Sciences; Medicine; Nursing; Pharmacy; and Social Work.

We offer 115 majors at the undergraduate level, and at the graduate level we offer 17 types of graduate degrees (4 research doctorates, 2 clinical doctorates, and 11 master's degree); 81 research and professional practice fields of study and 128 that lead to master's degrees; and 6 professional degree programs (J.D., LL.M., M.D., D.M.D., Pharm.D., S.J.D.) Furthermore, the University offers more than 100 post-baccalaureate, graduate, and post-master's certificate programs, many of which were developed within the last five years.

In fall of 2020, our total student enrollment was 32,669. Of these students, 18,917 were undergraduates at our Storrs Campus, and 5,454 were undergraduates at our Regional Campuses. Growth in undergraduate student numbers has been largely at our urban campuses of Hartford and Stamford, which have each benefitted from

significant infrastructure improvements and new four-year majors during this period. In total across all four campuses, our regional campuses have seen growth of 873 students in the past five years, while our Storrs undergraduate population grew by only 91 students in the same time frame. Of all entering freshmen students on the Storrs Campus, 54% were in the top 10% of their high school class, while 85% were in the top 25%. Over 82 salutatorians and 71 valedictorians entered UConn in the fall of 2020 and, since 1995, over 2,930 valedictorians and salutatorians enrolled at all campuses. The four-year graduation rate of 73% ranks UConn as 6th among public universities.

Over 8,200 graduate students attended UConn in the fall of 2020, with 6,928 students in graduate master's and doctoral programs (including 272 students at UConn Health); 578 Law students; 162 Pharm.D. students; 449 Medicine students; and 197 Dental Medicine students. Over the last five years, there was a modest overall increase in graduate students (an increase of 98), medical students (increase of 65), and dental medicine students (increase of 26). Enrollment in the Law School remained relatively steady (reduction in total enrollment of 3 students in 2020 vs. 2015). The net enrollment change across all categories of graduate students was an increase of 152 students between 2015 and 2020.

UConn employs 9,783 full-time and part-time faculty and staff. Of those, 2,347 are faculty and academic staff including adjuncts, clinical, research, and visiting faculty. 1,446 are full-time faculty and of those, 1,098 are tenured and tenure-track faculty. The student-to-faculty ratio was 16:1 in Fall 2020.

Area of Special Emphasis: Budget

Over the last five years, the fiscal stability of the State of Connecticut has improved, which in turn has provided greater stability to the University, where our fiscal structure is largely driven by state policy. State funds cover about 28% of operating expenses and 80% of capital costs. Continued strong commitments of state funding, coupled with ongoing modest raises in tuition, have resulted in a stable budget over the last five years, in line with predictions. During the pandemic revenues from tuition and fees, and various auxiliary activities (e.g., athletics, housing, dining, research etc.) dropped, but enrollment has remained stable, and many of our costs have been offset by significant government support and through strategic cost-saving. Our fiscal governance has most recently come to be led by Lloyd Blanchard, Interim Chief Financial Officer (formerly Associate Vice President for Budget, Management, and Institutional Research), taking over from former Chief Financial Officer, Scott Jordan; this fiscal leadership has consistently been closely aligned with the academic needs and mission of the University, as well as the broader fiscal landscape of the State.

The State of Connecticut supports UConn in three primary ways: 1) approximately \$200 million in an annual block grant support used exclusively to cover salaries for nearly half of our employees, 2) associated fringe costs for these employees are also covered by the state, and 3) \$200 million per year for capital projects and deferred maintenance also come from state bonds. Since this support generally covers about 28% of operating expenses and 80% of capital costs, the University must generate other revenues through tuition and fees, and various auxiliary activities (e.g., athletics, housing, dining, research, etc.). Due to investment in student recruitment, the number of applicants to UConn rises year after year. The current budget forecast includes better than anticipated revenues from such strong demand by degree-seeking students. Funding from research continues to grow, with FY20 seeing our best year to date, with \$286 million in research funding. As a public research university, part of our mission is to support economic development in Connecticut.

One of the major issues related to expenditure and budget expected in the coming years relates to a wave of anticipated retirements. Eight thousand State of Connecticut employees will be incentivized to retire by June 30, 2022, as a result of certain provisions for health and retirement benefits. As a state institution, we anticipate that UConn will see significant retirements in 2022. This “silver tsunami,” as it has been dubbed, will present us with the opportunity to reevaluate staffing needs in different units and the roles particular staff might serve.

The pandemic obviously created some significant impacts in revenues, particularly through limiting our ability to earn some of our revenue from various sources, by forcing us to teach online, by drastically reducing the capacity of our residential halls, and through the cancellation of most congregate gathering activities, including athletic sporting events. The immediate impact of sending students home in the spring semester of 2020 came mainly in our rebating \$32 million in housing and fees. Other challenges to the budget included the heightened costs associated with health and safety and financial aid for students experiencing economic hardship.

We were able to mitigate these FY21 reductions in income by implementing \$48.0 million of budget reductions. These were achieved through management furloughs (\$2 million), program cuts (\$13 million), capital reallocations (\$9 million) and departmental expense savings (\$24 million). These revenue losses were also offset by enrollment strategies to recruit more out-of-state students and contracts with universities overseas to retain our international students who could not return to the U.S.

Many of our costs have been offset by significant government support. With this assistance and strategic revenue and spending decisions, we were able to continue without major upheaval in our academic programs. Overall, the University faced nearly \$110 million in losses as a result of the pandemic but received almost \$85 million (to date) in government assistance. On November 17, 2020, the State of Connecticut Office of Policy and Management approved an allocation of \$20.0 million to the University, to offset the refunds issued to students last spring from the Coronavirus Relief Fund established within the Federal CARES Act. As a result, the current Fiscal Year 2021 budget forecast included \$1,441.9 million in expenditure and \$1,434.4 million in revenue, yielding a forecasted net loss of \$7.5 million. The University has since received additional federal funding that closed the remaining budget gap for FY21. As the remainder of the year unfolds, the State has indicated that it will continue to evaluate any additional funding opportunities to address the pandemic impact.

Area of Special Emphasis: Faculty Diversity

At the time of the 2016 Self-Study and the visit by the New England Association of Schools and Colleges evaluation team, the University was embarking upon an ambitious plan to increase diversity among faculty, staff, and students. As noted in their 2017 letter, UConn made significant increases to the diversity of the student body, but our good faith efforts to increase faculty and staff diversity fell short. Since then, the University has made modest, but uneven, improvements to faculty and staff diversity. We remain optimistic that the work we have been doing over the last few years is having a positive impact and will serve as the institutional framework for building a more diverse faculty.

Since the last accreditation report, UConn has taken several steps to build this institutional framework. We have been especially engaged in working to understand better our community’s composition, as well as what challenges members of our community face. These efforts required a more robust scholarly framework, including re-thinking the terms “minority” and “underrepresented.” Currently, we prefer the term “minoritized.”

According to Chase, Dowd, Pazich, and Bensimon, the term “minoritized” refers to both the objective outcomes resulting from historical and contemporary practices of racial-ethnic exclusion and the continued social, political, and economic existence of marginality and discrimination – even when compositional racial-ethnic parity may have been achieved in some contexts.¹ This preferred terminology allows us to attend to both the individuals who have been excluded at UConn and the practices that exclude them.

Our last report noted the creation of a Chief Diversity Officer position, charged with leading the efforts to diversify faculty and staff, among other responsibilities. Since then, the CDO position has been elevated from an Associate Vice Provost position to a Vice President position. The new CDO, Dr. Frank Tuitt, serves as a member of both the President and Provost’s leadership teams. Collectively, leadership has implemented new priorities for university units and departments that keep diversity at the forefront; in the last year, many of our academic leaders have been engaged in advancing institutional priorities related to: 1) Adding significantly to the diversity of our faculty and staff; 2) Supporting an ecosystem to confront difficult truths and promote important conversations around race and identity; and 3) Training that focuses on racial literacy and responsive approaches for managers and leaders.

We are also working to change the campus climate from the top down. University leadership has undergone racial awareness training. We have created a Vice Provost for Faculty, Staff, and Student development who, in collaboration with Provost Carl Lejuez, has successfully coordinated retention and success efforts by working with the Office for Diversity and Inclusion, Human Resources, and deans and department heads. As a result, these units are more responsive to faculty of color success matters, including responses to climate-related concerns.

More diverse hiring has been at the forefront of efforts to diversify the faculty, and in the past few years the university utilized cluster hiring that brought in Native and Indigenous faculty, Asian American faculty, and Black Faculty. Although the current faculty profile presents uneven results, one positive sign is that early reports for the fall 2021 indicate that only 45% of new tenured/ tenured track faculty will be White. Largely due to intentional hiring practices, the percentage of faculty and staff of color has improved slightly since our last report, from 20.8% to 21.5%. Underrepresented faculty have increased from 25.5% to 31.1% of the total population. People of color as a percentage of staff has increased from 15.5% to 17.9%. We have seen modest increases overall and increases for Latinx and Indigenous faculty. However, the percentage of Asian American faculty has remained stagnant, and the percentage of Black and African American faculty has decreased. We have also noticed significant increases in unreported demographic data, which may account for the lack of growth in faculty diversity, and we are exploring a variety of hypotheses to understand this pattern better.

Many of our recent efforts have been geared towards better understanding our challenges related to recruiting and retaining faculty and staff of color. Some departments and schools are having greater success recruiting and retaining faculty than others. One third of schools and colleges saw increases in tenure-track faculty diversity. In particular, the College of Agriculture, Health, and Natural Resources saw a 14% increase (21 tenure-track faculty of color in 2016 to 24 in 2020) and the College of Liberal Arts and Sciences saw a 9% increase (113 tenure-track faculty of color to 123). Though some departments stayed stagnant or decreased, 31% of departments increased tenure-track faculty diversity, including Nursing (200% increase, 1 to 3 tenure-track faculty of color), Economics

¹ Chase, M.M., Dowd, A.C., Pazich, L.B. and Bensimon, E.M., 2014. Transfer equity for “minoritized” students: A critical policy analysis of seven states. *Educational Policy*, 28(5), pp.669-717.

(57%, 7 to 11 tenure-track faculty of color), and Mechanical Engineering (29 % increase, from 7 to 9 tenure-track faculty members of color).

Moreover, we are using different approaches to capture data. For example, we have begun conducting exit interviews with minoritized faculty who leave UConn to understand better why, whether a function of UConn’s rural location, job offers from other universities, or unsupportive department and unit climates.

In an effort to understand barriers to substantial progress in diversifying our faculty and staff, for example, we held faculty of color town halls, where we received greater, more detailed input from faculty and staff of color to learn about challenges of retaining and promoting minoritized faculty. Town hall participants emphasized their concerns about the lack of diversity on campus and its impacts on morale. The stagnant faculty diversity in the face of greater student diversity has led to faculty and staff of color taking on a disproportionate amount of DEI-related work adding burdens to their work experiences. Consequently, minoritized faculty feel less positive about their overall experience with the institution, as only 36% of our minoritized faculty members feel their school/college is welcoming, compared to 25% who disagree. This indicates that we still have quite a bit of work to do in ending the processes of minoritization.

Resulting steps to increase faculty and staff diversity include reviewing and adjusting faculty hiring practices so they align more directly with DEI and Affirmative Action goals (e.g., standardizing the DEI language in job ads, job descriptions, and offer letters). We are establishing a Diversity and Inclusion rubric for assessing candidates, developing a “best practices” faculty hiring resource guide, and are now able to provide search committees with data on search pool compositions. We have conducted an anti-racism cluster hire initiative, while also working to provide more resources for the minoritized faculty who already work here. For example, we are fostering an ongoing affinity-based engagement with faculty of color and women faculty, creating opportunities for writing retreats, faculty networking and celebratory events, and peer mentoring.

We feel that the modest increases are not the full measure of our efforts. Rather, we believe that these efforts to engage our climate, hiring practices, and retention issues will serve as a framework for future success. Above all, we are working to be more proactive and less reactive to the issues these groups are facing, putting in place the systems and processes that will encourage greater success and inclusion.

Standard 1: Mission and Purpose

As a flagship, public, Land-, Sea-, and Space-grant university, UConn’s mission must be a broad, ambitious one, with the depth and breadth appropriate to a major Research 1 institution. The mission statement of the University was adopted by the Board of Trustees on April 11, 2006, and has remained unchanged since then:

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

promote the health and well-being of Connecticut's citizens through enhancing the social, economic, cultural and natural environments of the state and beyond.

In the last several years, senior leadership has articulated three institutional priorities, which now drive much of our strategic planning and tactical decision-making. These priorities include: (1) significantly growing the research, scholarly output, and creative work of our faculty; (2) providing life-transformative education for every UConn student; (3) becoming a more powerful engine for the state of Connecticut. Just as important, these priorities are informed by the following core values: diversity, equity, and inclusion; innovation and entrepreneurship; interdisciplinary collaboration; local and global outcomes; and responsible stewardship of resources.

We also remain mindful of the fraught nature of our history as a land-grant institution and have adopted the following UConn [Land Acknowledgement Statement](#):

The land on which we gather is the territory of the Mohegan, Mashantucket Pequot, Eastern Pequot, Schaghticoke, Golden Hill Paugussett, Nipmuc, and Lenape Peoples, who have stewarded this land throughout the generations. We thank them for their strength and resilience in protecting this land, and aspire to uphold our responsibilities according to their example.

Standard 2: Planning and Evaluation

UConn has a data-rich approach to decision making and several processes to manage planning and evaluation. The functions of institutional planning and evaluation reside within a number of organizations throughout the university, including Enrollment Planning and Management (EPM), the Office of Budget and Planning (OBP), the Office of Institutional Research and Effectiveness (OIRE), and University Planning, Design and Construction (UPDC). OIRE focuses on evaluating the academic programs, while OBP focuses on evaluating the administrative operations. Only OBP and OIRE conduct program and operational evaluations, so in 2018, OBP and OIRE were combined under a single leader—the Associate Vice President of Budget, Management and Institutional Research. This merger has enhanced our capacity for systematic and comprehensive integration of both functions. The university's annual budgeting process now includes mission performance information to guide institutional leadership decision making, and analyses of institutional programs and operations focus on both costs and performance.

A range of resources are available to support institutional planning and evaluation; these enable collaboration with a broad range of institutional constituencies, which then leverage resource support for these functions even further. Another example is the Capital Program and Space Review Committee (CPSRC), which reviews and evaluates requests for capital projects and space changes. This committee integrates academic planning within a planning committee for the University's capital program, which also includes OBP and Facilities Operations representatives.

Planning

Though OBP and OIRE conduct operations that are short-term focused (e.g., annual budgeting and reporting), they also conduct analyses designed to guide institutional planning beyond a short-term horizon. One example is the work by OBP to analyze financial tradeoffs associated with the potential recapitalization of the university's residence halls and environmental sustainability initiatives.

UConn's decision-making is guided by strategic, operational, capital, and sustainability plans, and the university is currently undertaking efforts to integrate such plans. While all plans have a long-term view, operational plans exist at numerous unit levels (e.g., school/college, major administrative unit) and have both short-term and long-term foci. OBP leads the financial planning aspects, and OIRE provides program data and analyses to guide such planning. This integration has helped the university maintain its record of success, evidenced by the top 25 ranking among public institutions in the leading national rankings (e.g., US News, Wall Street Journal).

Evaluation

Both OBP and OIRE conduct regular data analyses to evaluate our academic programs and administrative operations, along with evaluating performance against those of our peers' performance and costs. UConn uses institutional analytics daily for a variety of purposes, including providing timely official data and analysis for planning, institutional effectiveness, and decision making. OIRE is the source of official reporting for the university both to federal, state, and accreditation agencies, as well as industry watchdogs and ranking organizations. Leadership Dashboards are customized data dashboards developed specifically for senior decision makers. OIRE provides support across the institution in the following areas: leadership decision making; enrollment projections for budget and enrollment management planning; accreditation; university program reviews; grant proposals; national surveys; and federal and state reporting requirements. Most recently, we have developed a Student Success dashboard.

OIRE has a robust website with access to these dynamic dashboards as well as static reports, Tableau reports, and national survey results. These dashboards are available to users 24/7, giving regularly updated access to UConn data sources in a unified portal allowing users to view reports, filter data, print images, and export data. The reports that are included in this dashboard are student data, student credit hours data, credit hours by instructor type, faculty and staff data, productivity data, financial data (useful for budget hearing), retention data, faculty and staff diversity, and student diversity. OIRE trains users for their own self-service reporting and development of customized reports and visualizations.

OIRE staff are involved in evaluation and development of student success strategies designed to retain and graduate all our students. OIRE collaborates with many offices across campus, including EPM, the Center for Excellence in Teaching and Learning (CETL), and Information and Technology Services (ITS). Many of the initiatives address student success and predictive analytics. In addition to building general and customized data dashboards for university constituents, OIRE administers the Student Engagement in the Research University (SERU) survey, the Student Evaluation of Teaching (SET) surveys, and the HuskyDM faculty annual reporting tool. OIRE is currently collaborating with the Office of the Provost to work on centralizing the scheduling and administration of surveys sent out to members of the UConn community (e.g., internal climate surveys at the level of individual academic units) and to create a framework to insure that data collection follows appropriate standards and helps support the wider infrastructure of data-driven assessment and decisions across the University.

The strengths of our institutional infrastructure related to data have been important in our response to Covid-19. A dashboard was created during AY21 to provide all key statistics (<https://reopen.uconn.edu/covid-dashboard/>). Data available on the dashboard and through internal measures meant that any decisions related to campus operations could be made based on several factors, including: the prevalence of illness in our community, our ability to provide adequate ongoing medical care and support to our residential population, and our ability to operate and maintain vital campus infrastructure.

Strategic Planning

The process to [develop a new strategic plan for the University](#) was launched in AY21 with a series of “visioning day” events to collect stakeholder input. This consisted of three University-wide events, 25 unit-level events, Foundation and alumni stakeholder events, and Board of Trustees engagement, resulting in feedback from ~750 individuals. Three key areas for transformation (as previously mentioned in relation to our mission and purpose) have been identified:

- Doubling research and scholarship
- Providing life-transformative education (LTE) to every UConn student
- Becoming a more powerful engine for the State of Connecticut

Feedback from stakeholder groups was used to produce draft shared values, and to provide material to rework and finalize the vision of the strategic plan. There is currently work underway to create a framework for the plan, which will then be used for a second stage of major public relaunch (later in fall 2021) that will allow for further community input before finalizing shared values. By spring of 2022 measurable strategic goals will be identified, and strategic initiatives (proposed solutions, plans of action, what we will do to address challenges and meet goals) will be determined. This will result in a finalized plan that can then be used to support annual planning through monitoring performance, allocating resources, planning action, and setting goals. The three key pillars of the strategic plan have been well socialized across the University, and are already in active use for goal setting within many units.

Standard 3: Organization and Governance

The University of Connecticut is the flagship research institution for the state of Connecticut and there is a strong relationship between the governance of the university and that of the state. We also demonstrate strengths in the area of shared governance in the relationship between the administration and the faculty, staff, and students. The pandemic has been a test of organization and governance, and through this period we have shown how the various elements of management and governance of the university have worked effectively to mitigate the impacts of the pandemic and to deliver outcomes throughout this period that remain focused on our mission. Recent leadership transitions have also helped exemplify the strengths of overall governance at UConn through well-managed handovers between different leaders.

Governing Board

The Board of Trustees continues to exercise strong oversight of UConn, with no major changes in structure since our 2016 self-study. In August 2019 Dan Toscano was appointed Board Chair by relatively new Governor Ned Lamont. Chairman Toscano had served as a board member for several years prior to this appointment. He is a prominent member of the Connecticut business community and managing director of global leveraged finance

at Morgan Stanley & Co. Upon appointment, Governor Lamont said, “In order to be successful in a 21st century economy, it is essential that our state’s schools and universities strongly connect themselves with the business community. My appointment of Dan Toscano as chair of the UConn Board of Trustees should be seen as a step forward to strengthen this bond.”

Two new committees of the Board have been formed that reflect the developing institutional priorities of the University. The first is the Committee for Diversity, Equity, and Inclusion. This committee engages with issues such as climate data, strategy of the Office for Diversity and Inclusion, reporting on bias incidents, and reporting back from initiatives such as the Presidential Advisory Council on Campus Policing. A Committee for Research, Entrepreneurship and Innovation has also been formed. This committee is also related to state initiatives, which include the development of a UConn innovation and entrepreneurship plan under the auspices of Public Act 19-154. Reporting is provided to this committee on initiatives and metrics related to research outputs of the university, programs that help develop student entrepreneurship, tech transfer activities, and other activities related to research, entrepreneurship, and innovation. This committee is closely aligned with the work of the Office of the Vice President for Research and the Office of the Provost. The Committee for Diversity, Equity, and Inclusion, and the Committee for Research, Entrepreneurship and Innovation both align with the strategic priorities currently being developed in the new UConn strategic plan.

The Board of Trustees continues to have strong student representation and participation by Senate representatives on both the Board itself and at the committee level. Public participation sessions are actively utilized by students and faculty to directly engage with Board members. Topics that have drawn significant engagement in recent years include student mental health, efforts to continue support for particular athletics programs, and the importance of finalizing a contract extension with the Storrs and regional campus AAUP chapter.

Internal Governance

In 2019, UConn President Susan Herbst stepped down from her position, having served for eight years in that role. During the tenure of President Herbst, several units changed from reporting to the Office of the Provost to reporting directly to the President: the Office for the Vice President of Research, the Division of Enrollment Management, Global Affairs, and the Office for Diversity and Inclusion. These units continue to report directly to the President.

Following a national search, Thomas Katsouleas was appointed president in July 2019. At the time of his appointment, he was serving as Provost of the University of Virginia. During his tenure the university successfully navigated the pandemic, both with respect to the teaching mission (in-person classes continuing in fall 2020 and spring 2021) and the financial exigencies it created. In May 2021, President Katsouleas announced that he was stepping down. CEO of UConn’s Health Center, Andrew Agwunobi, was appointed Interim President by the Board of Trustees in May 2021 to lead the university until a search is conducted for a new permanent president. He is the first person of color to lead UConn.

The current chief academic officer of UConn is Provost and Executive Vice President for Academic Affairs, Carl Lejuez, who joined UConn in June 2020, assuming his leadership role at the height of the Covid-19 pandemic, providing much-needed stability. Prior to this there had been two other permanent Provosts in the last five years: Mun Choi from 2012 through January 2017, and Craig Kennedy from April 2018 through January 2019. Two interim provosts served between these appointments: Jeremy Teitelbaum, former dean of the College of

Liberal Arts & Sciences, from Feb 2017 through March 2018, and John Elliott, Dean of the School of Business, from January 2019 through May 2020.

The Office of the Provost oversees the division of Academic Affairs. The office currently includes three Vice Provosts: Senior Vice Provost for Academic Affairs, Jeffrey Shoulson, Vice Provost for Faculty, Staff, and Student Development, Michael Bradford, and Vice Provost for Strategic Initiatives, Gladis Kersaint. The Provost works closely with Chief of Staff and Assistant Vice Provost for Strategic Communications, Kristi Henderson. This reorganization of the Office of the Provost has strengthened its ability to communicate effectively with faculty and academic staff across the university and to lead on long-term strategic academic initiatives, even through the pandemic. The Provost is further strengthened in governance by a Core Team that meets weekly and includes Lloyd Blanchard, Interim Vice President for Finance and Chief Financial Officer and Associate Vice President of Budget, Management and Institutional Research; Kent Holsinger, Vice Provost for Graduate Education and Dean of the Graduate School; Frank Tuitt, Vice President for Diversity and Inclusion and Chief Diversity Officer; and Daniel Weiner, Vice President for Global Affairs.

Academic deans of schools and colleges, along with the dean of the libraries, report to Provost Lejuez, as do the four regional campus directors. Academic programs at the regional campuses are managed collaboratively between their respective schools and colleges and campus directors (for further discussion of regional campuses, see Standard 4).

Several key units of the University also report to the Office of the Provost. The three Vice Provosts support Provost Lejuez in the management of these various units, with these Vice Provosts serving as supervisors of several key units including the Center for Excellence in Teaching and Learning (CETL), the Institute for Student Success (ISS), Veterans Affairs and Military Programs, Honors and Enrichment, Student Athlete Success Program, and Career Services. In addition, some Institute directors and the Office of Clinical Placement Coordination also report to the Office of the Provost. Oversight of these units is shared among different portfolios of the Vice Provosts and Provost.

The Provost convenes several University-wide committees. During the pandemic several such working groups and committees were formed to guide decision making, with input from faculty, students, and staff. In coming out of the pandemic, the Future of Learning Committee has developed a 28-page report on what we can take away from the pandemic that can enrich and expand our educational opportunities. The Provost and Human Resources provided joint leadership to the Future of Work Committee that has developed strategies for the workplace in the immediate and longer-term as we emerge from the pandemic. Other initiatives such as Assessment and Life-Transformative Education are also led through committees and working groups charged by the Provost.

[The University Senate](#)

In relation to academic issues, the university enjoys strong shared governance. The Senate representation from faculty, academic staff, and students, who are voted on by their constituents, along with non-voting ex-officio members of the UConn administration. In structure the Senate has an Executive Committee (hereafter SEC), and nine senate standing committees where much of the detailed work of academic governance of the university is carried out. Provost Lejuez is committed to shared governance; he has consistently consulted with the SEC on all meaningful decisions related to academic policy and governance.

The pandemic has been a period in which our strengths in shared governance and relationships of trust among the Office of the Provost, academic units, and administrative units have helped in a range of important academic

policy changes needed to support students. Of particular note, the Senate Scholastic Standards Committee worked on issues related to relaxing rules to support students while also drawing in feedback to meet the needs of academic and administrative units. In spring 2020, Pass/Fail rules were relaxed significantly to allow students flexibility with the sudden shift to online learning. Returning in fall 2020, it was clear that students still required flexibility in supporting their academic progress while dealing with challenges of remote learning, quarantines, sickness, or other side effects of the pandemic. Some schools and colleges were clear that they could not allow students to utilize Pass/Fail in all courses, particularly where grades were being used as a measure of competencies and ability to progress through a program (e.g., in nursing, accounting, and engineering). Members of the Senate Scholastic Standards Committee consulted widely and recommended a significant relaxation of the deadline for placing classes on Pass/Fail so that students could do so after final grades were submitted by instructors. However, students were still limited to the usual rules limiting the total number of credits they can place on Pass/Fail to 12 (excluding spring 2020), and excluding their use for majors, minors, and general educational requirements. An additional change extended the deadline to withdraw from a course to the final day of classes in AY 20/21, with grade rosters held until after this deadline to ensure that final grades were not received prior to students withdrawing from a class. The final change to academic policies developed by the Senate Scholastic Standards Committee was to add a “No Record: Covid” grade (NRC) to the grade roster for spring 2020 and AY 20/21. This could be used by students to replace a W on transcripts to demonstrate disruptions of the pandemic without potential negative stigma many students feared was associated with a W. These changes required close collaboration between faculty, staff (particularly in the Offices of the Registrar and the Bursar), and students to reach compromise positions that supported students while also upholding academic standards.

Standard 4: The Academic Program

UConn offers 115 [undergraduate majors](#) in 12 schools and colleges, compared to 102 undergraduate majors in eight schools and colleges 5 years ago.² UConn also awards 17 types of graduate degrees (4 research doctorates, 2 clinical doctorates, 11 master’s). The graduate school oversees 81 fields of study that lead to doctoral degrees and 128 fields of study that lead to master’s degrees. Furthermore, the University offers more than 100 post-baccalaureate, graduate, and post-master’s certificate programs, many of which were developed within the last five years. Oversight of these programs resides with the faculty within departments, schools, and colleges. Curriculum and course committees at the department, school, and University Senate levels oversee and approve new courses, and in the case of the General Education Oversight Committee also make sure courses stay aligned with the General Education requirements. Different schools and programs are required to meet additional program and accreditation standards specific to their fields, disciplines, and professions. The Dean of the Graduate School, together with the Graduate Faculty Council, oversee the graduate fields of study except for the MD, DMD, JD, LLM, and PharmD.

² The count of 12 schools and colleges does not include the Ratcliff Hicks School of Agriculture which offers associate degrees and sits within the College of Agriculture, Health, and Natural Resources, or the Graduate School which does not offer undergraduate degrees.

Innovative Responses to Needs

The following examples illustrate how UConn works systematically and effectively to plan, provide, evaluate, improve, and assure the academic quality and integrity of its academic programs. Planning and evaluation occur at several levels: online education is coordinated centrally by the Center for Excellence in Teaching and Learning, in collaboration with individual programs; regional campuses plan offerings considering the needs of students in all their programs; schools and departments also update offerings and modalities based on evolution of needs in the target profession.

Example 1: Online Education

UConn's online programs are characterized by their academic rigor, research-informed curriculum, interdisciplinarity and inclusive collaboration, and distinguished faculty. Though not required, all faculty developing fully online courses are encouraged to collaborate with staff in the Center for Excellence in Teaching and Learning's (CETL) eCampus through a funded, systematic faculty development course design model. Formed in 2012, eCampus is dedicated to the support and advancement of best practices in online and mixed mode teaching and learning at UConn. eCampus has supported the development of over 600 online courses through this funded model and supported hundreds more through one-on-one consultations, workshops, and training for unfunded course design projects. Professional staff work with individual faculty, teaching assistants, students, departments and the academic administration to create a culture that values teaching and learning, supports and rewards faculty innovation, and encourages respect for all learners. UConn is a member of the Online Learning Consortium and applies the Quality Matters (QM) Rubrics, which are supported by literature reviews of online learning research. As a consequence of using QM Rubrics, all online courses funded through eCampus meet a minimum baseline of research-based quality standards (e.g., clearly stating their learning objectives and aligning all activities and assessments in the courses to these objectives).

Between the fall of 2016 and the summer of 2021 UConn has offered 1137 unique online courses. (If the same course was taught more than once during the reporting period, it was still only counted once). For these courses, there are no required in-person meetings although there might be a mix of synchronous and asynchronous activities in the online environment. In the past five years, UConn also developed 16 new online graduate certificates, bringing the total to 35, and 6 online graduate degrees, with a total now of 15 available degree programs. Several graduate certificates are linked to professional Master's level degrees, allowing students to build their skill sets progressively. For example, the School of Engineering has instituted a Masters of Engineering degree geared towards professional engineers, with 15 different concentrations. Nine graduate certificates are offered and the 12 associated credits can be used towards the 30 credits of certain concentrations that are thematically linked, e.g., the Bridge Engineering certificate courses can be used towards the Structural Engineering concentration. This system offers professionals flexibility towards achieving their continuing education goals, in alignment with the UConn mission to support a skilled workforce for the State of Connecticut.

Example 2: UConn Hartford Campus

In 2017, UConn opened the UConn Hartford Campus, providing top-tier academic programs and hands-on learning opportunities. Program offerings include a four-year degree in business administration, business data analytics, English, financial management, human development and family sciences, individualized & interdisciplinary studies program, marketing, management, psychological sciences, social work, and urban and community studies, as well as master's degree programs in public administration, survey research, social work, and teaching through the Teacher Certification Program for College Graduates. The School of Social Work also

includes a nationally recognized doctoral program. The School of Business Graduate Learning Center offers part-time, full-time, and executive MBA programs, as well as three specialized MS programs in Business Analytics & Project Management, Financial Risk Management, and Human Resources Management.

Through ongoing partnerships with schools, businesses, government agencies, and neighborhood and national organizations, students have unique educational and community engagement opportunities in the metropolitan setting of Hartford, Connecticut's state capital. Here we provide some examples of the interconnection between UConn Hartford academic programs and the community at large.

The UConn Hartford Mortensen Scholarship for Community Collaboration connects UConn Hartford students to the rich educational resources of the City of Hartford by establishing a cohort of students committed to learning and working in the community. In their first year, Mortensen Scholars study together in a required, introductory 1-credit fall seminar that integrates classroom and service learning through Hartford-based internships. In the second year, eligible scholars mentor members of the new, first-year cohort and continue their involvement in community-based projects. UConn Hartford also offers a number of academic scholarships, including scholarships in the Humanities, Math, and Sociology (<https://hartford.uconn.edu/admissions/scholarships/>), as well as summer scholarships that significantly reduce the cost of enrolling in summer courses.

Other community engagement examples include collaboration between the UConn Hartford Library and the Hartford Public Library, which are co-located, to create synergy between students and the community. In addition, most campus related events (e.g., award ceremonies) are held in community offices and buildings. This brings students and their families into the community and enriches the synergistic relationship between UConn Hartford and the City of Hartford. The state historian of Connecticut, Walter Woodward, is also a History professor at the UConn Hartford Campus. Additionally, the Department of Public Policy's graduate program partners with many components of Connecticut state government. Many of the Public Policy students participate in internships at the State Capitol and can enroll in courses with adjunct faculty who work full time at the Capitol. Finally, the students in the School of Social Work are interwoven in the community via community partnerships and student internships.

Example 3: School of Nursing (SoN)

Over the past three years, the School of Nursing (SoN) systematically and through shared governance revised their undergraduate program outcomes and course learning objectives to integrate multiculturalism, diversity, inclusivity, and health equity. The SoN has been responding to the changing demands for nursing and requirements of the profession for several years at a range of program levels. For well over a decade there has been a need for more registered nurses in Connecticut and the country. To address this shortage initially, the SoN offered a Master's Entry into Nursing (MEIN) program, active from 2003 to 2011. But changing needs in the profession and requirements from employers led to the replacement of this program with the Certificate Entry into Nursing (CEIN/BS) program in 2012. The 12-month accelerated second-degree CEIN/BS program awards a second baccalaureate degree in nursing. The change from MEIN to CEIN/BS was created in response to the need of our constituents, including students and employers, for baccalaureate prepared nurses.

Significant growth in the SoN has occurred beyond the role of the entry-level BS program. The SoN has been focused on its graduate-level offerings to meet the needs of prospective students who are already in the profession. This has included changes in the modality of the master's program, which is now delivered online, better to meet the needs of working professionals seeking further qualifications, to give a greater geographic reach, and to provide certificate programs that develop skills in particular areas without the need for a full

master's curriculum. Because the role of Nurse Practitioners (NP) in healthcare has increased greatly in recent years the SoN has transitioned all its NP concentrations to online, which provides an opportunity for nurses across the US to earn their master's degree and become eligible to apply for national certification in the population-specific NP specialty. In addition, the Post-Graduate Advanced Practice Registered Nurse (APRN) certificate of each NP concentration was transitioned to online, allowing students with an advanced degree in nursing to pursue a new or additional population-focused NP concentration.

These changes have facilitated greater flexibility for working nurses to obtain an advanced degree while retaining program quality and outcomes (first-time national certification exam pass rates >95%). Further, the SoN's nationally top-ranked online Neonatal NP concentration of the master's program is 1 of only 36 in the US, serving a critical workforce need in preparing providers equipped to manage the care of critically ill infants and their families. The shift to online program delivery means that students can take this program and become eligible for licensure in their state or territory of residence (our online Professional Licensure or Certification interactive dashboard allows prospective students easily to identify whether the program will lead to licensure in their state: <https://cetl.uconn.edu/state-authorization/professional-licensure-or-certification/>). In addition, the Master's track directors of each concentration work intensively with potential applicants who reside outside of the state of CT to ensure that their state requirements for eligibility to apply for licensure can be met. The Doctor of Nursing Practice (DNP) program went fully online to allow working nurses across specialties to gain knowledge and skills in healthcare systems, policy, and informatics to lead organizational change for improving health equity and outcomes across populations. Finally, the SoN revised the PhD curriculum to strengthen the development of nurse scientists prepared to advance the philosophical and theoretical bases of nursing, utilize cutting-edge quantitative and qualitative methods to generate new knowledge, and provide distinguished leadership in the resolution of significant health care issues. The SoN's PhD program is one of the largest in the state and addresses the problem of nurse faculty shortages across the state of CT and the nation.

Example 4: College of Agriculture, Health, and Natural Resources (CAHNR)

Responding to a need for healthcare professionals, all four years of the Allied Health Sciences (AHS) major can now be completed at the Waterbury regional campus. Two AHS faculty have been hired and are working to instruct and advise AHS students in Waterbury, serving a community with a large population of place-bound students. Experiential learning for AH students at St Mary's includes patient care volunteering, job shadowing, and volunteering in COVID testing and vaccine clinics.

Additionally, a new major in Urban Forestry and Arboriculture (UFA) has been created in the two-year Associate of Applied Science program in the Ratcliffe Hicks School of Agriculture, which is part of CAHNR. This major, offered by the Natural Resources and the Environment Department, was created in response to state and regional industry needs in arboriculture and urban forestry. The industry has partnered with CAHNR to provide both financial and experiential support.

Finally, the Exercise Science major in the Department of Kinesiology changed from a Junior-entering major to a Freshman-entering major, requiring curricular and advising modifications. This major is selected by students planning careers in Athletic Training or Physical Therapy and other professions. This offering for incoming students currently has 142 students.

General Education

The current General Education curriculum has been in its present form for a decade and a half. Its genesis was the Taskforce on General Education Report of 2000, which launched a transformative faculty-led initiative aimed at creating a strong undergraduate curriculum across the university. This initiative was completed and approved in 2004 for the 2005-2006 academic year. As set out in Senate By-Laws, Rules, the curriculum consists of four content areas (Arts and Humanities; Social Sciences; Science and Technology; Diversity and Multiculturalism) and four competencies (Writing, Quantitative Skills, Second Language Proficiency, and Information Literacy) along with a later addition, Environmental Literacy.

A Task Force was convened in the 2015-2016 academic year, following a charge by the University Senate Executive Committee to the Senate Curricula and Courses Committee, to conduct an in-depth assessment of the university's current General Education system. On December 5, 2016, the Senate charged the Curricula and Courses Committee to act on the report's recommendations by: 1) Doing a better job of communicating the values and the importance of General Education to all constituencies involved, including students, faculty and advisors; 2) Developing a single landing site webpage devoted to general education; 3) Restating the broad goals of General Education with clearer and more forceful language; 4) Investigating further the possibility of changing the General Education requirements; 5) Seeking ways to address students' desire for training in life skills, while clearly distinguishing such training from the mission of general education. In the resolution, the Senate also urged the university to: 1) Establish a governing body for assessment at the university level; 2) Provide additional support to faculty who teach General Education courses, including TA support for large lectures and resources on how to teach General Education courses.

From 2017-2019, the Delta Gen Ed Task Force, empaneled by the Senate, considered the General Education curriculum and how its purpose is communicated. Questions considered were, "How might our core undergraduate curriculum prepare students for leadership and global citizenship? How might we enable our students to enter society and their professions with an ability to make connections between their expertise and the experiences and knowledge of others? Can we also inspire a sense of moral, ethical, and socially responsibility?" In April 2019 the Senate accepted the DeltaGenEd Task Force report and its vision for a new curriculum and empaneled a Delta2GenEd Task Force to refine components of the proposed curriculum. The Delta2GE Task Force engaged in a collaborative process among UConn faculty, staff, and students to refine the undergraduate general education curriculum as the [Core Curriculum for Leadership and Global Citizenship](#), which provides breadth of education through immersion in six Topics of Inquiry (four of which can also be thought of as "ways of knowing": empirical; aesthetic and innovative; ethical; and cultural; and two of which were considered crucial for students to learn how to engage in global leadership and citizenship: justice, equity, and inclusion; environmental literacy).

Another component is an integrative learning experience that students can fulfill in a variety of ways and that is linked with the Life Transformative Education initiative. The integrative experience fosters synthesis of knowledge from a variety of disciplines in curricular and/or co-curricular/extracurricular activities. The Integrative Experience promotes thinking within or across disciplines to generate original ideas and to find new ways of perception and expression. The goal is to develop capacity and reinforce students' abilities to produce new knowledge and make connections that promote innovation and problem-solving in societal and industrial practices.

The three competencies—Writing, Quantitative, and Second Language—remain in place but are being updated to account for new developments since their last implementation. Information, Digital, and Media Literacy and

public discourse and dialogue are intentionally and systematically infused throughout the curriculum. More important than any specific content, the Core Curriculum for Leadership and Global Citizenship prepares graduates to be lifelong learners, leaders, and global citizens who can make connections between their own livelihoods and expertise and the experiences and knowledge of others.

Graduate Degrees

Nearly one fourth of all students at UConn are graduate students. It is the Graduate School's mission to "lead innovation in graduate education at the University of Connecticut, foster a thriving community of graduate students and postdoctoral scholars, and provide flexible services for graduate students, faculty, and staff" (Strategic Plan).

In addition to the diverse offerings mentioned above, the Board of Trustees recently approved a new individualized PhD in Integrative Studies that will allow highly motivated students whose research interests cannot be captured within an existing field of study to design an individualized PhD degree program that matches their interests. Students who complete the individualized PhD in Integrative Studies will be conversant with major concepts and approaches in fields relevant to their research, they will have deep subject matter knowledge in at least two different fields of study, and the individualized program they design cannot be accommodated within any existing field of study at the University of Connecticut. Additionally, UConn has added 26 graduate certificate programs over the past five years. Many of the programs are interdisciplinary, as for example the Human Rights Certificate, which allows students to benefit from offerings in different programs and expand their expertise in fields that respond to demands in the workforce in Connecticut and beyond.

Transfer Credits

UConn is committed to providing access to transfer students and a robust educational experience as they progress toward their bachelor's degree. The Guaranteed Admission Program (GAP) assures community college students' admission to UConn if they earn a minimum 3.0 cumulative grade point average and earn an associate degree in an approved academic program; it accepts all of their general education credits. UConn is working with Connecticut community colleges (CTCCs) to identify programs of high impact for the state workforce that would benefit from inclusion in GAP.

In the fall of 2020, UConn welcomed 748 transfer students to the Storrs campus. 250 of these students, or 33.5%, were from the state's twelve community colleges, many of which enrolled in the GAP program. UConn works with these transfer students and their institutions to facilitate a smooth transition and provide specific information about transferability of individual courses from each of the 12 community colleges and other public and private institutions to UConn. By using online resources and working with staff at other universities and colleges, students can matriculate at UConn with the vast majority of their general education requirements completed.

A central set of [web-based resources for credit transfer](#) are found within the Office of Undergraduate Admissions. To ensure ease of transferability, an easy-to-use web-based tool has been developed to enable students to access and determine transferability of courses for planning purposes. Credit evaluations are delivered when a student is admitted to UConn. This process provides transparency to prospective students in advance of their transfer decisions.

Integrity Granting Credits

The University oversees integrity in the awarding of credits. Programs at the university are reviewed and evaluated routinely and at several levels. In addition, forty individual programs are independently accredited by their appropriate professional societies.

Information regarding courses is readily available in a variety of media. The Undergraduate and Graduate catalogues that govern degree program completion requirements and course offerings are available in both print and electronic versions at Storrs and the regional campuses, and in electronic versions for degree programs offered under the auspices of UConn Health. The Registrar and appropriate academic officers, including the Provost, Deans, and Department Heads, are responsible for ensuring that there are sufficient germane course offerings to allow students to graduate in a prescribed period of time, and our data support that this is happening.

Credit hour policy:

“The University of Connecticut, as mandated by the U.S. Department of Education and the New England Association of Schools and Colleges, and following 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 one semester or the equivalent number of hours of instructional and out of class work for shorter sessions (e.g. summer); 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.

Instruction and out of class work increase commensurately, for courses consisting of two, three, four, five or more credit hours.” <https://policy.uconn.edu/2012/08/22/credit-hour/>

Authenticating Students

Clear resources are available to support the authentication of students in online courses: eCampus [maintains a webpage](#) dedicated to the topic, with information for faculty on methods they can use for authenticating students when teaching online. Senate Bylaws were updated in fall 2020 to require that details of how students will be authenticated be included in any syllabus for a fully online course. For any regular online courses developed outside of the pandemic, eCampus works with faculty to create a student authentication plan for distance learning and encourages faculty to document this in their HuskyCT site so that it is available to students. These plans always include at least two methods for student authentication; usually logging in to HuskyCT with a student NetID and then at least one other method as listed on the eCampus website. Faculty are supported to integrate authentication into their course when working on the development of new online courses with eCampus. However, during the period during the pandemic in which most learning shifted online (particularly fall 2020 and spring 2021, when courses did not begin in-person and then migrated online as they had in spring 2020), faculty were required to use at least one method of authentication, which in most cases was logging on to HuskyCT using the unique student NetID.

Standard 5: Students

UConn enrolls a highly competitive and very diverse student body. Students are encouraged and afforded the opportunity to proceed to timely degree completion. Strong and increasing student services exist in academic enrichment and support, co-curricular programs and services and residential life have been integral to this success. The university provides support to its students at all degree levels and campuses.

Admissions

UConn seeks to attract a diverse student body and has established programs within Admissions to fulfill that objective. The Retention and Graduation Executive Committee was formed in the fall of 2020 and supports three key task forces – Research, Student Engagement, & Undergraduate Enrollment and Fiscal Services. Further, a Multicultural Enrollment Action Plan has been developed with the overarching goal of increasing the enrollment of undergraduate multicultural students (*racial and ethnic underrepresented populations, as defined by UConn (Black/African American, Hispanic/Latinx, Native American, Hawaiian/Pacific Islander)*) at UConn, through a comprehensive focus on enhancement of activities throughout the enrollment process.

For example, through UConn’s Institute for Student Success, 48% of newly enrolled students have joined Learning Communities (LCs). LCs provide cohorts of students opportunities to investigate areas of interest, based on their major or an interdisciplinary topic, through guided courses and co-curricular activities. UConn offers 20 residential and 14 non-residential learning communities for undergraduate students. One example, La Comunidad Intelectual (LCI), is a residential LC that recognizes and critically examines Caribbean and Latin American cultures, customs and traditions as they exist at UConn and beyond. LCs support the development of knowledgeable, responsible, engaged citizens in a culture of inquiry within a learner-centered university in a residential environment. LCs assist UConn students with their transition to academic life and provide a sense of place on a large campus. Students are also provided meaningful and sustained interactions with faculty, staff and student leaders. Finally, LCs provide an effective structure for curricular coherence, deeper learning, student success, persistence, and engagement.

Student Services & Co-Curricular Experiences

UConn provides numerous impactful programs to support students. The Institute for Student Success (ISS) recently secured \$1.8 million in grant funding to increase support services for students from traditionally underrepresented groups (with an emphasis on low income, first generation students). ISS has increased the number of students engaging in The Major Experience, a student-centered program dedicated to major exploration.

The Academic Achievement Center offers a variety of services to support student success, including supplemental instruction for key STEM courses, drop-in coaching, presentations and access to UConn Connects, a volunteer mentoring program including faculty, staff and students. The AAC also leads four initiatives for specific student groups: UConn First Gen, UConn Steminists, Campus Change (which serves students who move from one UConn campus to another during their time as undergraduates), and Become a Student Mentor. Peer

mentoring is a strong focus of AAC and First Year Programs, empowering students who serve as mentors and role models for their peers.

UConn is nationally recognized as a First Gen Forward institution by the Center for First-Generation Student Success in Washington, D.C. and as the lead institution of the Northeast Louis Stokes Alliance for Minority Participation, a program that supports undergraduates in STEM disciplines. In June, the School of Engineering announced the creation of the Vergnano Institute for Inclusion funded by a \$3 million gift from alumni Mark and Betsy Vergnano. The objectives of the institute are to promote diversity, equity and inclusion within engineering through scholarships, coaching, mentorship, training and other career development opportunities for underrepresented students.

ISS also supports Success 360!, a collaborative effort linking the offices of Financial Aid, Bursar, Dean of Students, Advising, First Year Programs, and the Registrar to assist students in resolving complex personal and financial issues, focusing in particular on at-risk, first-generation students.

The Office of Global Affairs has restructured the Education Abroad unit under the new title, Experiential Global Learning. The EGL unit will focus on hands-on and experience-based learning in their programs and will align all programming with the goals of the UConn Life Transformative Education initiative. EGL has also developed a robust assessment plan so that they can understand the impact of their programming for students. This will utilize pre- and post-programming focus groups, and will also use a control group of students who do not take part in EGL programming so that their responses in the second focus group (taking place at an equivalent period after the initial focus group as for the EGL participants) can be compared to EGL participants.

The Center for Student with Disabilities (CSD) provides a wide range of services to over 4,000 students across all campuses. The number of students registered with CSD increased from 1,872 in 2016 to 4,421 students in 2020-21, reflecting increases in students diagnosed with mental health and chronic health conditions.

UConn Student Health and Wellness (SHaW) provides medical, mental health, and health promotion services for the UConn student population. SHaW has overseen the development of Regional Campus Mental Health Services to address the variations in services and the unique needs of the regional campus student population. In addition, SHaW conducted a review of Mental Health and Wellness across all UConn campuses through the formation of the UConn Wellness Coalition. The Coalition is an interdisciplinary, university-wide network of students, staff, and faculty charged with creating a thriving, connected academic community that supports the full potential of every student. A part of the Coalition function is the support of the UConn JED Campus initiative, a national program using a comprehensive, public health approach and proven framework to enhance student well-being and to prevent substance use issues and suicide. Further, SHaW developed the Office of Health Equity and Access to Care to implement a strategy of health equity and culturally competent care. This Office will identify appropriate steps to support the overall health and emotional well-being of students of color and other minoritized students in order to optimize the impact of health services and programs that serve them. A full-time Director of Health Equity and Access to Care was hired to advance health equity, inclusion, and access to resources for underserved students at UConn. In addition, SHaW contracted with an external agency to conduct a strategic review and analysis of information and data pertinent to students' needs for, access to, and utilization of health, mental health, and wellness services on campus. Findings from this review, along with alternating annual surveys including the American College Health Association-National College Health Assessment (ACHA-NCHA), which is administered every other year, and The Healthy Minds Study, which is administered in the alternating years, are used to inform annual recommendations for how Student Health and

Wellness, and UConn overall, might respond to the findings to meet student needs better by improving awareness, access, information, and services.

The Dean of Students Office (DOSO) provides individual students with holistic support tailored to their unique needs. Staff in the DOSO provide drop-in hours to support individual students, allowing for access to resources and services on an as-needed basis. Additionally, the DOSO staff conduct outreach to students identified as potentially needing support in order to engage them and find solutions for challenges. Examples of the outreach initiatives include engaging those to students with temporary grades, individuals who have a balance due on their Bursar account, or working with Student Connectedness (e.g., Success 360!) to take a collaborative approach to managing outreach and support to students in need.

UConn provides a robust orientation program for all incoming students (first year and transfer students). As a part of the Orientation program staff from the Dean of Students Office and Regional Campus Student Services present a session that informs students of the support provided by the staff; support options presented include assistance with transition to UConn, personal issues impacting class engagement, struggles related to financial matters, homelessness, food insecurity, physical/sexual assault or harassing behavior, relationship challenges/domestic violence, extensions of incomplete grades, in-state tuition and/or financial support through emergency grants or loans.

As an example, one of the programs the Dean of Students Office has implemented, UConn Swipes, is an on-campus program to help address food insecurity. The UConn Swipes program provides students who are food insecure, and/or who are experiencing an emergency, access to healthy and well-balanced meals in campus dining halls. In addition, the Office of the Provost is currently working with staff on the regional campuses and researchers in UConn's Rudd Center for Food Policy to develop further strategies for addressing food security challenges that are distinctive to those campuses.

The Dean of Students Office is responsible for managing the university's Bias Incident Response. The Incident Response Team is a group of stakeholders from across the institution who meet weekly to identify trends in student behavior, review bias cases and identify approaches for support and response to impacted individuals. The IRT group provides leadership for programmatic and advising initiatives that mitigate risk and anticipate student developmental needs.

The Office of Student Financial Aid Services (OSFAS) awards need-based grant funds from various sources (federal, state, institutional) to eligible students with demonstrated financial need. Need-based grant funding includes the following programs: Federal Pell Grant, Federal Supplemental Educational Opportunity Grant (SEOG), Federal TEACH Grant, state scholarships and grants (including the Connecticut Governor's Scholarship), Tuition Waivers, UConn Grant and UConn Tuition Remission Grant. OSFAS distributes merit-based aid and coordinates various scholarship and non-need-based grant and award programs. UConn merit scholarships recognize outstanding academic achievement, independent of need.

Admitted students receive their College Financing Plan through the Student Administration system. This document is specific to each student (undergraduate, graduate, professional, law, medicine, and dental medicine) and provides the estimated cost of attendance by different categories, lists the financial aid offered to the student and net price after deducting gift aid (need based grants and scholarships). Further, though not a requirement through the US Department of Education until 2022, the OSFAS makes available to all students the Annual Student Loan Acknowledgement through the Student Administration system. In addition, through the [Future Huskies | Office of Student Financial Aid Services \(uconn.edu\)](https://uconn.edu/futurehuskies/office-of-student-financial-aid-services) future students to UConn can access the

[College Score Card](#) (maintained by the U. S. Department of Education). The score card provides information about students that have attended UConn including student loan information, repayment rates, default rates, monthly payment. The link is also available on the resources page within OSFAS website.

UConn follows all federal and state regulations regarding publicly available policies including the kinds of information kept in the permanent academic record of students as well as policies regarding the retention, safety and security, and disposal of records. The information-release policies respect the rights of individual privacy, the confidentiality of records, and the best interests of students and the institution. To that end, UConn has launched two initiatives to enable students to provide consent and share their academic records with designees more easily, through a [delegate access link and the FERPA pin code](#). Updated guidelines for advisors working remotely was quickly provided at the beginning of the pivot to remote learning in March 2020, and the University Privacy Officer, working with other stakeholders including ITS, has continued to provide relevant information to address student record issues arising from the pandemic (*e.g.*, recordings of classes).

The Student-Athlete Success Program (SASP) recognizes the unique needs of student-athletes at UConn and provides an individualized, holistic approach to supporting their efforts to reach their full potential academically, personally, and athletically during their time at UConn. Specifically, the SASP works collaboratively with the UConn community to assist our student-athletes as they transition into the university, progress through their coursework, receive their diplomas, and move on to succeed in graduate school, the work force, or to pursue professional athletic opportunities. Supporting the overall mission of the university, SASP helps every student-athlete grow intellectually in their effort toward earning a degree from UConn and becoming productive members of their communities. As such, SASP collaborates with academic advisors within the various schools or colleges to ensure students are working towards meeting university, graduation and NCAA requirements and with the Office of the Registrar and Office of Athletics Compliance to track the NCAA eligibility, retention and graduation of our students. To address an increase in the number of students dealing with various learning challenges as well as various mental health challenges, the Student-Athlete Academic Wellness team was instituted. This team (made up of members of SASP staff) meets monthly to discuss the current student-athlete caseload and discuss how to best support the students in a holistic manner.

UConn continually assesses the effectiveness of its efforts to achieve an equitable educational experience for all its students and the appropriateness and effectiveness of its student services to advance institutional purposes. In particular, the newly established role of Vice Provost for Faculty, Staff and Student Development along with the Office of Diversity and Inclusion is working to address some of the impacts of racism experienced by students holding minoritized identities and work toward more equitable educational experiences for all students.

In the spring of 2019 and winter of 2020, an interdisciplinary research team of faculty, staff, graduate, and undergraduate students at UConn engaged in a systematic evaluation of racial microaggression experiences of students of color across all campuses. Findings from this study yielded policy recommendations for faculty, staff, and students, including educational programming about racial microaggressions and trainings about how to reduce the impacts of racial microaggressions on hiring and student experiences in the classroom and across campus.

Further, in July of 2020 after the murders of Breonna Taylor and George Floyd and the public reckoning over anti-Black racism in the U.S, the African American Cultural Center at UConn held a virtual town hall. Two UConn students, Guymara Manigat and Wanjiku Gatheru, called attention to a one-credit course that had been introduced by UConn addressing the COVID crisis in the spring of 2020, and noted that there was no equivalent

one-credit course addressing anti-Black racism. As a result, UConn convened a team of three faculty of color (David Embrick, Sharde Davis, and Milagros Castillo-Montoya) to coordinate the development of a new one-credit online course on Anti-Black Racism. A total of 16 predominantly Black faculty members developed content modules examining history, law, sociology, political science, psychology, nutritional sciences, psychiatry, higher education, communication, Africana studies, and curriculum and instruction. In fall of 2020, 1,450 undergraduate students, 125 graduate students, and 625 staff and faculty, enrolled in the course. In Spring of 2021, 1,096 students, and 149 staff and faculty, enrolled in the course.

UConn has committed resources to ensure that undocumented students have the support and reassurance of being able to pursue their goals of higher education; from the admissions process to navigating through campus. There is an established board, the Undocumented Student Advisory Board, that includes the Vice President for Enrollment Management, the Chief Diversity Officer, General Counsel, the Director of the Office of Student Financial Aid, cultural center Directors, and members of the faculty and staff with expertise in the experiences of students holding undocumented status.

Standard 6: Teaching, Learning, and Scholarship

Faculty and Academic Staff

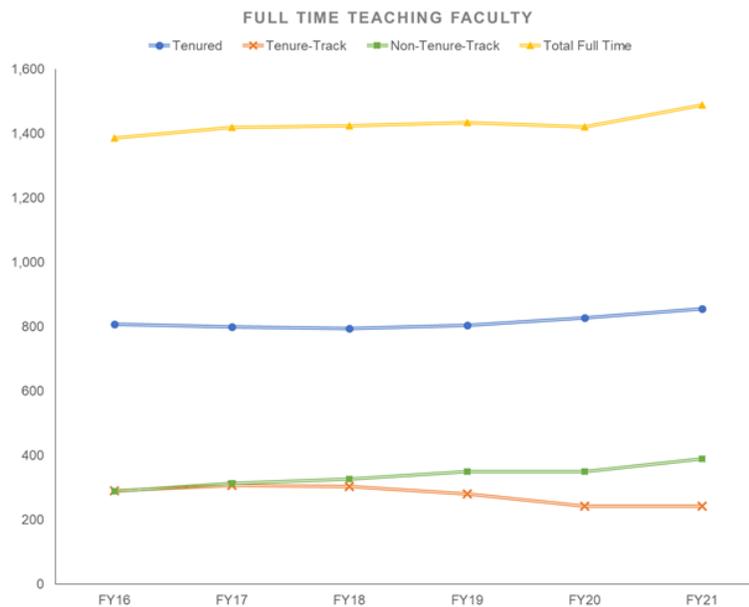


Figure 6.1: Trends in the number of full-time faculty by type of appointment and tenure status.

The faculty size in terms of full-time teaching faculty has been fairly constant since the 2016 report. A modest increase by 7.4% in Fall 2021 compared to Fall 2015 has offset the increase in total undergraduate enrollment by 4.4%, so that the student-to-faculty ratio has remained constant at 16 (Figure 6.1). The University has invested in full-time non-tenure track faculty, with the appointment of assistant/associate/full professor in residence (APIRs). The total number of APIRs has increased by 35% since 2015, making up 26% of the full-time faculty body, a net 5% increase. While this investment is correlated with a decrease in the number of new tenure-track faculty hired since 2016, it has allowed for maintaining a teaching and working load consistent with an R1

university, and for maintaining class sizes at manageable levels. APIRs, along with other types of non-tenure track faculty, such as clinical and extension faculty, have equal benefits, opportunities for long term employment, professional development and promotion, and participate in critical initiatives of the university such as the Taskforce for Life Transformative Education.

The faculty body continues to be highly qualified; ~90% of all full-time faculty hold a doctorate degree consistently since 2016; this does not include faculty members with non-doctorate terminal degrees such as Master of Fine Arts. Faculty turnover has been below 10% in any given year; it increased slightly from 6% in FY14 to 9% in FY20 due to a combination of increased retirements and departures. The rate decreased back to 6% in FY21, likely as a result of the pandemic. Significant work is currently under way to understand the drivers of faculty exits and how we can better support faculty retention. We are in our third year of administering the COACHE Faculty Retention & Exit survey, which will provide benchmarked data on tenure track faculty who left the University for comparable academic employment or who were provided retention offers (including preemptive retention). Results will be available in spring 2022; these will be used in conjunction with deans and others in leadership roles across the University to further improve faculty retention.

Salary and Benefits

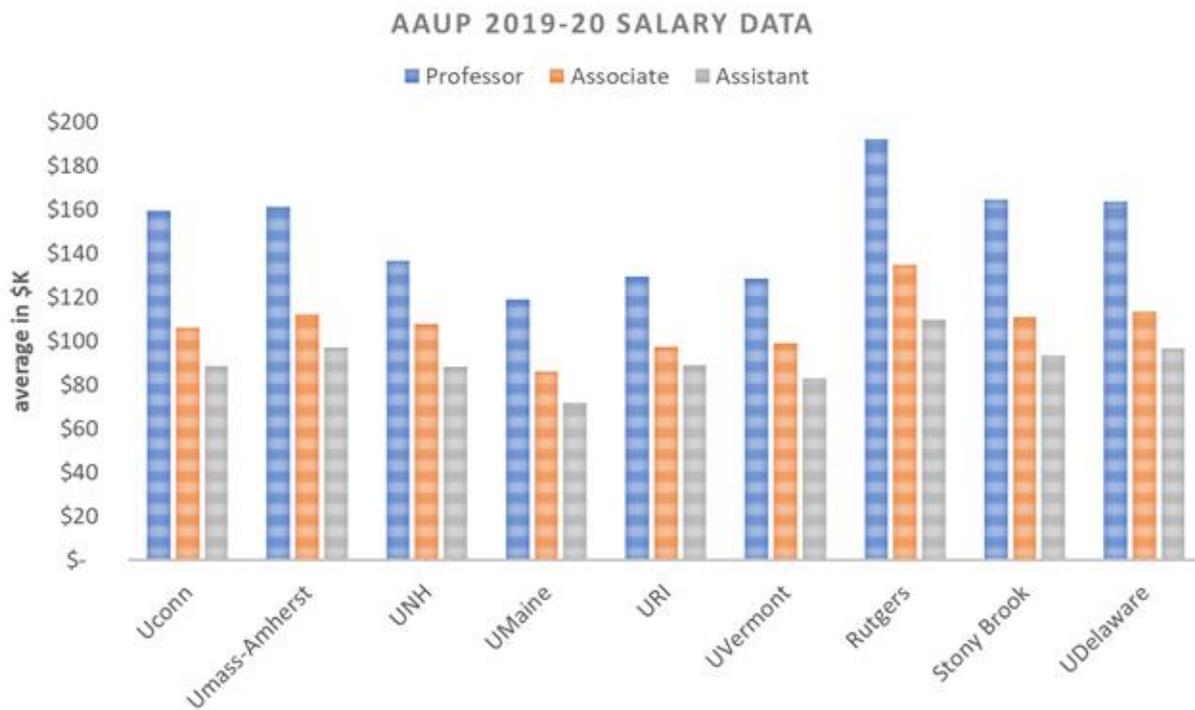


Figure 6.2: Comparison of average salaries by rank at UConn and public institutions in New England and selected peer institutions (data: AAUP 2019-20 salary survey).

Faculty salaries are negotiated upon hiring and are then subject to raises negotiated through a Collective Bargaining Agreement (CBA) between the university and the AAUP UConn chapter. The 2017 CBA included two consecutive raises of 5.5% in FY20 and FY21, providing a correction to market standards after four years without raises. In 2019-20, the average salaries at UConn at all ranks were competitive compared to other institutions in

New England and selected peer institutions (Figure 6.2). A General Fund of \$300,000 was established to provide the Provost with the ability to assist in faculty retention, make equity adjustments and recognize special achievements. Salary equity issues for different groups of faculty (women, minorities) are currently being examined by a Committee for Salary Equity specially convened between the Senate and the Office of the Provost in AY21 and AY22.

Benefits, also negotiated in the CBA, include tuition waiver for dependent children and spouses, tuition reimbursement for the members, health insurance, group life insurance, disability pay, access to pooled funds for travel, professional development and child care, and family/medical and voluntary leave programs. Benefits continue to be cited by faculty to be among the best aspects of working at UConn.

Workload

Academic Departments are authorized by the CBA to develop workload policies or to adopt School or College By-Laws instead. Workload is influenced by the type of appointment, the nature of the work, and generally includes research, teaching, and service. The university is currently developing a set of broad workload guidelines to ensure equity and fairness across all faculty and units.

The increase in the number of APIRs, whose workload typically includes teaching and service only, has resulted in a decrease in the proportion of credit hours taught by tenure and tenure-track faculty (Figure 6.3). While the total number of credit hours taught increased by 1.5% from AY 15-16 (599K) to AY 19-20 (608K), the share of credit hours taught by APIRs increased from 25% to 35%. A small decrease in the number of credit hours taught by adjuncts was also related to this trend.

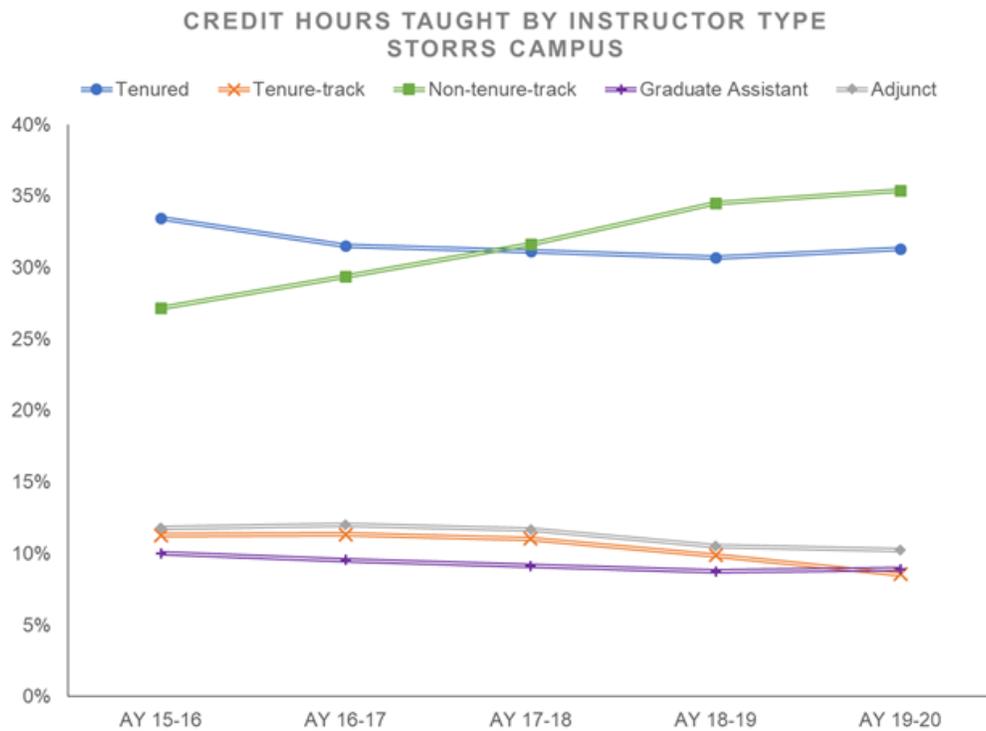


Figure 6.3: Percentage of credit hours taught by instructor type on Storrs campus

Promotion, Tenure, Reappointment

The AAUP and the University of Connecticut agreed in Article 31 of their 2017 collective bargaining agreement to establish a work group to discuss negotiable aspects, if any, of the university’s promotion, tenure, and reappointment (PTR) procedures. Changes included moving the midpoint review from the beginning of the 3rd year to the beginning of the 4th year, a requirement for an alternative teaching evaluation methods beyond the standardized Student Evaluation of Teaching (SET), and a new section in the form to detail non-traditional accomplishments. In addition, a separate promotion and reappointment form was created specifically for these non-tenure-track faculty and implemented in AY 2020-21. CIRE (clinical, in-residence, and extension) faculty now attend a separate informational forum on promotion and reappointment and are evaluated for promotion with specified criteria of performance in scholarship, teaching, and service.

In response to the pandemic, the university implemented a voluntary tenure clock extension of one year for all pre-tenure faculty in Spring 2020. The same tenure clock extension was offered to new faculty hired in the last academic year. In addition, SETs for the Spring 2020 semester are not included in the PTR dossier.

Teaching Evaluations and Assessment

Given the widely documented limitations of relying solely on Student Evaluations of Teaching (SET) to evaluate instructor effectiveness, the university now requires an alternative means of evaluation for PTR purposes. The alternative evaluation (called SET+) is not prescribed and instructors and departments can develop their own methodologies. A Director for Assessment of Teaching and Learning was hired by the Center of Excellence in Teaching and Learning (CETL) to assist departments and faculty with SET+ methodologies and a dedicated page is available in the CETL website. Current SET+ practices by different departments have been collected by a survey conducted by the Office of the Provost in Fall 2020, in an effort to document best practices and provide further guidance on implementation.

The traditional SETs implemented in the past two years showed that the pandemic and resulting effects on instructional modes did not have an adverse impact on student experience. Table 6.1 shows the average SET scores reported in all 2019 and Fall 2020 by course modality; average values actually increased for in person, hybrid and distance learning courses, with slight decreases for online and service learning courses. This reflects the substantial effort invested by the university in providing training and support for instructors and teaching assistants effectively to pivot to online or hybrid learning.

	In-Person		Online (WW)		Service Learning		Hybrid		Distance Learning (DL)		Split	
	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020
Semester	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020	Fall 2019	Fall 2020
Teaching	4.24	4.49	4.17	4.09	4.53	4.00	4.28	4.39	4.07	4.22	-	4.15
Course	3.99	4.31	3.93	3.88	4.29	4.00	4.11	4.18	4.00	4.02	-	3.96

Table 6.1: Average SET scores in Fall 2019 and Fall 2020 for different course types.

Professional Development

Professional Development opportunities are available to faculty and staff in diverse areas appropriate to their responsibilities. In recognition of the need to provide further mentoring and support to faculty and staff, the Office of the Provost was reorganized in Summer 2020 to create a position of Vice Provost for Faculty, Staff and Student Development, with a portfolio that includes faculty recruitment, retention and onboarding, faculty and staff professional development and recognitions, and student success and equity initiatives.

Since 2016, UConn has implemented the Learning at Work online platform, which integrates both mandatory training programs and training related to specific activities or responsibilities of faculty, graduate assistants, and staff (search committees, payroll, travel system). Additional diversity training is available and has been increasingly adopted by departments. The Department of Human Resources also offers specialized leadership development and customer service programs for staff members.

Faculty and staff have access to research- and teaching-specific professional development programs through the Office of the Vice President for Research (OVPR) and CETL, respectively. OVPR provides workshops and webinars on grant writing, including more focused workshops for CAREER and center proposals, consultation on large complex grants, and access to a resource library that contains handouts, slide decks, and videos from past training events. CETL offerings are described in the following section.

Teaching and Learning

Teaching Effectiveness

The Center for Excellence in Teaching and Learning (CETL) offers a large number of workshops and seminars every year. In AY 19-20 over 561 online seminars were offered with over 8,000 attendees, most related to topics associated with COVID and the shift to distance learning (see Figure 6.4 for participation rates over time). The existing strength of CETL staff related to online learning allowed a quick pivot to supporting large numbers of instructors within a short time frame. CETL’s eCampus online course development program includes a 1-week Preparing for Distance Education short course, followed by 4-6 months of content development under the supervision of an instructional designer. From AY 16-17 to AY 20-21 446 faculty were paid to participate in the program.

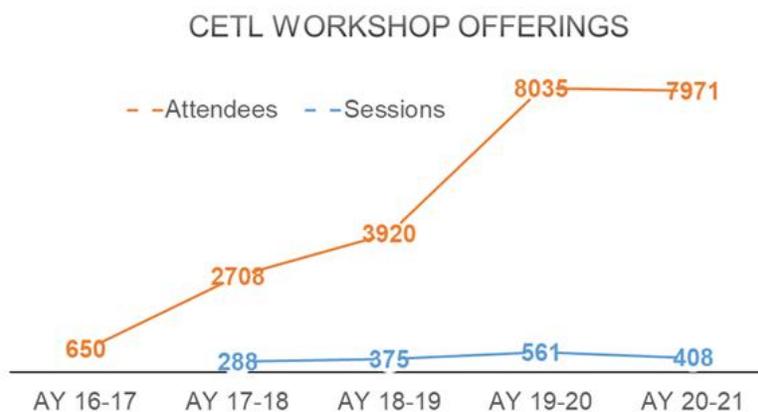


Figure 6.4: Number of workshops and corresponding attendees offered by CETL from AY16-17 to AY 20-21

Before the pandemic, CETL offered two programs to support creative pedagogical approaches in the classroom. The Large Course Design program aimed at implementing best practices in large enrollment courses. Three courses were supported in each of the following years, 2016, 2017 and 2019, including Physics, Chemistry, Biology, English, Engineering and Geology courses. The second program, the CETL mini-grant competition for teaching innovation, was open to all faculty across all campuses with grant awards ranging from \$500 to \$5000. Forty-two awards were made between 2016 and 2020.

Beyond CETL-led offerings, there are several other opportunities to enhance pedagogy, for example the Provost's competition to enhance General Education. In 2016-17 the maximum award was increased to \$7500 as a one-year potentially renewable grant. In AY 2020-21, the General Education Oversight Committee specifically solicited offering with a focus on five critical areas: online learning, environmental literacy, life-transformative education practices, public health and critical exploration of racism and colonialism.

UConn has launched a broader set of pedagogical initiatives on black anti-racism. A one-credit course that introduces participants to foundational history and concepts related to systemic and anti-Black racism was developed and offered both in Fall 2021 and Spring 2022. The fall enrollment alone included 1,450 undergraduate students, 125 graduate students and 625 faculty and staff. At the school/college level, the College for Liberal Arts and Sciences provided four grants of ~\$9,000 in AY 2020-21 to support anti-racist course and program development. The School of Engineering recently received a \$3M endowment to launch the Vergnano Institute for Inclusion in Fall 2021, which will support a variety of related workshops and programs for faculty, staff and students.

Teaching Assistant Training

Each year over 400 Teaching Assistants participate in CETL's TA Orientation. It is offered in August and January and graduate students from all Departments and Schools are welcome. The Teaching Assistant Orientation is designed to help students succeed in their TA role at UConn and introduce principles and practices of effective teaching. Each semester at least 10 teaching and learning workshops for Teaching Assistants are offered through CETL's GRAD 6000 program. Teaching Assistants are invited to participate in almost all CETL offerings, such as workshops, seminars, and teaching talks. Nearly 30% of all CETL workshop participants are graduate students. These graduate students fill over 800 session seats per year.

Educational Technologies

UConn Academic IT manages all hardware and software related to instruction, working closely together with CETL to identify critical needs and synergies with initiatives in pedagogy and faculty development. In 2016, a 5-year cycle was instituted to plan classroom technology updates. As of 2021, all 206 classrooms centrally scheduled in the Storrs campus have technology that is less than 5 years old; the same applies to 52 classrooms in the Stamford campus, 26 in Waterbury, 41 in Hartford and 25 at Avery Point. The annual upgrade budget increased from \$2.1M in FY17 to \$3.1M in FY2021, reflecting a substantial effort to provide classroom upgrades for distance learning purposes, incorporating video conferencing and lecture recording capabilities in a majority of the classrooms.

Academic IT also centrally manages software used for academic purposes; upgrades were implemented in Blackboard (called HuskyCT at UConn) better to manage course delivery and integrate the recording software Kaltura over the past five years. New mobile versions of HuskyCT for students and instructors were also launched. Academic IT places increased emphasis on accessible online content, with an integrated feature on HuskyCT to assess accessibility, a closed captioning service, and a wide variety of accessibility software available

through the Center for Students with Disabilities. The newest software to be implemented in Fall 2021 provides captions in several languages during a live lecture in real time, supporting international students, students with hearing loss, and neurodiverse students who process content in different ways.

Advising

UConn operates with a decentralized advising model; each school or college is led by a Director of Advising (or equivalent), who leads a team of qualified faculty and professional staff advisors. UConn Human Resources has recently implemented significant updates to employee position descriptions and career paths. As a result of these updates, staff/professional advisors have specific job descriptions, defined by their level of prior experience and qualifications. The Office of University Advising serves as a centralized administrative office to support and implement advising policies, resources, professional development and training, and assessment. It provides regular advisor professional developmental opportunities and support to all advisors on all UConn campuses, and is expanding their training and professional development offerings, including onboarding and training for new faculty advisors in Fall 2021. Additionally, other offices or departments on campus provide supplemental advising to students, such as the Institute for Student Success and the Honors Program.

Since 2016, Nexus was developed internally as a new UConn software platform to support advising, placing actionable data in the hands of the advising community to promote student retention and success. Tools include dashboards, appointment scheduling, note sharing, event registration, and a Study Group Tool feature.

Scholarship, Research and Creative Activity

The Office of the Vice President for Research Innovation and Entrepreneurship (renamed from Vice President for Research since 2019) coordinates all services related to research and technology commercialization. Beginning in FY15, the OVPR integrated the parallel operations at Storrs/Regionals and UConn Health for its five primary service units (Research Development, Sponsored Programs, Research Compliance, Research Finance, and Technology Commercialization Service), resulting in a consistent process for submitting grant proposals, tracking grant submissions, awards, and expenditures, policies and procedures for research compliance, and a reduction in institutional barriers for cross-campus collaborations.

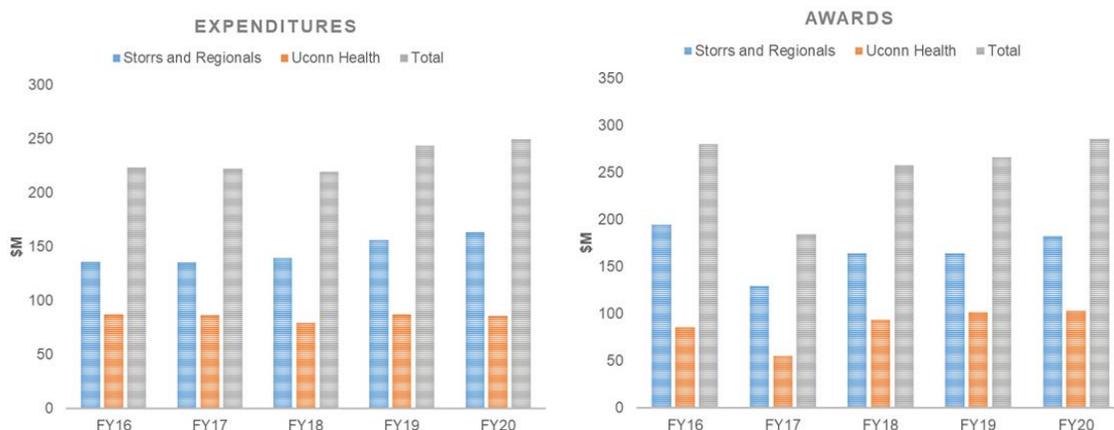


Figure 6.5: Research expenditures and awards reported by OVPR in FY2016-FY2020

Figure 6.5 shows the research expenditures and awards in the fiscal years 2016 through 2020. Research expenditures from the Storrs and regional campus increased by 20% in this time frame, from \$136M in FY16 to

\$164M in FY20. New awards of \$286M in total were the highest in UConn’s history according to OVPR data. Scholarship trends as reported by the Academic Analytics service also showed consistent increases in all categories from 2010 to 2015, followed by a constant output up to 2020. Given that the number of tenure-track faculty slightly decreased in the same period, the overall faculty productivity showed a net positive trend in this regard in the past five years.

Undergraduate Research

The Office of Undergraduate Research (OUR) is an institution-wide resource supporting undergraduate students’ scholarship, research, and creative activities. OUR offers advising, workshops, funding programs (over \$600K per year), networking opportunities, and research dissemination events. Academic departments provide complementary support, including research pipeline programs (e.g., the LEAP program in Physiology and Neurobiology), student funding programs (e.g., the Undergraduate Research and Innovation Program in Civil and Environmental Engineering), and course-based undergraduate research experiences (e.g., Microbe Hunters in Molecular and Cell Biology). Engagement in research, scholarship, and creative activity is embedded in academic expectations, such as Senior Design Projects in the School of Engineering, senior projects in the School of Fine Arts, and Honors theses completed by students in all majors in the Honors Program. According to the 2018 National Survey for Student Engagement, 46% of UConn seniors reported having engaged in research with faculty, exceeding the rate at comparison group institutions.

Appraisal and Projection

To better understand The COACHE Faculty Job Satisfaction survey was administered in spring 2020. Administration of the survey began prior to the onset of pandemic impacts.



Figure 6.6: Global rating of work aspects by all UConn faculty, COACHE Faculty Job Satisfaction Survey 2020

The most notable observation was an improvement in the satisfaction of the faculty body in most areas compared to the 2015 survey; out of 25 areas included in the survey, 17 areas improved, six remained the same and two showed slight deterioration (Figure 6.7). The increase in the rating of all governance areas (trust, shared sense of purpose, understanding the issues, adaptability and productivity) was particularly strong, elevating UConn from the bottom 30% of the 2015 cohort to the top 30-50% of the current cohort. Improvement in facilities and work resources was also perceived to be a strength, along with health and retirement benefits, and family policies. Mentoring showed improvement since 2015 but remains an area where additional attention is required. Faculty reported the quality and support of colleagues, and academic freedom as the best aspects of working at UConn, while compensation, lack of support of research, and too much service were most frequently selected as the worst aspects.

A small leadership committee has worked on disaggregating results of the survey, particularly where differences are apparent by demographic or career characteristics (*e.g.*, lower reported scores on climate or mentoring for under-represented minority, female, or non-tenure track faculty). All of the quantitative survey data is available on a SharePoint site for leadership at present, and over fall 2021 we will be working collaboratively with deans, Senate representatives, and other relevant stakeholders to roll out the survey results widely so plan for targeted improvements in relation to faculty work support. We will administer the survey in the next few years to evaluate the impact of ongoing work to improve faculty career satisfaction at UConn.

Thinking forward, UConn leadership convened two committees to examine the impacts and lessons learned from the pandemic and to forge a path for the future: the Future of Learning and the Future of Work committees. The Provost's Office and Human Resources partnered on the Future of Work committee to consider recommendations for professional staff re-entry at UConn from the COVID-19 pandemic, as well as consider more broadly if and how the nature of work at UConn will be changed following more than a year of primarily remote operations. The Future of Learning committee was charged to consider how we can use what we have learned from COVID to enhance our educational mission and to increase the close personal interactions between faculty and students that are a hallmark of UConn education.

Subcommittees to address various aspects of each area met throughout the Spring 2021 semester and submitted their final reports at the end of May. The full and consolidated reports of each committee were presented to the Provost and senior leadership over the summer, and we are now in the implementation phase. Full details of the [Future of Work committee report](#) is available online; committee recommendations on working arrangements have been used to guide the transition back to in-person work, and to structure how employees could request remote or hybrid schedules for the period from August through December 2021. These guidelines will continue to structure the implementation of longer-term policies on appropriate hybrid and remote work for some employees, in tandem with guidance from the State of Connecticut. The full [Future of Learning committee report](#) is also available online and will be used to guide efforts as we transition out of the pandemic.

Standard 7: Institutional Resources

Human Resources

Numbers of staff across the University have continued to grow incrementally over time to support the academic mission of the University, research activities, and student support. Staff at Storrs and regional campuses grew by 123 in total over the last three years, with growth distributed across different categories. Staff at the Health

Center grew by 371 in the same period, with growth concentrated in office and administrative support. Human Resources [maintains an extensive website](#) with information for employees on all employment-related policies, leaves, benefits, evaluations, and other employee supports. Through the pandemic, Human Resources have been nimble and responsive. They have organized extensive testing programs, vaccine clinics on campus, and managed new contingency policies and procedures relating to remote and hybrid work arrangements.

The University of Connecticut is a strong collective bargaining environment. Storrs and regional campus faculty and academic staff, along with athletic coaches, have been represented by an AAUP chapter since 1976; UConn Health Center faculty are represented by a chapter recognized in 2009; the Graduate Employee Union (GEU-UAW) was recognized in 2014; and most recently the Postdoctoral Research Associates Union was recognized in 2018 and had its first contract ratified by the state legislature in 2021. All unions are in regular discussion with the university administration about matters related to their members. Negotiations between the university and the AAUP failed to reach agreement on a new contract in spring 2021. The previous AAUP contract ended on June 30, 2021 an agreement was reached on July 17, 2021 to extend the expired contract for up to one year. Negotiations for a new AAUP contract will continue in the coming months. Collective bargaining contracts structure many aspects such as the handling of grievances and the structure of evaluations.

Financial Resources

Extensive information about the nature of our budget and financial process have already been covered in the special response provided earlier in this report. UConn's financial position is stable, sustained and strengthened by a supportive state government, and maintained through consistent, transparent fiscal practices. Work on a new strategic plan is fully engaged with the Office of Budget and Planning to insure that any new initiatives that emerge will have the appropriate financial resources upon which to draw. The Board of Trustees exercises appropriate oversight, meeting regularly with UConn's Chief Financial Officer and other members of the senior leadership team. In addition, the UConn Foundation is preparing to launch a major campaign, which is expected to have a significant impact on our endowment and the resources it makes available to the institution.

Information, Physical, and Technological Resources

As indicated above (p.31), Information Technology Services centrally manages and supports all institutional technological resources. Hardware is refreshed on a regular cycle, supported by an annual budget of over \$3M; software packages are supported, updated, supplemented, and, where called for, discontinued in accordance with the needs of faculty, staff, and students across the university.

UConn Library, headed by Dean Anne Langley, centrally manages the entire library system, which includes the physical library spaces on the Storrs and regional campuses, along with those located at the School of Law and the Health Center. It also manages the extensive and growing digital resources our faculty and students draw upon for their research and teaching. As costs for these subscription services continue to escalate, Dean Langley has been working extensively and in broad consultation with senior leadership, faculty, and students to formulate a digital resource strategy that is both fully responsive to institutional needs and as cost effective as possible.

UConn UPDC, the university's office for planning, design, and construction, is headed by Master Planner and Chief Architect, Laura Cruickshank, who serves on the president's senior leadership team and works closely with

the Office of the Provost to insure that both new construction and planned improvements and renovations appropriately serve the instructional and research needs of the university. As indicated earlier, UConn receives approximately \$200M annually in funds from state bonds to support its capital plan and these resources are carefully managed through the collaborative oversight of the President, Board of Trustees, Provost, CFO, and other members of senior leadership.

Standard 9: Integrity, Transparency, and Public Disclosure

Integrity

At the University of Connecticut, we are guided by our mission and by our public status. The university's operations are guided by various levels of policy. The [University Bylaws](#), governed by the Board of Trustees, provide a framework for operations of the University. University-level policies are also approved by the Board of Trustees and are all housed on a clear [policy website](#). Much academic policy is contained within the [Senate Bylaws](#), with revisions and updates developed through Senate committees. The Provost works collaboratively with the Senate Executive Committee to communicate updates in Senate Bylaws, and to remind faculty and staff of relevant annual requirements (*e.g.*, a reminder each semester about rules relating to reading days and final assessments). University Compliance oversees policies and supports the regular review of policy. In 2020 the University created a new position, University Policy Coordinator. Her role is to support specialist units (*e.g.*, Academic Affairs, Student Affairs) in the appropriate development and implementation of new and updated policies, according to their needs. The University Compliance office creates an online compliance training module each year, which is mandatory for all faculty and staff. Voluntary online FERPA training is available; to extend this a plan is currently under development for faculty and staff FERPA training. Compliance also utilizes a third-party vendor to support its [REPORTLINE tool](#), which allows anyone to make an anonymous report (or to identify themselves when reporting) related to any type of compliance or policy concern. Aggregated data is being collected on these reports and annually reported to the University Compliance Committee. Work is taking place to benchmark this data against other institutions and to ensure that it is used to address training or policy needs.

The creation of the Vice Provost for Strategic Initiatives role has also provided momentum to several crucial policy projects. A policy on policies in Academic Affairs is currently going through stakeholder review and will clearly establish the way that discussions about policy changes can be initiated by unit leaders, as well as establishing procedures for stakeholder review and policy promulgation. This vice provost is also leading a committee of faculty, staff, and student representatives from across the university to develop a unified policy and set of resources related to academic integrity. At present, these policies are distributed across several units: Community Standards for undergraduates, the Graduate School for graduate students, and the School of Law maintains their own policy. While this structure is effective in dealing with academic integrity issues, concerns have been raised that this fragmentation can lead to uncertainty by faculty as to how to handle issues as they arise. The aim of the academic integrity initiative is to ensure that faculty and students have a single set of resources to turn to when faced with issues or questions related to academic integrity. This initial policy initiative will be followed by work led by the Vice Provost for Faculty, Staff, and Student Development leading an implementation phase that focuses on building a stronger culture of academic integrity across the University.

The [Office of Institutional Equity](#) serves as a central resource for issues related to accessibility, employment equity, discrimination & harassment, and Title IX. A specific [website for Title IX](#) is maintained for the University. This includes information and the text of the Policy Against Discrimination, Harassment and Related Interpersonal Violence, which was updated in August 2020 and is available in Chinese, Polish, and Spanish translations. UConn also complies with Connecticut Public Act No. 14-11, “An Act Concerning Sexual Assault, Stalking and Intimate Partner Violence on Campus,” which contains specific provisions regarding campus resource teams. New employees at UConn are required to complete diversity training, and all new employees complete sexual harassment prevention training, with the latter repeated every three years. Further training is also provided for Title IX Coordinators, investigators, decision-makers, and any person who facilitates an informal resolution process in Title IX compliance and practices at UConn.

Transparency

The Undergraduate Catalog and the Graduate Catalog are each available fully online. They can be accessed as an interactive website or downloaded as a PDF. Each is updated annually, and an archive of past catalogs is kept that can be accessed through each of the current catalog websites. Details of all academic policies pertaining to each group of students (undergraduate and graduate) is maintained in each catalog. The School of Medicine, School of Dental Medicine, and School of Law all maintain specific policies and materials related to their students, which are all available for students in their own schools through their websites. The University maintains a [Student Consumer Information](#) website. This website provides a comprehensive guide to [submitting student complaints](#).

Public Disclosure

The Office of Student Financial Aid Services maintains clear information about the [cost of attendance](#), and a [net price calculator](#). Information about course offerings in each academic year is maintained on PeopleSoft, and is available for students via their NetID login. A [UConn Fact Sheet](#) is produced annually with key information about the University, and an archive of these is maintained and readily available. All [financial reports](#) are available online.

The [Office of Institutional Research](#) also maintains a range of publicly available data that is updated on an annual basis. This includes information about enrollment, diversity, retention & degrees, residency, and a common data set. The Office of Institutional Research also supports data requests across the University. Individual academic units maintain publicly available lists of their faculty, including their rank, and in most cases a list of their CV detailing their academic credentials. Individual programs also maintain information related to their program outcomes on their individual websites. Undergraduate outcomes by major are [available on the Career Service website](#). A recently passed state statute also requires us to work with the Connecticut Office of Higher Education (in partnership with NEBHE) to improve information available about our inventory of programs via an online tool called Credential Engine. Over the next 18 months this project will work on widening available information related to programs, including their cost, time to completion, and potential career outcomes.

As a public agency and state-supported institution of higher education, UConn is subject to the requirements of the Connecticut Freedom of Information Act (FOIA). C.G.S. § 1-200. The FOIA is a state law that promotes government transparency by providing access to the public records and meetings of public agencies in the state

of Connecticut. A [public records website](#) provides details on how to make requests, as well as a log of current and past requests and their status.

Reflective Essay on Educational Effectiveness (Standard 8)

The University of Connecticut, as the flagship public research University in our state, has a wide-ranging student body. This includes undergraduate (including a small number of associate degree students), graduate students, students at four regional campuses and Schools of Law and Medicine, and online students. We use a variety of data to follow the educational effectiveness for students in these programs, ranging from institutional-level data to that held in specific academic departments and programs. Much of our centralized data is handled by the Office of Institutional Research and Effectiveness (OIRE), with the Division of Enrollment Planning & Management partnering on centralized analysis of retention and graduation data. Our Center for Excellence in Teaching and Learning (CETL) also provides significant resources and support in areas related to programmatic-level assessment.

This section also includes our response to our area of special emphasis to our “success in ensuring [our] assessment of student learning is comprehensive and includes evidence of [our] use of the results for program improvement, with attention to the achievement of [our] various student cohorts.” Continual progress has been made at the institutional level in relation to the development of indirect measures of assessment of student learning. However, UConn has been weaker in terms of program-level assessment. As discussed later in detail, in spring 2021, an Assessment Committee was convened to develop an overall plan to more effectively to gather data on the assessment of student learning outcomes at an institutional level, and to ensure that useful feedback is provided to all academic units in relation to this data. Improving equity and inclusion in assessment is a cornerstone of our plans over the coming years. The Office of the Provost is leading these efforts, partnering with CETL and OIRE. One of the staff lines in CETL is now largely dedicated to supporting the development and assessment of student learning outcomes, and we expect staffing and other resources to continue to grow in this area over the next five years as we implement our assessment of student learning outcomes plan.

The Life-Transformative Education initiative (LTE) promises to shape the direction of student success and assessment over the coming years. LTE is centered on promoting student identity, agency, and purpose. Through the past two academic years, the LTE initiative has been examining better ways to embed LTE for all students across the university. As we move forward with new general education requirements in the short term and look to other routes to institutionally embed LTE, we expect that this will help frame new measures for student success, and will also provide us with areas in which we wish to focus assessment of student learning.

Retention & Graduation Rates

The University of Connecticut is one of the best in the nation compared to other public R1 institutions with regard to retention and graduation rates of undergraduate students. We monitor this data at an institutional level and as it relates to all campuses and by student demographics. All retention and graduation data discussed here relates to students who attend our Storrs or regional campuses. Retention and graduation data are examined in a number of ways internally. Our Retention and Graduation (R&G) Task Force has several sub-committees dealing with specific issues related to R&G concerns, including making better available detailed data

for units across the university (discussed later in this section). In April each year the Division of Enrollment Planning and Management submits a detailed report on student success to the University Senate, which includes a range of R&G metrics, analysis of this data, and a summary of the work of the R&G Task Force. This means that this information is widely available to all faculty members and all academic units, and [is publicly available](#).

Table 8.1 illustrates some summary statistics related to retention and graduation rates of students at Storrs (our main campus, consisting of 78% of our undergraduate population). With our four-year graduation rate ranking UConn as 7th among public universities, average time to degree of 4.2 years ranking 6th in the US among public universities, and measures for first-year retention and six-year graduation ranking us within the top 20 US public institutions on these measures, we are proud of our accomplishments. Our retention and graduation rates provide a significant metric of student success at an institutional level.

	UConn	Rank (US Publics)
First Year Retention	93%	16
Four Year Graduation	73%	7
Six Year Graduation	85%	18
Average Time to Degree	4.2 years	6

Table 8.1: Retention and graduation rates (Storrs campus only) with rankings relative to other US public universities

However, these retention and graduation rates become more complicated when all regional campuses are included and when race and ethnicity data is included. On the Storrs campus alone, our strong retention and graduation rates overall mask significant gaps between White and minoritized students. Table 8.2 illustrates these gaps by ethnicity (on the Storrs campus alone), with the most significant gaps among Hispanic/LatinX and African American students. Although these gaps shrank in AY20 vs. AY19, continuing to narrow and ultimately eliminate these gaps is an institutional focus of overall R&G efforts.

Storrs Campus - Retention and Graduation Rates by Race/Ethnicity											
Rates (%)	First Year Class	Asian American	African American	Hispanic American	Native American ²	Native Hawaiian/Other Pacific Islander ²	Two or More Races	All Minority ¹	Internat'l	White ³	Total
Retention											
One Year	Fall 2019	94	92	93	*	*	92	93	90	94	93
Two Year	Fall 2018	94	82	85	*	*	93	88	79	91	88
Three Year	Fall 2017	90	79	86	*	*	79	85	77	89	86
Graduation											
Four Year	Fall 2016	73	60	66	*	*	62	67	72	79	74
Five Year	Fall 2015	85	74	72	80	*	74	78	79	84	82
Six Year	Fall 2014	83	75	75	*	*	77	78	79	86	83

¹ Minority includes Asian American, African American, Hispanic American, Native American, and beginning with Fall 2010 first year class also includes Native Hawaiian/Other Pacific Islander and Two or More Races.

² Entering first year classes of Native Americans and Native Hawaiian/Other Pacific Islanders have less than 10 students. (*)

³ White category includes self-reported white, other, and "refused to indicate".

Table 8.2: Retention and graduation rates (Storrs campus only), with these rates shown according to race and ethnicity of students.

Further differences are seen when the regional campus data are examined. Students entering these campuses are truly different cohorts, with different educational objectives and pathways than our traditional first year students in Storrs. Therefore, institutionally we try to avoid straightforward benchmarking of R&G data at the regional campuses against that of Storrs undergraduates. However, when we look at regional campus data (an aggregate of data for our four regional campuses is shown in table 8.3.a and 8.3.b), we can see that first year retention rates fall over 10 percentage points below the comparable statistic for students at Storrs. Further differences are seen in outcomes for students who self-identify on binary gender fields. Six-year graduation rates for the class entering in fall 2014 were six percentage points higher for female (86% six-year graduation rate) compared to male (80% six-year graduation rate). The three-year retention rate was also six percentage points different between female (89%) and male (83%) students for the class entering in 2017.

Total Regional Campuses				
First Year Class	1 Year Retention	2 Year Retention	3 Year Retention	Graduated in 6 Years
Fall 2019	82			
Fall 2018	83	72		
Fall 2017	82	72	68	
Fall 2016	84	74	70	
Fall 2015	85	73	68	
Fall 2014	85	75	70	62
Fall 2013	86	75	70	63
Fall 2012	83	73	68	63
Fall 2011	83	72	67	61
Fall 2010	81	69	65	58

Total Regional Campuses - Minority ¹				
First Year Class	1 Year Retention (%)	2 Year Retention (%)	3 Year Retention (%)	Graduated in 6 Years (%)
Fall 2019	83			
Fall 2018	82	72		
Fall 2017	83	72	68	
Fall 2016	83	73	68	
Fall 2015	87	75	70	
Fall 2014	85	75	71	61
Fall 2013	84	72	67	59
Fall 2012	84	74	70	64
Fall 2011	86	75	68	61
Fall 2010	80	66	62	52

¹ Minority includes Asian American, African American, Hispanic American, Native American, and beginning with Fall 2010 first year class also includes Native Hawaiian/Other Pacific Islander and Two or More Races.

Table 8.3.a (left): Aggregated regional campus retention and graduation rates

Table 8.4.b (right): Aggregated regional campus retention and graduation rates, minority students only

Rates for transfers, while not as high as Storrs first year students, continue to outpace the national averages of entering first year students. Nationally, according to the National Student Clearinghouse (NSC), students who begin at a four-year public university, graduate with a bachelor's degree at a six year rate of 67.4%, UConn's

transfer students graduate at a rate of approximately 80%. NSC data illustrates that students who begin at a community college graduate with a bachelor's degree at a six year rate of 17%, where UConn's rate for CTCC transfers across all campuses is 79%.³

Retention & Graduation Task Force

A task force oversees research and initiatives related to retention and graduation issues. In the past five years, this task force produced a report on high-impact practices at UConn and developed a strategic plan (finalized in 2019) to guide work over the next five years. The task force is led by an executive committee that draws together Enrollment Planning & Management, the Office of the Provost, Student Affairs, the Institute for Student Success, the Office for Institutional Research, and the Office for Diversity and Inclusion. Working groups, guided by the executive committee focus on research, student engagement, and undergraduate enrollment & fiscal services.

The research group has been developing routes for better accessing specific data related to retention and graduation so that leaders across UConn can address issues within their units. The R&G Leadership Dashboard (see Figure 8.1) allows deans, regional campus directors, and other leaders at the university to have easy access to data related to retention and graduation rates within their units, which they can disaggregate by various characteristics. This supports the ability of these leaders to engage with this data in meaningful ways and to develop unit-level plans to improve overall outcomes and to address achievement gaps. This group is also working on active projects to establish predictive retention and student success models that would then be available to advisors and others on campus to target support for students.

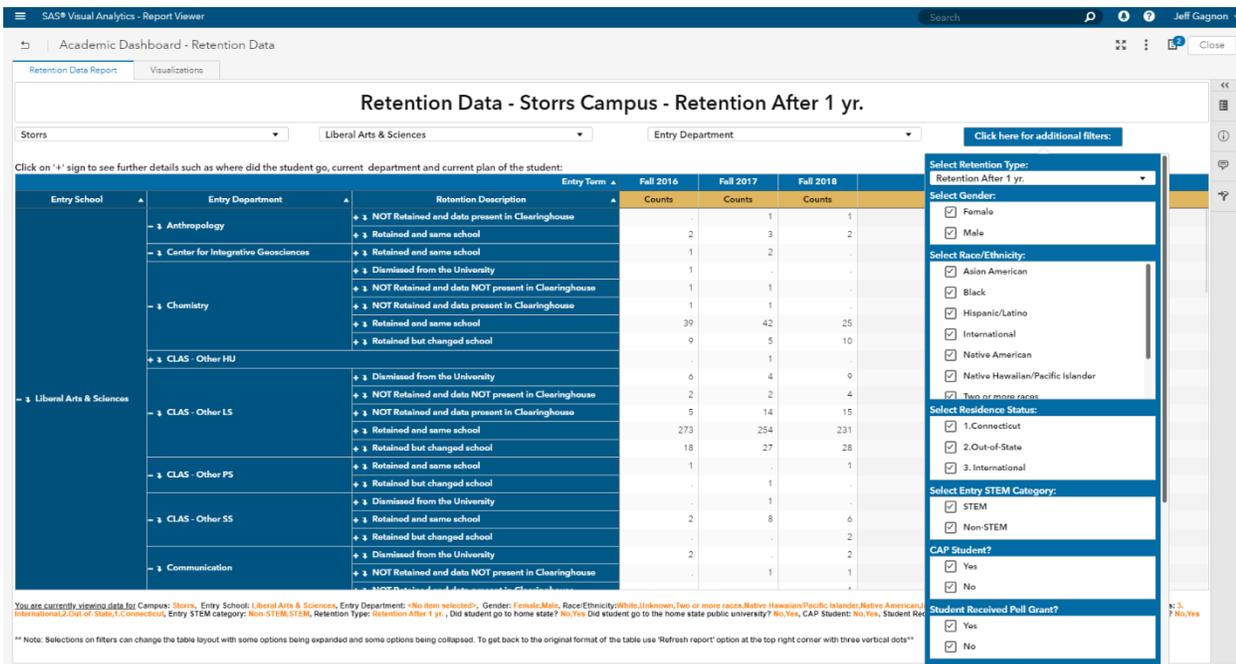


Figure 8.1: R&G Leadership Dashboard screenshot.

³ Source: Completing College: National & State Report (Signature Report No. 19, December 2020). Herndon, VA: National Student Clearinghouse Research Center.

The student success group focuses on integrating R&G work with the wider institutional life-transformative education (LTE) initiative (discussed later in more detail). In the coming academic year this group plans to analyze data available on NEXUS (our internal advising platform) and other data related to advising and mentoring to try and understand a) the relationship between staff advising loads and student success, and b) the degree to which formalized mentorship programs, visible in NEXUS, support student success. This data analysis will be used to help shape elements of the LTE initiative that will better support effective advising and mentoring for undergraduate students (graduate students will be a later focus). The data analysis from the R&G student success group will allow us to understand better how we can target programming and resources to the greatest areas of student need, to have the greatest impact.

The third group under the R&G task force relates to undergraduate enrollment and fiscal services. This group has been focused on identifying students who are eligible or nearly eligible for graduation in an effort to identify possible barriers and to enhance outreach and referral measures to amplify completion and graduation rates. From examining some populations of students, this group has started to implement recommendations such as a change to language in the graduation letter that adds a sentence to encourage students who are experiencing any difficulties (unrelated to the academic graduation requirements outlined in the letter) to contact the Dean of Students Office for assistance. The Dean of Students Office will then be able to refer students as appropriate or work with the students to address their difficulties. The group also recommended to the Office of the Registrar that they expand the period of time in which the office communicates with active students who applied for graduation but have not completed all requirements from three semesters beyond the intended graduation date to four semesters. Over the coming years they will continue to try and implement these types of changes that may be able to better help students graduate.

Over the next few years, efforts in relation to R&G will be increasingly focused on understanding what drives the differences in outcomes that we see associated with demographics, and then using a research-informed lens to target interventions to try to close these gaps. This targeted approach will sit alongside our wider efforts to continue to improve retention and graduation rates, such as ongoing improvements on our NEXUS platform and the implementation of the LTE initiative. We anticipate that these projects will allow us to continue to see modest gains in our overall R&G rates, but more importantly that they will support closing achievement gaps.

Assessment of Student Learning Outcomes

As detailed in our Inventory of Educational Effectiveness Indicators, we have some discrepancies in the level to which programs are able to articulate student learning outcomes and the degree to which these are assessed. Until this point, the primary mechanism for evaluating learning outcomes in academic units that do not have specialized or program accreditation is through our internal academic program review process. Each academic unit without specialized accreditation is required to go through a review every 8-10 years. As part of this evaluation, information on the assessment of student learning is included in each self-study produced by an academic unit. Overall, these reviews evaluate research strengths, resources, student outcomes, and other measures of departments and programs, they allow for the identification of any major issues across all programs within an academic unit. Once self-study reports are prepared, an external team is invited to visit campus and evaluate the academic unit, with responses reviewed by academic deans and the provost.

Within each self-study report, academic units are required to provide information on how undergraduate courses in the major contribute to its student learning outcomes, data on length of time to graduation and

retention rates, and indicators that the unit uses to monitor the success of its graduates and to compare these with students nationwide. Examples of assessment data included in recent self-studies include, for instance:

- The Department of Animal Science (self-study submitted in 2020) reported that the metrics they use to measure student success include the fact that the majority of undergraduates complete their BS degree in 4 to 4.2 years and their AAS in 2.0 to 2.2 years, despite significant growth in student numbers from 2001 (>250 BS enrollments) to 2019 (390 BS enrollments). Undergraduate departmental retention rates are ~80% from first to second year. The department also measures student success of graduates by rates of matriculation and graduation from veterinary and graduate programs.
- The Urban and Community Studies program (self-study submitted in 2020) has clearly developed student learning outcomes tied to a core introductory course (Introduction to Urban and Community Studies, URBN 2000), and a capstone experience (Understanding Your community, URBN 4000). Overall grades for each course are used as an indicator of whether students have successfully learned key outcomes embedded in each course with high pass rates across both courses. A survey of alumni and students to pinpoint career outcomes and aspirations was used in conjunction with disciplinary knowledge to develop the learning outcomes embedded in the program.
- The Department of Communication Studies (self-study submitted in 2019) has learning outcomes for the major that draw on National Communication Association Guidelines. All courses in communication are required to have clearly stated, actionable learning objectives. Eventual student outcomes are then tracked through post-graduation data (from the [First Destinations Survey](#), which provides graduate outcomes). From the Class of 2017 outcomes data – the most recent available at the time of the self-study—graduates in Communication had an 89.5% “favorable outcomes rate.”

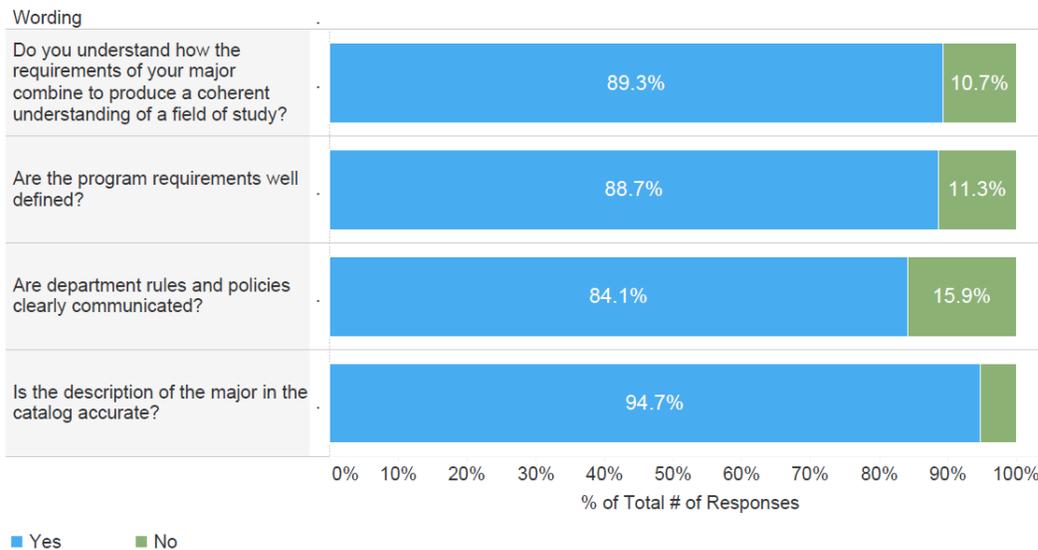


Figure 8.2: Percentage of respondents selecting answer in response to the prompt "Please answer the following questions about your major" Source: Undergraduate SERU survey data, spring 2021.

These self-studies do, therefore, require that departments reflect on assessing student learning within their programs and each academic unit uses these to direct program improvements. However, they are varied in the level to which student learning outcomes are tied to direct assessment data, and they have not, to this point,

been used to promote regular assessment and reflection practices within individual units. It should be noted that the guidelines for these reviews are being updated, and there will be an explicit requirement for assessment data to be included with discussion of how this will have been used for continuous improvement, in reports created at least three years into the implementation of our assessment plan.

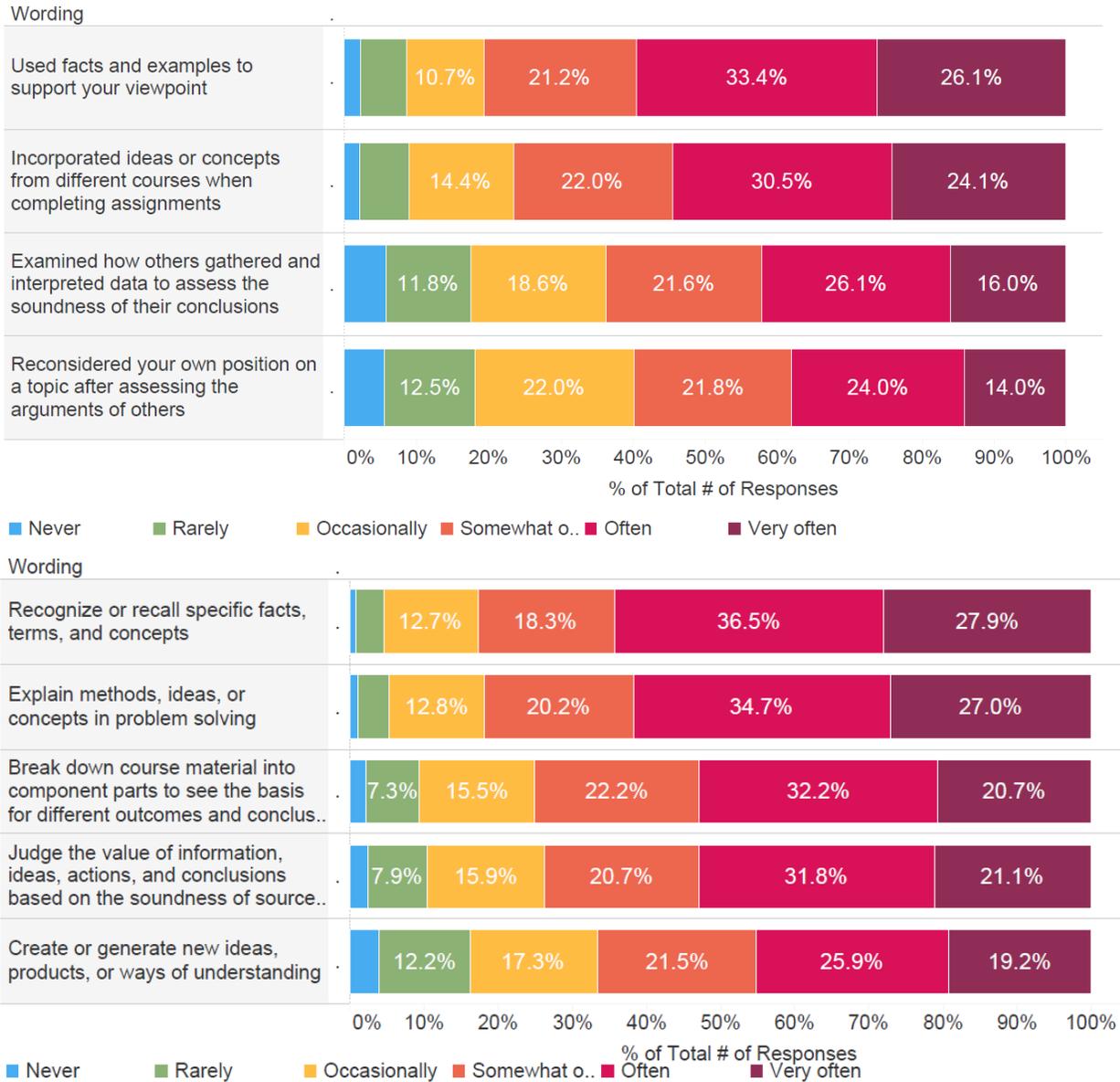


Figure 8.3: Percentage of respondents selecting answer in response to the prompt "Thinking back over your coursework in your major this academic year, how often did you do each of the following?" Source: Undergraduate SERU survey data, spring 2021.

In addition to the program self-studies, institutional data provides measures of the fact that programs are succeeding in communicating to students the broad learning outcomes from their programs and developing the analytical skills of students through the material they teach. Figure 8.2 illustrates some data from the undergraduate Student Experience in the Research University (hereafter SERU) survey. In this, 88.7% of

undergraduate students in the SERU survey (administered in spring 2021) answered “yes” to the question, “Are the program requirements well defined.” A slightly higher 89.3% of these students answered “yes” to the question of “Do you understand how the requirements of your major come together to create a coherent plan of study?” When prompted on types of learning outcomes from coursework in their major, responses support the fact that most students are engaged in higher-level learning outcomes across their undergraduate studies. For example, 63.7% of undergraduate students reported that in the last year their coursework had somewhat often, often, or very often “examined how others gathered and interpreted data to assess the soundness of their conclusions.” And 66.6% of students had found that their major coursework had somewhat often, often, or very often “created or generated new ideas, products, or ways of understanding” (see Figure 8.3). These findings support the fact that the loose infrastructure we have had in place with specific regard to assessment of learning outcomes and has still provided students with a clear framework of what they are learning and the parameters in which they can apply this learning.

UConn Assessment Committee and Five-Year Assessment Plan

Although our current approach of embedding the evaluation of the assessment of student learning outcomes in the academic review process ensures that all programs are engaging in some form of evaluation of student learning outcomes, we have not had a process for more systematic review of the assessment of learning outcomes on a regular basis across all programs. Institutionally, this relates back to the ultimately failed implementation of the OATS (Online Assessment Tracking System) first implemented in 2006, which was decommissioned in 2012 having had a largely negative reaction from faculty who used it. At the time this system was implemented, the University also had a senior staff line dedicated to overseeing the assessment of student learning outcomes. With the abandonment of OATS, this staff line was not replaced. Since this point, oversight and support for assessment of learning outcomes has remained somewhat dispersed. OIRE provide a range of data to academic units, and CETL provides support for academic programs working on instructional design and assessment activities. But by fall of 2020 it was clear that we needed a more systematic approach to assessment of student learning outcomes. Our approach needed to be developed as a collaborative effort between faculty and relevant academic staff so that it would have the support of relevant stakeholders, and so that we could ensure that the final plan was actionable and effective.

An Assessment Working Group was convened in spring 2021. This was a short-term convening with the charge to address programmatic assessment of student learning outcomes as identified in the Standards for Accreditation. The working group aimed to; a) evaluate the current state of assessment of student learning outcomes at the programmatic level, and b) produce a roadmap for improving assessment of student learning outcomes over the next five years.

The working group focused on how we might develop a culture of assessment at UConn, to establish how each program would have learning outcomes appropriate for their field and the mission of the University, and to ensure that the assessment of whether students meet these learning goals is equitable and effective. Within each program, we wanted to ensure that we are engaged in a process of reflecting on the assessment of learning outcomes for the purpose of continuous quality improvement to better serve our students.

The main outcome of this working group was to produce a five-year plan for assessment of student learning outcomes at UConn, with the intention of mapping out how we will engage with assessment between now and our next full NECHE self-study. The group conducted research by examining practices at peer and aspirant institutions, including interviewing several faculty, staff, and senior leaders at these institutions. This helped us

investigate best practices that we might follow and helped us to pick up lessons from these other institutions in relation to potential missteps. One of the key issues that we gathered from this process was the importance of a well-structured feedback loop.

The working group was also clear that principles of improving equity and inclusion in student learning had to be embedded in our processes. We established that the [six guiding principles outlined by the National Institute for Learning Outcomes Assessment](#) should serve as a basis for evaluating equity and inclusion in assessment at UConn. Faculty should be mindful of addressing how teaching, learning, and assessment can work to be equitable and inclusive for students according to socio-economic status, racial or ethnic identities, gender identities, or other dimensions of equity identified by programs. At UConn, we seek to ensure equity through fair treatment, equality of opportunity, and fairness in access to the curriculum and program and to ensure inclusion through a culture of belonging for all students by actively ensuring that programs include diverse perspectives, schools of thought, and voices and that they are respectfully heard.

While all programs at present do have student learning outcomes, several programs have not revised these for several years, and there are varying degrees to which these are engaged with in regular curricular planning processes. Many programs do not have their learning outcomes easily available to students. Our five-year plan requires that all programs must identify meaningful and measurable student learning outcomes. All academic programs at UConn must then be involved in direct and indirect methods of assessing students in relation to these learning outcomes. Finally, information from this assessment should then be used for improvements in courses or other areas that will improve student outcomes.

Learning from previous iterations of centralized plans for the assessment of student learning outcomes at UConn, this plan was developed to minimize administrative burdens where possible. We recognize that there is considerable work involved, particularly for those programs where significant work will be required even for learning outcome development. But we worked toward a structure that spreads assessment into an ongoing cycle where a single learning outcome can be the focus each year. This is intended to make the process meaningful but manageable. We also wanted to ensure flexibility so that programs can tailor learning outcomes and methods of assessment to their programmatic needs. Rather than following any proscriptive model, programs will have the ability to follow best practices in their specific field and to innovate where appropriate.

Assessment reporting

From the research of our committee, it was clear that some form of regular reporting and accountability is needed to ensure that academic units engage in assessment of learning outcomes, and then that they actively address findings from this for the purpose of continuous improvement. We have determined that each program that does not have specialized accreditation will submit an annual report to the University Student Learning Assessment Committee. Programs will only be required to submit these reports after they have formally developed student learning outcomes (although they can participate at any time before this). Rather than gather extensive assessment data only once every few years, we decided that programs should focus on a minimum of one learning outcome or course for which to gather data in any given academic year. This is intended to ensure that assessment remains a continuous and active part of any program and that the burden of this work never becomes overwhelming.

In each annual report, programs will provide a description, including analysis of associated data and findings, of the assessment activities undertaken during the current year for at least one learning objective. They will also report on a summary of changes made based on the findings of the previous year (when relevant) and any

information that has been gathered about the impact of those changes. The report will also include an action plan for continuous improvement based on these findings, and a description of planned assessment activities for the next year. We are currently in the process of evaluating software to support our assessment efforts and anticipate that this will then be used to house assessment reports and follow-up.

To provide accountability to these assessment efforts, from fall 2021, the Provost will be charging a new University Student Learning Assessment Committee (USLAC). Supported by staff in CETL and the Office of the Provost, the committee will support academic programs in regard to advancing the assessment of student learning outcomes; gathering and interpreting information and evidence to demonstrate whether students are reaching such goals; and supporting and providing guidance in how this assessment data is used for the improvement of student learning. The committee will be composed of faculty, staff, and students who are knowledgeable about the fundamental importance of assessment and the types of assessment processes that can facilitate appropriate decision-making to improve student learning, both directly and indirectly. The committee will be formally charged by the Provost by December.

The committee will have a broad remit focused not just on checking off whether assessment activities are being completed, but rather helping build an active culture of assessment at UConn. Committee work is not intended to replace staff support in the core work of developing learning outcomes tied to assessment activities. Instead the University Student Learning Assessment Committee (USLAC) has a specific remit to ensure oversight and feedback to programs as they undertake assessment work and to ensure that findings from assessment data are used to improve programs. Key work of USLAC will include:

- Reviewing all submitted annual assessment reports and working with CETL staff to provide feedback to programs from these reports.
- Ensuring annual reports have a sufficient focus on equitable practice. If programs are not centering equity in the development of learning outcomes, assessment, and follow-up planning, the committee will provide clear and direct feedback about expected direction for the following year.
- The generation of an annual committee report for university administrators and other constituencies that will provide an overview of the level of assessment activity taking place at UConn, including strengths and areas for improvement.

Our research with peer institutions made clear that it is easy for reports to be generated, but often harder at an institutional level to make sure that there is follow-up on the findings of these assessment reports. USLAC will serve as the key body for accountability, to look year-on-year at how ongoing assessment data findings in programs is then being used for programmatic improvements.

Five-Year Plan Timeline and support

The UConn Assessment Committee created a plan that will get all programs at the University formally engaged in assessment activity, which will take five years. The table below provides an outline of this five-year implementation model. In academic year 2021/22 departments and programs which will serve as the pilots have been identified (Department of Anthropology, Department of Communication, Department of History, Department of Pathobiology & Veterinary Science, Department of Psychology, and the BS in Sport Management). Beginning with a pilot year is important due to the continued impact of the pandemic on faculty workloads (and the need to recover from the levels of stress that many faculty experienced during the height of the pandemic for various reasons), and the resource constraints as we build institutional infrastructure for assessment.

Resources are being provided to ensure the success of this plan. At present 0.5FTE of the workload of Dr. Lauren Schlesselman, Executive Director, Learning Initiatives & Program Assessment has been directed to support the pilot year, based from the Center for Excellence in Teaching and Learning (CETL). We are in the process of reviewing software packages to support assessment practice and data gathering, and faculty stakeholders (particularly members of USLAC) are engaged in the decision-making process to make sure that faculty will be comfortable using whatever software is deployed. Staffing support will increase over the next year, with at least 1.5FTE of staff dedicated to assessment by fall 2022. Full details of the five-year plan are outlined in Table 8.5 below.

<p>Year 1 (AY 2021/22)</p> <ul style="list-style-type: none"> • Pilot program with voluntary departments to develop or strengthen student learning objectives and assessment measures for undergraduate programs (supported by CETL). • Establishment of permanent University Student Learning Assessment Committee. • Creation of professional development programming. • Creation of website with assessment resources.
<p>Year 2 (AY 2022/23)</p> <ul style="list-style-type: none"> • Half of non-accredited undergraduate programs develop or strengthen student learning objectives and assessment measures (supported by CETL). • Voluntary departments from Year 1 pilot begin assessment of one programmatic learning objective. • Committee begins providing feedback to Year 1 pilots on their findings. • Offer broader professional development programming to advance assessment.
<p>Year 3 (AY 2023/24)</p> <ul style="list-style-type: none"> • Remaining half of non-accredited undergraduate programs develop or strengthen student learning objectives and assessment measures (supported by CETL). • Programs from pilot continue and from Year 2 begin assessment of one programmatic learning objective. • Committee gathers feedback from programs from pilot and from Year 2.
<p>Year 4 (AY 2024/25)</p> <ul style="list-style-type: none"> • Pilot program with voluntary departments to develop or strengthen student learning objectives and assessment measures for non-externally accredited graduate programs (supported by CETL). • Continued assessment and feedback to all undergraduate programs.
<p>Year 5 (AY 2025/26):</p> <ul style="list-style-type: none"> • Remaining non-externally accredited graduate programs develop or strengthen student learning objectives and assessment measures (supported by CETL). • Voluntary departments from Year 4 graduate pilot begin assessment of one programmatic learning objective. • Continued assessment and feedback of all undergraduate programs. • After year 5, all programs will have clear student learning outcomes. Annual reporting and feedback will continue in perpetuity until revisions are needed to the process.

Table 8.5: Overview of five-year assessment plan timeline

General Education Assessment

Our currently operational general education framework, which will be replaced in the next few years, [developed clear criteria](#) for expected learning outcomes in general education content areas in 2013. Material is available for all faculty on learning goals, including detail on how assessment for these goals can be embedded in specific courses. However, no mechanism has been in place to ensure that faculty have been assessing these specific learning outcomes, and no data has been collected to allow us to understand the degree to which students successfully meet the goals as defined. At present, reforms of the general education curriculum are underway (as discussed in the narrative relating to Standard 4). This is providing us with the opportunity to consider how we can more effectively structure the collection of assessment data from general education courses.

Updated UConn Senate Bylaw language is currently being developed in relation to the new general education requirements. This updated bylaw language will include a requirement that assessment will be built into the new general education curriculum. All elements of the [“topics of inquiry”](#) include learning outcomes, designed so that they can be tied into assessments. As Delta2GE moves into the implementation phase, they will work with the assessment staff and may liaise with USLAC to formulate a plan for how a process for assessment will be implemented within the general education curriculum, and how feedback mechanisms will be created so that continuous improvement can take place, informed by assessment data.

Life-Transformative Education

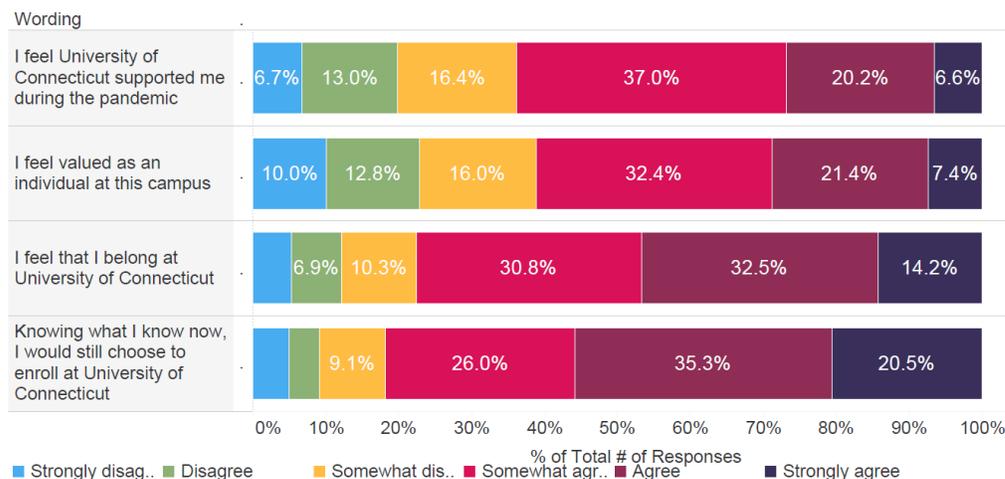


Figure 8.4: Percentage of respondents selecting answer in response to the prompt "Please select your level of agreement or disagreement with the following statements." Source: Undergraduate SERU survey data, spring 2021.

One of the major strategic priorities for the University of Connecticut over the coming years is the life-transformative education initiative (LTE). The premise of LTE rests on data from a large-scale Gallup survey focused on wellbeing. This survey found that college graduates who reported having certain types of experiential learning, and who also reported that someone cared about them as a person “were more than

twice as likely to report high levels of well-being and work engagement later in life.”⁴ This widespread measure shifts our frame at an institutional level from learning outcomes or teaching inputs (e.g. high-impact practices) to two specific domains of student learning and support that will result in positive outcomes for graduates over the course of their lives and careers. Our focus is on expanding individualized mentoring experiences to every undergraduate student at UConn, and to provide every student with an experiential learning opportunity.

As a data-driven initiative, assessment is embedded within the LTE initiative. From the beginning of the project, an assessment group was formed with the aim of first gathering baseline data related to our performance on LTE measures, and then tracking this through time. The Student Experience in the Research University (SERU) survey results will be used as a key institutional quantitative measure to help assess the impact of the LTE initiative over the coming years. This survey was not administered in spring 2020 (our initially planned first year of administration) due to the pandemic, but data was gathered in spring 2021 from undergraduate students across UConn. Analysis by the LTE assessment working group is just beginning, and this will provide core baseline metrics that we will then track through time.

From initial examination of the Undergraduate SERU data, however, we can see results that we will examine in more depth to help target LTE programming. Across all respondents, 38.8% of students strongly disagreed, disagreed, or somewhat disagreed with the statement “I feel valued as an individual at this campus” (see Figure 8.4). The follow up to understand these large-scale responses in more depth will first be to disaggregate the survey population by different characteristics (e.g., class standing, school or college, demographics) which will then allow us to understand which populations within our overall undergraduate student body are most in need of support. We will also host focus groups with students in order to probe these overall responses and to gather qualitative data to further inform our programming (and later to evaluate the outcomes of this programming).

	UConn	PEER GROUP (PUBLIC)	NATIONAL COMPARISON
Overall High-Impact Educational Practices Score	2.20	2.17	2.25
Overall Competencies Score	3.02	3.04	3.08
Overall Career Pathways Score	3.71	3.72	3.71
Overall Career Satisfaction Score	4.06	4.03	4.02
Overall Community Engagement Score	3.13	3.17	3.22
Overall Economic Mobility Score	3.76	3.75	3.70
Overall Educational Satisfaction Score	3.26	3.23	3.22

Table 8.6: Overall research theme scores, as answered by alumni five and 10 years past graduation. Source: National Alumni Career Mobility Survey (NACM), Spring 2019 results.

Assessment of LTE will also make use of data available from Career Services. Findings on undergraduate student outcomes from the [First Destinations survey](#) are widely used by programs to assess the immediate career

⁴ Coalition for Life Transformative Education, <https://clte.org/wp-content/uploads/2021/06/CLTE-Founding-Document.pdf>

outcomes of their graduates and are also used institutionally to understand employment and education patterns in UConn graduates. First Destinations results help each program with an undergraduate degree understand where their graduates are going for employment and further education. From 2019, Career Services began to augment the First Destinations survey data (which has a limited focus on pathways immediately post-graduation) with the National Alumni Career Mobility Survey (NACM). The survey population for NACM consists of alumni who are five- and ten-years post- graduation from their undergraduate degree. The survey does not just seek to understand employment patterns, but instead asks a range of questions reflecting back on elements included in the individuals past education, their satisfaction with this education (including the degree to which they felt it was good value for money), career satisfaction, and other elements. The general areas covered by NACM and summary benchmarked results are shown in Table 8.6.

The aim of LTE is to impact long-term outcomes for students, particularly in terms of their sense of wellbeing and work engagement throughout life.⁵ As NACM is administered several years past graduation, over the long term this will be an instrument that will enable us to analyze the impacts of LTE on graduates over time. In the more immediate future, analysis of the NACM results will also allow us to analyze where our strengths and weaknesses appear to be in key measures that relate to LTE, and to use this information to help direct programming initiatives.

Institutional Plans

Strategic Priorities

Over the next five years our plans will be shaped by our three major institutional priorities:

- Doubling research and scholarship
- Providing Life-Transformative Education to every UConn student
- Becoming a more powerful engine for the State of Connecticut

With our continued fiscal stability, we will also prioritize strengthening our financial aid programs to ensure maximal access for students from all backgrounds, irrespective of financial means. We do not predict that any of the developments over the next five years will require a substantive change to be submitted to NECHE.

Doubling Research and Scholarship

As we continue to grow the research portfolio of our University, we anticipate further benefits to our educational mission. Greater funding and high-profile research will be of direct benefit to students, with increased financial support in the form of Graduate Assistantships, increased opportunities for both undergraduate and graduate students to engage in transformative research, and improved job opportunities and outcomes. Increased research funding and scholarship will have the further effect of increasing the stature of the university to prospective students, faculty, and future employers of our graduates, yielding benefits at multiple levels including our educational mission and mandate to serve the State.

Providing life-transformative education to every UConn student

Over the next five years our educational mission will be developed under the framework of life-transformative education (LTE). This framework fosters agency, identity, and purpose in students, particularly through access to

⁵Coalition for Life Transformative Education. Mission of CLTE: <https://clte.org/mission/>

experiential learning and high-quality advising and mentoring. We will be expanding opportunities for experiential learning, including undergraduate research experiences, service learning, and credit-bearing internships. The LTE project is also working on ensuring that students in all units have access to robust, targeted academic advising and meaningful opportunities to interact with diverse mentors. A particular focus of LTE is equity and inclusion, serving all students and considering their backgrounds, strengths, and challenges. We anticipate that the impacts of LTE will be seen through growth in student participation in experiential learning programs, growth in positive responses related to key metrics from the undergraduate SERU survey, and improved outcomes related to our already very strong retention and graduation rates.

Becoming a more powerful engine for the State of Connecticut

As a public research University, UConn plays a central role in economic development for the State of Connecticut. One of our strategic priorities over the coming five years will be to further enhance this role in areas such as technology transfer, growth of new business ventures and entrepreneurial activity, and in supporting a highly educated workforce. We anticipate that this will result in the growth of more programs – particularly at the master's level – that are tailored to the needs of the state, for the new data science program, and professional master's degrees developed in partnership with local industries. It also includes the one-year accelerated Master's degree program in Nursing, which will fill a critical need both in CT and nationally. The LTE focus on experiential learning also provides students opportunities to connect with employers across CT to support and enhance their professional preparation to enter the workforce.

Wider Institutional Plans

One of the major changes in the education of UConn students will come through the implementation of Delta Gen Ed. We will also increase the number of course offerings related to diversity, equity, and social justice; and provide greater opportunities for participation in training that will enhance the ability of instructors to teach these courses.

Over the next five years we will also reflect and develop on the post-pandemic context. During the last year the Future of Learning Committee made several recommendations to help shape growth. Prior to the pandemic, we already had rich offerings in online education, particularly at the level of graduate programs, with a strong framework in place to ensure quality. Coming out of the pandemic, there will not be significant growth in online education for undergraduate students, but we will use what we learned in this area during the pandemic to augment undergraduate offerings to support greater flexibility for a small portion of undergraduate courses.

This period will see the implementation of our five-year assessment plan. To support this plan, the University will be enhancing resources in the area of assessment of student learning outcomes. This will include the availability of institution-wide software to support the mapping of learning outcomes and to support and track assessment activities. Staff support will also grow, housed in the Center for Excellence in Teaching and Learning, to sustain two main objectives. First, the ability of academic units clearly to articulate learning outcomes for all programs and to map these across their curricula. Second, to ensure appropriate assessment data collection and tracking. Development of assessment at the program level will be complementary to stronger assessment at the level of general educational requirements, and other programs such as LTE and Global Experiential Learning.

Under the *Next Generation Connecticut* plan undergraduate enrollment had expanded in the period between 2013 and 2018, centered on STEM fields. The School of Engineering grew significantly during this period. However, none of the current institutional or state plans predict growth in undergraduate enrollment. The

Hartford and Stamford campuses have also seen growth in student numbers and investment in infrastructure. Both of these campuses are now highly attractive to students and are at capacity. There are no plans to expand at these campuses and we would anticipate that the next five years will continue to see the expansion of offerings to students and support for academic programs at these locations. Most growth in student enrollment over the coming five years is likely to be in the expansion of graduate programs, particularly those targeted at professional education, with many offered online.

Leadership changes

In the wake of the resignation of President Tom Katsouleas in June 2021, Dr. Andy Agwunobi has been appointed as Interim President. Dr. Agwunobi was serving—and continues to serve—as CEO of UConn Health and brings to his new role a deep and broad familiarity with the institution. Provost Carl Lejuez, who has served in this role since March 2020, has brought to his position the stability that comes from years of senior leadership experience and a demonstrable commitment to the strengthening of our academic mission. His leadership, along with the dedication of the entire senior leadership team, was pivotal in insuring UConn’s capacity to meet the serious challenges posed by the COVID-19 pandemic and to emerge from it well-positioned for future growth. There are currently no specific plans to launch a search for a new president, but under Dr. Agwunobi’s direction, and with the leadership of Provost Lejuez, we will continue to press forward with our strategic planning.

Diversity

The University will continue its intentional efforts to become an exemplary model of an inclusive, affirming, equitable, and antiracist institution where all minoritized communities can thrive. To that end, we will build upon our recent success in growing our student diversity while ramping up our efforts to increase the compositional diversity and success levels of minoritized faculty and staff. A key component of this work will be facilitating greater inclusion of, level of respect for, and overall sense of belonging for minoritized students, faculty, and staff; further aligning our DEI values and goals with our standards, policies, and practices of the institution; enhancing institutional capacity to integrate DEI into our curricular and co-curricular initiatives; and strengthening our university-wide and unit level infrastructures through strategic planning and implementation. We anticipate that we will see changing outcomes in faculty and staff diversity, continued changing demographics of senior leadership, growing numbers of units with DEI plans, and a reduction in the number of bias incidents reported.

Assessment

The final priority we will be moving forward over the coming several years will be the implementation of our assessment plans. Primarily, this will focus on the five-year plan for assessment in academic programs, and secondarily on embedding assessment into the implementation of our new general education curriculum. At a more holistic level, we are committed to building a strong culture of assessment throughout the University, with a focus on the ways that assessment can contribute to diversity, equity, and inclusion initiatives, and on continuing to improve student success. We continue to strengthen how we make data-driven decisions, and then find ways to gather and utilize data to assess the outcomes and impacts of these decisions. For these initiatives, the strong partnerships between the Office of the Provost, the Office for Institutional Research, the Center for Excellence in Teaching and Learning, and the Division of Enrollment Planning and Management will support greater data use and assessment across many areas of the University.

Appendix A

Affirmation of Compliance



**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. (NECHE Policy 95. See also *Standards for Accreditation* 4.38, 4.39 and 9.19.)

URL	https://admissions.uconn.edu/apply/transfer/transfer-credit/
Print Publications	N/A
Self-study/Fifth-year Report Page Reference	pp. 17

- 2. 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* 5.18, 9.8, and 9.19.)

URL	https://heoa.uconn.edu/ "Student Complaints"
Print Publications	N/A
Self-study/Fifth-year Report Page Reference	pp. 34

- 3. 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. (NECHE Policy 95. See also *Standards for Accreditation* 4.48.)

Method(s) used for verification	NetID and one other method from specified list maintained by eCampus
Self-study/Fifth-year Report Page Reference	pp. 18

- 4. FOR COMPREHENSIVE EVALUATIONS ONLY: 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. (NECHE Policy 77.)

URL	
Print Publications	
Self-study Page Reference	

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

Chief Executive Officer: 

Date: 09/27/2021

Appendix B

Audited Financial Statement

Comprehensive Annual Financial Report

FOR THE YEAR ENDED JUNE 30, 2020

Included as an Enterprise Fund of the State of Connecticut



UConn | UNIVERSITY OF
CONNECTICUT



UConn | UNIVERSITY OF
CONNECTICUT

Comprehensive Annual Financial Report

For the Year Ended June 30, 2020

Included as an Enterprise Fund of the State of Connecticut

Prepared by the Office of the Associate Vice President of Financial Operations and Controller

TABLE OF CONTENTS

INTRODUCTORY SECTION

Letter of Transmittal	4 – 7
Certificate of Achievement	8
Board of Trustees	9
Organization Chart	10

FINANCIAL SECTION

Independent Auditors' Report	12 – 13
Management's Discussion and Analysis	15 – 25
Statement of Net Position	26
Statement of Revenues, Expenses, and Changes in Net Position	27
Statement of Cash Flows	28 – 29
Notes to Financial Statements	30 – 53
Required Supplementary Information:	
State Employees' Retirement System	
Schedule of University's Proportionate Share of the Collective Net Pension Liability	54
Schedule of University Pension Contributions	54
Teachers' Retirement System	
Schedule of University's Proportionate Share of the Collective Net Pension Liability	55
Schedule of University Pension Contributions	55
State Employee Other Post-Employment Benefits Plan	
Schedule of University's Proportionate Share of the Collective Net OPEB Liability	56
Schedule of University OPEB Contributions	56

STATISTICAL SECTION

Schedule of Revenues by Source	59
Schedule of Expenses by Natural Classification	60
Schedule of Expenses by Function	61
Schedule of Net Position and Changes in Net Position	62
Schedule of Long-Term Debt	63
Schedule of Debt Coverage – Revenue Bonds	64
Admissions and Enrollment	65
Academic Year Tuition and Mandatory Fees and Degrees Conferred	66
Faculty and Staff	67
Schedule of Capital Asset Information	68
Demographic and Economic Statistics	69
Top Ten Nongovernmental Employers	70

INTRODUCTORY SECTION

LETTER OF TRANSMITTAL

December 30, 2020

To President Katsouleas,
Members of the Board of Trustees, and
University of Connecticut Community:

We are pleased to submit to you the Comprehensive Annual Financial Report (CAFR) of the University of Connecticut for the fiscal year ended June 30, 2020. For purposes of this report, the University of Connecticut (University) is herein defined as all financial activity from Storrs-based undergraduate and graduate programs, the regional campuses, the School of Law, and the School of Social Work. The University of Connecticut Health Center (UConn Health), which maintains a separate budget and issues its own audited financial statements, is excluded from this report.

The CAFR includes the Management's Discussion and Analysis (MD&A), the basic financial statements, notes, other supplementary and statistical information. The CAFR provides financial information about the University's results of activities during the year and describes its financial position at the end of the year based on currently known facts, decisions, and conditions.

Management assumes full responsibility for the contents of this report including the accuracy, completeness, and fairness of the data presented. We believe the University's system of internal controls is sufficient to identify material misstatements. Although we have strong internal controls, the cost of internal controls should not exceed the benefits. Therefore, the objective of the University's internal control system is to provide reasonable, rather than absolute, assurance that the financial statements are free of material misstatements, and that assets are safeguarded against loss from unauthorized use or disposition.

The University's Joint Audit and Compliance Committee of the Board of Trustees exercises oversight over the integrity of its financial statements and internal control systems, as well as direct engagement in the approval of independent auditing services. Certain bond covenants require that the University's accounting and financial records be subject to an annual independent audit. The University's annual audit for the fiscal year ended June 30, 2020, was performed by the State of Connecticut Auditors of Public Accounts. They have issued an unmodified opinion on the fair presentation of the financial statements. The independent auditors' opinion can be found in the front of the financial section.

The CAFR is prepared in accordance with generally accepted accounting principles (GAAP) and in conformity with standards established by the Governmental Accounting Standards Board (GASB), as well as using guidelines of the Government Finance Officers Association of the United States and Canada (GFOA). The MD&A is presented to supplement the financial statements and should be read in conjunction with this letter of transmittal. The MD&A can be found immediately following the auditors' report.

University Profile

Background

The University was founded in 1881 when Charles and Augustus Storrs donated land and money to the State of Connecticut (State), establishing the Storrs Agricultural School later to become Connecticut's land-grant college. Today the University serves as the State's flagship institution 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 is governed by the Board of Trustees that is composed of 21 members, including the Governor, the UConn Health Board of Directors Chair, and the Commissioners of Agriculture, Economic and Community Development, and Education. The University is reported as an enterprise fund in the State's CAFR and operates as a state-assisted institution of higher education.

The University supports a robust research program, with a "Research 1" classification that places it among those universities with the highest level of research activity. A number of University programs rank among the top research programs in their respective disciplines.

In addition to academics, the University also participates in Division I athletics. The University has won 23 National Championships in four different sports, with 11 coming from the dominant women's basketball team. The University is looking forward to rejoining the Big East Conference in the 2020-2021 season.

Student and Faculty Data

For the 2019-2020 academic year, the number of applications for undergraduate admissions was over 37,000 for just 5,340 seats. Total enrollment in the fall of 2019 was 31,687 students, including nearly 7,800 graduate students. There were 43 states represented in the University's student population, as well as 103 countries.

Of the 23,900 undergraduates, 51 percent were female, and 37 percent were minority students. The University employs 1,537 full-time faculty members and an additional 803 part-time faculty and adjuncts. In 2019-2020, the University awarded 8,623 degrees. Approximately 68 percent of graduates who attended high school in Connecticut and who are employed, continue to work in the State of Connecticut.

Related Organization

The University of Connecticut Foundation, Inc. (Foundation), a related organization, operates exclusively to promote the educational, scientific, cultural, research and recreational objectives for both the University and UConn Health, and therefore is not included as a component unit in the accompanying financial statements. See Notes 1 and 15 for additional information.

Economic Condition

The COVID-19 pandemic has precipitated a national and statewide economic downturn. On March 10, 2020, Governor Lamont declared a state of emergency and took measures which were intended to limit the spread of COVID-19 such as restricting social and recreational gatherings, limiting restaurants to take-out and delivery, and requiring closure of all non-essential businesses. At the end of April, Governor Lamont announced a four-stage plan to reopen the State's economy, allowing certain businesses to open under sector-specific rules. Prior to COVID-19, Connecticut was experiencing modest but steady job growth. However, due to the pandemic, the unemployment rate jumped to 10.1 percent in June 2020 from 3.4 percent in March 2020.

In addition to the ongoing pandemic, Connecticut continues to deal with large unfunded pension liabilities. As those costs are passed onto the University through fringe benefit rates, it negatively affects the University's research competitiveness. The University expects to pay about \$34.5 million in fiscal year 2021 towards both unfunded pension and retiree health liabilities from non-state funds such as tuition, student fees and other outside revenues.

The University's fiscal year 2020 budget planned on a deficit of \$19.6 million to be mitigated through additional salary savings from attrition and fund transfers from prior budgeted projects and other initiatives. Through these mitigating actions, at the six-month mark, the University was on track to end the fiscal year with a small \$3.9 million surplus. When the pandemic struck, the University refunded \$33.6 million in housing and dining revenue after sending most of the residential students home. This substantial loss was primarily offset through

federal CARES Act funding and departmental spending savings attributed to the spending freeze.

Long-Term Financial Planning

The COVID-19 pandemic has negatively impacted the University's budget, leading to an initial projected fiscal year 2021 deficit of \$75.5 million. Through the University's mitigation efforts and \$20.0 million in support from the State via the federal CARES Act, the remaining deficit is projected to drop to about \$7.5 million. The current forecast assumes that students will be back with similar social distancing measures in the spring. The University was at about 40 percent residential capacity for the fall 2020 semester. Though there have been extra expenditures for additional cleaning, testing, tracing, and medical care, these expenditures are relatively small compared to the loss of housing and dining revenues. As this is hopefully a temporary issue, our outlook for fiscal year 2022 is more positive. The University's long-term plan includes becoming more self-reliant in generating diverse operating revenues amid a potential for decreases in State support. The University will maintain a balanced budget for its growing operations through increases in student tuition, increases in philanthropy, and reductions in spending.

Increases in Student Tuition

Starting in fiscal year 2017, and growing since that time, tuition revenue has become the largest source of revenue for the University. During fiscal year 2016, the University's Board of Trustees approved a four-year tuition plan. Fiscal year 2020 is the final year of that plan. This is the second time that the Board of Trustees has adopted a four-year tuition plan rather than addressing tuition each year. In December 2019, the Board approved the next tuition plan, covering fiscal years 2021-2025. The multi-year plan provides more certainty for students as they plan with their families for their college careers. Although tuition will increase, more financial aid will also be available to help address issues of affordability and accessibility for the University's students.

Increases in Philanthropy

Philanthropy is an area of revenue growth for the University and is part of the University's long-term financial planning. The Foundation, which supports both the University and UConn Health, had recorded its highest fundraising total in its history for the fiscal year ended 2020, increasing over 2019 by 25 percent. More than 18,000 alumni and friends invested in the University's future.

Reductions in Spending

Over the last several years, the University has been and will continue to implement spending cuts across

departments, requiring attrition and vacancy savings to achieve cost savings. University departments continue to look for ways to do more with less support while attempting to maintain academic excellence and a high standard of service to our students.

Research Growth

When President Katsouleas arrived at the University in August 2019, he set an ambitious goal of doubling research over the next decade. During fiscal year 2020, University researchers secured \$182.4 million in research and sponsored awards, an \$18.2 million increase over prior year. This growth is even more encouraging given the emergence of the pandemic. The hope is to bolster the University's reputation as a destination for industry partners, entrepreneurs, and researchers with interest in commercialization.

Major Initiatives

Next Generation Connecticut (NextGenCT) represents one of the most ambitious State investments in economic development, higher education, and research in the nation, with a particular focus on capital investment. The NextGenCT initiative added \$1.5 billion in bond funds for new and renovated facilities, extending the UCONN 2000 capital improvement program that began in 1995 to 2027. An operating component was also included but has been limited due to the State's financial constraints. The general obligation bonds issued through UCONN 2000 and NextGenCT are secured by the State's debt service commitment, thus there are no University revenues budgeted for payment of these bonds. Since fiscal year 2015, the University has been authorized \$1.2 billion in funding for this initiative, with an additional \$260.0 million and \$190.5 million coming in fiscal years 2021 and 2022, respectively. These funds have allowed the University to open a new residential hall, renovate the associated dining hall, build a new downtown Hartford campus, complete the Engineering and Science Building, build a new Fine Arts Production Facility, complete Phase 1 of the Gant Building Renovation, update and renovate various buildings throughout campus, and address needed infrastructure and deferred maintenance improvements.

Despite reductions in operating funding, the NextGenCT initiative has provided a strong framework for the University and has aided the State's economy. Since the beginning of the initiative, many new faculty have been hired, particularly in the fields of science, technology, engineering, and math (STEM). Additionally, funds have been provided for STEM scholarships and STEM fellowships, as well as for staff positions. Since fiscal year 2013, undergraduate enrollment has grown by 1,599 at all campuses with a 33 percent increase in STEM undergraduate enrollment at Storrs. This ongoing success

has attracted higher quality students and the University maintains solid rankings in virtually all relevant areas.

Academic and Financial Highlights

Highlights from the 2019-2020 academic year include the following:

- For fall 2019, the University ranks 14th out of the top 58 public research universities in graduation rates for all freshmen and 21st for minority freshmen. Furthermore, the University ranks 16th among the national public research universities for freshman retention.
- Among the graduates from the 2018-2019 academic year, 90 percent have a positive outcome including employment, continuing their education, serving in the U.S. Armed Forces, or living or volunteering in the State.
- The University reduced the time to graduation to 4.2 years, which ranks 4th among public research university peers. This was accomplished by increasing the number of class offerings and reducing the student-to-faculty ratio. Decreasing the time to graduation helps University students pay less in tuition and join the workforce more quickly.
- In fiscal year 2020, the University provided \$126.1 million in tuition funded financial aid, which represents a 9.7 percent increase over last fiscal year. Due to the COVID-19 pandemic, the University received an additional \$10.8 million from the Federal government as a part of the CARES Act and distributed to students in need.
- As of this date, from fiscal year 1996 to fiscal year 2020, the University has expended \$3.3 billion out of the \$3.5 billion of bonds authorized under the UCONN 2000 capital improvement program.

Looking ahead, the University will continue to build on these accomplishments and further strengthen its programs and services for faculty, staff, students, and the University community.

Awards and Acknowledgements

The University marked its 9th consecutive year among the nation's top 25 public universities, according to the 2021 U.S. News & World Report rankings. The No. 23 ranking reflects the University's strong graduation and retention rates, academic excellence, faculty resources, and other factors that are weighed into the annual evaluations.

Similarly, according to the Wall Street Journal/Times Higher Education College Rankings, the University sits at No. 26 for top public universities in the United States. The Wall Street Journal ranking system puts emphasis on student success and learning, by factoring in (1) resources, (2) engagement, (3) outcomes, and (4) the environment, as measures of university quality.

Finally, the University holds a number of other worthy distinctions among universities domestically and globally. The University occupies the 8th spot (out of 312) on the Sierra Club's 2020 "Cool Schools" ranking. This is due in part because of the University's plan to become carbon neutral by 2050. Furthermore, the University was 11th out of more than 700 universities worldwide, and 2nd in the United States, on the 2019 GreenMetric World University Ranking, which rates universities on their response to sustainability issues.

The GFOA awarded a Certificate of Achievement for Excellence in Financial Reporting to the University for its

CAFR for the fiscal year ended June 30, 2019. This was the 4th consecutive year that the University has achieved this prestigious award. In order to be awarded a Certificate of Achievement, a report issuer must publish an easily readable and efficiently organized CAFR. This report must satisfy both GAAP and applicable legal requirements. A Certificate of Achievement is valid for a period of one year only. The University believes that the current CAFR continues to meet the Certificate of Achievement Program's requirements and will submit its CAFR for the fiscal year ended June 30, 2020, to the GFOA to determine its eligibility for another certificate.

Preparation of this CAFR in a timely manner would not have been possible without the coordinated efforts from staff within the Office of the Associate Vice President of Financial Operations and Controller and other University financial staff. Each member has my sincere appreciation for their individual contribution in the preparation of the report.

Respectfully submitted,



Scott Jordan
Executive Vice President for Administration
and Chief Financial Officer



Government Finance Officers Association

Certificate of
Achievement
for Excellence
in Financial
Reporting

Presented to

University of Connecticut

For its Comprehensive Annual
Financial Report
For the Fiscal Year Ended

June 30, 2019

Christopher P. Morrill

Executive Director/CEO

UNIVERSITY OF CONNECTICUT

Organization Chart



FINANCIAL SECTION

STATE OF CONNECTICUT



AUDITORS OF PUBLIC ACCOUNTS

JOHN C. GERAGOSIAN

STATE CAPITOL
20 TRINITY STREET
HARTFORD, CONNECTICUT 06106-1559

ROBERT J. KANE

INDEPENDENT AUDITORS' REPORT

Board of Trustees of the
University of Connecticut

Report on Financial Statements

We have audited the accompanying financial statements of the University of Connecticut (UConn), a component unit of the University of Connecticut system, which includes UConn, the University of Connecticut Health Center and the University of Connecticut Foundation, Inc. The accompanying financial statements, which consist of the statement of net position as of June 30, 2020 and the related statements of revenues, expenses and changes in net position and cash flows for the year then ended, and the related notes to the financial statements, collectively comprise UConn's basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit 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 involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, based upon our audit, the financial statements referred to above present fairly, in all material respects, the financial position of UConn as of June 30, 2020 and the respective changes in financial position and cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

The accompanying Management's Discussion and Analysis on pages 15 through 25 and the Required Supplementary Information on pages 54 through 56 is required by accounting principles generally accepted in the United States of America to supplement the basic financial statements. Such information, although not part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Supplementary and Other Information

The introductory and statistical sections are presented for purposes of additional analysis and are not a required part of the basic financial statements. Such information has not been subjected to the auditing procedures applied in the audit of the basic financial statements and, accordingly, we do not express an opinion or provide any assurance on them.

Sincerely,



John C. Geragosian
State Auditor



Robert J. Kane
State Auditor

December 30, 2020
State Capitol
Hartford, Connecticut

[This Page Intentionally Left Blank]

Management's Discussion and Analysis

INTRODUCTION

The following Management's Discussion and Analysis (MD&A) provides an overview and analysis of the financial position and results of activities for the fiscal year ended June 30, 2020, and selected comparative information from fiscal year 2019. It includes highly summarized information and should be read in conjunction with the accompanying financial statements and notes.

Reporting Entity

The University of Connecticut (University) is herein defined as all programs except for the University of Connecticut Health Center (UConn Health, see Note 1). This includes programs offered at the Storrs main campus, regional campuses, the School of Law, and the School of Social Work.

The University's financial report includes three basic financial statements: a Statement of Net Position; a Statement of Revenues, Expenses, and Changes in Net Position; and a Statement of Cash Flows. These statements are prepared in accordance with standards issued by the Governmental Accounting Standards Board (GASB). The MD&A, financial statements, notes, and other supplementary information are the responsibility of management.

STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION

The Statement of Revenues, Expenses, and Changes in Net Position presents either an increase or decrease in net position based on the revenues received, the expenses paid, and any other gains and losses recognized by the University. Revenues and expenses are classified as operating, nonoperating, or other changes in net position according to definitions prescribed by GASB.

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

By its very nature, a state-funded institution does not receive tuition, fees, room, and board revenues sufficient to support the operations of the University. Nonoperating revenues are received for which goods and services are not provided but are essential to the programs and services provided by the University. Significant recurring sources

of nonoperating revenues utilized in balancing the operating loss each year include appropriations from the State of Connecticut (State) for general operations, the State's debt service commitment for interest, federal and state financial aid, noncapital gifts, and short-term investment income.

Other changes in net position are composed primarily of the State's debt service commitment for principal, capital grants and gifts, and the athletic conference exit fee (special item).

The Condensed Schedule of Revenues, Expenses, and Changes in Net Position on the following page reflects a decrease in net position at the end of fiscal year 2020. Summarized highlights of the information presented in the Condensed Schedule of Revenues, Expenses, and Changes in Net Position are further detailed in the following sections.

Revenues

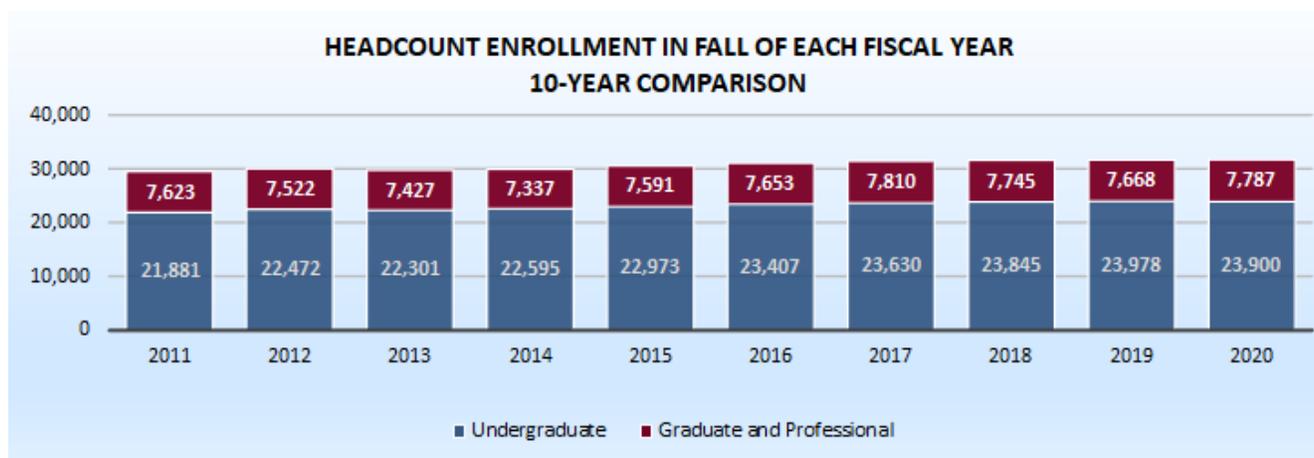
Operating revenues decreased \$17.3 million in fiscal year 2020 due to decreases in sales and services of auxiliary enterprises and other operating revenues, partially offset by increases in student tuition and fees, net of scholarship allowances, and grants and contracts.

- Student tuition and fees, net of scholarship allowances, increased \$25.7 million. This change was mainly attributed to planned tuition increases combined with the new student recreation fee charged in fiscal year 2020, partially offset by increased scholarship allowances. Graduate student enrollment was up slightly by 1.6 percent, offset in part by a decrease in undergraduate enrollment of 0.3 percent.
- Grant revenue can fluctuate year over year depending on various factors including the availability of funding from sponsors, the timing of large grants, when goods are received, and services are rendered. Total operating grants and contracts increased \$3.8 million. This amount consisted of an increase of \$4.3 million in federal grants and contracts, primarily due to an increase in funding from the U.S. Department of Defense and the U.S. Department of Health and Human Services. State and local grants increased \$2.0 million mainly due to additional funding from the Connecticut Office of Health and Strategy, the Connecticut Office of Early Childhood, and the Connecticut Education Network. These increases were partially offset by a reduction in nongovernmental grants of \$2.5 million attributed to reduced awards from foundations and private corporations.

The following table shows a Condensed Schedule of Revenues, Expenses, and Changes in Net Position for the fiscal years ended June 30 (\$ in millions):

	2020	2019	\$ Change	% Change
Operating Revenues				
Student tuition and fees, net	\$ 422.5	\$ 396.8	\$ 25.7	6.5%
Grants and contracts	166.9	163.1	3.8	2.3%
Sales and services of auxiliary enterprises, net	169.0	211.0	(42.0)	(19.9)%
Other	47.7	52.5	(4.8)	(9.1)%
Total Operating Revenues	806.1	823.4	(17.3)	(2.1)%
Operating Expenses				
Salaries and wages	602.9	569.8	33.1	5.8%
Fringe benefits	597.7	417.7	180.0	43.1%
Supplies and other expenses	258.0	279.6	(21.6)	(7.7)%
Utilities	20.1	21.1	(1.0)	(4.7)%
Depreciation and amortization	117.9	119.3	(1.4)	(1.2)%
Scholarships and fellowships	23.4	11.4	12.0	105.3%
Total Operating Expenses	1,620.0	1,418.9	201.1	14.2%
Operating Loss	(813.9)	(595.5)	(218.4)	36.7%
Nonoperating Revenues (Expenses)				
State appropriation	376.9	356.9	20.0	5.6%
State debt service commitment for interest	79.0	77.3	1.7	2.2%
Federal and state financial aid	64.5	42.2	22.3	52.8%
Gifts, investment income, and other	29.8	40.9	(11.1)	(27.1)%
Interest and other expenses	(73.0)	(72.8)	(0.2)	0.3%
Net Nonoperating Revenues	477.2	444.5	32.7	7.4%
Loss Before Other Changes in Net Position	(336.7)	(151.0)	(185.7)	123.0%
Other Changes in Net Position				
State debt service commitment for principal	-	154.4	(154.4)	(100.0)%
Capital grants and gifts	2.2	3.9	(1.7)	(43.6)%
Additions to permanent endowments	0.2	0.2	-	0.0%
Athletic conference exit fee (Note 18)	(16.4)	-	(16.4)	100.0%
Net Other Changes in Net Position	(14.0)	158.5	(172.5)	(108.8)%
Increase (Decrease) in Net Position	(350.7)	7.5	(358.2)	(4,776.0)%
Net Position – Beginning of Year	98.9	80.2	18.7	23.3%
Prior period adjustment	-	11.2	(11.2)	(100.0)%
Net Position – Beginning of Year, As Restated	98.9	91.4	7.5	8.2%
Net Position – End of Year	\$ (251.8)	\$ 98.9	\$ (350.7)	(354.6)%

The following graph presents undergraduate and graduate enrollment over the last 10 years:



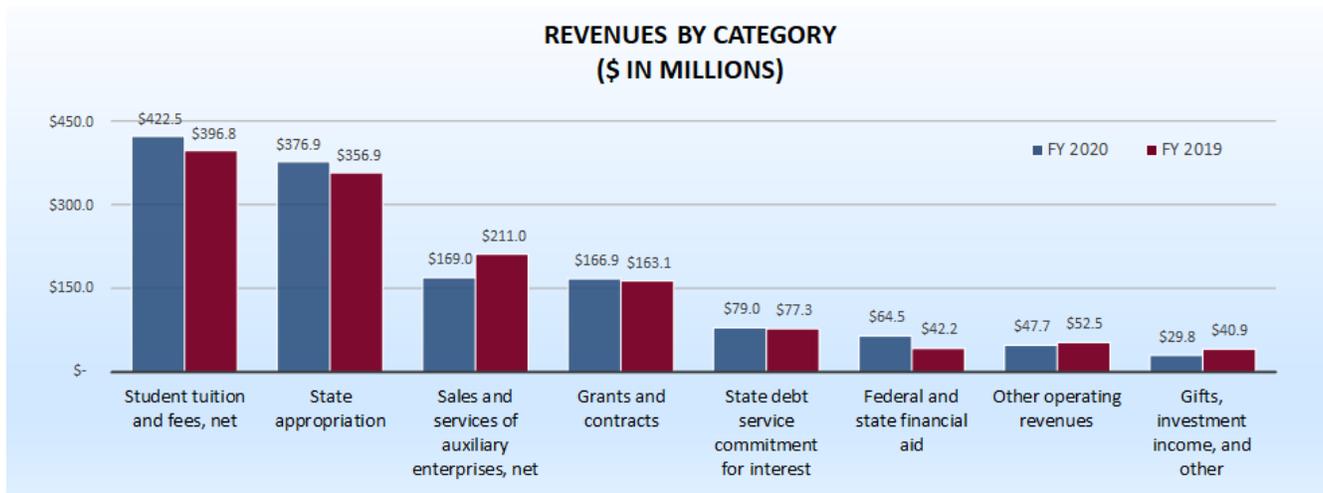
- Sales and services of auxiliary enterprises, net of scholarship allowances, decreased \$42.0 million in fiscal year 2020. This significant reduction in revenues was mainly attributed to the University’s closure and suspension of various auxiliary services such as dining, housing, athletics, and parking in response to the COVID-19 pandemic. The University refunded approximately \$33.6 million to students for housing and dining credits.
- Other operating revenues decreased \$4.8 million, mainly due to COVID-19 closures and restrictions. Revenues were lower for programs such as education abroad, orientation, and other fee for services of educational departments. These decreases were offset in part by increases in renewable energy credits and agreed upon services for UConn Health.

Revenues under nonoperating and other changes in net position decreased \$123.2 million, mainly due to decreases in State debt service commitment for principal, gifts, and investment income. These decreases were partially offset by increases in State appropriation and federal and state financial aid.

- State appropriation increased \$20.0 million in fiscal year 2020 due to mandatory collective bargaining increases of General Fund employees and increases in fringe benefit reimbursements. Fringe benefit reimbursements increased mainly due to a full year of employees that transferred from the Alternate Retirement Plan to the State Employees’ Retirement System (SERS) in accordance with the State Employees’ Bargaining Agent Coalition Grievance Award in fiscal year 2019.

- The State commits to paying for interest incurred on general obligation bonds issued by the University for capital purposes and for UConn Health projects. Effectively, this revenue offsets a significant portion of interest expense each year, and the noted increase in revenue from interest corresponds with a related increase in interest expense. In addition, as general obligation bonds are issued, the State commits to the repayment of the future principal amounts. Revenue related to State debt service commitment for principal decreased \$154.4 million, as there were no new general obligation bonds issued in fiscal year 2020.
- Federal and state financial aid increased \$22.3 million in fiscal year 2020, mainly due to funding received from the Coronavirus Aid, Relief, and Economic Security (CARES) Act to help reimburse related COVID-19 costs to students and to the University (see Note 1).
- Gifts and investment income decreased \$11.1 million. Gifts were lower by \$6.4 million, mainly due to a decrease in reimbursement requests from spendable resources held by the University of Connecticut Foundation (Foundation). Investment income decreased \$4.1 million, mainly due to lower interest rates and lower average balances from unspent bond proceeds held in the State’s short-term investment fund.
- Capital grants and gifts decreased \$1.7 million, as there were less Foundation reimbursements in the current year versus prior year for major projects, such as the Stadia and Werth Hall of Fame projects. This decrease was partially offset by reimbursements and gift revenue received on new projects such as the Fine Arts Renovation and the Horse Stables Refurbishment.

The following graph shows the University’s total operating and nonoperating revenues by category, excluding other changes in net position:



Expenses

Total operating expenses increased \$201.1 million in fiscal year 2020 due to increases in salaries and wages, fringe benefits, and scholarships and fellowships, partially offset by decreases in supplies and other expenses, utilities, and depreciation and amortization.

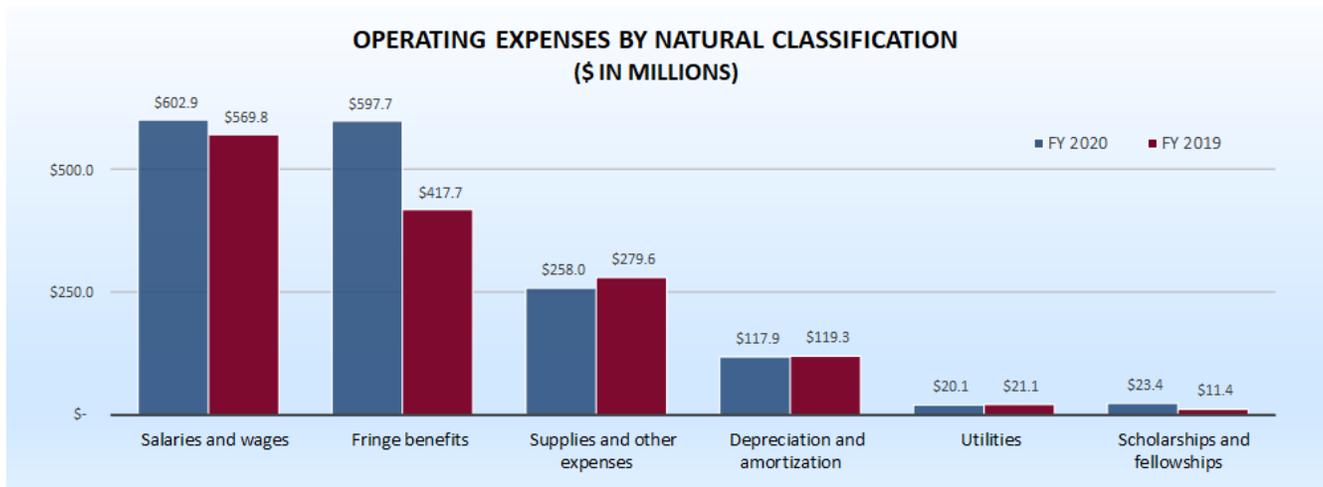
- Salaries and wages increased \$33.1 million, primarily due to average collective bargaining increases of 5.5 percent and a net increase of 1.2 percent in full-time equivalents. The effect of these changes was partially offset by decreases in student labor and dining services that resulted from the slowdown of University operations.
- Fringe benefits increased \$180.0 million, largely due to pension and other postemployment benefits (OPEB) expenses under defined benefit plans that increased by \$55.6 million and \$118.9 million, respectively. These changes were mainly a result of increases in the University’s proportions of the collective net pension and net OPEB liabilities for SERS and the State Employee OPEB Plan. OPEB expense also increased due to actuarial assumption changes, which included a decrease in the discount rate.
- The decrease of \$21.6 million in supplies and other expenses consisted of the following changes:
 - General expenses related to instruction, research, academic support, operations and maintenance of plant, student services, and institutional support decreased in total by \$15.2 million, primarily due to the campus closures, travel restrictions, and spending freezes.
 - Auxiliary enterprises decreased \$9.0 million, mainly due to the transfer of facilities maintenance

costs from the athletics department to central operations combined with the reduction of dining services and Jorgensen events. Nathan Hale Hotel operations also ceased at the end of fiscal year 2019, resulting in lower expenses. These decreases were offset in part by expenses related to the new student recreation center and student activities.

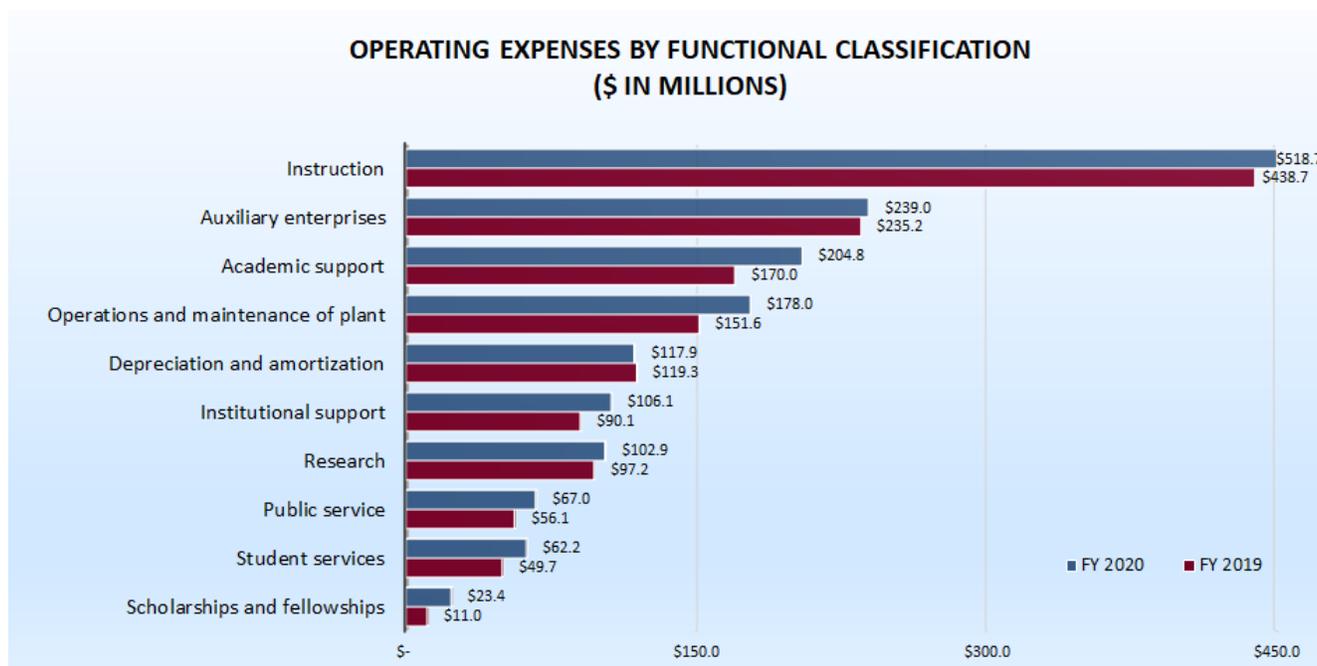
- Public Service expenses increased by \$2.6 million due to an increase in consulting services related to healthcare technology contracts, offset in part by lower supplies, travel, and other general expenses.
- Utilities expense decreased \$1.0 million, due in part to lower oil costs that resulted from a mild winter combined with the Cogeneration Facility switching from natural gas to oil for less time in fiscal year 2020. Natural gas expenses also decreased, primarily attributable to the early campus closure from COVID-19.
- Depreciation and amortization expense decreased \$1.4 million, primarily due to buildings on the Depot campus that were fully depreciated by the end of fiscal year 2019. This change was partially offset by an increase in infrastructure assets.
- Scholarships and fellowships increased \$12.0 million, primarily due to the CARES Act funding provided to students. This increase was combined with the effects from higher tuition and increases in student financial aid.

Expenses under nonoperating and other changes in net position increased \$16.6 million due to the exit fee of \$16.4 million for the University’s departure from the American Athletic Conference (AAC) in fiscal year 2020 (see Note 18).

The following graph shows the University’s operating expenses by natural classification:



The University's operating expenses by functional classification are presented below:



STATEMENT OF NET POSITION

The Statement of Net Position presents the assets, deferred outflows of resources, liabilities, deferred inflows of resources, and net position of the University as of the end of the fiscal year. The Statement of Net Position is a point in time financial statement and is used as a measure of the financial condition of the University. This statement presents a snapshot 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 position.

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, which is recorded at historical cost, 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. A deferred outflow of resources represents the consumption of net assets by the University that is applicable to a future reporting period, whereas a deferred inflow of resources is an acquisition of net assets by the University that is applicable to a future reporting period. The University's net position is the residual value in assets and deferred outflows after liabilities and deferred inflows are deducted.

Assets

Total assets decreased \$300.8 million in fiscal year 2020. This change included a decrease in current assets of \$242.0 million, an increase in net property and equipment of \$69.7 million, and a decrease in noncurrent assets of \$128.5 million.

The decrease in current assets was mainly due to the following changes:

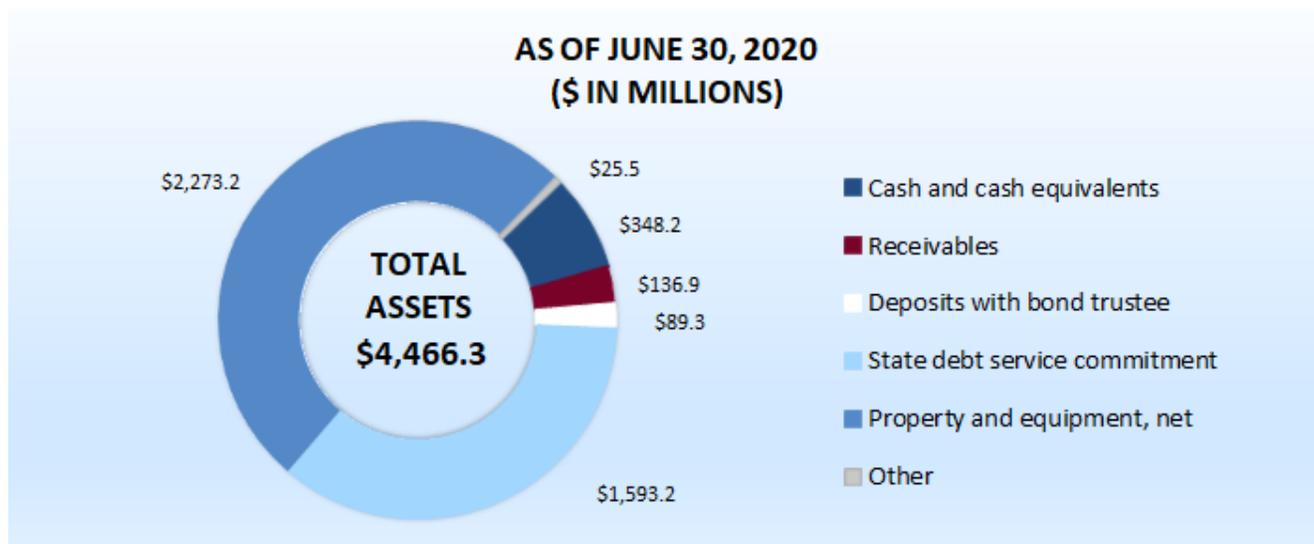
- Cash and cash equivalents decreased \$42.9 million, primarily due to capital-related spending from unrestricted sources and a decrease in receipts from sales and services of auxiliary enterprises and educational departments due to the COVID-19 pandemic.
- Amounts due from affiliate decreased \$1.8 million, mainly due to the timing of UConn Health payments related to public safety and other services (see Notes 1 and 15).
- Deposits with bond trustee decreased \$187.8 million, due to expenditures funded by bond proceeds. There were no new bond issuances in fiscal year 2020.
- The current portion of the State debt service commitment decreased \$6.9 million due to variability of debt service payments on general obligation bonds combined with lower interest accrued due to principal paydowns.

The following table shows a Condensed Schedule of Net Position at June 30 (\$ in millions):

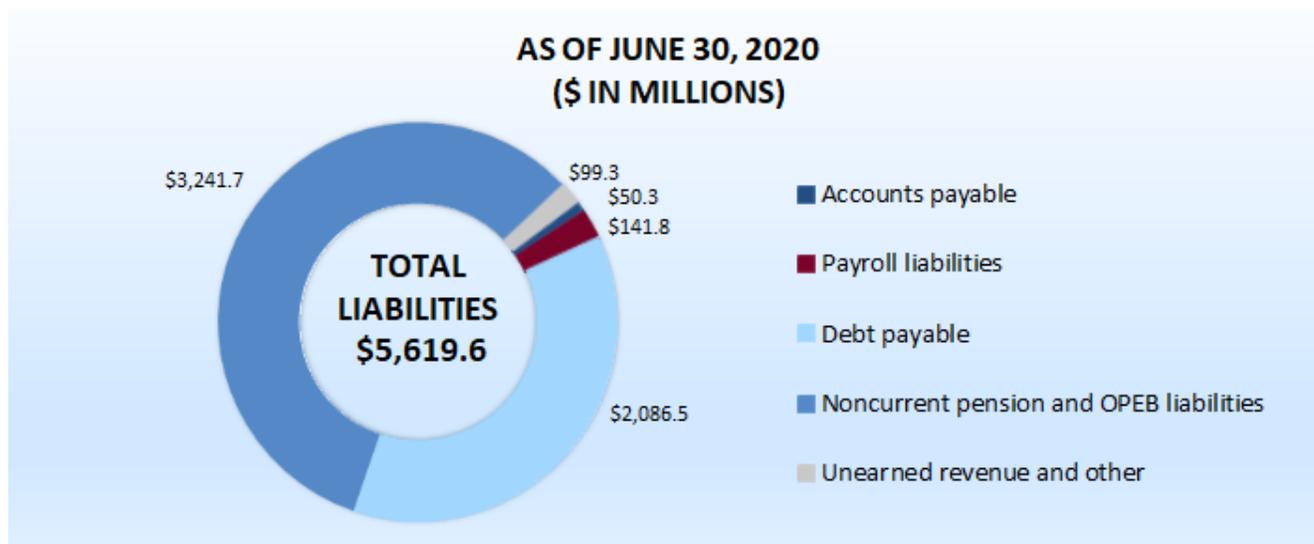
	2020	2019	\$ Change	% Change
Assets				
Current assets	\$ 730.0	\$ 972.0	\$ (242.0)	(24.9)%
Property and equipment, net	2,273.2	2,203.5	69.7	3.2%
Other noncurrent assets	1,463.1	1,591.6	(128.5)	(8.1)%
Total Assets	4,466.3	4,767.1	(300.8)	(6.3)%
Deferred Outflows of Resources	1,038.6	410.3	628.3	153.1%
Liabilities				
Current liabilities	420.0	464.7	(44.7)	(9.6)%
Noncurrent liabilities	5,199.6	4,514.8	684.8	15.2%
Total Liabilities	5,619.6	4,979.5	640.1	12.9%
Deferred Inflows of Resources	137.1	99.0	38.1	38.5%
Net Position				
Net investment in capital assets	1,763.7	1,681.7	82.0	4.9%
Restricted nonexpendable	15.1	15.0	0.1	0.7%
Restricted expendable	67.6	201.1	(133.5)	(66.4)%
Unrestricted	(2,098.2)	(1,798.9)	(299.3)	16.6%
Total Net Position	\$ (251.8)	\$ 98.9	\$ (350.7)	(354.6)%

- Prepaid expenses and other assets decreased \$2.6 million, primarily due to \$5.2 million of conference revenues that were retained by the AAC in fiscal year 2019 and expensed as part of the exit fee in fiscal year 2020. In addition, there were no prepaid team travel expenses in fiscal year 2020. These changes were offset in part by the prepayment of the Big East Conference entrance fee of \$3.5 million for fiscal year 2021 (see Note 18).
- The net increase in property and equipment included additions of \$190.0 million, offset in part by depreciation and amortization of \$117.9 million and retirements of \$2.4 million. The large additions are mostly due to the University's active construction program.
- The change in noncurrent assets corresponds with the decrease in the long-term portion of the State debt service commitment of \$126.2 million, primarily due to principal paydowns of general obligation bonds. The decrease in student and other loans receivable, net, of \$1.8 million was attributable to the closeout of the Federal Perkins Loan Program.

The following graph shows total assets by major category:



The following graph shows total liabilities by major category:



Liabilities

Total liabilities increased \$640.1 million in fiscal year 2020. This change included a decrease in current liabilities of \$44.7 million and an increase in noncurrent liabilities of \$684.8 million.

Current liabilities decreased primarily due to reductions in accounts payable, amounts due to affiliate, and the current portion of long-term debt, partially offset by net increases in payroll-related liabilities and unearned revenue.

- Accounts payable decreased \$43.8 million. Of this amount, \$27.9 million was mainly attributable to amounts owed at the end of the prior fiscal year for capital and deferred maintenance projects, including the Student Recreation Center and Fine Arts Phase 2 – Renovation and Improvements. The portion of the liability for UConn Health projects decreased by \$5.6 million due to the final project entering the closeout phase. In addition, accounts payable for education and general operating expenses decreased \$10.3 million due in part to reduced spending levels related to COVID-19.
- Amounts due to affiliate represent the liability recorded when UConn 2000 general obligation bonds are sold for the benefit of UConn Health. This balance decreased \$3.2 million in fiscal year 2020, primarily a result of expenditures paid for UConn Health capital projects.
- The University's current portion of debt payable also decreased \$8.7 million, primarily due to the redemption of the 2010 Special Obligation Student Fee Revenue Bonds and the variability of principal payments due on general obligation bonds.

- The current portion of total payroll liabilities reflected a combined net increase of \$7.2 million, mainly due to collective bargaining increases and higher fringe benefit rates.
- Unearned revenue increased \$4.3 million, mainly due to an increase in grants advanced from sponsors.

Noncurrent liabilities increased mainly due to changes in net pension and net OPEB liabilities and compensated absences, offset in part by decreases in long-term debt and federal refundable loans.

- Net pension liabilities increased \$270.4 million, mainly due to an increase in the University's proportion of the SERS net pension liability. Additionally, the SERS net pension liability increased due to actuarial differences between expected and actual experience. The net OPEB liability increased \$577.3 million due to changes in actuarial assumptions and an increase in the University's proportion of the net OPEB liability.
- The long-term portion of compensated absences increased \$7.5 million, mainly due to collective bargaining increases and employees using less accrued time during fiscal year 2020.
- The long-term portion of debt decreased \$168.2 million as a result of debt repayments, offset in part by additions. See also the Debt Activities section.
- The long-term portion of the federal refundable loans decreased \$1.6 million due to the closeout of the Federal Perkins Loan Program.

Deferred Outflows and Deferred Inflows of Resources

Deferred outflows of resources increased \$628.3 million, mainly due to components related to the net pension and net OPEB liabilities. Contributions made subsequent to the measurement date increased \$17.6 million, changes in proportions increased \$332.5 million, and losses from experience and assumption changes increased \$275.3 million. Deferred inflows increased \$38.1 million, mainly due to experience gains that were deferred in relation to the net OPEB liability recorded as of June 30, 2020, partially offset by the amortization of deferrals.

Net Position

Net position is divided into three major categories. The first category, net investment in capital assets, represents the University's equity in property and equipment. The second category, restricted net position, is subdivided into nonexpendable and expendable. The corpus of restricted nonexpendable resources is only available for investment purposes and is included with investments in the University's Statement of Net Position. Expendable restricted net position is available for expenditure by the institution. However, it must be spent for purposes

determined by donors or external entities that have placed time or purpose restrictions on the use of the assets. The final category is unrestricted net position, representing funds available to the University for any lawful purpose of the institution. Generally, unrestricted funds are internally assigned to academic and research programs, capital programs, retirement of debt, and auxiliary enterprise activities.

The University's net position as of June 30, 2020, is a negative \$251.8 million as total liabilities and deferred inflows were greater than total assets and deferred outflows. This is primarily a result of long-term liabilities recognized under GASB Statement No. 68 (GASB 68), *Accounting and Financial Reporting for Pensions*, and GASB Statement No. 75 (GASB 75), *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions* and does not reflect the University's resources that are available to meet current obligations (see table below). The University continues to rely on inflows from student tuition and fees, grants and contracts, sales and services, State appropriation, gifts, and other revenues to maintain a liquid financial position.

The table below demonstrates the effects of GASB 68 and GASB 75 on the University's net position for the fiscal years ended June 30, 2020 and 2019, respectively (\$ in millions).

	2020	2019	\$ Change	% Change
Net Position				
Net investment in capital assets	\$ 1,763.7	\$ 1,681.7	\$ 82.0	4.9%
Restricted nonexpendable	15.1	15.0	0.1	0.7%
Restricted expendable	67.6	201.1	(133.5)	(66.4)%
Unrestricted	(2,098.2)	(1,798.9)	(299.3)	16.6%
Total Net Position	(251.8)	98.9	(350.7)	(354.6)%
Pension (GASB 68) impact	915.5	790.8	124.7	15.8%
OPEB (GASB 75) impact	1,418.8	1,286.4	132.4	10.3%
Net Position, Excluding Pension and OPEB	\$ 2,082.5	\$ 2,176.1	\$ (93.6)	(4.3)%

The decrease in net position in fiscal year 2020 included the following changes:

- Net investment in capital assets increased \$82.0 million. This change was due to a net increase in capital assets of \$69.7 million combined with a net decrease of \$12.3 million in capital-related debt.
- Restricted nonexpendable increased \$0.1 million due to additions to permanent endowments received during fiscal year 2020, offset in part by reductions in endowment investments.
- Restricted expendable under capital projects decreased \$127.9 million due to spending down \$125.0 million of general obligation bond funds designated for UCONN 2000 projects and \$4.5 million of State bond proceeds allocated for the Technology Park. These decreases were offset in part by \$1.6 million in additions to the Renewal and Replacement Fund.
- Restricted expendable related to research, scholarships, and other decreased \$5.1 million, primarily due to expenditures of grants and one-time gifts received in the prior fiscal year and adjustments for fringe benefit rates charged to grant programs.
- Restricted expendable related to loans decreased \$0.5 million, primarily due to the return of institutional funds under the Federal Perkins Loan Program.
- Unrestricted net position decreased \$299.3 million, primarily due to pension and OPEB adjustments of \$257.1 million. The remaining decrease of \$42.2 million was mainly attributed to capital-related spending, the AAC exit fee, and lower revenues from sales and services of auxiliary enterprises and educational departments in fiscal year 2020.

STATEMENT OF CASH FLOWS

The Statement of Cash Flows presents detailed information about the cash activity of the University during the year. The first section of this statement, cash flows from operating activities, will always be different from the operating loss amount on the Statement of Revenues, Expenses, and Changes in Net Position. The difference results from noncash items such as depreciation and amortization expense and the use of the accrual basis of accounting in preparing the Statement of Revenues, Expenses, and Changes in Net Position. The Statement of Cash Flows, on the other hand, shows cash inflows and outflows without regard to accruals.

The Statement of Cash Flows has four additional sections. The second section reflects cash flows from noncapital financing activities including State appropriation, debt transactions related to affiliate (UConn Health), financial aid, and gifts. The third section shows cash flows from capital and related financing activities, capital grants and gifts, and State debt service commitments for principal and interest. The fourth section consists of cash flows from investing activities showing the purchases, proceeds, and interest provided from investing activities. The final section is a reconciliation of the operating loss shown on the Statement of Revenues, Expenses, and Changes in Net Position to net cash used in operating activities.

CAPITAL ACTIVITIES

Property and equipment, net of accumulated depreciation and amortization, consisted of the following (\$ in millions):

	2020	2019	\$ Change	% Change
Land	\$ 31.1	\$ 20.1	\$ 11.0	54.7%
Construction in progress	221.4	279.6	(58.2)	(20.8)%
Art and historical collections	56.7	56.4	0.3	0.5%
Non-structural improvements	310.2	260.3	49.9	19.2%
Buildings and improvements	1,537.7	1,465.7	72.0	4.9%
Intangible assets	20.6	21.6	(1.0)	(4.6)%
Library materials	4.8	5.8	(1.0)	(17.2)%
Equipment	90.7	94.0	(3.3)	(3.5)%
Total Property and Equipment, Net	<u>\$ 2,273.2</u>	<u>\$ 2,203.5</u>	<u>\$ 69.7</u>	<u>3.2%</u>

- Land increased \$11.0 million. Additions of \$456,000 represent the land portion of the purchase of 88 Gurleyville Road, a previously unrecorded donation of land located in Willington, Connecticut, transfers of \$10.6 million representing the reclassification of amounts previously capitalized as buildings at the Stamford and Downtown Hartford campuses, offset by \$32,000 representing the sale of the Torrington campus.
- Construction in progress decreased \$58.2 million as projects including Student Recreation Center, Fine Arts Phase 2 – Renovation and Improvements and Central Campus Infrastructure Upgrades and other projects were completed and transferred from construction in progress to buildings and improvements and non-structural improvements. Transfers out of Construction in progress were offset by additions as projects including Gant Building STEM Renovations, CUP Equipment Replacement and Pumping Project, University Athletic District Development, Academic and Research Facilities – STEM Research Center Science 1, and other projects continued construction. Additions to Construction in progress also include net interest costs relating to projects financed by University funded debt.
- Art and historical collections increased by \$0.3 million, representing additions.
- Non-structural improvements increased by \$49.9 million. Additions totaling \$62.2 million included Central Campus Infrastructure Upgrades, Main Campus Parking Replacements, Southeast Campus Infrastructure Upgrades, and other projects. These additions were offset by depreciation expense of \$12.1 million and net retirements of \$0.2 million.
- Buildings and improvements increased by \$72.0 million. Additions of \$154.5 million included Student Recreation Center, Fine Arts Phase 2 – Renovation and Improvements, Whitney Hall Dining Renovations, and other renovation projects. These additions were offset by depreciation expense of \$80.5 million and net disposals of \$2.0 million.
- Intangible assets decreased by \$1.0 million. Additions of \$4.8 million included long-term software licensing commitments, costs associated with the Concur Travel and Expense project and other software implementations offset by amortization expense of \$5.8 million.

- Library materials decreased by \$1.0 million. Additions of approximately \$0.2 million were offset by \$1.2 million in depreciation expense.
- Equipment decreased by \$3.3 million. Additions of \$15.0 million were offset by depreciation expense and net asset disposals of \$18.3 million.
- In June 2020, the University sold the Torrington campus property to a third-party buyer. As part of a purchase and sale agreement, the University transferred buildings and real property (land and improvements), in exchange for \$275,000. As part of an additional purchase and sale agreement, the University transferred unimproved land in exchange for \$100,000. The University received \$1,000 and financed \$99,000, which is included in student and other loans receivable, net.

See also Note 4 in the financial statements for details related to capital activities.

DEBT ACTIVITIES

The University issues general obligation bonds in its own name for a special capital improvement program (UCONN 2000) designed to modernize and expand the physical plant of the University. As amended, the program provides for a capital budget in three phases for the University and UConn Health, with an estimated total cost of \$4.6 billion.

The State has made a commitment to fund the University for all principal and interest payments due on UCONN 2000 general obligation debt. As the general obligation debt is incurred, the commitment from the State is recorded as a current and noncurrent receivable in the

Statement of Net Position. There were no general obligation bonds issued or refunded in fiscal year 2020.

Subsequent to June 30, 2020, the University issued a combined total of \$279.3 million in UCONN 2000 general obligation bonds, with a closing date of December 17, 2020. Bond proceeds consisting of the par amount together with the original issue premium funded \$200.0 million for UCONN 2000 projects and refunded \$138.3 million of all or portions of the outstanding balances of previously issued general obligation bonds plus costs of issuance (see Note 19).

In addition to general obligation bonds, the University may issue special obligation bonds, also called Student Fee Revenue Bonds, which are secured by certain pledged revenues. There were no special obligation bonds issued or refunded in fiscal year 2020.

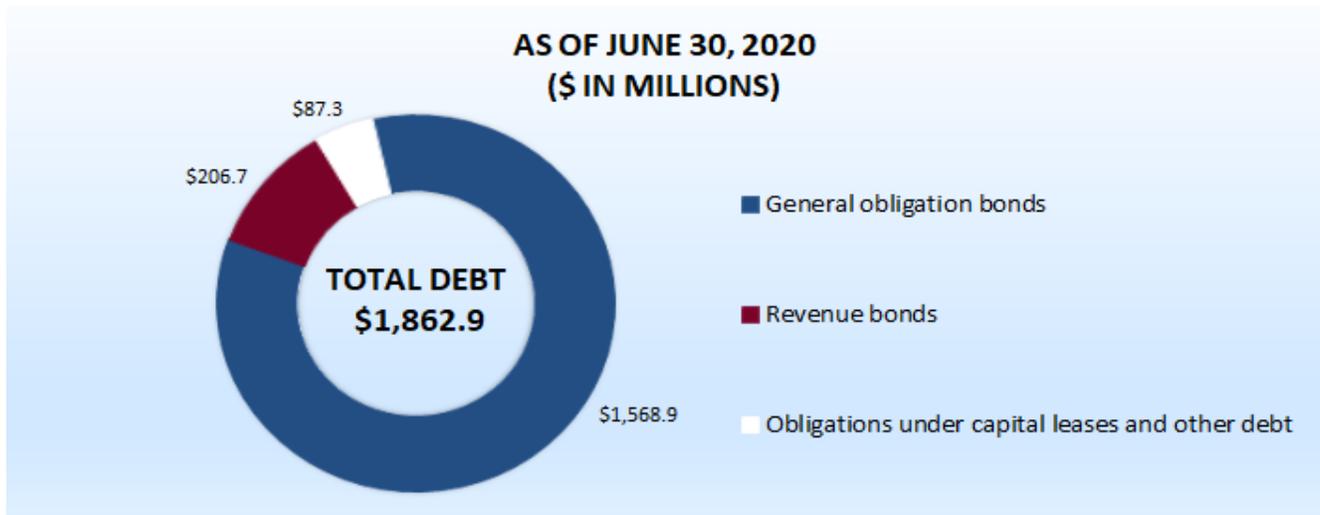
In fiscal year 2020, the University exercised its call option on the Special Obligation Student Fee Revenue Bonds 2010 Refunding Series and redeemed the entire \$16.7 million of outstanding principal on the bonds.

Obligations under capital leases include a lease purchase agreement to finance the UCONN 2000 Cogeneration Facility and a sublease agreement to provide student housing at the Stamford campus. There were no new capital lease obligations in fiscal year 2020.

In fiscal year 2020, the University assumed a liability under long-term debt of \$7.2 million in connection with the University’s departure from the AAC. The AAC liability represents the exit fee, discounted for imputed interest and net of the fiscal years 2019 and 2020 conference revenues retained by the AAC (see Note 18).

See also Note 6 in the financial statements for details related to debt activities.

The following graph illustrates total debt by category, exclusive of premiums and discounts:



ECONOMIC OUTLOOK

The COVID-19 pandemic has caused tremendous uncertainty and challenges in unprecedented proportions worldwide. As a result of the global pandemic, the University instituted several changes in its operations to ensure the safety and well-being of its students, faculty, and staff, and to adhere to social distancing guidelines. Such changes for the fall 2020 semester included reducing density in classrooms and offering students the option of taking their classes online. In July 2020, the University announced it would lower certain mandatory fees for students who are taking all of their courses online, excluding hybrid courses, and who are not living in University housing. In addition, the University significantly reduced its capacity for on-campus housing at its Storrs and Stamford residence halls. The University also plans for a similar model to be carried out for the spring 2021 semester. Furthermore, due to the financial impact caused by the pandemic, the State plans to provide at least \$23.3 million or more in additional federal CARES Act funding to the University in fiscal year 2021. This funding will help offset forgone revenues and for the reimbursement of necessary COVID-19 related expenses incurred in fiscal years 2020 and 2021 (see Note 19).

Salary and fringe benefit costs account for approximately 57 percent of the University's operating budget for fiscal year 2021. Factors that impact these costs include mandatory raises for unionized employees and rising fringe benefit rates attributed to the State's pension and OPEB defined benefit plans. Although the State appropriation funds a portion of salary and fringe benefit costs, the University must utilize non-state resources to cover the remaining share. State support budgeted in fiscal year 2021 includes a block grant and payment for fringe

benefits and adjustments of \$397.0 million. Due to ongoing financial uncertainty, the University also remains at risk for a 5 percent cut as part of the Governor's rescission authority.

To address fiscal challenges, the University implemented various mitigation strategies and measures that include spending cuts, capital reallocations, and mandatory furlough days for certain non-union managers and senior management. In addition, the University expanded online course offerings and collaborated with two partner institutions to establish programs for students overseas. Planned tuition increases approved by the Board of Trustees in December 2019 will also help offset potential losses.

For the University's capital improvement plan, the Board of Trustees approved a \$315.0 million capital budget for fiscal year 2021 that will mostly be financed by general obligation bonds issued under the UCONN 2000 program. The approved capital budget consists mainly of construction and improvements related to academic and science facilities, infrastructure, and high-priority deferred maintenance.

In fiscal year 2021, the University began construction of the Northwest Science Quad, a complex that includes a 198,000-square-foot modern research facility and related amenities. This project is a major component of the Next Generation Connecticut program adopted by the Connecticut General Assembly in 2013 to expand the University's educational and research work in the STEM fields (science, technology, engineering, and math). The Northwest Science Quad is scheduled to open in the fall semester of 2022.

**UNIVERSITY OF CONNECTICUT
STATEMENT OF NET POSITION
As of June 30, 2020**

(\$ in thousands)

	2020
ASSETS	
Current Assets	
Cash and cash equivalents	\$ 348,187
Accounts receivable, net	66,620
Student and other loans receivable, net	2,192
Due from State of Connecticut	51,405
Due from affiliate	12,047
State debt service commitment	150,471
Deposits with bond trustee	89,348
Prepaid expenses and other assets	9,748
Total Current Assets	730,018
Noncurrent Assets	
Investments	15,800
Student and other loans receivable, net	4,668
State debt service commitment	1,442,685
Property and equipment, net	2,273,162
Total Noncurrent Assets	3,736,315
Total Assets	4,466,333
DEFERRED OUTFLOWS OF RESOURCES	
	1,038,594
LIABILITIES	
Current Liabilities	
Accounts payable	50,309
Unearned revenue	42,991
Deposits held for others	2,254
Federal refundable loans	1,771
Wages payable	66,380
Compensated absences	16,279
Due to State of Connecticut	38,632
Due to affiliate	3,689
Current portion of long-term debt and bonds payable	158,629
Other current liabilities	39,127
Total Current Liabilities	420,061
Noncurrent Liabilities	
Compensated absences	20,509
Long-term debt and bonds payable	1,927,877
Federal refundable loans	6,120
Net pension liabilities	1,370,705
Net other post-employment benefits liability	1,871,032
Other liabilities	3,313
Total Noncurrent Liabilities	5,199,556
Total Liabilities	5,619,617
DEFERRED INFLOWS OF RESOURCES	
	137,083
NET POSITION	
Net investment in capital assets	1,763,712
Restricted nonexpendable	15,132
Restricted expendable	
Research, instruction, scholarships, and other	16,582
Loans	2,180
Capital projects and debt service	48,881
Unrestricted	(2,098,260)
Total Net Position	\$ (251,773)

See accompanying notes to basic financial statements.

UNIVERSITY OF CONNECTICUT
STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION
For the Year Ended June 30, 2020

(\$ in thousands)

	2020
OPERATING REVENUES	
Student tuition and fees, net of scholarship allowances of \$182,914	\$ 422,519
Federal grants and contracts	125,936
State and local grants and contracts	19,944
Nongovernmental grants and contracts	21,042
Sales and services of educational departments	15,688
Sales and services of auxiliary enterprises, net of scholarship allowances of \$8,563	169,016
Other sources	31,960
Total Operating Revenues	806,105
OPERATING EXPENSES	
Salaries and wages	602,873
Fringe benefits	597,737
Supplies and other expenses	257,977
Utilities	20,167
Depreciation and amortization	117,870
Scholarships and fellowships	23,367
Total Operating Expenses	1,619,991
Operating Loss	(813,886)
NONOPERATING REVENUES (EXPENSES)	
State appropriation	376,866
State debt service commitment for interest	78,963
Federal and state financial aid	64,549
Gifts	21,790
Investment income	7,881
Interest expense	(71,102)
Disposal of property and equipment, net	(1,912)
Other nonoperating revenues, net	207
Net Nonoperating Revenues	477,242
Loss Before Other Changes in Net Position	(336,644)
OTHER CHANGES IN NET POSITION	
Capital grants and gifts	2,276
Additions to permanent endowments	171
Athletic conference exit fee (Note 18)	(16,436)
Net Other Changes in Net Position	(13,989)
Decrease in Net Position	(350,633)
NET POSITION	
Net Position – Beginning of Year	98,860
Net Position – End of Year	\$ (251,773)

See accompanying notes to basic financial statements.

**UNIVERSITY OF CONNECTICUT
STATEMENT OF CASH FLOWS
For the Year Ended June 30, 2020**

(\$ in thousands)

	2020
CASH FLOWS FROM OPERATING ACTIVITIES	
Student tuition and fees	\$ 417,090
Grants and contracts	164,488
Sales and services of educational departments	15,575
Sales and services of auxiliary enterprises	159,717
Payments to employees	(593,032)
Payments for benefits	(329,540)
Payments to suppliers and others	(331,173)
Collections of loans to students	1,781
Loans issued to students	(88)
Other cash receipts	34,866
Other cash payments	(36)
Net Cash Used in Operating Activities	(460,352)
 CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES	
State appropriation	371,523
State debt service commitment related to affiliate	62,720
Federal and state financial aid	64,006
Gifts	28,725
Principal paid on debt and bonds payable related to affiliate	(36,804)
Interest paid on debt and bonds payable related to affiliate	(25,916)
Net Cash Provided from Noncapital Financing Activities	464,254
 CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES	
State debt service commitment	149,347
Principal paid on debt and bonds payable	(128,749)
Interest paid on debt and bonds payable	(66,313)
Proceeds from sale of property and equipment	550
Purchases of property and equipment	(208,268)
Capital allocation	5,692
Capital grants and gifts	3,196
Net Cash Used in Capital and Related Financing Activities	(244,545)
 CASH FLOWS FROM INVESTING ACTIVITIES	
Purchase of investments	(187)
Sale of investments	395
Interest on investments	9,723
Deposit with bond trustee	187,783
Net Cash Provided from Investing Activities	197,714
 DECREASE IN CASH AND CASH EQUIVALENTS	 (42,929)
BEGINNING CASH AND CASH EQUIVALENTS	391,116
ENDING CASH AND CASH EQUIVALENTS	\$ 348,187

See accompanying notes to basic financial statements.

**UNIVERSITY OF CONNECTICUT
STATEMENT OF CASH FLOWS (Continued)
For the Year Ended June 30, 2020**

(\$ in thousands)

	2020
RECONCILIATION OF OPERATING LOSS TO NET CASH USED IN OPERATING ACTIVITIES	
Operating Loss	\$ (813,886)
Adjustments to Reconcile Operating Loss to Net Cash	
Used in Operating Activities:	
Depreciation and amortization expense	117,870
Property and equipment	4,204
Investments	178
In-kind workers' compensation	589
Other nonoperating revenues	207
Athletic conference exit fee	(9,243)
Changes in Assets and Liabilities:	
Receivables, net	(10,814)
Student and other loans receivable, net	1,945
Due from affiliate	1,782
Prepaid expenses and other assets	2,625
Deferred outflows of resources	(625,353)
Accounts payable, wages payable, and compensated absences	(10,174)
Unearned revenue	4,279
Deposits held for others	318
Federal refundable loans	(4,090)
Due to State of Connecticut	4,362
Due to affiliate	(9,653)
Net pension and net OPEB liabilities	847,762
Other liabilities	2,910
Deferred inflows of resources	33,830
Net Cash Used in Operating Activities	\$ (460,352)

ACCOMPANYING SCHEDULE OF SIGNIFICANT NONCASH TRANSACTIONS

Amortization of premiums, discounts, and gains and losses on debt refundings	\$ 19,178
American Athletic Conference exit fee liability	7,194
Conference revenue retained by the American Athletic Conference	4,072
Acquisition of software licenses under long-term purchase contracts	1,920
Capital assets acquired through gifts	841
Realized and unrealized losses on investment	(161)
Net loss on disposal of capital assets with an original cost of \$15,135, accumulated depreciation of \$12,673, and cash proceeds of \$550	(1,912)

See accompanying notes to basic financial statements.

Notes to Financial Statements For the Year Ended June 30, 2020

NOTE 1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Reporting Entity

The University of Connecticut, a comprehensive institution for higher education governed by a 21-member Board of Trustees, serves as the flagship for higher education in the State of Connecticut (State). This institution is composed of programs based in Storrs and at the four regional campuses: Avery Point, Hartford, Stamford, and Waterbury. It also includes the School of Law, the School of Social Work, and the University of Connecticut Health Center (UConn Health). UConn Health is a fiscally independent branch, defined in State statute as a healthcare institution, that oversees clinical care, advanced biomedical research, and academic education in medicine. Separate for purposes of audit and financial reporting, UConn Health has its own Board of Directors to whom the Board of Trustees has delegated authority and by State statute is a separate entity for purposes of budgeting, maintaining operating funds, and receiving appropriations from the State. The transactions and balances of UConn Health are not included within this comprehensive annual financial report for the year ended June 30, 2020, and the University of Connecticut (University) is herein defined as all programs except for UConn Health.

In accordance with standards issued by the Governmental Accounting Standards Board (GASB), the financial reporting entity consists of the primary government, organizations for which the primary government is financially accountable, and other organizations for which the nature and significance of their relationship with the primary government are such that exclusion would cause the reporting entity's financial statements to be misleading. Legally separate and tax exempt entities shall 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.

The financial operations of the University along with those of UConn Health are reported in the State's comprehensive annual report using the fund structure prescribed by GASB. The State includes the transactions and balances of the University within an enterprise fund under the major business-type activities of the government-wide financial statements, and has noted that State colleges and universities do not possess corporate

powers that would distinguish them as being legally separate.

The University of Connecticut Foundation, Inc. (Foundation) is a related, but independent, corporate entity that supports the mission of the University and is also included in the State's annual report. The Foundation raises funds to promote, encourage, and assist education and research at both the University and UConn Health. Although the Foundation materially supports the mission of both the University and UConn Health, displaying the Foundation's financial statements as a component unit of either entity individually would distort its actual contribution or economic benefit to that entity. Therefore, the Foundation is not included as a component unit in the accompanying financial statements, but is included as a component unit of the State.

Financial Statement Presentation

The accompanying financial statements have been prepared in conformity with United States generally accepted accounting principles (GAAP), as prescribed by GASB. The University is considered a special-purpose government engaged in business-type activities, defined by GASB as those activities that are financed in whole or in part by fees charged to external parties for goods or services.

The University's financial statements include a Statement of Net Position; a Statement of Revenues, Expenses, and Changes in Net Position; and a Statement of Cash Flows. These financial statements have been prepared using the economic resources measurement focus and the accrual basis of accounting. Revenues are recognized when earned, expenses are recognized when incurred, and all significant intra-agency transactions have been eliminated.

Adoption of New Accounting Standards

In May 2020, GASB issued Statement No. 95 (GASB 95), *Postponement of the Effective Dates of Certain Authoritative Guidance*, that provides temporary relief to governments and other stakeholders in light of the novel coronavirus 2019 (COVID-19) pandemic. This objective was accomplished by postponing the effective dates of certain provisions in GASB statements and implementation guides that first became effective or are scheduled to become effective for periods beginning after June 15, 2018, and later. The requirements of GASB 95 were effective immediately. As a result, the University delayed the adoption of certain authoritative guidance with various effective dates that were in scope of GASB 95, including the deferral of GASB Statement No. 84, *Fiduciary Activities*, and GASB Statement No. 90, *Majority Equity Interests*, to fiscal year 2021. The

University also postponed the implementation of GASB Statement No. 87, *Leases*, to fiscal year 2022 in accordance with GASB 95.

Cash Equivalents

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 (STIF) are also considered cash equivalents, with the exception of those classified as restricted balances included in deposits with bond trustee.

Accounts and Loans Receivable

Accounts receivable consists of tuition, fees, auxiliary enterprises service fees, and amounts due from state and federal governments for grants and contracts. Student and other loans receivable consists primarily of amounts due from students under the Federal Perkins Loan Program, which are subject to significant restrictions. The receivable for student and other loans is classified as current and noncurrent based on the amount estimated to be collected within one year and beyond one year, respectively. Accounts and loans receivable are recorded net of an estimated allowance for doubtful accounts.

Due from State and Due to State

Due from State includes an appropriation receivable from the General Fund of the State (General Fund) for payroll, as well as unspent State bond funds designated to the University by the State Bond Commission for specific capital projects.

The State administers employee benefit and retirement plans and charges the University based on an annual fringe benefit rate that is applied to employee salaries. The amount due to State consists of fringe benefits accrued in relation to wages payable reported at the fiscal year-end.

Due from Affiliate and Due to Affiliate

Due from affiliate includes amounts owed by UConn Health resulting from various memorandums of understanding (MOUs) and other operating activities. Due to affiliate includes the unspent portion of general obligation bond proceeds allocated to UConn Health for capital projects that are administered by the University. The proceeds are reported net of accruals for capital expenditures and retainage.

State Debt Service Commitment

The State has made a commitment to paying an annual amount of debt service on securities issued as general obligations of the University. As general obligation debt and related interest are incurred, the commitment from the State is recorded as revenue for principal and interest in the accompanying Statement of Revenues, Expenses, and Changes in Net Position. A corresponding receivable is recorded in the accompanying Statement of Net Position

and is classified as current and noncurrent based on debt service payments owed in one year and beyond one year, respectively.

Deposits with Bond Trustee

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 the General Statutes of Connecticut (State General Statutes).

The University has directed the Trustee Bank to invest UCONN 2000 indenture related construction fund proceeds in STIF. Similarly, the University has directed the Trustee Bank to invest other related funds in dedicated STIF accounts for debt service funds for the Special Obligation Student Fee Revenue Bonds. Additionally, the University transfers unrestricted funds periodically to a dedicated STIF account in accordance with the Renewal and Replacement Fund Requirement (see Note 2). The Renewal and Replacement Fund Requirement is defined by the Special Obligation Indenture as an amount deemed necessary to maintain assets financed with bond proceeds in sound operating condition.

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. Investment earnings from Student Fee Revenue Bonds are part of pledged revenues and are directly retained by the Trustee Bank to pay debt service on the bonds or for other indenture permitted purposes. 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 that are used by the Trustee Bank to meet debt service payments on defeased bonds until called.

Inventories

Inventories classified as available for resale are included with prepaid expenses and other assets in the accompanying Statement of Net Position and are valued at cost as determined by the first-in, first-out method. Maintenance and custodial supplies, repair parts, and other general supplies used in daily operations are expensed when purchased.

Investments

The University accounts for its investments at fair value, categorized for disclosure purposes within the fair value hierarchy established by GAAP. The hierarchy is based on the valuation inputs used to measure the fair value of the

investment. The three-level hierarchy of inputs is summarized as follows:

- Level 1 – Quoted prices for identical investments in an active market.
- Level 2 – Inputs other than Level 1 that are observable, such as quoted prices for similar investments in active markets; quoted prices for identical or similar investments in markets that are not active; or inputs other than quoted prices that are observable, such as interest rate and yield curves, volatilities, and credit spreads, among others.
- Level 3 – Inputs that are unobservable but supported by the University’s or the Foundation’s own assumptions, taking into consideration the assumptions that market participants would use in pricing the investment. These inputs are developed based on the best information available under the circumstances.

The net asset value (NAV), or its equivalent, is used to determine the fair value of all investments that do not have a readily determinable fair value. Since they are not readily determinable, the fair values of these investments may differ from the values that would have been used had a ready market existed for these investments.

Changes in the unrealized gain or loss on the carrying value of the University’s investments are recorded as nonoperating revenues or expenses in the accompanying Statement of Revenues, Expenses, and Changes in Net Position.

Property and Equipment

Property and equipment are reported at cost at the date of acquisition or, in the case of gifts, at acquisition value. All land is capitalized regardless of cost. Capital projects greater than \$100,000 that significantly increase the value or useful life of an asset are capitalized. Routine repairs and maintenance costs are charged to operating expenses in the year incurred. Equipment with a value of \$5,000 or more and a useful life of more than one year is capitalized.

Depreciation and amortization expenses are recorded on a straight-line basis over the estimated useful lives of the respective assets:

Non-structural improvements	10 – 50 years
Buildings and building components	6 – 60 years
Intangible assets	3 – 10 years
Library materials	15 years
Equipment	3 – 30 years

Art and historical collections are recognized at their acquisition values and are not depreciated. The Thomas J. Dodd Research Center at the University maintains

historical collections of original source materials used for research and serves as the University’s official archive. New items are added to the collection if their acquisition value can be substantiated by an external appraisal.

The University does not include interest in the cost of constructed capital assets financed through general obligation bonds. The repayment of interest on these bonds is funded by the State. Interest incurred during the construction phase on projects financed through University funded debt is capitalized, net of interest earned on the invested proceeds of the borrowing.

Unearned Revenue

Unearned revenue includes amounts received for services to be rendered in a future accounting period. This amount is composed primarily of student charges (tuition, fees, room, and board) received in advance of the applicable academic period and amounts received from sponsors related to certain restricted research grants that will not be included in revenue until the funds are expended. It also includes advance ticket sales for sporting events and commitments received in advance of the athletic season.

Compensated Absences

Employee vacation, holiday, compensatory, and sick leave are accrued at year-end for financial statement purposes. The liability is included as compensated absences in the accompanying Statement of Net Position and is classified as current and noncurrent based on the amount estimated to be paid to eligible employees in one year and beyond one year, respectively. The related expense is included as an operating expense in the accompanying Statement of Revenues, Expenses, and Changes in Net Position.

Noncurrent Liabilities

Noncurrent liabilities include (1) the long-term portion of compensated absences, (2) principal payments due on bonds (net of unamortized premiums and discounts), loans and capital leases with a maturity of more than one year, (3) net pension and net other post-employment benefits (OPEB) liabilities, (4) the long-term portion of governmental advances for revolving student loan programs required to be returned to the federal government upon cessation of the program, and (5) other liabilities consisting of an asset retirement obligation (ARO) and the long-term portion of the University’s bookstore service concession arrangement liability.

Net Pension and Net OPEB Liabilities

For purposes of measuring net pension and net OPEB liabilities, related deferred outflows of resources and deferred inflows of resources, and related expenses, information about the fiduciary net position as well as additions to and deductions from each plans’ fiduciary net position have been determined on the same basis as they are reported by each plan. For this purpose, plan member

contributions are recognized in the period the contributions are due. Employer contributions are recognized in the period the contributions are appropriated. Benefits and refunds to pension plan members are both recognized when due and payable in accordance with the terms of each plan. Investments are reported at fair value.

Deferred Outflows and Deferred Inflows of Resources

The University reports changes in the net pension and net OPEB liabilities not included in pension or OPEB expense, respectively, as deferred outflows of resources or deferred inflows of resources. The University's contributions to the pension and OPEB plans made subsequent to the measurement date of the net pension and net OPEB liabilities are reported as deferred outflows of resources.

Beginning in fiscal year 2020, the University reports gains and losses on refunded debt separately as deferred inflows of resources and deferred outflows of resources, respectively, in lieu of offsetting gains and losses within deferred outflows. Gains and losses on refunded debt represent the difference between the reacquisition price and the net carrying amount of the refunded bonds. Such amounts are amortized as a component of interest expense on a straight-line basis over the life of either the old debt or the new debt, whichever is shorter.

Certain AROs are reported as deferred outflows of resources and are recognized over the remaining useful life of the related asset. The difference between payments received and contractual liabilities recorded in connection with a service concession arrangement is reported as deferred inflows of resources and is recognized as revenue over the contract term.

Net Position

GASB requires that resources be classified for accounting and reporting purposes into the following categories of net position:

- **Net investment in capital assets:** Capital assets, net of accumulated depreciation and amortization, reduced by outstanding principal balances of bonds (net of State debt service commitment), notes, and liabilities that are attributable to the acquisition, construction, or improvement of those assets. Deferred outflows of resources and deferred inflows of resources that are attributable to the acquisition, construction, or improvement of those assets or related debt are also included in this component.
- **Restricted nonexpendable:** Endowment and similar type assets for 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. These assets are invested for the purpose of

producing present and future income, which may be expended or reinvested in principal.

- **Restricted expendable:** Assets reduced by liabilities and deferred inflows of resources related to those 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:** The net amount of assets, deferred outflows of resources, liabilities, and deferred inflows of resources that do not meet the definition of "restricted" or "net investment in capital assets". These assets are not subject to externally imposed stipulations, but they may be subject to internal designations. For example, amounts classified as unrestricted may be assigned to specific purposes by action of management or the Board of Trustees, or may otherwise be limited by contractual agreements with outside parties. In general, all unrestricted amounts in net position are assigned to support academic and research programs, capital projects, retirement of indebtedness, and auxiliary enterprise activities.

The University's policy regarding whether to first apply restricted or unrestricted resources when an expense is incurred is based on a variety of factors. These factors include consideration of prior or future revenue sources, the type of expense incurred, the University's budgetary policies surrounding the various revenue sources, and whether the expense is a recurring cost.

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.

Revenues and Expenses

The University has classified its revenues and expenses as either operating or nonoperating according to the following criteria:

- **Operating revenues and expenses:** Operating revenues consist of tuition and fees, grants and contracts, sales and services of educational activities, auxiliary enterprises revenue, and other sources of revenue that generally have the characteristics of exchange transactions. 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 also recognized to the extent expended or, in the case of fixed price contracts, when the contract terms are met or completed. Operating expenses include all expense transactions incurred other than those related to investing or financing, irrespective as to whether the revenues associated with those expenses are classified as operating or nonoperating. These expenses are reported using natural classification, comprehensive of expenses incurred under both educational and general programs and auxiliary enterprises. See also Note 16 for operating expenses presented by functional classification.

- **Nonoperating revenues and expenses:** All other revenues and expenses of the University are reported as nonoperating revenues and expenses including State appropriation, State debt service commitment for interest, federal and state financial aid, noncapital gifts, and investment income. Interest expense and disposal of property and equipment, net, are also reported as nonoperating.

Scholarship Discounts and Allowances

GASB requires that revenues be reported net of scholarship discounts and allowances, representing the difference between the stated charge for goods and services provided by the University and the amount that is ultimately paid by students or on their behalf. Any aid applied directly to student accounts in payment of tuition and fees, housing charges, and dining services is reflected as a scholarship allowance deducted from the University's operating revenues. Scholarships and fellowships expense in the accompanying Statement of Revenues, Expenses, and Changes in Net Position includes financial aid payments made directly to students.

UConn Health MOUs

The University manages certain operations for UConn Health in exchange for payment. These payments cover operating expenses related to public safety, marketing, library services, technology commercialization, and other miscellaneous services. The terms of these arrangements are set forth in formal MOUs that are reviewed and agreed

upon by both parties on an annual basis. The revenues from UConn Health MOUs are recorded as part of other sources under operating revenues in the accompanying Statement of Revenues, Expenses, and Changes in Net Position. See Note 15 for further details.

Other Significant Transactions

In March 2020, the World Health Organization declared the outbreak of COVID-19 as a pandemic and the Governor of Connecticut declared a civil preparedness and public health emergency. In accordance with the Governor of Connecticut's executive order, the University temporarily closed all non-essential operations and transitioned to online classes for the duration of the spring 2020 semester. As of June 30, 2020, the University refunded a total of \$33.6 million to students for a pro rata share of housing and dining fees charged for the period from when the University transitioned students to a distance learning environment for the completion of the 2020 spring semester. The housing and dining refunds were reported as an offset to sales and services of auxiliary enterprises under operating revenues in the accompanying Statement of Revenues, Expenses, and Changes in Net Position for the year ended June 30, 2020.

The Coronavirus Aid, Relief, and Economic Security Act (CARES Act) was passed by U.S. Congress and signed into law by the President of the United States on March 27, 2020. As part of the law, the CARES Act created the Higher Education Emergency Relief Fund (HEERF). Subsequently, the University was awarded \$21.5 million, of which 50 percent was disbursed to students as emergency grants to cover expenses due to COVID-19 and the remaining funds were designated to the University to cover a portion of the prorated housing and dining refunds. According to HEERF, an institution can only expend funds associated with changes due to COVID-19 up to the amount provided to students as emergency grants. The CARES Act funds were reported as federal and state financial aid under nonoperating revenues and the emergency grants disbursed to students were reported as scholarships and fellowships under operating expenses in the accompanying Statement of Revenues, Expenses, and Changes in Net Position for the year ended June 30, 2020.

NOTE 2. CASH AND CASH EQUIVALENTS, DEPOSITS, AND INVESTMENTS

The University's total cash and cash equivalents, deposits, and investments included the following as of June 30, 2020 (amounts in thousands):

	<u>2020</u>
<u>Cash and Cash Equivalents</u>	
Cash maintained by State Treasurer	\$ 315,901
Invested in STIF	29,625
Other deposits	<u>2,661</u>
Total Cash and Cash Equivalents	<u>348,187</u>
<u>Deposits with Bond Trustee</u>	
Invested in STIF	89,348
Total Deposits with Bond Trustee	<u>89,348</u>
<u>Investments</u>	
Foundation-managed endowments	15,132
UConn Innovations Fund, LLC	668
Total Investments	<u>15,800</u>
Total Cash and Cash Equivalents, Deposits, and Investments	<u>\$ 453,335</u>

Cash and Cash Equivalents

Collateralized deposits are protected by State General Statute. This statute requires that 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 mainly by the bank's financial condition, which is measured using ratios of leverage, net worth, and risk-based capital. 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 (FDIC) 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 STIF, United States Treasury bills, United States Treasury notes and bonds, United States Government Agency obligations, bankers' acceptances, certificates of deposit (including EURO Dollars), commercial paper, money market funds, repurchase agreements, and savings accounts.

STIF is a money market investment pool in which the State, municipal entities, and other 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. STIF had a Standard and Poor's rating of AAAM and a weighted average maturity of 16 days as of June 30, 2020.

Deposits with Bond Trustee

Deposits of the University include UCONN 2000 bond indenture related funds held by the Trustee Bank at the direction of the University. As of June 30, 2020, deposits with bond trustee included \$89.3 million invested in STIF. Of this amount, \$11.9 million related to the Renewal and Replacement Fund, an indenture defined account funded with non-bond proceeds. The Trustee Bank's FDIC deposit insurance covers the University's deposits up to \$250,000.

Foundation-Managed Endowments

The University designated the Foundation as the manager of the University's endowment funds. 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 General Statutes, and in accordance with the Foundation's endowment spending policy described in the following section.

The endowment spending policy adopted by the Foundation's Board of Directors, in conjunction with a 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, net of management fees.

The Foundation's endowment spending allocation policy adheres to the Connecticut Uniform Prudent Management of Institutional Funds Act (UPMIFA). UPMIFA considers prudence in maintaining an endowment fund in perpetuity. 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.

An advancement fee is assessed to fund expenses incurred in meeting the Foundation's fiduciary and fundraising responsibilities to donors and the University. The endowment spending allocation and advancement fee taken together cannot exceed 6.75 percent or fall below 3 percent of the quarterly fair value of endowment funds. 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 advancement fee policies to allow endowments to grow on average at least at the annualized rate of inflation. This is consistent with the organization's objective of providing resources for the underlying purposes of its 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.

University endowment investments are managed by the Foundation in a pooled portfolio that 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 the pooled investment portfolio, providing that the maximum exposure with any one manager would be 20 percent for actively managed liquid assets and 5 percent for illiquid assets. The Foundation's Board of Directors also established an asset allocation policy for the long-term pooled investment portfolio. The Foundation expects that portfolios will be invested in only the strategies described in the following table, and not above or below the individual strategy percentage and its total percentage by objective, unless otherwise specified by its Board of Directors.

Investment Objectives and Strategies	Allocation Range as Percentage of Fair Value
<u>Growth</u>	
Public equity	60% – 90%
<u>Risk Minimizing</u>	
Global fixed income	10% – 40%
Cash	0% – 10%
<u>Inflation Hedging</u>	
Real assets	0% – 10%

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 effective durations of 0.44 years and a Standard and Poor's rating of BBB totaling \$1.8 million and a rating of

AAA totaling \$56,000. The University endowment's foreign publicly traded equities totaled \$597,000 as of June 30, 2020. Private capital investments totaled approximately \$381,000 as of June 30, 2020.

Other Investments

Certain investments are also held directly by the University. The University held an ownership interest in UConn Innovation Fund, LLC as of June 30, 2020 (see Note 15).

Funds Held in Trust by Others

Certain other funds are held in trust for investment by outside trustees. The University is designated as the income beneficiary and the funds are not under the direct control of the University. Accordingly, the assets of these funds are not included in the accompanying financial statements. The fair value of these funds was \$16.2 million as of June 30, 2020. Investment income earned on these assets is transferred to the University in accordance with applicable trust agreements. Income received from those sources for the year ended June 30, 2020, was \$553,000.

Fair Value Measurement

Certain investments managed by the Foundation are measured at fair value pricing using NAV, or its equivalent. NAVs provided by third-parties have been utilized in determining fair value where there are significant unobservable inputs related to Level 3 assets, as all investments have been made through commingled fund structures with no direct ownership. The Foundation's investment managers utilize outside pricing services and administrators as well as their own internal valuation models in determining and verifying fair values.

The Foundation performs ongoing due diligence with its investment managers that includes evaluation of managers' operations and valuation procedures, site visits, investor calls, and review of manager filings and audited financial statements. The Investment Committee of the Foundation's Board of Directors monitors performance of investment managers and meets formally with managers on a periodic basis in addition to the ongoing due diligence performed by the Foundation investment staff.

The fair value amounts presented in the following table are intended to permit reconciliation of the fair value hierarchy to the investment balance presented in the Statement of Net Position as of June 30, 2020 (amounts in thousands):

	2020				
	Level 1	Level 2	Level 3	NAV	Total
<u>Foundation-Managed Investments</u>					
Cash and cash equivalents	\$ 616	\$ -	\$ -	\$ -	\$ 616
Fixed income securities					
Corporate investment grade	1,850	-	-	-	1,850
Equity securities					
Domestic	10,332	-	-	-	10,332
Offshore	597	-	-	-	597
Private capital					
Buyout and venture capital	-	-	-	277	277
Debt	-	-	-	96	96
Royalties	-	-	-	8	8
Long and short equities	-	-	-	1	1
Private real estate	-	-	-	14	14
Private natural resources	-	-	-	321	321
Relative value	-	-	-	1,020	1,020
Total Foundation-Managed Investments	<u>13,395</u>	<u>-</u>	<u>-</u>	<u>1,737</u>	<u>15,132</u>
<u>University-Held Investments</u>					
Other	-	-	-	668	668
Total University-Held Investments	<u>-</u>	<u>-</u>	<u>-</u>	<u>668</u>	<u>668</u>
Total Investments	<u>\$ 13,395</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 2,405</u>	<u>\$ 15,800</u>

The Foundation has agreements with external investment managers that include certain redemption terms and restrictions as noted in the following table as of the fiscal year ended June 30, 2020 (amounts in thousands):

Investment Strategy	2020				
	Fair Value	Unfunded Commitments	Remaining Life	Redemption Terms	Redemption Restrictions
Private capital partnerships including venture, buyout, and debt in the U.S. and international, and other	\$ 382	\$ 119	Less than 1 to 8 years	Not applicable	Not redeemable
Private real estate partnerships in commercial, residential, office, and industrial properties	14	35	1 to 3 years	Not applicable	Not redeemable
Natural resource partnerships in energy and timber	321	38	1 to 5 years	Not applicable	Not redeemable
Total	<u>\$ 717</u>	<u>\$ 192</u>			

NOTE 3. ACCOUNTS AND LOANS RECEIVABLE

Accounts receivable as of June 30, 2020, consisted of the following (amounts in thousands):

	2020
Grants and contracts	\$ 48,885
Student and general	25,938
Investment income	505
Allowance for doubtful accounts	(8,708)
Total Accounts Receivable, Net	<u>\$ 66,620</u>

The University participates in the U.S. Department of Education Federal Direct Lending Program. Under this program, the University distributed loans of \$190.0 million in fiscal year 2020 to students, including those enrolled in UConn Health programs. These distributions

and related funding are not reflected as expenses and revenues or as cash disbursements and cash receipts in the accompanying financial statements. The excess of direct loans distributed over funding received from the U.S. Department of Education as of June 30, 2020, was \$1.8 million; this amount was included as a receivable under grants and contracts.

The University reported student and other loans receivable of \$6.9 million for the fiscal year ended June 30, 2020. This balance is substantially composed of amounts owed from students under the U.S. Department of Education Federal Perkins Loan Program and are reported separately from accounts receivable in the accompanying Statement of Net Position. The 2020 amount is reported net of an allowance for doubtful accounts of \$1.1 million at June 30, 2020. See Note 7 for information regarding the closeout of the Federal Perkins Loan Program.

NOTE 4. PROPERTY AND EQUIPMENT

The following table describes the changes in property and equipment for the year ended June 30, 2020 (amounts in thousands):

	Balance July 1, 2019	Additions	Retirements	Transfers	Balance June 30, 2020
<u>Capital Assets Not Being Depreciated</u>					
Land	\$ 20,110	\$ 456	\$ (32)	\$ 10,599	\$ 31,133
Construction in progress	279,629	78,093	-	(136,346)	221,376
Art and historical collections	56,367	305	-	-	56,672
Total Capital Assets Not Being Depreciated	<u>356,106</u>	<u>78,854</u>	<u>(32)</u>	<u>(125,747)</u>	<u>309,181</u>
<u>Depreciable Capital Assets</u>					
Non-structural improvements	429,343	27,119	(2,388)	35,037	489,111
Buildings and improvements	2,592,773	63,831	(5,640)	90,710	2,741,674
Intangible assets	50,993	4,802	(608)	-	55,187
Library materials	54,971	226	-	-	55,197
Equipment	282,968	15,125	(6,467)	-	291,626
Total Depreciable Capital Assets	<u>3,411,048</u>	<u>111,103</u>	<u>(15,103)</u>	<u>125,747</u>	<u>3,632,795</u>
<u>Less Accumulated Depreciation</u>					
Non-structural improvements	169,059	12,109	(2,220)	-	178,948
Buildings and improvements	1,127,076	80,537	(3,630)	-	1,203,983
Intangible assets	29,353	5,819	(609)	-	34,563
Library materials	49,113	1,251	-	-	50,364
Equipment	189,016	18,154	(6,214)	-	200,956
Total Accumulated Depreciation	<u>1,563,617</u>	<u>117,870</u>	<u>(12,673)</u>	<u>-</u>	<u>1,668,814</u>
<u>Depreciable Capital Assets, Net</u>	<u>1,847,431</u>	<u>(6,767)</u>	<u>(2,430)</u>	<u>125,747</u>	<u>1,963,981</u>
<u>Property and Equipment, Net</u>	<u>\$ 2,203,537</u>	<u>\$ 72,087</u>	<u>\$ (2,462)</u>	<u>\$ -</u>	<u>\$ 2,273,162</u>

In June 2020, the University sold the Torrington campus property to a third-party buyer. As part of the purchase and sale agreement, the University transferred buildings and

real property (land and improvements) in exchange for \$275,000. A second agreement included a transfer of unimproved land in exchange for \$100,000. An initial

deposit of \$1,000 was received and the remainder is payable in seven annual installments. The University recorded a loan receivable in the amount of \$99,000, \$15,000 of which is included in current loans receivable, net, and \$84,000 of which is included in noncurrent loans receivable, net, in the accompanying Statement of Net Position. For the year ended June 30, 2020, the University recognized a loss on the sale of \$1.0 million, which is included in disposal of property and equipment, net, in the accompanying Statement of Revenues, Expenses, and Changes in Net Position.

The University previously capitalized \$10.6 million of land assets as building assets. For the year ended June 30, 2020, an adjustment to properly categorize these assets is included in transfers in the previous table.

The University capitalized \$1.5 million of net interest cost for the year ended June 30, 2020.

NOTE 5. UNEARNED REVENUE

As of June 30, 2020, unearned revenue included the following (amounts in thousands):

	<u>2020</u>
Tuition, fees, and other student charges	\$ 20,751
Amounts received from grant sponsors	19,575
Athletic tickets, commitments, and other	<u>2,665</u>
Total Unearned Revenue	<u>\$ 42,991</u>

NOTE 6. LONG-TERM DEBT AND BONDS PAYABLE

The UConn 2000 Infrastructure Improvement Program (UCONN 2000) established by The University of Connecticut 2000 Act (Act) is designed to modernize, rehabilitate and expand the physical plant of the University. The Act provides for a 32-year capital budget program in three phases, estimated to cost \$4,619.3 million. The Act was originally adopted in 1995 to authorize and finance the UCONN 2000 Phase I Projects and the UCONN 2000 Phase II Projects at University campuses not including UConn Health. The Act was amended in 2002 by the 21st Century UConn Act to add the authorization and financing of UCONN 2000 Phase III Projects that included projects at UConn Health.

In 2010, the General Assembly enacted and the Governor signed Public Act (PA) 10-104 that increased the cost of certain UConn Health projects, authorized additional projects for UConn Health, and extended UCONN 2000 for an additional two fiscal years to 2018. In 2011, the General Assembly enacted and the Governor signed PA 11-75 that increased the estimated cost of two UConn

Health projects. In 2013, the General Assembly enacted and the Governor signed PA 13-233, Next Generation Connecticut, that authorized additional projects, increased the cost of certain projects, increased the authorized funding amount for bonds secured by the State debt service commitment, and extended UCONN 2000 for an additional six fiscal years to 2024.

In 2017, the General Assembly enacted and the Governor signed PA 17-2 that extended UCONN 2000 for an additional three fiscal years to 2027, but did not increase the total amount that may be authorized by the Board of Trustees for the UCONN 2000 projects.

In March 2020, the General Assembly enacted and the Governor signed PA 20-1 that reallocated the authorized debt service commitment funding paid for by the State among the fiscal years 2020 through 2027, but did not change the total debt service commitment amount authorized for UConn 2000 projects.

UCONN 2000 is to be funded in part by the issuance of \$4,282.9 million of general obligation bonds of the University secured by the State debt service commitment. The balance of the estimated cost of UCONN 2000 projects that is not to be financed by the University's bonds secured by the State debt service commitment may be funded by the issuance of the University's special obligation bonds, other University debt obligations, State general obligation bonds, from gifts, and other revenue or borrowing resources of the University.

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 are deposited into irrevocable escrow accounts held by the Trustee Bank to meet all obligations on the refunded debt. 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 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. There were no general obligation bonds issued or refunded in fiscal year 2020.

As general obligation bonds are issued, nonoperating revenue for State debt service commitment for principal is recognized at face value less any refunded debt and amounts set aside to finance UConn Health projects. Since there were no general obligation bonds issued or refunded in fiscal year 2020, no State debt service commitment for

principal was recognized for the year ended June 30, 2020. The portion of proceeds allocated to UConn Health is recorded as due to affiliate in the accompanying Statement of Net Position. As of June 30, 2020, the unspent portion of this balance was \$3.7 million. In addition, nonoperating revenue for State debt service commitment for interest on general obligation bonds of \$79.0 million was recognized for the year ended June 30, 2020, of which approximately \$25.4 million was associated with UConn Health projects. As of June 30, 2020, approximately \$514.7 million of the total outstanding principal on general obligation bonds pertained to proceeds used to finance UConn Health projects.

In addition to general obligation bonds, the University may issue special obligation bonds, also called Student Fee Revenue Bonds, which are backed by certain pledged revenues of the University. In November 2019, the University redeemed in advance of maturity the remaining principal balance, totaling \$16.7 million, of the 2010 Refunding Series A Special Obligation Student Fee Revenue Bonds. There were no special obligation bonds issued in 2020.

Special obligation bonds are secured by certain pledged revenues as defined in the indenture. In fiscal year 2020, this consisted of gross and net revenues of approximately \$83.0 million. Gross pledged revenues include the Infrastructure Maintenance Fee, the General University Fee, and other revenue. Other revenue consists of the FIT (Facilities Investment Together) surcharge on athletic ticket sales plus investment income on the bond accounts held by the Trustee Bank. Net pledged revenues include the residential life room fee, student apartment rentals, Greek housing fee, board (dining) fee, and parking and transportation fees, after providing for the cost of maintaining, repairing, insuring, and operating the facilities for which the fees are imposed and before depreciation expense is deducted. These revenues do not include \$10.7 million received from the federal government for the CARES Act in fiscal year 2020. 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 each respective fiscal year for its special obligation bonds.

The total principal and interest remaining to be paid on all special obligation bonds as of June 30, 2020, was \$343.5 million. The total amount of \$26.8 million for the principal and \$10.8 million for the interest was paid on this debt from pledged revenues in fiscal year 2020.

Unamortized premiums and discounts are recorded as additions or reductions 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.

Other debt obligations of the University include long-term software commitments, obligations under capital leases, and the American Athletic Conference (AAC) exit fee liability. Long-term software commitments represent the University's obligations to make payments to various vendors in accordance with contract terms in exchange for the right to use certain software applications. Obligations under capital leases consist of the UCONN 2000 Cogeneration Facility and the Stamford residential facility agreements (see Note 8).

The AAC exit fee liability represents the balance owed to the conference after the University's withdrawal in fiscal year 2020 (see Note 18). The remaining principal balance of \$7.2 million, net of discount for imputed interest at 2.2%, is to be paid in six equal annual installments of \$1.3 million, commencing on July 1, 2021. The University has the discretion to pay the remainder of the exit fee in full at any time.

Long-term debt activity for the year ended June 30, 2020, was as follows (amounts in thousands):

	Balance July 1, 2019	Additions	Retirements	Balance June 30, 2020	Current Portion
General obligation bonds	\$ 1,700,180	\$ -	\$ (131,275)	\$ 1,568,905	\$ 126,220
Revenue bonds	233,445	-	(26,790)	206,655	5,740
Installment loans	25	-	(25)	-	-
Obligations under capital leases					
Cogeneration Facility	33,466	-	(4,834)	28,632	4,946
Stamford residential facility	45,049	-	(932)	44,117	1,078
Long-term software commitments	7,132	1,920	(1,697)	7,355	2,437
American Athletic Conference exit fee	-	7,194	-	7,194	-
Total Long-Term Debt	<u>2,019,297</u>	<u>9,114</u>	<u>(165,553)</u>	<u>1,862,858</u>	<u>140,421</u>
Premiums and discounts	244,077	-	(20,429)	223,648	18,208
Total Long-Term Debt, Net	<u>\$ 2,263,374</u>	<u>\$ 9,114</u>	<u>\$ (185,982)</u>	<u>\$ 2,086,506</u>	<u>\$ 158,629</u>

Long-term debt outstanding as of June 30, 2020, consisted of the following (amounts in thousands):

Type of Debt and Issue Date	Original Amount	Maturity Dates Through Fiscal Year	Interest Rate*	2020 Balance
<u>Bonds</u>				
GO 2010 Series A	\$ 97,115	2030	3.0-5.0%	\$ 48,550
GO 2010 Refunding Series A	36,095	2021	2.25-5.0%	4,840
GO 2011 Series A	179,730	2031	3.515-5.0%	98,835
GO 2011 Refunding Series A	31,905	2023	2.0-5.0%	9,505
GO 2013 Series A	172,660	2034	2.0-5.0%	120,855
GO 2013 Refunding Series A	51,250	2024	2.0-5.0%	29,670
GO 2014 Series A	109,050	2034	2.0-5.0%	76,325
GO 2014 Refunding Series A	92,940	2025	2.0-5.0%	4,075
GO 2015 Series A	220,165	2035	1.0-5.0%	165,125
GO 2015 Refunding Series A	34,625	2026	4.0-5.0%	20,665
GO 2016 Series A	261,510	2036	3.0-5.0%	209,200
GO 2016 Refunding Series A	80,425	2027	4.0-5.0%	25,910
GO 2017 Series A	311,200	2037	2.5-5.0%	264,520
GO 2017 Refunding Series A	33,950	2022	2.5-5.0%	18,050
GO 2018 Series A	276,075	2038	3.0-5.0%	248,470
GO 2019 Series A	174,785	2038	3.0-5.0%	166,045
GO 2019 Refunding Series A	64,680	2028	5.0%	58,265
Total General Obligation Bonds	<u>2,228,160</u>			<u>1,568,905</u>
Rev 2012 Refunding Series A	87,980	2030	1.5-5.0%	67,965
Rev 2018 Series A	141,725	2048	3.0-5.25%	138,690
Total Revenue Bonds	<u>229,705</u>			<u>206,655</u>
Total Bonds	<u>2,457,865</u>			<u>1,775,560</u>
<u>Loans and Other Debt</u>				
Obligations under capital leases				
Cogeneration Facility	81,900	2026	2.22%	28,632
Stamford residential facility	47,000	2042	2.62%	44,118
Long-term software commitments	11,895	various	4.94%	7,354
American Athletic Conference exit fee	7,194	2027	2.20%	7,194
Total Loans and Other Debt	<u>147,989</u>			<u>87,298</u>
Total Bonds, Loans, and Other Debt	<u>\$2,605,854</u>			<u>1,862,858</u>
Add: premiums and discounts				<u>223,648</u>
Total Bonds, Loans, and Other Debt, Net				<u>2,086,506</u>
Less: current portion, net				<u>158,629</u>
Total Noncurrent Portion, Net				<u>\$1,927,877</u>

*For bonds, the weighted average coupon rates are averaged by year of redemption.

Long-term debt, including general obligation bonds, revenue bonds, and other obligations, is scheduled to mature in the following fiscal years as of June 30 (amounts in thousands):

Year(s)	General Obligation Bonds			Long-Term Debt Other Than General Obligation Bonds			Total Obligations		
	Principal	Interest	Total	Principal	Interest	Total	Principal	Interest	Total
2021	\$ 126,220	\$ 74,869	\$ 201,089	\$ 14,201	\$ 12,141	\$ 26,342	\$ 140,421	\$ 87,010	\$ 227,431
2022	120,970	68,880	189,850	15,091	11,746	26,837	136,061	80,626	216,687
2023	117,155	63,040	180,195	18,116	11,124	29,240	135,271	74,164	209,435
2024	112,765	57,313	170,078	18,308	10,412	28,720	131,073	67,725	198,798
2025	107,630	51,752	159,382	18,519	9,706	28,225	126,149	61,458	187,607
2026-2030	487,400	182,603	670,003	71,219	38,732	109,951	558,619	221,335	779,954
2031-2035	376,225	75,424	451,649	31,880	27,527	59,407	408,105	102,951	511,056
2036-2040	120,540	9,277	129,817	40,322	20,329	60,651	160,862	29,606	190,468
2041-2045	-	-	-	40,907	11,419	52,326	40,907	11,419	52,326
2046-2050	-	-	-	25,390	2,046	27,436	25,390	2,046	27,436
Total	\$ 1,568,905	\$ 583,158	\$ 2,152,063	\$ 293,953	\$ 155,182	\$ 449,135	\$ 1,862,858	\$ 738,340	\$ 2,601,198

NOTE 7. OTHER LONG-TERM LIABILITIES

Long-term liability activity other than debt and bonds payable for the year ended June 30, 2020, was as follows (amounts in thousands):

	Balance July 1, 2019	Additions	Deductions	Balance June 30, 2020	Current Portion
Compensated absences	\$ 31,299	\$ 9,392	\$ (3,903)	\$ 36,788	\$ 16,279
Federal refundable loans	11,920	-	(4,029)	7,891	1,771
Net pension liabilities	1,100,278	365,303	(94,876)	1,370,705	-
Net OPEB liability	1,293,696	645,497	(68,161)	1,871,032	-
Other liabilities					
Service concession arrangement	4,642	-	(752)	3,890	721
Asset retirement obligation	144	-	-	144	-
Total Other Long-Term Liabilities	\$ 2,441,979	\$ 1,020,192	\$ (171,721)	\$ 3,290,450	\$ 18,771

The federal refundable loans include the federal liability for the Federal Perkins Loan Program that expired September 30, 2017. No new disbursements were permitted under the program after June 30, 2018. As part of the closeout of the Federal Perkins Loan Program, the University opted to continue to service outstanding loans, assign defaulted loans, and return the federal portion of the program's total cash on hand as required by the U.S. Department of Education.

An ARO in the amount of \$144,000 is recorded in other long-term liabilities relating to the University's 90-day storage facility for hazardous waste. The closure of these facilities is subject to State regulations as defined by the Connecticut Department of Energy and Environmental Protection. In fiscal year 2015, the University paid \$144,000 to close its former 90-day storage facility. The University considers this a reasonable estimate to close the new facility, which has a 40-year useful life beginning January 1, 2017.

The University has an ARO relating to the closure of its Wastewater Treatment Facility that is not yet recognized because it cannot be reasonably estimated.

NOTE 8. LEASES

Capital Leases

In December 2003, the University entered into a 20-year lease purchase agreement for a project to provide on-site generation of electricity, steam, and chilled water for heating and cooling at the University's Storrs campus. The project initially assumed a total cost of \$75.0 million and included construction of a building and the engineering, design, and installation of certain equipment to establish the Cogeneration Facility. The lease was amended in August 2005 as a result of an increase in the total anticipated cost to \$81.9 million. After another amendment, the remaining monthly payments decreased from \$517,000 to \$482,000 beginning August 2013 and the original lease term did not change. In November 2016,

the lease was amended again to reflect a new nominal rate, decreasing monthly payments to \$462,000 beginning January 2017. Amounts advanced by the lessor include capitalized interest during construction and are reflected as long-term debt in the accompanying Statement of Net Position. At the completion of the lease term, the University has an option to purchase the project assets for \$1. The historical cost and accumulated depreciation of the Cogeneration Facility were \$82.9 million and \$50.1 million, respectively, as of June 30, 2020.

On August 1, 2017, the University entered into a 25-year master sublease agreement for 116 apartment units at 900 Washington Boulevard in Stamford. The apartments serve as the University's residential facility for the Stamford campus. The University will have options to purchase the property on each tenth anniversary of the term, and a right of first refusal if the lessor receives a bona-fide offer to buy the property. Lease payments for the first year of the master sublease total \$2.7 million and increase by 1.9% annually. The historical cost and accumulated depreciation of the Stamford residential facility were \$47.2 million and \$4.2 million, respectively, as of June 30, 2020.

All assets subject to capital lease agreements are included in property and equipment in the accompanying Statement of Net Position, and depreciation on these assets is included in depreciation and amortization expense in the accompanying Statement of Revenues, Expenses, and Changes in Net Position (see Note 4). Loans related to these capital lease agreements are included in long-term debt and bonds payable in the accompanying Statement of Net Position (see Note 6).

Operating Leases

The University has leases related to equipment and building space that expire at various dates. Future minimum rental payments at June 30, 2020, under non-cancellable operating leases that exceeded \$500,000 each were as follows (amounts in thousands):

<u>Fiscal Year</u>	<u>Payments</u>
2021	\$ 4,301
2022	4,278
2023	3,744
2024	3,107
2025	2,960
Thereafter	9,543
Total	<u>\$ 27,933</u>

Expenses related to operating lease commitments in excess of \$500,000 each were approximately \$4.6 million for the fiscal year ended June 30, 2020.

NOTE 9. RETIREMENT PLANS

State Retirement Systems

The University sponsors two defined benefit plans administered through the State: the State Employees' Retirement System (SERS) and the Connecticut Teachers' Retirement System (TRS). SERS and TRS do not issue stand-alone financial reports but are reported as fiduciary funds within the State's Comprehensive Annual Financial Report (CAFR). Financial reports are available on the website of the Office of the State Comptroller at www.osc.ct.gov.

Plan descriptions. SERS is a single-employer defined benefit plan that covers substantially all of the State's full-time employees who are not eligible for another State sponsored retirement plan. SERS consists of Tier I, Tier II, Tier IIA, Tier III, Tier IV, and the Hybrid Plan, which are administered by the State Comptroller's Retirement Division under the direction of the State Employees' Retirement Commission.

As of June 30, 2020, approximately 62 percent of the University's eligible employees participate in SERS. Individuals actively employed and participating in the State Alternate Retirement Program (ARP) on September 22, 2010, were eligible to participate in the State Employees' Bargaining Agent Coalition (SEBAC) ARP Grievance (SAG) Award. The SAG Award provided participants in ARP a one-time irrevocable opportunity to elect to transfer to SERS Tier II or Tier IIA (based on hire date) or to remain an ARP member. Accordingly, 567 University employees transferred to SERS from ARP during fiscal year 2019. The closing date for this one-time election was December 14, 2018.

TRS is a cost-sharing multiple-employer defined benefit plan covering any teacher, principal, superintendent, or supervisor engaged in service of public schools in the State. Employees previously qualified for TRS continue coverage during employment with the University and do not participate in any other offered retirement plans. TRS is governed by Chapter 167a of the State General Statutes, as amended through the current session of the State legislature and is administered by the Teachers' Retirement Board.

Benefits provided. SERS provides retirement, disability, and death benefits along with COLAs to plan members and their beneficiaries. Generally, the monthly pension benefit is calculated in accordance with a basic formula that takes into consideration average salary, credited service, and age at retirement. The details on plan benefits for the Tier IV Plan, revised COLAs for plan members retiring on or after July 1, 2022, and revised disability retirement requirements are described in the SEBAC 2017 agreement. Further details on plan benefits, COLAs, and other plan provisions are described in Sections 5-152 to 5-

192x of the State General Statutes. A brief summary of benefit terms for each SERS plan is presented below.

Deferred Vesting - SERS

Tier I	10 years of service
Tier II and IIA	Effective July 1, 1997, 5 years of actual state service, 10 years of vesting service, or age 70 with 5 years of service
Tier III and IV	10 years of benefit service

TRS also provides retirement, disability, and death benefits along with annual COLAs to plan members and their beneficiaries. Generally, monthly plan benefits are based on a formula in combination with the member's age, service, and the average of the highest 3 years of paid salaries. Members are 100 percent vested after 10 or more years of credited service. Further information on TRS plan benefits, COLAs, and other plan provisions are described in Sections 10-183b to 10-183ss of the State General Statutes.

Contributions. SERS contribution requirements are established and may be amended by the State legislature subject to the contractual rights established by collective bargaining. The State is required to contribute at an actuarially determined rate. Employee contribution rates for the fiscal year ended June 30, 2020, were as follows:

- Tier I Hazardous – 6 percent of earnings up to Social Security Taxable Wage Base plus 7 percent of earnings above that level
- Tier I Plan B – 4 percent of earnings up to Social Security Taxable Base plus 7 percent of earnings above that level
- Tier I Plan C – 7 percent of earnings
- Tier II Hazardous – 6 percent of earnings
- Tier II (all others) – 2 percent of earnings
- Tier IIA and III Hazardous – 7 percent of earnings
- Tier IIA and III (all others) – 4 percent of earnings
- Tier IV Hazardous – 8 percent of earnings
- Tier IV (all others) – 5 percent of earnings

Contributions may vary for anyone electing to maintain retirement eligibility.

In accordance with the SEBAC 2017 agreement, in years where asset losses require further increases in contributions, Tier IV employees' contributions may increase by half the necessary increase in rates (up to 2 percent). Finally, all Tier IV employees must contribute 1 percent to the defined contribution component of the

Hybrid Plan and may elect additional contributions of up to 3 percent of salary. The State is required to contribute at an actuarially determined rate to the defined benefit component and 1 percent of eligible compensation to the defined contribution component.

Individuals hired on or after July 1, 2011 and before July 1, 2017, who were otherwise eligible for the ARP, were also eligible to become members of the Hybrid Plan. The Hybrid Plan has defined benefits identical to Tiers II, IIA, and III, but requires employee contributions 3 percent higher than the contribution required from the applicable Tier II, IIA, or III Plan.

TRS contribution requirements are also established and may be amended by the State legislature. Plan members are required to contribute 7 percent of their annual salary. Employer contributions are funded by the State on behalf of the participating municipal employers, which is considered to be a special funding situation. However, this special funding situation does not apply to the University, an agency of the State, because there is not a separate non-employer contributing entity.

The University contributes to both plans on behalf of its employees by applying fringe benefit rates assessed by the State to eligible salaries and wages in each participant category. The rates of actual University contributions as a percentage of covered payroll during fiscal year 2020 were 38.8 percent and 31.4 percent for SERS and TRS, respectively. These amounts are expected to finance the costs of benefits earned by employees during the year and any unfunded accrued liability. The University's contributions for fiscal year 2020 were \$103.2 million and \$419,000 for SERS and TRS, respectively.

Proportionate share of the collective net pension liability (NPL) and pension expense. The total pension liability (TPL) used to calculate the NPL was determined based on the annual actuarial funding valuation reports as of June 30, 2019 and 2018, for SERS and TRS, respectively. The TRS TPL was rolled forward to the measurement date of June 30, 2019.

The TRS TPL as of June 30, 2019, reflects changes of benefit terms in accordance with PA 19-117 that was enacted by the General Assembly and signed by the Governor in June 2019. Beginning July 1, 2019, annual interest credited on mandatory contributions is set at 4 percent. In addition, members retiring on or after July 1, 2019, who have elected a partial refund option with 50 percent of the aggregate benefit paid prior to their death, that is less than their aggregated contributions, will have the difference between such aggregated benefits paid and member contributions paid to the retiree's beneficiary.

Since the prior valuation, the TRS Board of Directors adopted the following changes in assumptions in conjunction with PA 19-117: reduction of the inflation assumption from 2.75 percent to 2.5 percent; reduction of the real rate of return assumption from 5.2 percent to 4.4 percent which, when combined with the inflation assumption change, results in a decrease in the investment rate of return assumption from 8 percent to 6.9 percent; increase of the annual rate of wage increase assumption from 0.50 percent to 0.75 percent; and phase in to a level dollar amortization method for the June 30, 2024 valuation.

The University's proportion of the collective NPL was based on the University's share of contributions relative to total contributions made to the respective pension plans. Based on this calculation, the University's proportion was

5.98 percent and 0.04 percent for SERS and TRS, respectively, at the measurement date of June 30, 2019. SERS increased 0.93 of a percentage point from its proportion measured as of June 30, 2018.

The University's proportionate share of the collective NPL at June 30, 2020, and related pension expense for fiscal year 2020 consisted of the following (amounts in thousands):

	<u>SERS</u>	<u>TRS</u>	<u>Total</u>
Proportionate share of the collective NPL	\$ 1,364,546	\$ 6,159	\$ 1,370,705
Pension expense	\$ 227,752	\$ 578	\$ 228,330

Deferred Outflows and Deferred Inflows of Resources Related to Pensions. At June 30, 2020, the University reported deferred outflows and deferred inflows of resources related to pensions from the following sources (amounts in thousands):

	<u>SERS</u>	<u>TRS</u>	<u>Total</u>
<u>Deferred Outflows of Resources</u>			
Changes in assumptions	\$ 89,571	\$ 1,509	\$ 91,080
Changes in proportion and differences between University contributions and proportionate share of contributions	181,461	7	181,468
Net differences between projected and actual earnings on pension plan investments	-	103	103
University contributions subsequent to the measurement date	103,218	419	103,637
Difference between expected and actual experience	92,710	-	92,710
Total Deferred Outflows	<u>\$466,960</u>	<u>\$ 2,038</u>	<u>\$468,998</u>
<u>Deferred Inflows of Resources</u>			
Changes in proportion and differences between University contributions and proportionate share of contributions	\$ 9,955	\$ 403	\$ 10,358
Net differences between projected and actual earnings on pension plan investments	3,247	-	3,247
Difference between expected and actual experience	-	154	154
Total Deferred Inflows	<u>\$ 13,202</u>	<u>\$ 557</u>	<u>\$ 13,759</u>

The \$103.6 million in deferred outflows relating to University contributions made subsequent to the measurement date will be recognized as a reduction of the NPL in the reporting year ending June 30, 2021. Other amounts reported as deferred outflows and deferred inflows of resources related to pensions will be recognized in pension expense as follows (amounts in thousands):

<u>Fiscal Year</u>	<u>SERS</u>	<u>TRS</u>	<u>Total</u>
2021	\$ 124,216	\$ 194	\$ 124,410
2022	89,868	150	90,018
2023	56,257	213	56,470
2024	54,581	209	54,790
2025	25,618	208	25,826
Thereafter	-	88	88
Total	<u>\$ 350,540</u>	<u>\$ 1,062</u>	<u>\$ 351,602</u>

At June 30, 2020, the University recorded a payable due to State of \$12.6 million in the accompanying Statement of Net Position for the outstanding amount of SERS pension contributions required for the fiscal year ended June 30, 2020.

Actuarial assumptions. The TPL was determined based on the actuarial experience studies for the period July 1, 2011 – June 30, 2015 for SERS and for the period July 1, 2010 – June 30, 2015 for TRS, using the following key actuarial assumptions:

	SERS	TRS
Inflation	2.50%	2.50%
Salary increases, including inflation	3.50% – 19.50%	3.25% – 6.50%
Investment rate of return, net of pension plan investment expense, including inflation	6.90%	6.90%

For SERS, the RP-2014 White Collar Mortality Table projected to 2020 by scale BB at 100 percent for males and 95 percent for females is used for the period after service retirement and for dependent beneficiaries. The

RP-2014 Disabled Retiree Mortality Table at 65 percent for males and 85 percent for females is used for the period after disability.

TRS mortality rates were based on the RPH-2014 White Collar Table with employee and annuitant rates blended from ages 50 to 80, projected to the year 2020 using the BB improvement scale, and further adjusted to grade in increases (5 percent for females and 8 percent for males) to rates over age 80 for the period after service retirement and for dependent beneficiaries as well as for active members. The RPH-2014 Disabled Mortality Table projected to 2017 using the MP-2014 improvement scale is used for the period after disability retirement.

The long-term expected rate of return on pension plan investments was determined using a log-normal distribution analysis in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and adding expected inflation.

The target asset allocation and best estimates of arithmetic real rates of return for each major asset class as of the June 30, 2019 measurement date are summarized in the following table for SERS and TRS:

Asset Class	Target Allocation	Long-Term Expected Real Rate of Return
Domestic equity fund	20.0%	5.6%
Developed market intl. stock fund	11.0%	6.0%
Emerging market intl. stock fund	9.0%	7.9%
Core fixed income fund	16.0%	2.1%
Inflation linked bond fund	5.0%	1.1%
Emerging market debt	5.0%	2.7%
High yield bond fund	6.0%	4.0%
Real estate fund	10.0%	4.5%
Private equity	10.0%	7.3%
Alternative investments	7.0%	2.9%
Liquidity fund	1.0%	0.4%
Total	<u>100.0%</u>	

Discount rate. The discount rate used to measure the TPL was 6.9 percent for SERS and TRS. The projection of cash flows used to determine the discount rates assumed that employee contributions would be made at the current contribution rates and that employer contributions would be made according to actuarially determined amounts in future years. Based on those assumptions, the SERS and TRS pension plans' fiduciary net position were projected to be available to make all projected future benefit

payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the TPL.

Sensitivity analysis. The following table presents the University's proportionate share of the collective NPL calculated using the discount rate of 6.9 percent for SERS and TRS. The table also shows what the University's

proportionate share of the collective NPL would be if it were calculated using a discount rate that is 1 percentage point lower or 1 percentage point higher than the current rate (amounts in thousands).

	1% Decrease	Current Discount	1% Increase
SERS	\$ 1,629,631	\$ 1,364,546	\$ 1,143,423
TRS	\$ 7,682	\$ 6,159	\$ 4,878

Pension plan fiduciary net position. Detailed information about the fiduciary net position of the SERS and TRS pension plans are available in the State's CAFR for the fiscal year ended June 30, 2019.

Alternate Retirement Plan

The University also sponsors the State Alternate Retirement Plan (ARP), a defined contribution plan administered through a third-party administrator, Prudential Financial, Inc. The Connecticut State Employees Retirement Commission has the authority to supervise and control the operation of the plan including the authority to make and amend rules and regulations relating to the administration of the plan.

All unclassified employees not already in a pension plan of a constituent unit of the State system of higher education or the central office staff of the Department of Higher Education are eligible to participate in ARP.

ARP contribution requirements are established and may be amended by the State legislature subject to the contractual rights established by collective bargaining. The SEBAC 2017 agreement amended certain provisions for ARP by revising employee and employer contribution rates. Participants hired prior to July 1, 2017, must contribute 6 percent of their eligible compensation, except for participants who elected the one-time option to remain at the previous employee contribution rate of 5 percent, and their employer must contribute 7 percent of eligible compensation. Participants hired on or after July 1, 2017, have the option to contribute 6.5 percent or 5 percent of their eligible compensation and their employer must contribute 6.5 percent of eligible compensation. There is no minimum vesting period for ARP. Other ARP provisions are described in Chapter 66 of the State General Statutes, *State Employees Retirement Act*.

The University contributes to the plan on behalf of its employees by applying fringe benefit rates assessed by the State to eligible salaries and wages of each ARP participant. The University's ARP pension expense for fiscal year 2020 was \$13.3 million. At June 30, 2020, the University recorded a payable due to State of \$1.9 million in the accompanying Statement of Net Position for the

outstanding amount of ARP contributions required for the fiscal year ended June 30, 2020.

Department of Dining Services

The University's Department of Dining Services (DDS) employs 522 full-time staff, of which 58 participate in either SERS or ARP. The remaining 464 are eligible to participate in two other defined contribution plans: the University of Connecticut, Department of Dining Services Money Purchase Pension Plan (MPPP) or the University of Connecticut, Department of Dining Services 403(b) Retirement Plan (403(b) Retirement Plan). Both plans are administered through a third-party administrator, Pension Consultants, Inc. The fiduciary of the plans has the authority to supervise and control the operation of the plans including the authority to make and amend rules and regulations relating to the administration of the plans.

Under the provisions of MPPP, all employees of DDS with at least 700 hours of service and 12 months of service are eligible to participate. DDS is required to contribute 10 percent or 7 percent of covered compensation for eligible employees, dependent upon hire date, and its employees do not make any contributions to MPPP. Employees are vested after three years of credited service. Any amounts forfeited are used to reduce DDS's contribution. Upon separation of service in accordance with plan provisions, a participant or designated beneficiary can withdraw a lump sum payment or receive annuity payments. Other plan provisions can be found in the MPPP document.

Under the provisions of the 403(b) Retirement Plan, all employees who perform services for DDS as common law employees are eligible to participate. For any participant employed on September 1, 1994, or terminated and rehired prior to September 1, 1995, and who has at least 700 hours of service, DDS is required to match 50 percent of the first 4 percent of the employee's contributions. Participants hired after August 31, 1994, do not receive a DDS match. Participant and State matches are both 100 percent vested. Upon separation of service in accordance with plan provisions, a participant or designated beneficiary can withdraw a lump sum payment or receive annuity payments. Other plan provisions can be found in the 403(b) Retirement Plan document.

For the fiscal year ended 2020, pension expense was \$836,000, net of forfeitures of \$26,000, for MPPP, and \$43,000 for the 403(b) retirement plan. At June 30, 2020, the University recorded payables for outstanding contributions of \$418,000 and \$22,000, for MPPP and the 403(b) retirement, respectively, as part of other current liabilities in the accompanying Statement of Net Position.

**NOTE 10. OTHER POST-EMPLOYMENT
BENEFITS (OPEB)**

The State provides OPEB benefits to University employees through the State Employee OPEB Plan (SEOPEBP). SEOPEBP does not issue stand-alone financial reports but is reported as a fiduciary fund within the State's CAFR. Financial reports are available on the website of the Office of the State Comptroller.

Plan description. SEOPEBP is a single-employer defined benefit OPEB plan that covers employees of the State who are receiving benefits from a qualifying State-sponsored retirement system. This plan is administered by the State Comptroller's Healthcare Policy and Benefits Division under the direction of the State Employees Retirement Commission.

Benefits provided. SEOPEBP provides healthcare benefits to eligible retirees and their spouses as well as life insurance benefits to employees when they retire. The State may pay up to 100 percent of the healthcare insurance premium cost for eligible retirees. In addition, the State pays 100 percent of the premium cost for a portion of the employees' 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. Employees hired prior to July 1, 2011, are vested for retiree health benefits upon completion of 10 years of actual state service. Employees hired on or after July 1, 2011 are vested for retiree health benefits upon completion of 15 years of actual state service. If employees should resign from service prior to reaching the age for early or normal retirement eligibility, the employee would be able to receive the retiree health benefits according to the Rule of 75 (age + service = 75). Plan benefits, and other plan provisions are described in sections 5-257 and 5-259 of the State General Statutes. Further information regarding plan changes affecting employees retiring on or after October 2, 2017, are described in the SEBAC 2017 agreement.

Contributions. SEOPEBP is primarily funded on a pay-as-you-go basis. The contribution requirements of the plan members and the State are established and may be amended by the State legislature, or by agreement between the State and employee unions, upon approval by the State legislature. Current active employees contribute a percentage of their salary into the Retiree Health Care Trust Fund (RHCF) for pre-funding of OPEB benefits. Employees hired prior to July 1, 2017, contribute 3 percent of their salary for a period of 10 years or until

retirement, whichever is sooner. In accordance with the SEBAC 2017 agreement, employees hired on or after July 1, 2017, contribute 3 percent of their salary for 15 years. Contributions are refundable to employees that leave State employment prior to completing the required years of service.

Similar to pension, the University contributes to SEOPEBP on behalf of its employees by applying fringe benefit rates assessed by the State to eligible salaries and wages for participants in each retirement plan. This amount is expected to finance retiree healthcare service costs and fund the matching employer portion that is equal to the amount contributed by employees to the RHCF each year beginning on July 1, 2017. The University's rate of actual contributions as a percentage of covered payroll was 16.3 percent and the total amount contributed to the plan was \$76.9 million for the fiscal year ended June 30, 2020.

Proportionate share of the collective net OPEB liability (NOL) and OPEB expense. The total OPEB liability (TOL) used to calculate the NOL was determined based on an actuarial valuation report as of June 30, 2019. The TOL measured since the prior measurement date of June 30, 2018, reflects changes in actuarial assumptions, including a decrease in the discount rate. The salary scale and mortality rates were updated to be consistent with the corresponding retirement system assumptions. In addition, demographic assumptions, per capita health costs, administrative costs, and contributions were updated to better reflect actual experience. Healthcare cost trend rates and retiree contribution rates were also adjusted.

The University's proportion of the collective NOL was based on the University's share of contributions relative to total contributions made to SEOPEBP. Based on this calculation, the University's proportion was 9.05 percent as of the measurement date of June 30, 2019, which was an increase of 1.55 percentage points from its proportion measured as of June 30, 2018.

The University's proportionate share of the collective NOL at June 30, 2020, and related OPEB expense for fiscal year 2020 are shown below (amounts in thousands):

	<u>SEOPEBP</u>
Proportionate share of the collective NOL	\$ 1,871,032
OPEB expense	\$ 209,290

At June 30, 2020, the University reported deferred outflows and deferred inflows of resources related to OPEB from the following sources (amounts in thousands):

	<u>SEOPEBP</u>
<u>Deferred Outflows of Resources</u>	
University contributions subsequent to the measurement date	\$ 76,889
Changes in assumptions	249,945
Changes in proportion	239,380
Total Deferred Outflows	<u>\$ 566,214</u>
<u>Deferred Inflows of Resources</u>	
Changes in assumptions	\$ 61,968
Changes in proportion	4,375
Net differences between projected and actual earnings on OPEB plan investments	406
Difference between expected and actual experience	47,215
Total Deferred Inflows	<u>\$ 113,964</u>

The \$76.9 million in deferred outflows for contributions made subsequent to the measurement date will be included as a reduction of the NOL in the reporting year ending June 30, 2021. Other amounts reported as deferred outflows and deferred inflows of resources related to OPEB will be recognized in the University's OPEB expense as follows (amounts in thousands):

<u>Fiscal Year</u>	<u>SEOPEBP</u>
2021	\$ 82,679
2022	82,679
2023	89,117
2024	98,414
2025	22,471
Thereafter	-
Total	<u>\$ 375,360</u>

At June 30, 2020, the University recorded a payable due to State of \$9.0 million in the accompanying Statement of Net Position for the outstanding amount of SEOPEBP contributions required for the year ended June 30, 2020.

Actuarial assumptions. The TOL was determined by an actuarial valuation as of June 30, 2019, using the following actuarial assumptions, applied to all periods included in the measurement, unless otherwise specified:

	<u>SEOPEBP</u>
Payroll growth rate	3.50%
Salary increases	3.25% – 19.50%
Discount rate	3.58% as of June 30, 2019
Healthcare cost trend rates	
Medical and prescription drug	6.00% graded to 4.50% over 6 years
Dental	3.00%
Part B	4.50%
Administrative expense	3.00%

Demographic assumptions used to determine TOL are the same as those used in the most recent actuarial pension valuations and experience studies included in Note 9 disclosures for defined benefit pension plans.

The same long-term expected rate of return of 6.9 percent used in the SERS pension valuation was also used in the SEOPEBP valuation. See Note 9, under SERS, for the target allocation and projected arithmetic real return for each major asset class used in the derivation of the long-term expected investment rate of return.

Discount rate. The discount rate changed from 3.95 percent as of June 30, 2018, to 3.58 percent as of June 30, 2019. The projection of cash flows used in calculating the discount rate included employer contributions actuarially determined in accordance with GASB 75 and employee contributions made in accordance with the current SEBAC agreements. The discount rate used is a blend of the long-term expected rate of return on OPEB trust assets and the municipal bond rate. The municipal bond rate is a yield or index rate for 20-year, tax-exempt general obligation municipal bonds with an average rate of AA/Aa or higher (3.50 percent as of June 30, 2019). The blending is based on sufficiency of projected assets to make projected benefits.

Sensitivity analysis. The following presents the University's proportionate share of the collective NOL and what it would be using a discount rate that is 1 percentage point lower or 1 percentage point higher than the current rate (amounts in thousands):

	<u>Sensitivity of Discount Rate</u>		
	<u>1%</u>	<u>Current</u>	<u>1%</u>
	<u>Decrease</u>	<u>Discount</u>	<u>Increase</u>
SEOPEBP	\$2,177,589	\$1,871,032	\$1,622,177

Also, shown is the University's proportionate share of the collective NOL and what it would be using healthcare cost trend rates that are 1 percentage point lower or 1 percentage point higher than the current healthcare cost trend rates (amounts in thousands):

	Sensitivity of Healthcare Cost Trends		
	1% Decrease	Current Trend Rates	1% Increase
SEOPEBP	\$ 1,603,938	\$ 1,871,032	\$ 2,208,154

OPEB plan fiduciary net position. Detailed information about SEOPEBP's fiduciary net position is available in the State's CAFR for the fiscal year ended June 30, 2019.

NOTE 11. DEFERRED OUTFLOWS AND DEFERRED INFLOWS OF RESOURCES

Deferred outflows and deferred inflows of resources consisted of the following as of June 30, 2020 (amounts in thousands):

	2020
<u>Deferred Outflows of Resources</u>	
Accumulated losses on debt refundings	\$ 3,251
Amounts related to net pension liabilities	468,998
Amounts related to net OPEB liability	566,214
Amounts related to ARO	131
Total Deferred Outflows of Resources	<u>\$ 1,038,594</u>
<u>Deferred Inflows of Resources</u>	
Amounts related to service concession arrangement	\$ 5,140
Accumulated gains on debt refundings	4,220
Amounts related to net pension liabilities	13,759
Amounts related to net OPEB liability	113,964
Total Deferred Inflows of Resources	<u>\$ 137,083</u>

NOTE 12. SERVICE CONCESSION ARRANGEMENT

In June 2016, the University contracted with Barnes & Noble Booksellers, Inc. (Barnes & Noble) to manage the University's bookstore facilities for the next 10 years. The University recorded an execution payment for \$1.5 million that is amortized over the 10-year period. In March 2017, the contract was amended to include an additional location at the new downtown Hartford campus. The University is obligated to provide bookstore facilities and utilities, including amounts related to the leased locations in Storrs Center and Harford. Barnes & Noble invested \$4.0 million to improve and furnish the bookstore facilities.

At June 30, 2020, the University reported bookstore facilities as capital assets with a carrying amount of \$7.0 million and a receivable of \$525,000, representing June 2020 income. The University also reported a liability of \$3.9 million, representing the present value of the lease obligations and utilities, and a deferred inflow of resources of \$5.1 million that will be amortized as revenue over the contract term.

NOTE 13. COMMITMENTS

The University had outstanding commitments, in excess of \$500,000 each, of \$309.5 million as of June 30, 2020. This amount included \$292.4 million related to capital projects for the University and \$2.2 million related to UCONN 2000 capital projects that are administered by the University for UConn Health. UCONN 2000 expenditures made on behalf of UConn Health offset the due to affiliate liability in the accompanying Statement of Net Position (see Note 6). In addition to the amounts related to capital outlay, approximately \$14.9 million in outstanding commitments related to operating expenses. See Note 8 for amounts related to operating leases.

NOTE 14. 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 also 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 accompanying Statement of Revenues, Expenses, and Changes in Net Position. This increased tuition and fee revenues and operating expenses by \$5.6 million for the fiscal year ended June 30, 2020. The total amount of waivers not reflected in the accompanying financial statements was \$67.2 million in fiscal year 2020. Approximately 89 percent of this amount was provided to graduate assistants.

NOTE 15. RELATED PARTY TRANSACTIONS

Transactions with related parties occur in the normal course of the University's operations. The following related party transactions were deemed significant and material in nature:

UConn Health

The University directly engages in transactions with UConn Health. For the fiscal year ended June 30, 2020,

the University recorded \$18.0 million in revenues from UConn Health related to services specified in the annual UConn Health MOUs (see Note 1). The University also received amounts from UConn Health related to grants and contracts, sales and services of educational departments and auxiliary enterprises, and for other miscellaneous goods and services. For the year ended June 30, 2020, the University reported a receivable from UConn Health of \$12.0 million.

Other sources of operating revenues related to the UConn Health MOUs as of June 30, 2020, contained the following (amounts in thousands):

	<u>2020</u>
Public Safety	\$ 8,089
Communications (marketing)	3,947
Library Services	1,950
Technology Commercialization Services	944
Audit, Compliance, Privacy	823
Information Technology	773
Document production	768
Miscellaneous services	740
Revenue from Affiliate	<u>\$ 18,034</u>

The University is also responsible for the management of UCONN 2000 bond funds for UConn Health's construction projects. The unspent portion of these funds was recorded under due to affiliate in the accompanying Statement of Net Position (see Note 6).

The Foundation

The Foundation is a tax-exempt organization supporting the University and UConn Health (see Note 1). The University entered into a written agreement with the Foundation whereby the University agreed to provide financial support to the Foundation through a guaranteed contractual amount and the Foundation agreed to reimburse the University for certain operating expenses incurred on the Foundation's behalf. The terms of the agreement also stipulate that goals, objectives, and financial arrangements are reviewed and agreed upon by both parties on an annual basis.

The following transactions occurred between the University and the Foundation as of and for the year ended June 30, 2020 (amounts in thousands):

	<u>2020</u>
Total expenses incurred for guaranteed contractual services provided by the Foundation	\$ 11,205
Reimbursements from the Foundation for operating expenses	\$ 414
Accrued capital and noncapital gift and grant revenue from the Foundation	\$ 18,127
Amount receivable from the Foundation*	\$ 6,291

*Included in accounts receivable, net, in the accompanying Statement of Net Position.

The Foundation also has the primary responsibility for alumni engagement activities for the University. The University has granted the Foundation rights to use the Alumni Center building, which is owned by the University, at an annual rental amount of \$1.

In accordance with the terms of a ground lease between the University and the Foundation, approximately 1.58 acres on which the Foundation building was constructed is leased to the Foundation at an annual rental amount of \$1. The initial term of the ground lease is 99 years and the Foundation has the right to extend the term of the ground lease for another 99 years. The ground lease provides that, at its expiration or earlier termination, the Foundation shall surrender the premises and title to the building will be transferred to the University.

The State

The University receives funding from the State for debt service on capital projects via UCONN 2000 (see Note 6). In addition, the State supports the University's mission through State appropriation and the provision of payments for fringe benefits. State appropriation represents amounts appropriated to the University from the General Fund. Payments for fringe benefits are made by the State for reimbursements related to salaries expensed from the General Fund.

State appropriation and the provision of payments for fringe benefits for the year ended June 30, 2020, consisted of the following (amounts in thousands):

	<u>2020</u>
General Fund appropriation received from the State	\$ 197,093
Payments for fringe benefits received from the State	174,685
Increase of General Fund payroll receivable	<u>5,088</u>
Total Appropriation and Payments for Fringe Benefits from the State	<u>\$ 376,866</u>

The State may also issue general obligation bonds to fund capital projects at the University. Pursuant to various public or special bond acts, the General Assembly empowers the State Bond Commission to allocate and approve the issuance of bonds for a variety of projects or purposes. PA No. 11-57, as amended by PA 14-98, authorized \$169.5 million of State General Obligation Bonds to create a technology park on the Storrs campus. The State Bond Commission allocated the total \$169.5 million to finance the initial design, development costs, equipment purchases, and construction related to the technology park. These bonds are an obligation of the State and therefore are not recorded as a liability by the University. The unspent portion related to these bonds was

\$4.7 million as of June 30, 2020, and was included as part of due from State in the accompanying Statement of Net Position.

UConn Innovation Fund, LLC

On April 14, 2016, the University entered into an agreement with Connecticut Innovations, Inc. and Webster Bank, N.A. to create an investment fund for the purpose of making investments in early stage technology companies affiliated with the University. The original agreement required each member to commit to contribute \$500,000 to the fund during the commitment period that extended to April 2018. In fiscal year 2019, all parties contributed an additional \$250,000, per an amendment to the agreement. As of June 30, 2020, the University's contribution totaled \$750,000.

Mansfield Downtown Partnership, Inc.

The Mansfield Downtown Partnership, Inc. (MDP) is a not-for-profit corporation that is exempt from taxation under section 501(c)(3) of the Internal Revenue Code and is composed of the Town of Mansfield, the University, and individual business members and residents. MDP is responsible for organizing the enhancement and revitalization of three of the Town of Mansfield's commercial areas: Downtown Storrs, King Hill Road, and Four Corners. In accordance with its governing by-laws, members are required to submit annual dues, as

determined by the Board of Directors, in lieu of financial support. In fiscal year 2020, the University paid \$150,000 in annual membership dues to MDP.

Fraunhofer Center

In September 2018, the University, Fraunhofer USA, and the Connecticut Department of Economic and Community Development (DECD) entered into two inter-related agreements to support the re-launch of the Fraunhofer Center for Energy Innovation (Center) located on the University campus. The Center, which was legally part of Fraunhofer USA, takes part in the development of advanced technologies related to energy storage, fuel cells, in-steam hydro, and power management and distribution through contract research. Under the agreements, Fraunhofer USA had committed \$903,000 and DECD had committed up to \$1.2 million through May 31, 2020, and the University had committed to provide at least \$903,000 of in-kind contributions to the Center. In May 2020, the parties signed a Memorandum of Agreement (MOA) to not renew the original agreement. The MOA assigns between the parties any contracts, awards, intellectual property, research materials, agreements, and equipment that the Center had been a party to. As of May 31, 2020, the DECD had provided \$600,000 in grant revenue to the Center and the University provided \$903,000 of in-kind contributions.

NOTE 16. OPERATING EXPENSES BY FUNCTIONAL CLASSIFICATION

The table below details the University's operating expenses by functional classification for the year ended June 30, 2020 (amounts in thousands):

	Salaries and Wages	Fringe Benefits	Supplies and Other Expenses	Utilities	Depreciation and Amortization	Scholarships and Fellowships	Total
Instruction	\$ 260,286	\$ 228,060	\$ 30,126	\$ 14	\$ -	\$ 203	\$ 518,689
Research	50,954	26,272	25,277	-	-	356	102,859
Public service	26,109	26,070	14,627	-	-	179	66,985
Academic support	75,044	85,967	44,315	-	-	(567)	204,759
Student services	26,611	28,066	7,559	3	-	4	62,243
Institutional support	38,434	46,015	21,643	-	-	-	106,092
Operations and maintenance	36,008	79,718	46,522	15,761	-	-	178,009
Depreciation and amortization	-	-	-	-	117,870	-	117,870
Scholarships and fellowships	72	24	361	-	-	22,992	23,449
Auxiliary enterprises	89,355	77,545	67,547	4,389	-	200	239,036
Total	\$ 602,873	\$ 597,737	\$ 257,977	\$ 20,167	\$ 117,870	\$ 23,367	\$ 1,619,991

NOTE 17. CONTINGENCIES

The University is a party to various legal actions arising in the ordinary course of its operations. Although 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.

Hazardous environmental conditions in excess of the U.S. Environmental Protection Agency thresholds were identified in certain properties abutting the former Stamford parking garage. As of June 30, 2020, a liability in the amount of \$6.5 million was recorded under current liabilities in the accompanying Statement of Net Position to complete remediation efforts.

The University also participates in federal, state and local government programs that are subject to final audit by the granting agencies. Management believes any adjustment of costs resulting from such audits would not have a material effect on the University's financial statements.

NOTE 18. SPECIAL ITEM

The University reported a special item loss of \$16.4 million in relation to the University's withdrawal from the American Athletic Conference (AAC) that was effective June 30, 2020. In accordance with the AAC separation agreement, the University agreed to pay an exit fee of \$17.0 million. Furthermore, in lieu of a cash payment, the AAC retained the University's share of the fiscal years 2019 and 2020 AAC revenues of \$5.2 million and \$4.1 million, respectively. The remaining amount owed to the AAC was discounted for imputed interest and reported as a liability under long-term debt. See Note 6 for further details on payment terms.

In addition to the AAC exit fee, the University prepaid a \$3.5 million entrance fee to join the Big East Conference, effective July 1, 2020. This amount was included in prepaid and other assets in the accompanying Statement of Net Position for the year ended June 30, 2020.

NOTE 19. SUBSEQUENT EVENTS**Bond Issuances**

In December 2020, the University issued General Obligation 2020 Series A Bonds of \$160.2 million for UCONN 2000 projects and General Obligation 2020 Refunding Series A Bonds of \$119.1 million. The par amount together with the original issue premium of the General Obligation 2020 Refunding Series A Bonds currently refunded \$43.7 million of the General Obligation 2010 Series A Bonds, \$89.8 million of the General Obligation 2011 Series A Bonds, and \$4.8 million of the General Obligation 2011 Refunding Series A Bonds, providing debt service savings. The bond sales closed on December 17, 2020.

COVID-19

Subsequent to year-end, the University reduced certain mandatory fees for the fall 2020 semester for students electing to take all online courses due to COVID-19 and who are not living in University housing. The University also limited its residential housing capacity to approximately 40 percent. The University plans to use a similar approach in response to COVID-19 for the spring 2021 semester.

Additionally, the State plans to provide approximately \$23.3 million or more to the University in fiscal year 2021 from funding established under the federal CARES Act. This amount includes at least \$22.3 million from the Coronavirus Relief Fund (CRF) and \$1.0 million from the Governor's Emergency Education Relief Fund (GEERF). The CRF amount consists of \$20.0 million that will offset the pro rata housing and dining refunds of \$33.6 million issued to students in spring 2020 and \$2.3 million or more will go towards certain eligible COVID-19 related expenses incurred in fiscal years 2020 and 2021. The \$1.0 million from GEERF will be used to help stabilize fee revenues impacted by the pandemic in fiscal year 2021.

The continued impact of COVID-19 on social interaction, travel, economies, and financial markets may in the future adversely affect University finances and operations. The full impact of COVID-19 and the scope of any adverse impact on University finances and operations in the future cannot be fully determined at this time.

Required Supplementary Information State Employees' Retirement System (SERS)

Schedule of University's Proportionate Share of the Collective Net Pension Liability (NPL)

(\$ in thousands)

Fiscal Year Ended June 30	SERS					
	2020	2019	2018	2017	2016	2015
Proportion of the collective NPL	5.98%	5.05%	4.78%	4.91%	4.88%	4.51%
Proportionate share of the collective NPL	\$ 1,364,546	\$ 1,095,530	\$ 1,007,992	\$ 1,126,394	\$ 805,629	\$ 722,009
University's covered payroll	\$ 227,836	\$ 198,089	\$ 195,810	\$ 200,845	\$ 189,903	\$ 165,841
Proportionate share of the collective NPL as a percentage of covered payroll	598.92%	553.05%	514.78%	560.83%	424.23%	435.36%
Plan fiduciary net position as a percentage of the total pension liability	36.79%	36.62%	36.25%	31.69%	39.23%	39.54%

Schedule of University Pension Contributions

(\$ in thousands)

Fiscal Year Ended June 30	SERS					
	2020	2019	2018	2017	2016	2015
Contractually required employer contribution	\$ 103,218	\$ 94,410	\$ 72,898	\$ 73,781	\$ 73,668	\$ 66,875
Actual University contributions	103,218	94,410	72,898	73,781	73,668	66,875
Contribution deficiency (excess)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
University's covered payroll	\$ 265,921	\$ 227,836	\$ 198,089	\$ 195,810	\$ 200,845	\$ 189,903
Actual University contributions as a percentage of covered payroll	38.82%	41.44%	36.80%	37.68%	36.68%	35.22%

NOTES TO REQUIRED SCHEDULES

These schedules are presented as required by accounting principles generally accepted in the United States of America; however, until a full 10-year trend is compiled, information is presented for those years available.

Changes of Benefit Terms

2018 – The SEBAC 2017 agreement included changes to benefit terms for existing SERS plans by revising certain factors including employee contribution rates and annual cost-of-living adjustments for members retiring after July 1, 2022. The agreement also implemented a new Tier IV Plan.

Required Supplementary Information Teachers' Retirement System (TRS)

Schedule of University's Proportionate Share of the Collective Net Pension Liability (NPL)

(\$ in thousands)

Fiscal Year Ended June 30	TRS					
	2020	2019	2018	2017	2016	2015
Proportion of the collective NPL	0.04%	0.04%	0.03%	0.03%	0.04%	0.04%
Proportionate share of the collective NPL	\$ 6,159	\$ 4,748	\$ 4,717	\$ 4,976	\$ 4,430	\$ 4,090
University's covered payroll	\$ 1,148	\$ 1,196	\$ 1,364	\$ 1,372	\$ 1,214	\$ 1,191
Proportionate share of the collective NPL as a percentage of covered payroll	536.50%	397.07%	345.82%	362.68%	364.91%	343.41%
Plan fiduciary net position as a percentage of the total pension liability	52.00%	57.69%	55.93%	52.26%	59.50%	61.51%

Schedule of University Pension Contributions

(\$ in thousands)

Fiscal Year Ended June 30	TRS					
	2020	2019	2018	2017	2016	2015
Contractually required employer contribution	\$ 419	\$ 452	\$ 304	\$ 135	\$ 426	\$ 425
Actual University contributions	419	452	304	135	426	425
Contribution deficiency (excess)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
University's covered payroll	\$ 1,334	\$ 1,148	\$ 1,196	\$ 1,364	\$ 1,372	\$ 1,214
Actual University contributions as a percentage of covered payroll	31.41%	39.37%	25.42%	9.90%	31.05%	35.01%

NOTES TO REQUIRED SCHEDULES

These schedules are presented as required by accounting principles generally accepted in the United States of America; however, until a full 10-year trend is compiled, information is presented for those years available.

Changes of Benefit Terms

2020 – Beginning July 1, 2019, annual interest credited on mandatory contributions is set at 4 percent.

- For members retiring on or after July 1, 2019 with a partial refund option election (Plan N), if 50 percent of the benefits paid prior to death do not exceed the member's mandatory contributions plus interest frozen at the date of the benefit commencement, the difference is paid to the member's beneficiary.

2019 – Beginning January 1, 2018, TRS member contributions increased from 6 percent to 7 percent of salary.

2017 – Amounts reported reflect adjustments to rates of withdrawal, disability, retirement, mortality and assumed rates of salary to more closely reflect actual and anticipated experience.

Changes in Assumptions

2020 – Reduction in the inflation assumption from 2.75 percent to 2.50 percent.

- Decrease in the investment rate of return assumption from 8 percent to 6.9 percent.
- Increase the annual rate of wage increase assumption from 0.50 percent to 0.75 percent.
- Phase in to a level amortization method for the June 30, 2024 valuation.

Required Supplementary Information
State Employee Other Post-Employment Benefits (OPEB) Plan

Schedule of University's Proportionate Share of the Collective Net OPEB Liability (NOL)

(\$ in thousands)

Fiscal Year Ended June 30	2020	2019	2018
Proportion of the collective NOL	9.05%	7.49%	7.39%
Proportionate share of the collective NOL	\$ 1,871,032	\$ 1,293,696	\$ 1,283,941
University's covered payroll	\$ 446,237	\$ 448,931	\$ 435,196
Proportionate share of the collective NOL as a percentage of covered payroll	419.29%	288.17%	295.03%
Plan fiduciary net position as a percentage of the total OPEB liability	5.47%	4.69%	3.03%

Schedule of University OPEB Contributions

(\$ in thousands)

Fiscal Year Ended June 30	2020	2019	2018
Contractually required employer contribution	\$ 76,889	\$ 68,115	\$ 60,089
Actual University contributions	76,889	68,115	60,089
Contribution deficiency (excess)	\$ -	\$ -	\$ -
University's covered payroll	\$ 473,100	\$ 446,237	\$ 448,931
Actual University contributions as a percentage of covered payroll	16.25%	15.26%	13.38%

NOTES TO REQUIRED SCHEDULES

This schedule is presented as required by accounting principles generally accepted in the United States of America; however, until a full 10-year trend is compiled, information is presented for those years available.

Changes in Assumptions

The discount rate was updated in accordance with GASB 75 to 3.58 percent, 3.95 percent, 3.68 percent for the fiscal reporting years 2020, 2019, and 2018, respectively.

2018, 2020 – The salary scale and mortality rates were updated to be consistent with the corresponding retirement system assumptions. In addition, demographic assumptions, per capita health costs, administrative costs, and contributions were updated to better reflect actual experience. Healthcare cost trend rates and retiree contribution rates were also adjusted.

STATISTICAL SECTION

Statistical Section Table of Contents

Financial Trends 59

These schedules contain trend information to help the reader understand how the University's financial performance has changed over time.

- Schedule of Revenues by Source
- Schedule of Expenses by Natural Classification
- Schedule of Expenses by Function
- Schedule of Net Position and Changes in Net Position

Debt Capacity 63

These schedules present information to help the reader assess the affordability of the University's current levels of outstanding debt and the University's ability to issue additional debt in the future.

- Schedule of Long-Term Debt
- Schedule of Debt Coverage – Revenue Bonds

Operating Information 65

These schedules contain service and capital asset data to help the reader understand how the information in the University's financial report relates to the activities it performs.

- Admissions and Enrollment
- Academic Year Tuition and Mandatory Fees and Degrees Conferred
- Faculty and Staff
- Schedule of Capital Asset Information

Demographic and Economic Information 69

These schedules offer demographic and economic indicators to help the reader understand the environment within which the University's and State's financial activities take place.

- Demographic and Economic Statistics
- Top Ten Nongovernmental Employers

SCHEDULE OF REVENUES BY SOURCE

Last Ten Fiscal Years

	(\$ in thousands)									
	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Student tuition and fees, net of scholarship allowances	\$ 422,519	\$ 396,780	\$ 386,921	\$ 367,351	\$ 341,809	\$ 308,174	\$ 279,577	\$ 261,641	\$ 251,017	\$ 233,881
Federal grants and contracts	125,936	121,593	106,561	100,397	104,725	93,807	95,187	96,528	102,814	101,090
State and local grants and contracts	19,944	17,959	19,441	16,931	21,200	20,823	20,170	16,629	11,566	14,497
Nongovernmental grants and contracts	21,042	23,577	18,386	28,005	19,490	20,535	14,619	15,212	13,141	11,367
Sales and services of educational departments	15,688	22,710	23,708	20,325	20,543	21,028	19,280	15,814	17,348	16,161
Sales and services of auxiliary enterprises, net of scholarship allowances	169,016	211,036	210,990	209,851	210,455	201,066	195,525	185,240	181,974	178,494
Other sources	31,960	29,750	14,009	11,909	10,758	12,263	10,168	8,114	6,229	6,447
Total Operating Revenues	806,105	823,405	780,016	754,769	728,980	677,696	634,526	599,178	584,089	561,937
State appropriation	376,866	356,898	342,987	374,113	384,747	350,699	308,069	288,456	282,370	328,951
State debt service commitment for interest	78,963	77,333	70,740	64,757	53,092	46,635	42,091	40,571	39,755	39,978
Federal and state financial aid	64,549	42,222	37,986	34,800	38,968	35,684	32,647	31,456	32,176	37,601
Gifts	21,790	28,185	19,732	23,628	25,380	23,828	21,703	19,996	24,377	21,168
Investment income	7,881	11,957	6,059	2,996	1,448	889	799	859	898	1,020
Other nonoperating revenues, net	207	745	-	-	-	-	-	352	-	-
Total Nonoperating Revenues	550,256	517,340	477,504	500,294	503,635	457,735	405,309	381,690	379,576	428,718
	\$ 1,356,361	\$ 1,340,745	\$ 1,257,520	\$ 1,255,063	\$ 1,232,615	\$ 1,135,431	\$ 1,039,835	\$ 980,868	\$ 963,665	\$ 990,655

	(% of total revenues)									
	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Student tuition and fees, net of scholarship allowances	31.1%	29.6%	30.8%	29.3%	27.7%	27.1%	26.9%	26.8%	26.1%	23.7%
Federal grants and contracts	9.3%	9.1%	8.5%	8.0%	8.5%	8.3%	9.2%	9.8%	10.7%	10.2%
State and local grants and contracts	1.5%	1.3%	1.5%	1.3%	1.6%	1.8%	1.9%	1.7%	1.2%	1.5%
Nongovernmental grants and contracts	1.6%	1.8%	1.4%	2.2%	1.6%	1.8%	1.4%	1.6%	1.4%	1.1%
Sales and services of educational departments	1.2%	1.7%	1.9%	1.6%	1.7%	1.9%	1.9%	1.6%	1.8%	1.6%
Sales and services of auxiliary enterprises, net of scholarship allowances	12.4%	15.7%	16.8%	16.7%	17.1%	17.7%	18.8%	18.9%	18.9%	18.0%
Other sources	2.4%	2.2%	1.1%	0.9%	0.9%	1.1%	1.0%	0.8%	0.6%	0.7%
Total Operating Revenues	59.5%	61.4%	62.0%	60.0%	59.1%	59.7%	61.1%	61.2%	60.7%	56.8%
State appropriation	27.8%	26.6%	27.3%	29.9%	31.2%	30.9%	29.6%	29.4%	29.3%	33.2%
State debt service commitment for interest	5.8%	5.8%	5.6%	5.2%	4.3%	4.1%	4.0%	4.1%	4.1%	4.0%
Federal and state financial aid	4.7%	3.1%	3.0%	2.8%	3.2%	3.1%	3.1%	3.2%	3.3%	3.8%
Gifts	1.6%	2.1%	1.6%	1.9%	2.1%	2.1%	2.1%	2.0%	2.5%	2.1%
Investment income	0.6%	0.9%	0.5%	0.2%	0.1%	0.1%	0.1%	0.1%	0.1%	0.1%
Other nonoperating revenues, net	0.0%	0.1%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total Nonoperating Revenues	40.5%	38.6%	38.0%	40.0%	40.9%	40.3%	38.9%	38.8%	39.3%	43.2%
	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

Federal and state financial aid prior to fiscal year 2018 were reclassified from operating to nonoperating categories in order to provide comparison among years.

SCHEDULE OF EXPENSES BY NATURAL CLASSIFICATION

Last Ten Fiscal Years

(\$ in thousands)

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Salaries and wages	\$ 602,873	\$ 569,872	\$ 569,359	\$ 556,411	\$ 557,497	\$ 542,082	\$ 521,076	\$ 482,685	\$ 474,385	\$ 472,725
Fringe benefits	597,737	417,689	338,545	349,328	287,553	271,164	237,715	190,549	172,765	168,133
Supplies and other expenses	257,977	279,602	264,456	245,357	245,871	217,413	211,654	205,774	190,442	208,789
Utilities	20,167	21,063	19,655	19,039	19,737	23,212	20,963	19,725	21,684	26,506
Depreciation and amortization	117,870	119,346	108,185	104,807	98,767	95,990	95,377	91,713	88,478	90,335
Scholarships and fellowships	23,367	11,409	8,870	11,791	12,437	10,713	10,953	8,070	9,039	9,910
Total Operating Expenses	<u>1,619,991</u>	<u>1,418,981</u>	<u>1,309,070</u>	<u>1,286,733</u>	<u>1,221,862</u>	<u>1,160,574</u>	<u>1,097,738</u>	<u>998,516</u>	<u>956,793</u>	<u>976,398</u>
Interest expense	71,102	70,460	64,672	59,129	51,333	46,420	45,955	46,961	47,117	48,824
Transfers to State General Fund	-	-	-	-	-	-	-	-	-	15,000
Disposal of property and equipment, net	1,912	2,345	1,524	1,418	8,486	473	1,043	(103)	540	618
Other nonoperating expenses, net	-	-	2,475	1,776	3,893	1,540	1,873	-	1,635	297
Total Nonoperating Expenses	<u>73,014</u>	<u>72,805</u>	<u>68,671</u>	<u>62,323</u>	<u>63,712</u>	<u>48,433</u>	<u>48,871</u>	<u>46,858</u>	<u>49,292</u>	<u>64,739</u>
	<u>\$ 1,693,005</u>	<u>\$ 1,491,786</u>	<u>\$ 1,377,741</u>	<u>\$ 1,349,056</u>	<u>\$ 1,285,574</u>	<u>\$ 1,209,007</u>	<u>\$ 1,146,609</u>	<u>\$ 1,045,374</u>	<u>\$ 1,006,085</u>	<u>\$ 1,041,137</u>

(% of total expenses)

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Salaries and wages	35.6%	38.2%	41.3%	41.2%	43.3%	44.8%	45.4%	46.1%	47.1%	45.5%
Fringe benefits	35.3%	28.0%	24.6%	25.9%	22.4%	22.5%	20.7%	18.2%	17.2%	16.1%
Supplies and other expenses	15.2%	18.7%	19.2%	18.2%	19.1%	18.1%	18.5%	19.7%	18.8%	20.0%
Utilities	1.2%	1.4%	1.4%	1.4%	1.5%	1.9%	1.8%	1.9%	2.2%	2.5%
Depreciation and amortization	7.0%	8.0%	7.9%	7.8%	7.7%	7.9%	8.3%	8.8%	8.8%	8.7%
Scholarships and fellowships	1.4%	0.8%	0.6%	0.9%	1.0%	0.9%	1.0%	0.8%	0.9%	1.0%
Total Operating Expenses	<u>95.7%</u>	<u>95.1%</u>	<u>95.0%</u>	<u>95.4%</u>	<u>95.0%</u>	<u>96.1%</u>	<u>95.7%</u>	<u>95.5%</u>	<u>95.0%</u>	<u>93.8%</u>
Interest expense	4.2%	4.7%	4.7%	4.4%	4.0%	3.8%	4.0%	4.5%	4.7%	4.7%
Transfers to State General Fund	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	1.4%
Disposal of property and equipment, net	0.1%	0.2%	0.1%	0.1%	0.7%	0.0%	0.1%	0.0%	0.1%	0.1%
Other nonoperating expenses, net	0.0%	0.0%	0.2%	0.1%	0.3%	0.1%	0.2%	0.0%	0.2%	0.0%
Total Nonoperating Expenses	<u>4.3%</u>	<u>4.9%</u>	<u>5.0%</u>	<u>4.6%</u>	<u>5.0%</u>	<u>3.9%</u>	<u>4.3%</u>	<u>4.5%</u>	<u>5.0%</u>	<u>6.2%</u>
	<u>100.0%</u>									

SCHEDULE OF EXPENSES BY FUNCTION

Last Ten Fiscal Years

	(\$ in thousands)									
	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Instruction	\$ 518,689	\$ 438,702	\$ 419,691	\$ 419,251	\$ 390,364	\$ 382,256	\$ 353,251	\$ 302,202	\$ 291,370	\$ 292,203
Research	102,859	97,258	88,469	80,953	80,070	73,596	79,484	74,948	73,509	74,481
Public service	66,985	56,081	49,417	53,116	53,903	48,884	41,919	39,068	35,478	41,470
Academic support	204,759	170,050	147,264	138,912	139,643	131,914	125,557	117,679	108,340	98,393
Student services	62,243	49,730	44,856	40,087	38,916	36,955	36,787	33,315	35,256	39,755
Institutional support	106,092	90,086	75,357	74,226	66,580	57,330	54,484	51,358	53,465	84,744
Operations and maintenance of plant	178,009	151,589	138,184	137,259	122,034	114,889	105,148	94,961	100,402	71,365
Depreciation and amortization	117,870	119,346	108,185	104,807	98,767	95,990	95,377	91,713	88,478	90,335
Scholarships and fellowships	23,449	10,979	8,232	10,306	9,748	9,127	8,796	7,154	6,107	5,490
Auxiliary enterprises	239,036	235,160	229,415	227,816	221,837	209,633	196,935	186,118	164,388	158,422
Other operating expenses	-	-	-	-	-	-	-	-	-	19,740
Interest expense	71,102	70,460	64,672	59,129	51,333	46,420	45,955	46,961	47,117	48,824
Transfers to State General Fund	-	-	-	-	-	-	-	-	-	15,000
Disposal of property and equipment, net	1,912	2,345	1,524	1,418	8,486	473	1,043	(103)	540	618
Other nonoperating expenses, net	-	-	2,475	1,776	3,893	1,540	1,873	-	1,635	297
	\$ 1,693,005	\$ 1,491,786	\$ 1,377,741	\$ 1,349,056	\$ 1,285,574	\$ 1,209,007	\$ 1,146,609	\$ 1,045,374	\$ 1,006,085	\$ 1,041,137

	(% of total expenses)									
	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Instruction	30.5%	29.4%	30.5%	31.1%	30.3%	31.7%	30.7%	28.8%	28.9%	28.1%
Research	6.1%	6.5%	6.4%	6.0%	6.2%	6.1%	6.9%	7.2%	7.3%	7.2%
Public service	4.0%	3.8%	3.6%	3.9%	4.2%	4.0%	3.7%	3.7%	3.5%	4.0%
Academic support	12.1%	11.4%	10.7%	10.2%	10.8%	10.9%	10.9%	11.3%	10.8%	9.4%
Student services	3.7%	3.3%	3.3%	3.0%	3.0%	3.1%	3.2%	3.2%	3.5%	3.8%
Institutional support	6.3%	6.0%	5.5%	5.5%	5.2%	4.7%	4.8%	4.9%	5.3%	8.1%
Operations and maintenance of plant	10.5%	10.2%	10.0%	10.2%	9.5%	9.5%	9.2%	9.1%	10.0%	6.9%
Depreciation and amortization	7.0%	8.0%	7.8%	7.8%	7.7%	7.9%	8.3%	8.8%	8.8%	8.7%
Scholarships and fellowships	1.4%	0.7%	0.6%	0.8%	0.8%	0.8%	0.8%	0.7%	0.6%	0.5%
Auxiliary enterprises	14.1%	15.8%	16.6%	16.9%	17.3%	17.4%	17.2%	17.8%	16.3%	15.2%
Other operating expenses	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	1.9%
Interest expense	4.2%	4.7%	4.7%	4.4%	4.0%	3.8%	4.0%	4.5%	4.7%	4.7%
Transfers to State General Fund	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	1.4%
Disposal of property and equipment, net	0.1%	0.2%	0.1%	0.1%	0.7%	0.0%	0.1%	0.0%	0.1%	0.1%
Other nonoperating expenses, net	0.0%	0.0%	0.2%	0.1%	0.3%	0.1%	0.2%	0.0%	0.2%	0.0%
	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

SCHEDULE OF NET POSITION AND CHANGES IN NET POSITION

Last Ten Fiscal Years

	(\$ in thousands)									
	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Total revenues	\$ 1,356,361	\$ 1,340,745	\$ 1,257,520	\$ 1,255,063	\$ 1,232,615	\$ 1,135,431	\$ 1,039,835	\$ 980,868	\$ 963,665	\$ 990,655
Total expenses	1,693,005	1,491,786	1,377,741	1,349,056	1,285,574	1,209,007	1,146,609	1,045,374	1,006,085	1,041,137
Loss Before Other Changes in Net Position	<u>(336,644)</u>	<u>(151,041)</u>	<u>(120,221)</u>	<u>(93,993)</u>	<u>(52,959)</u>	<u>(73,576)</u>	<u>(106,774)</u>	<u>(64,506)</u>	<u>(42,420)</u>	<u>(50,482)</u>
State debt service commitment for principal	-	154,405	187,269	281,576	103,400	56,430	80,346	-	115,400	-
Capital allocation	-	-	-	-	-	131,500	(20)	20,000	18,000	(479)
Capital grants and gifts	2,276	3,907	5,099	1,388	5,071	25,412	21,643	6,675	2,768	1,989
Additions to permanent endowments	171	171	338	1,149	14	66	743	13	-	-
Athletic Conference Exit Fee	<u>(16,436)</u>									
Total Changes in Net Position	<u>(350,633)</u>	<u>7,442</u>	<u>72,485</u>	<u>190,120</u>	<u>55,526</u>	<u>139,832</u>	<u>(4,062)</u>	<u>(37,818)</u>	<u>93,748</u>	<u>(48,972)</u>
Net position, beginning	-	80,228	1,243,245	1,053,125	997,599	1,435,360	1,439,422	1,477,240	1,395,355	1,444,327
Prior period adjustment	-	11,190 ⁽¹⁾	(1,235,502) ⁽²⁾	-	-	(577,593) ⁽³⁾	-	-	(11,863) ⁽⁴⁾	-
Net Position, Ending	<u>\$ (350,633)</u>	<u>\$ 98,860</u>	<u>\$ 80,228</u>	<u>\$ 1,243,245</u>	<u>\$ 1,053,125</u>	<u>\$ 997,599</u>	<u>\$ 1,435,360</u>	<u>\$ 1,439,422</u>	<u>\$ 1,477,240</u>	<u>\$ 1,395,355</u>
Net investment in capital assets	\$ 1,763,712	\$ 1,681,657	\$ 1,682,317	\$ 1,557,469	\$ 1,365,918	\$ 1,207,892	\$ 1,187,602	\$ 1,217,408	\$ 1,160,216	\$ 1,144,923
Restricted nonexpendable	15,132	15,005	15,044	14,483	12,593	13,091	13,546	11,902	11,574	11,892
Restricted expendable										
Research, instruction, scholarships and other	16,582	21,716	32,273	34,058	24,455	19,334	15,465	20,602	19,535	17,915
Loans	2,180	2,608	2,566	2,543	2,520	2,533	2,482	2,469	2,426	2,818
Capital projects and debt service	48,881	176,785	134,453	89,146	49,637	184,023	85,447	33,551	115,315	42,433
Unrestricted	<u>(2,098,260)</u>	<u>(1,798,911)</u>	<u>(1,786,425)</u>	<u>(454,454)</u>	<u>(401,998)</u>	<u>(429,274)</u>	<u>130,818</u>	<u>153,490</u>	<u>168,174</u>	<u>175,374</u>
Total Net Position	<u>\$ (251,773)</u>	<u>\$ 98,860</u>	<u>\$ 80,228</u>	<u>\$ 1,243,245</u>	<u>\$ 1,053,125</u>	<u>\$ 997,599</u>	<u>\$ 1,435,360</u>	<u>\$ 1,439,422</u>	<u>\$ 1,477,240</u>	<u>\$ 1,395,355</u>

(1) Correction of an error related to compensated absences

(2) Implementation of GASB 75, Accounting and Financial Reporting for Postretirement Benefits Other Than Pensions

(3) Implementation of GASB 68, Accounting and Financial Reporting for Pensions – an amendment of GASB Statement No. 27

(4) Implementation of GASB 65, Items Previously Reported as Assets and Liabilities

SCHEDULE OF LONG-TERM DEBT

Last Ten Fiscal Years

(\$ in thousands, except for outstanding debt per student)

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
General obligation bonds	\$ 1,568,905	\$ 1,700,180	\$ 1,661,785	\$ 1,504,995	\$ 1,303,870	\$ 1,147,985	\$ 1,023,985	\$ 828,795	\$ 903,550	\$ 804,310
Revenue bonds	206,655	233,445	240,980	105,955	112,410	118,625	124,615	130,415	154,170	159,290
Self-liquidating bonds	-	-	-	-	275	349	551	1,050	2,171	2,953
Capital lease obligations	72,749	78,515	84,199	42,818	47,229	51,398	55,437	59,320	62,785	66,098
Long-term software commitments	7,355	7,132	-	-	-	-	-	-	-	-
Installment loans and other	-	25	62	117	5,487	671	1,027	1,319	1,727	150
American Athletic Conference exit fee	7,194	-	-	-	-	-	-	-	-	-
	1,862,858	2,019,297	1,987,026	1,653,885	1,469,271	1,319,028	1,205,615	1,020,899	1,124,403	1,032,801
Premiums and discounts	223,648	244,077	229,155	201,858	172,757	134,213	107,074	82,980	46,320	25,849
Total Long-Term Debt	2,086,506	2,263,374	2,216,181	1,855,743	1,642,028	1,453,241	1,312,689	1,103,879	1,170,723	1,058,650
Less: State debt service commitment for general obligation bonds	(1,568,905)	(1,700,180)	(1,661,785)	(1,504,995)	(1,303,870)	(1,147,985)	(1,023,985)	(828,795)	(903,550)	(804,310)
Total Long-Term Debt, Net	\$ 517,601	\$ 563,194	\$ 554,396	\$ 350,748	\$ 338,158	\$ 305,256	\$ 288,704	\$ 275,084	\$ 267,173	\$ 254,340
Full-time equivalent students*	29,530	28,646	29,424	29,220	28,832	28,134	27,461	27,036	27,240	26,686
Outstanding debt per student	\$ 17,528	\$ 19,660	\$ 18,842	\$ 12,004	\$ 11,729	\$ 10,850	\$ 10,513	\$ 10,175	\$ 9,808	\$ 9,531

*Source: IPEDS (Integrated Postsecondary Education Data System) 12-month Instructional Activity surveys for fiscal years 2011 to 2020, including Storrs and Regional Campuses.

SCHEDULE OF DEBT COVERAGE - REVENUE BONDS

Last Ten Fiscal Years

(\$ in thousands)

	<u>Gross Revenues (1)</u>	<u>Pledged Revenues (2)</u>	<u>Expenses (3)</u>	<u>Net Revenues Available</u>	<u>Total Gross and Net Revenues Available for Debt Service</u>	<u>Debt Service</u>	<u>Coverage Ratio</u>
2020	\$ 63,018	\$ 143,974	\$ (124,017)	\$ 19,957	\$ 82,975	\$ (37,542)	2.21
2019	53,672	178,576	(131,889)	46,687	100,359	(19,017)	5.28
2018	52,429	173,951	(131,743)	42,208	94,637	(12,432)	7.61
2017	51,486	172,444	(132,742)	39,702	91,188	(11,554)	7.89
2016	50,650	174,991	(134,492)	40,499	91,149	(11,557)	7.89
2015	50,506	168,047	(132,863)	35,184	85,690	(11,552)	7.42
2014	48,515	162,160	(125,014)	37,146	85,661	(11,548)	7.42
2013	45,355	151,766	(120,021)	31,745	77,100	(12,011)	6.42
2012	44,410	150,726	(118,434)	32,292	76,702	(12,667)	6.06
2011	42,022	144,790	(113,620)	31,170	73,192	(12,664)	5.78

(1) Gross revenues include the infrastructure maintenance fee, the general university fee, and investment income.

(2) Pledged revenues include the residential life room fee, student apartment rentals, the Greek housing fee, the board (dining) fee, and the parking and transportation fees.

Beginning in fiscal year 2019, pledged revenues also includes the FIT (Facilities Investment Together) surcharge.

(3) Expenses include the cost of maintaining, repairing, insuring, and operating the facilities for which the fees in (2) are imposed, before depreciation.

ADMISSIONS AND ENROLLMENT

Last Ten Fiscal Years

FRESHMEN ADMISSIONS (STORRS)

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Applications	35,096	34,886	34,198	35,980	34,978	31,280	27,479	29,966	27,247	22,142
Offers of admission	17,346	17,015	16,360	17,560	18,598	15,629	14,745	13,397	12,894	11,949
Percent admitted	49%	49%	48%	49%	53%	50%	54%	45%	47%	54%
Enrolled	3,603	3,749	3,683	3,822	3,774	3,588	3,755	3,114	3,327	3,339
Yield (enrolled/offers)	21%	22%	23%	22%	20%	23%	25%	23%	26%	28%
Total average SAT	1,296	1,306	1,294	1,233	1,233	1,234	1,233	1,226	1,216	1,221

ENROLLMENT

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Non-Resident Alien										
Male	2,232	2,110	2,001	1,890	1,773	1,532	1,301	1,163	1,018	924
Female	1,990	1,917	1,847	1,665	1,462	1,277	1,077	1,012	892	787
Black or African American										
Male	984	944	885	874	813	756	722	723	756	709
Female	1,261	1,211	1,153	1,098	1,053	1,010	981	1,017	1,007	963
American Indian or Alaska Native										
Male	14	22	16	19	18	18	25	25	28	33
Female	16	25	27	25	28	27	29	31	40	41
Asian										
Male	1,512	1,500	1,497	1,475	1,372	1,315	1,213	1,194	1,159	1,119
Female	1,688	1,606	1,556	1,467	1,419	1,333	1,189	1,106	1,108	1,060
Hispanic/Latino										
Male	1,643	1,568	1,477	1,386	1,293	1,233	1,132	1,059	1,006	889
Female	2,202	2,014	1,800	1,616	1,468	1,393	1,315	1,206	1,149	1,095
Native Hawaiian or Other Pacific Islander										
Male	5	8	10	8	8	10	8	12	14	11
Female	11	11	13	12	13	13	16	17	14	11
Two or More Races										
Male	454	430	394	364	330	301	258	238	170	96
Female	508	476	464	442	412	408	381	300	197	90
White										
Male	8,520	8,821	9,089	9,518	9,809	9,916	10,183	10,416	10,795	10,913
Female	8,647	8,983	9,361	9,581	9,789	10,022	10,102	10,209	10,641	10,763
Total Head Count	<u>31,687</u>	<u>31,646</u>	<u>31,590</u>	<u>31,440</u>	<u>31,060</u>	<u>30,564</u>	<u>29,932</u>	<u>29,728</u>	<u>29,994</u>	<u>29,504</u>
Percent female	51.5%	51.3%	51.3%	50.6%	50.4%	50.7%	50.4%	50.1%	50.2%	50.2%
Percent minority	32.5%	31.0%	29.4%	27.9%	26.5%	25.6%	24.3%	23.3%	22.2%	20.7%
Percent non-resident alien	13.3%	12.7%	12.2%	11.3%	10.4%	9.2%	7.9%	7.3%	6.4%	5.8%

White includes other/unknown.

Includes all undergraduate, graduate, and professional school enrollments at all campuses; excludes Schools of Dentistry and Medicine; includes full-time and part-time students, and degree and non-degree students.

Source: University of Connecticut Office of Institutional Research and Effectiveness

ACADEMIC YEAR TUITION AND MANDATORY FEES

Last Ten Fiscal Years

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Undergraduate resident	\$ 17,226	\$ 15,730	\$ 14,880	\$ 14,066	\$ 13,366	\$ 12,700	\$ 12,022	\$ 11,242	\$ 10,670	\$ 10,416
Undergraduate non-resident	\$ 39,894	\$ 38,098	\$ 36,948	\$ 35,858	\$ 34,908	\$ 32,880	\$ 30,970	\$ 29,074	\$ 27,566	\$ 26,880
Graduate resident	\$ 19,056	\$ 17,660	\$ 16,810	\$ 15,996	\$ 15,296	\$ 14,472	\$ 13,662	\$ 12,786	\$ 12,130	\$ 11,828
Graduate non-resident	\$ 40,968	\$ 39,272	\$ 38,122	\$ 37,032	\$ 36,082	\$ 33,944	\$ 31,946	\$ 29,994	\$ 28,438	\$ 27,740

DEGREES CONFERRED

Last Ten Fiscal Years

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Associate	26	16	21	30	24	20	21	26	25	29
Bachelor's	5,731	5,656	5,618	5,530	5,197	5,320	5,200	5,122	5,149	4,747
Post-baccalaureate	395	369	299	251	229	167	172	140	141	102
Master's	1,774	1,895	2,048	1,904	1,750	1,713	1,636	1,527	1,573	1,475
Sixth-year education	50	54	51	62	66	69	45	56	79	67
Ph.D.	382	418	384	411	379	372	342	340	341	322
J.D.	141	108	89	155	151	156	190	178	204	172
LL.M.	50	53	42	43	44	31	35	30	30	29
Pharm D.	74	92	98	101	99	95	97	94	94	103
Total	8,623	8,661	8,650	8,487	7,939	7,943	7,738	7,513	7,636	7,046

Includes May graduates of the current calendar year, and August and December graduates of the previous calendar year.

Source: University of Connecticut Office of Institutional Research and Effectiveness

Certain degrees conferred numbers have been revised for 2019.

FACULTY AND STAFF

Fall Employment

Last Ten Fiscal Years

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
FACULTY										
Full-time	1,537	1,540	1,545	1,518	1,489	1,517	1,485	1,377	1,330	1,304
Part-time	54	51	53	32	30	33	34	39	43	43
Total Faculty	<u>1,591</u>	<u>1,591</u>	<u>1,598</u>	<u>1,550</u>	<u>1,519</u>	<u>1,550</u>	<u>1,519</u>	<u>1,416</u>	<u>1,373</u>	<u>1,347</u>
Tenured	887	858	854	841	848	877	874	848	841	815
Percentage tenured	56%	54%	53%	54%	56%	57%	58%	60%	61%	61%
STAFF										
Full-time	3,297	3,228	3,109	3,198	3,115	3,080	3,063	3,028	2,956	3,017
Part-time	144	150	150	82	158	186	175	180	181	222
Total Staff	<u>3,441</u>	<u>3,378</u>	<u>3,259</u>	<u>3,280</u>	<u>3,273</u>	<u>3,266</u>	<u>3,238</u>	<u>3,208</u>	<u>3,137</u>	<u>3,239</u>
Total Faculty and Staff	<u><u>5,032</u></u>	<u><u>4,969</u></u>	<u><u>4,857</u></u>	<u><u>4,830</u></u>	<u><u>4,792</u></u>	<u><u>4,816</u></u>	<u><u>4,757</u></u>	<u><u>4,624</u></u>	<u><u>4,510</u></u>	<u><u>4,586</u></u>
Student to faculty ratio*	16 to 1	16 to 1	16 to 1	16 to 1	17 to 1	16 to 1	16 to 1	17 to 1	18 to 1	18 to 1
Full-time and part-time faculty										
Female	43%	42%	41%	41%	41%	39%	39%	40%	40%	39%
Minority	20%	20%	21%	23%	23%	22%	22%	22%	21%	20%
Full-time and part-time staff										
Female	57%	57%	57%	57%	57%	58%	57%	58%	58%	58%
Minority	13%	14%	15%	17%	17%	17%	17%	17%	17%	15%
Staff covered by collective bargaining agreements	90%	90%	90%	90%	90%	91%	91%	90%	91%	92%
Adjunct lecturers	749	732	709	690	679	708	696	686	692	691

*Full-time equivalent students to full-time instructional faculty, Storrs and regional campuses.

Source: University of Connecticut Office of Institutional Research and Effectiveness

SCHEDULE OF CAPITAL ASSET INFORMATION

Last Ten Fiscal Years

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Academic Buildings										
Net assignable square feet (in thousands)	2,890	2,876	2,847	2,654	2,753	2,753	2,736	2,684	2,604	2,604
Number of buildings	158	160	170	168	171	171	171	171	172	172
Auxiliary and Independent Operations Buildings										
Net assignable square feet (in thousands)	3,937	3,638	3,859	3,753	3,277	3,336	3,279	3,279	3,396	3,430
Number of buildings	178	185	190	189	193	209	213	213	217	220
Administrative and Support Buildings										
Net assignable square feet (in thousands)	883	887	832	852	964	949	949	949	948	948
Number of buildings	81	83	83	88	97	96	96	96	95	95
Total Net Assignable Square Feet (in thousands)	7,710	7,401	7,538	7,259	6,994	7,038	6,964	6,912	6,948	6,982
Total Number of Buildings	417	428	443	445	461	476	480	480	484	487

Source: University of Connecticut Office of Cost Analysis and Office of University Planning, Design and Construction

89

	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011
Residential halls*	102	101	100	101	115	115	116	117	116	114
Residential hall occupancy	12,580	12,712	12,597	12,699	12,723	12,711	12,668	12,469	12,716	12,546
Percentage of main campus undergraduates in campus housing	65%	65%	66%	67%	70%	71%	72%	72%	73%	74%

*Residential halls include houses owned by the University and used for student housing. Beginning in 2018, residential halls and occupancy includes Stamford campus.

Source: Office of Residential Life

DEMOGRAPHIC AND ECONOMIC STATISTICS

State of Connecticut

Last Ten Fiscal Years

	Personal Income as of June 30 (a)	Population at July 1 (a)	Per Capita Personal Income	Average Annual Unemployment Rate (b)
2020	290,641,600,000	3,561,513	81,606	5.1%
2019	284,136,600,000	3,570,160	79,587	3.8%
2018	265,636,709,000	3,588,236	74,030	4.5%
2017	251,389,254,000	3,568,714	70,443	4.8%
2016	252,249,206,000	3,586,640	70,330	5.5%
2015	240,602,679,000	3,591,282	66,996	6.1%
2014	232,600,172,000	3,596,922	64,666	7.1%
2013	222,984,316,000	3,598,628	61,964	8.1%
2012	224,252,008,000	3,593,857	62,399	8.4%
2011	215,220,960,000	3,589,072	59,966	9.1%

(a) Source: U.S. Department of Commerce

(b) Source: Connecticut Department of Labor

TOP TEN NONGOVERNMENTAL EMPLOYERS

State of Connecticut

Current Year and Ten Years Ago

<u>NAME</u>	2020		
	Employees in CT	Percentage of Total CT Employment	Rank
Hartford HealthCare	30,000	1.7%	1
Yale New Haven Health Sys	26,028	1.5%	2
United Technologies Corp. UTC	19,000	1.1%	3
Yale University	15,243	0.9%	4
General Dynamics/Electric Boat	14,000	0.8%	5
Sikorsky Air/Lockheed Martin Co.	8,735	0.5%	6
Wal-Mart Stores Inc.	8,066	0.5%	7
Mohegan Sun Casino	8,000	0.5%	8
The Travelers Cos Inc.	7,000	0.4%	9
The Hartford	6,800	0.4%	10
Total	142,872	8.3%	

	2011		
	Employees in CT	Percentage of Total CT Employment	Rank
United Technologies Corp. UTC	26,900	1.6%	1
Hartford HealthCare	15,216	0.9%	2
Yale University	13,615	0.8%	3
Stop & Shop Cos., Inc	13,574	0.8%	4
The Hartford	10,500	0.6%	5
Wal-Mart Stores Inc.	9,204	0.5%	6
Yale New Haven Health Sys	8,500	0.5%	7
General Dynamics/Electric Boat	8,350	0.5%	8
Mohegan Sun Casino	8,000	0.5%	9
Foxwoods Resort Casino	7,210	0.4%	10
Total	121,069	7.1%	

Source: State of Connecticut Office of the State Comptroller



Appendix C

No Management Letter Provided

Appendix D

Interim Report Forms

INTERIM REPORT FORMS GENERAL INFORMATION

Institution Name:

OPE ID:

		Annual Audit	
		Certified:	
		Yes/No	Qualified/Unqualified
Financial Results for Year Ending:	<input type="checkbox"/>		
Most Recent Year	<input type="checkbox"/>	06/30	
1 Year Prior	<input type="checkbox"/>	2019	Yes Unqualified
2 Years Prior	<input type="checkbox"/>	2018	Yes Unqualified
		2017	Yes Unqualified

Fiscal Year Ends on: (month/day)

Budget / Plans

Current Year	2020
Next Year	2021

Contact Person:

Title:

Telephone No:

E-mail address:

Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

Document	Website Location	Date Approved by the Governing Board
Institutional Mission Statement	http://boardoftrustees.uconn.edu/university-mission-statement/	April 11, 2006; amended on June 20, 2006

Standard 2: Planning and Evaluation

PLANNING

Strategic Plans

Year approved by governing board	Effective Dates	Website location
2008	2009-2014	http://academicvision.uconn.edu/wp-content/uploads/sites/643/2014/03/UConnAcademicPlan.pdf
2014	2014-2021	https://academicvision.uconn.edu/
Anticipated spring 2022		https://provost.uconn.edu/strategic-planning-2021/

Other institution-wide plans*

Year completed	Effective Dates	Website location
2014	2015-2035	https://masterplan.uconn.edu/
2014	2014-2021	https://academicvision.uconn.edu/
2019		https://accountingoffice.uconn.edu/financial-reports/
2019		https://health.uconn.edu/finance/accounting/overview/financial-reports/
2014	2014-2018	https://itstrategy.uconn.edu/
		Enrollment Management and Planning can provide the latest University Undergraduate Enrollment Management Plan. See also: https://epm.uconn.edu/enrollment-reports-2/
		https://www.foundation.uconn.edu/governance-disclosure/

Plans for major units (e.g., departments, library)*

1 Program Review Materials	rev. 2015	2015-present	https://oire.uconn.edu/programreview/
2 Program Assessment	2021	2021-present	https://assessment.uconn.edu/ (site currently under development)
3 Libraries	2020	2020-present	https://lib.uconn.edu/about/strategic-framework/
4 Electronic Records/Knowledge Assets			https://lib.uconn.edu/location/asc/
5 Information Security	2022		https://security.uconn.edu/
6 Student Affairs	2016	2016-2020	https://studentaffairs.uconn.edu/strategic-plan/

EVALUATION

Academic program review

Program review system (colleges and departments). System last updated:

Program review schedule (e.g., every 5 years)

*Insert additional rows, as appropriate.

Website location

<https://oire.uconn.edu/programreview/>
https://provost.uconn.edu/wp-content/uploads/sites/2165/2021/01/ProgramReviewSchedule_Public.pdf

**Standard 3: Organization and Governance
(Board and Internal Governance)**

Please attach to this form:

1) A copy of the institution's organization chart(s).

If there is a "sponsoring entity," such as a church or religious congregation, a state system, or a corporation, describe and document the relationship with the accredited

Name of the sponsoring entity

Website location of documentation of relationship

Governing Board

By-laws

Board members' names and affiliations

Website location

<https://policy.uconn.edu/2011/05/17/by-laws-of-the-university-of-connecticut/>

<https://boardoftrustees.uconn.edu/members/>

<https://boardoftrustees.uconn.edu/committees/>

Please enter any explanatory notes in the box below

**Standard 3: Organization and Governance
(Locations and Modalities)**

Campuses, Branches and Locations Currently in Operation (See definitions in comment boxes)

(Insert additional rows as appropriate.)

	Location (City, State/Country)	Date Initiated	Enrollment*		
			2 years prior (FY 2019)	1 year prior (FY 2020)	Current year (FY 2021)
u Main campus	Storrs, CT	1881	25,127	24,994	25,367
u Study Abroad	Storrs, CT	1881	37	19	0
u Branch campuses-Health Center	Farmington, CT	1967	934	960	1,053
u Branch campuses-Avery Point	Groton, CT	1967	731	729	711
u Branch campuses-School of Business Graduate	Hartford, CT	2004	1,397	1,346	1,173
u Branch campuses-School of Law	Hartford, CT	1943	678	752	755
u Branch campuses-Credit Extension	Storrs, CT	n/a	7	9	
u Branch campuses-Downtown Hartford	Hartford, CT	1946/2017	2,258	2,387	2,662
u Branch campuses-Stamford	Stamford, CT	1951	3,021	3,224	3,280
u Branch campuses-Waterbury	Waterbury, CT	1942	1,133	1,065	1,125
u Other instructional locations (US)					
u Branch campuses (overseas)					
u Other instructional locations (overseas)					

Educational modalities

	Number of programs	Date First Initiated	Enrollment*		
			2 years prior (FY 2019)	1 year prior (FY 2020)	Current year (FY 2021)
Distance Learning Programs					
Programs 50-99% on-line	11	2004 (oldest)	359	284	266
Programs 100% on-line	33	1999 (oldest)	699	549	848
u Correspondence Education					
Low-Residency Programs					
Competency-based Programs					
Dual Enrollment Programs					
Contractual Arrangements involving the award of credit					

*Enter the annual unduplicated headcount for each of the years specified below.

Please enter any explanatory notes in the box below

Enrollment data is for the following terms per NECHE definition for period including May 1 through April 30:

FY 2019 = Summer 2018, Fall 2018, Intersession 2019, Spring 2019

FY 2020 = Summer 2019, Fall 2019, Intersession 2020, Spring 2020

FY 2021 = Summer 2020, Fall 2020, Intersession 2021, Spring 2021

**Standard 4: The Academic Program
(Summary - Degree-Seeking Enrollment and Degrees)**

Fall 2020 All Locations Including Health Center

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Associate's	Bachelor's	Master's	Clinical doctorates (Pharm.D., DPT, DNP, Au.D.)	Professional doctorates (Ed.D., DMA)	M.D., D.M.D	J.D., S.J.D., LL.M.	Ph.D.	Post Baccalaureate/ Graduate Certificate	Post-Master's Certificate (Sixth-Year Diploma, Education)	Total Degree-Seeking
Main Campus FT	84	17,985	766	312	13			1,776	6	10	20,952
Main Campus PT	2	587	224	70	49			228	51	34	1,245
Other Principal Campus FT			1,158			637	431	148	3		2,377
Other Principal Campus PT			943			9	131	10	9		1,102
Branch campuses FT		4,959	180					44	3	0	5,186
Branch campuses PT		335	61					6	63	63	528
Other Locations FT											0
Other Locations PT											0
Overseas Locations FT											0
Overseas Locations PT											0
Distance education FT			117						14		131
Distance education PT			332						211		543
Correspondence FT											0
Correspondence PT											0
Low-Residency FT											0
Low-Residency PT											0
Unduplicated Headcount Total	86	23,866	3,781	382	62	646	562	2,212	360	107	32,064
Total FTE	82	23,371	2,667	480	28	640	602	1,342	132	46	29,390
Enter FTE definition:	Registered credits/15	Registered credits/15	Registered credits/12	Registered credits/12	Registered credits/12	FT + PT/3	Registered credits/12	Registered credits/12	Registered credits/12	Registered credits/12	
Degrees Awarded, Most Recent Year	26	5,731	1,774	126	5	153	191	325	395	50	

Please enter any explanatory notes in the box below

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
 - 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
 - 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.
- * For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.
- "Other Campus" Master's and Doctoral programs include Business, Social Work, Health Center Biomedical Sciences, Dental Health, Public Health

**Standard 4: The Academic Program
(Summary - Non-degree seeking Enrollment and Awards)**

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Title IV-Eligible Certificates: Students Seeking Certificates	Non-Matriculated Students	Visiting Students	Total Non-degree-Seeking	Total degree-seeking (from previous page)	Grand total
Main Campus FT		21		21	20,952	20,973
Main Campus PT		325		325	1,245	1,570
Other Principal Campus FT		6		6	2,377	2,383
Other Principal Campus PT		15		15	1,102	1,117
Branch campuses FT		9		9	5,186	5,195
Branch campuses PT		228		228	528	756
Other Locations FT		0		0	0	0
Other Locations PT		1		1	0	1
Overseas Locations FT				0	0	0
Overseas Locations FT				0	0	0
Distance education FT				0	131	131
Distance education PT				0	543	543
Correspondence FT				0	0	0
Correspondence PT				0	0	0
Low-Residency FT				0	0	0
Low-Residency PT				0	0	0
Unduplicated Headcount Total	0	605	0	605	32,064	32,669
Total FTE		228		228	29,390	29,618
Enter FTE definition:		(Registered undergrad credits / 15) + (Registered graduate credits / 12)				
Certificates Awarded, Most Recent Year						

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
- 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.

* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.

Please enter any explanatory notes in the box below

**Standard 4: The Academic Program
(Headcount by UNDERGRADUATE Program Type)**

For Fall Term, as of Census Date

	3 Years Prior (Fall 2017)	2 Years Prior (Fall 2018)	1 Year Prior (Fall 2019)	Current Year (Fall 2020)	Next Year Forward (goal) (Fall 2021)
Certificate					
Associate	60	62	75	86	86
Baccalaureate	23,254	23,404	23,355	23,866	23,866
Total Undergraduate	23,314	23,466	23,430	23,952	23,952

**Standard 4: The Academic Program
(Headcount by GRADUATE Program Type)**

For Fall Term, as of Census Date

	3 Years Prior (Fall 2017)	2 Years Prior (Fall 2018)	1 Year Prior (Fall 2019)	Current Year (Fall 2020)	Next Year Forward (goal) (Fall 2021)
Master's	3,912	3,861	3,925	3,781	3,800
Doctorate	2,531	2,539	2,532	2,494	2,450
First Professional	1,239	1,275	1,336	1,370	1,370
Other	376	361	406	467	490
Total Graduate	8,058	8,036	8,199	8,112	8,110

**Standard 4: The Academic Program
(Headcount by NON-DEGREE Course Level)**

For Fall Term, as of Census Date

	3 Years Prior (Fall 2017)	2 Years Prior (Fall 2018)	1 Year Prior (Fall 2019)	Current Year (Fall 2020)	Next Year Forward (goal) (Fall 2021)
Undergraduate Non-degree	531	512	470	419	382
Graduate Non-degree	279	243	234	186	155
Total Non-degree	810	755	704	605	537

**Standard 4: The Academic Program
(Credit Hours Generated at the Undergraduate and Graduate Levels)**

Undergraduate

Graduate

Total

	3 Years Prior (FY 2018)	2 Years Prior (FY 2019)	1 Year Prior (FY 2020)	Current Year (FY 2021)	Next Year Forward (goal) (FY 2022)
Undergraduate	665,782	669,945	669,435	684,408	684,408
Graduate	125,379	124,711	127,414	125,325	125,325
Total	791,161	794,656	796,849	809,733	809,733

**Standard 4: The Academic Program
(Information Literacy sessions)**

Main campus: Total In Person

Total session

Sessions embedded in a class

Free-standing sessions

Branch/other locations: Total In Person

Total session

Sessions embedded in a class

Free-standing sessions

Online sessions (no campus location)

	3 Years Prior (AY 2017-18)	2 Years Prior (AY 2018-19)	1 Year Prior (AY 2019-20)	Current Year (AY 2020-21)	Next Year Forward (goal) (AY 2021-22)
Total session	203	275	205	0	175
Sessions embedded in a class					
Free-standing sessions					
Total session	178	173	141	0	150
Sessions embedded in a class					
Free-standing sessions					
Online sessions (no campus location)	unknown	unknown	45	182	50

https://geoc.uconn.edu/wp-content/uploads/sites/161/2020/05/GEOC-Annual-Report-2019-20_Final-Draft.pdf

<https://uconn.libinsight.com> (not uet public as of 12/15/20)

<https://guides.lib.uconn.edu/>

URL of Information Literacy Reports
URL of Primary Information Literacy
online guides

Please enter any explanatory notes in the box below

Enrollment is expected to be flat in the 2021-22 academic year. Official enrollment numbers will be available after 09/13/21.
First Professional = LLM, JD, SJD, PharmD, MD, DMD
Doctorate = PhD, AuD, EdD, DPT, DNP, DMA
Other = Graduate Certificates and 6th Year Diplomas
Graduate Headcount Estimates for Next Forward Year represent roughly flat projections at the master's and first professional levels, a continued modest increase in certificate programs, and a slight decline at the doctoral level due to funding shortages.
Credit Hours Generated excludes MD/DMD programs and campus=OFF, ABROAD.
Credit Hours Generated includes Fall and Spring semesters for the given academic year except for the current year (FY2021), which includes Fall only due to the timing of the completion of this table (November 2020).
Info literacy sessions: Data reflects services offered through the Library as of December 14, 2020. Free-standing and embedded sessions are not individually tracked, but nearly every session has been delivered synchronously to a group prior to the pandemic. Online sessions were not tracked until March 15, 2020, when the university switched to remote learning. The Library will implement a new tracking protocol in 2021 that will capture online, synchronous, and asynchronous session delivery.

Standard 5: Students
(Admissions, Fall Term)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

?

Credit Seeking Students Only - Including Continuing Education

Storrs Campus

Freshmen - Undergraduate

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Goal (specify year)
	Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)	Fall 2021 (FY 2022)
Completed Applications	34,198	34,886	35,096	34,437	35,000
Applications Accepted	16,360	17,015	17,346	19,316	18,000
Applicants Enrolled	3,683	3,749	3,603	3,825	3,675
% Accepted of Applied	47.8%	48.8%	49.4%	56.1%	51.4%
% Enrolled of Accepted	22.5%	22.0%	20.8%	19.8%	20.4%
Percent Change Year over Year					
Completed Applications	na	2.0%	0.6%	-1.9%	1.6%
Applications Accepted	na	4.0%	1.9%	11.4%	-6.8%
Applicants Enrolled	na	1.8%	-3.9%	6.2%	-3.9%
Average of statistical indicator of aptitude of enrollees: (define below)					
mean SAT	1293	1306	1296	1281	1300

Transfers - Undergraduate

Completed Applications	2,455	2,354	1,725	2,046	1,800
Applications Accepted	1,543	1,439	1,245	1,369	1,300
Applications Enrolled	851	764	735	748	750
% Accepted of Applied	62.9%	61.1%	72.2%	66.9%	72.2%
% Enrolled of Accepted	55.2%	53.1%	59.0%	54.6%	57.7%

Master's Degree

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Goal (specify year)
	Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)	Fall 2021 (FY 2022)
Completed Applications	6,416	5,739	5,252	5,253	5,260
Applications Accepted	2,505	2,758	2,971	3,256	3,260
Applications Enrolled	1,091	1,180	1,241	1,067	1,070
% Accepted of Applied	39.0%	48.1%	56.6%	62.0%	62.0%
% Enrolled of Accepted	43.6%	42.8%	41.8%	32.8%	32.8%

Doctoral Degree

Completed Applications	3,513	3,226	3,295	3,449	3,450
Applications Accepted	978	944	1,050	1,010	980
Applications Enrolled	410	385	426	332	300
% Accepted of Applied	27.8%	29.3%	31.9%	29.3%	28.4%
% Enrolled of Accepted	41.9%	40.8%	40.6%	32.9%	30.6%

MD Degree

Completed Applications	2,781	3,107	3,286	3,729	4,722
Applications Accepted	215	199	218	238	226
Applications Enrolled	102	106	110	110	110
% Accepted of Applied	7.7%	6.4%	6.6%	6.4%	4.8%
% Enrolled of Accepted	47.4%	53.3%	50.5%	46.2%	48.7%

DMD Degree

Completed Applications	1,507	1,456	1,286	1,222	1,316
Applications Accepted	101	99	90	92	90
Applications Enrolled	48	48	54	50	50
% Accepted of Applied	6.7%	6.8%	7.0%	7.5%	6.8%
% Enrolled of Accepted	47.5%	48.5%	60.0%	54.3%	55.6%

PharmD Degree

Completed Applications	300	212	190	133	200
Applications Accepted	87	87	81	67	100
Applications Enrolled	84	84	80	66	100
% Accepted of Applied	29.0%	41.0%	42.6%	50.4%	50.0%
% Enrolled of Accepted	96.6%	96.6%	98.8%	98.5%	100.0%

JD Degree

Completed Applications	1,203	1,239	1,216	1,206	1,769
Applications Accepted	531	480	490	544	519
Applications Enrolled	145	133	163	165	155
% Accepted of Applied	44.1%	38.7%	40.3%	45.1%	29.3%
% Enrolled of Accepted	27.3%	27.7%	33.3%	30.3%	29.9%

Please enter any explanatory notes in the box below

- Applications based on students who applied for the fall term only.
- % Accepted of Applied for Avery Point, Stamford, Hartford & Waterbury exceeds 100%, as many students are admitted to these regional campuses from the Storrs campus applicant pool.
- We anticipate a relatively flat admissions cycle for master's degrees next year, and a slightly smaller applicant pool/acceptance rate due to funding shortages.
- MD: This program has rolling admissions. For Fall 2021, the number of applications is final and the target enrollment is 110; however, not all acceptances have been sent as of the date of this data collection (December 18, 2020). Tracks only submitted applications, not completed applications.
- PharmD: Our goal is to meet 100 students in the first professional year class, but maintaining our admissions standards has resulted in smaller classes the last few years.
- JD: Data provided by ABA reporting year, i.e. data reported Fall 2020 = 2020 First Year Class, October 2019 - October 2020. Most recently reported data is provided here.

Credit Seeking Students Only - Including Continuing Education

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Goal (specify year)
	Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)	Fall 2021 (FY 2022)
Avery Point Campus					
Freshmen - Undergraduate					
Completed Applications	224	230	199	206	200
Applications Accepted	1,032	883	842	823	800
Applicants Enrolled	215	201	196	219	225
% Accepted of Applied	460.7%	383.9%	423.1%	399.5%	400.0%
% Enrolled of Accepted	20.8%	22.8%	23.3%	26.6%	28.1%
Percent Change Year over Year					
Completed Applications	na	2.7%	-13.5%	3.5%	-2.9%
Applications Accepted	na	-14.4%	-4.6%	-2.3%	-2.8%
Applicants Enrolled	na	-6.5%	-2.5%	11.7%	2.7%
Average of statistical indicator of aptitude of enrollees: (define below)					
mean SAT	1121	1114	1111	1114	1100

Transfers - Undergraduate					
Completed Applications	52	58	42	49	40
Applications Accepted	45	42	36	37	30
Applications Enrolled	28	30	24	24	25
% Accepted of Applied	86.5%	72.4%	85.7%	75.5%	75.0%
% Enrolled of Accepted	62.2%	71.4%	66.7%	64.9%	83.3%

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Goal (specify year)
	Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)	Fall 2021 (FY 2022)
Stamford Campus					
Freshmen - Undergraduate					
Completed Applications	1,897	2,317	1,139	1,293	1,300
Applications Accepted	3,497	3,131	3,994	4,185	4,100
Applicants Enrolled	560	661	675	782	690
% Accepted of Applied	184.3%	135.1%	350.7%	323.7%	315.4%
% Enrolled of Accepted	16.0%	21.1%	16.9%	18.7%	16.8%
Percent Change Year over Year					
Completed Applications	na	22.1%	-50.8%	13.5%	0.5%
Applications Accepted	na	-10.5%	27.6%	4.8%	-2.0%
Applicants Enrolled	na	18.0%	2.1%	15.9%	-11.8%
Average of statistical indicator of aptitude of enrollees: (define below)					
mean SAT	1081	1097	1112	1071	1100

Transfers - Undergraduate					
Completed Applications	324	364	238	295	300
Applications Accepted	203	170	151	209	200
Applications Enrolled	134	106	107	116	95
% Accepted of Applied	62.7%	46.7%	63.4%	70.8%	66.7%
% Enrolled of Accepted	66.0%	62.4%	70.9%	55.5%	47.5%

Credit Seeking Students Only - Including Continuing Education

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Goal (specify year)
	Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)	Fall 2021 (FY 2022)
Hartford Campus					
Freshmen - Undergraduate					
Completed Applications	322	358	362	360	350
Applications Accepted	2,141	1,939	1,862	1,978	1,900
Applicants Enrolled	521	629	630	665	630
% Accepted of Applied	664.9%	541.6%	514.4%	549.4%	542.9%
% Enrolled of Accepted	24.3%	32.4%	33.8%	33.6%	33.2%
Percent Change Year over Year					
Completed Applications	na	11.2%	1.1%	-0.6%	-2.8%
Applications Accepted	na	-9.4%	-4.0%	6.2%	-3.9%
Applicants Enrolled	na	20.7%	0.2%	5.6%	-5.3%
Average of statistical indicator of aptitude of enrollees: (define below)					
mean SAT	1097	1114	1122	1089	1100

Transfers - Undergraduate					
Completed Applications	104	123	102	120	120
Applications Accepted	89	80	72	96	95
Applications Enrolled	56	47	55	76	50
% Accepted of Applied	85.6%	65.0%	70.6%	80.0%	79.2%
% Enrolled of Accepted	62.9%	58.8%	76.4%	79.2%	52.6%

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Goal (specify year)
	Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)	Fall 2021 (FY 2022)
Waterbury Campus					
Freshmen - Undergraduate					
Completed Applications	256	239	245	256	250
Applications Accepted	1,491	1,448	1,227	1,346	1,250
Applicants Enrolled	312	315	237	355	255
% Accepted of Applied	582.4%	605.9%	500.8%	525.8%	500.0%
% Enrolled of Accepted	20.9%	21.8%	19.3%	26.4%	20.4%
Percent Change Year over Year					
Completed Applications	na	-6.6%	2.5%	4.5%	-2.3%
Applications Accepted	na	-2.9%	-15.3%	9.7%	-7.1%
Applicants Enrolled	na	1.0%	-24.8%	49.8%	-28.2%
Average of statistical indicator of aptitude of enrollees: (define below)					
mean SAT	1085	1085	1096	1063	1100

Transfers - Undergraduate					
Completed Applications	63	59	52	69	60
Applications Accepted	57	53	38	49	40
Applications Enrolled	43	24	30	31	30
% Accepted of Applied	90.5%	89.8%	73.1%	71.0%	66.7%
% Enrolled of Accepted	75.4%	45.3%	78.9%	63.3%	75.0%

**Standard 5: Students
(Enrollment, Fall Term)**

Complete this form for each distinct student body identified by the institution (see Standard 5.1)



Credit-Seeking Students Only - Including Continuing Education

		3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Goal (specify year)
		Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)	Fall 2021 (FY 2022)
UNDERGRADUATE						
First Year	Full-Time Headcount	5,662	5,944	5,858	6,353	6,353
	Part-Time Headcount	87	80	84	112	112
	Total Headcount	5,749	6,024	5,942	6,465	6,465
	Total FTE	5,504	5,750	5,674	6,213	6,213
Second Year	Full-Time Headcount	5,330	5,300	5,447	5,309	5,309
	Part-Time Headcount	121	101	122	148	148
	Total Headcount	5,451	5,401	5,569	5,457	5,457
	Total FTE	5,382	5,325	5,515	5,425	5,425
Third Year	Full-Time Headcount	5,697	5,679	5,568	5,712	5,712
	Part-Time Headcount	163	150	156	193	193
	Total Headcount	5,860	5,829	5,724	5,905	5,905
	Total FTE	5,752	5,726	5,640	5,883	5,883
Fourth Year	Full-Time Headcount	5,694	5,737	5,760	5,654	5,654
	Part-Time Headcount	560	475	435	471	471
	Total Headcount	6,254	6,212	6,195	6,125	6,125
	Total FTE	5,898	5,921	5,929	5,933	5,933
Unclassified	Full-Time Headcount	126	90	89	30	30
	Part-Time Headcount	405	422	381	389	389
	Total Headcount	531	512	470	419	419
	Total FTE	243	226	198	162	162
Total Undergraduate Students						
	Full-Time Headcount	22,509	22,750	22,722	23,058	23,058
	Part-Time Headcount	1,336	1,228	1,178	1,313	1,313
	Total Headcount	23,845	23,978	23,900	24,371	24,371
	Total FTE	22,779	22,948	22,956	23,616	23,616
	% Change FTE Undergraduate	na	0.7%	0.0%	2.9%	0.0%
GRADUATE						
	Full-Time Headcount	5,640	5,685	5,733	5,618	5,600
	Part-Time Headcount	2,418	2,351	2,466	2,494	2,510
	Total Headcount	8,058	8,036	8,199	8,112	8,110
	Total FTE	5,852	5,858	5,986	5,938	5,928
Unclassified	Full-Time Headcount	26	18	28	6	5
	Part-Time Headcount	253	225	206	180	160
	Total Headcount	279	243	234	186	165
	Total FTE	107	91	87	66	58
Total Graduate Students						
	Full-Time Headcount	5,666	5,703	5,761	5,624	5,605
	Part-Time Headcount	2,671	2,576	2,672	2,674	2,670
	Total Headcount	8,337	8,279	8,433	8,298	8,275
	Total FTE	5,959	5,949	6,073	6,004	5,986
	% Change FTE Graduate	na	-0.2%	2.1%	-1.1%	-0.3%
GRAND TOTAL						
	Grand Total Headcount	32,182	32,257	32,333	32,669	32,646
	Grand Total FTE	28,738	28,897	29,029	29,620	29,602
	% Change Grand Total FTE	na	0.6%	0.5%	2.0%	-0.1%

Please enter any explanatory notes in the box below

Graduate FTE calculated as registered credits/12 for all programs except MD and DMD. FTE for MD and DMD calculated as FT + PT/3. See Std 4 Summary Degree Seeking table.

Graduate estimate for next year: $-18 \text{ FT} * 12 \text{ cr hrs} = -216 \text{ cr hrs}$; $+16 \text{ PT} * 6 \text{ cr hrs} = +96 \text{ cr hrs}$; $-216+96 = -120 \text{ cr hrs}$; $-120 \text{ cr hrs} / 12 \text{ cr hrs} = -10 \text{ FTE}$.

Undergraduate estimate for next year is expected to remain flat for 2021-22. Official enrollment numbers will be available after 09/13/21.

Standard 5: Students
(Financial Aid, Debt, Developmental Courses)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

? Where does the institution describe the students it seeks to serve?

<https://uconn.edu/fact-sheet-archive/>

? **Three-year Cohort Default Rate**
? **Three-year Loan repayment rate**
(from College Scorecard)

(FY 2015)	(FY 2016)	(FY 2017)
2.6	2.3	2.5

? **Student Financial Aid**

	3 Years Prior (FY 2018)	2 Years Prior (FY 2019)	Most Recently Completed Year (FY 2020)	Current Year (FY 2021)	Goal (specify year) (FY 2022)
Total Federal Aid	\$206,216,265	\$207,707,161	\$241,615,537	\$201,775,909	
Grants	\$30,396,315	\$32,652,856	\$44,176,619	\$36,579,253	
Loans	\$173,632,317	\$173,084,650	\$195,347,625	\$163,698,988	
Work Study	\$2,187,633	\$1,969,655	\$2,091,293	\$1,497,668	
Total State Aid	\$8,913,444	\$9,085,022	\$10,120,890	\$11,223,348	
Total Institutional Aid	\$172,199,294	\$154,945,063	\$182,951,508	\$193,891,584	
Grants	\$172,199,294	\$154,945,063	\$181,886,688	\$192,882,305	
Loans	\$0	\$0	\$1,064,820	\$1,009,279	
Total Private Aid	\$41,419,381	\$41,811,731	\$46,337,967	\$29,023,994	
Grants	\$12,781,290	\$11,973,109	\$12,771,830	\$11,019,801	
Loans	\$28,638,091	\$29,838,622	\$33,566,136	\$18,004,193	

Student Debt

Percent of students graduating with debt (include all students who graduated in this calculation)

Undergraduates	61%	58%	57%		
Graduates	39%	38%	39%		
First professional students	36%	34%	61%		

For students with debt:

Average amount of debt for students leaving the institution with a degree

Undergraduates	\$27,197	\$28,454	\$28,416		
Graduates	\$46,540	\$49,658	\$45,887		
First professional students	\$70,049	\$73,415	\$65,183		

Average amount of debt for students leaving the institution without a degree

Undergraduates	n/a	n/a	n/a	n/a	
Graduate Students	n/a	n/a	n/a	n/a	
First professional students	n/a	n/a	n/a	n/a	

Percent of First-year students in Developmental Courses (courses for which no credit toward a degree is granted)

English as a Second/Other Language	n/a	n/a	n/a	n/a	n/a
English (reading, writing, communication skills)	n/a	n/a	n/a	n/a	n/a
Math	n/a	n/a	n/a	n/a	n/a
Other	n/a	n/a	n/a	n/a	n/a

Please enter any explanatory notes in the box below

- FY21 Student Financial Aid figures is based on committed financial aid offers. This is because the year is still active.
- Starting with FY20, the Student Financial Aid and First professional student debt information includes School of Medicine and School of Dental Medicine students.
- FY22 Student Financial Aid data is currently being evaluated.

Standard 6: Teaching, Learning, and Scholarship
(Faculty by Category and Rank; Academic Staff by Category, Fall Term)

3 Years Prior	2 Years Prior	1 Year Prior	Current Year
Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)

Storrs & Regional Campuses

Number of Faculty by category				
Full-time	1,400	1,397	1,392	1,446
Part-time	38	40	35	26
Adjunct	709	732	749	705
Clinical	67	65	78	85
Research	59	55	53	56
Visiting	34	34	33	29
Other; specify below:				
Total	2,307	2,323	2,340	2,347

Percentage of Courses taught by full-time faculty

	78.4%	79.0%	79.6%	79.0%
--	-------	-------	-------	-------

Number of Faculty by rank, if applicable

Professor	501	494	515	541
Associate	465	477	503	512
Assistant	536	529	491	502
Instructor	45	43	41	46
Other; specify below:				
Lecturer	51	48	41	41
Total	1,598	1,591	1,591	1,642

Number of Academic Staff by category

Librarians	49	47	47	52
Advisors	62	61	63	65
Instructional Designers	8	8	8	7
Other; specify below:				
Research Staff	108	128	124	122
Postdoctoral Fellows	135	140	157	161
Other	2,913	2,994	3,042	3,051
Total	3,275	3,378	3,441	3,458

Please enter any explanatory notes in the box below

Faculty data include all full-time and part-time regular payroll teaching faculty with unmodified titles at the main (Storrs) or regional campuses, including academic administrators with faculty pay titles and visiting, clinical and in-residence faculty if they are teaching. The data, compiled annually for each November 1, exclude faculty on leaves without pay, unpaid and retired faculty, faculty with extension modified titles (e.g. associate extension professor), adjuncts and special payroll lecturers paid by the course, teaching graduate assistants, and non-faculty staff who contribute to the instructional delivery of courses. Faculty members at the main and regional campuses are counted with their academic discipline. Characteristics of the faculty on the Health Center payroll are separately maintained by the Health Center Department of Personnel.

Percentage of courses taught by full-time faculty:

- The courses were summarized by Fall and Spring terms, and then added up to get courses taught in each academic year.
- Campuses excluded in this summary: Study Abroad, Off Campus, UCHC.
- In order to get full-time faculty for each academic year from HR Regular Payroll file, filters applied are: OIRE EEO Category = "1F", "2". Full_Part="Full-time".

3 Years Prior	2 Years Prior	1 Year Prior	Current Year
Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)

UCHC Campus

Number of Faculty by category				
Full-time	179	221	216	229
Part-time	17	21	24	26
Adjunct	0	0	0	0
Clinical	422	417	427	423
Research	0	0	0	0
Visiting	2	0	3	3
Other; specify below:				
Total	620	659	670	681

Percentage of Courses taught by full-time faculty

	*	*	75.0%	66.5%
--	---	---	-------	-------

Number of Faculty by rank, if applicable

Professor	117	137	131	137
Associate	137	145	145	146
Assistant	316	326	336	343
Instructor	29	29	36	33
Other; specify below:				
Department Head	19	20	20	20
Dean/Interim Dean	2	2	2	2
Total	620	659	670	681

Number of Academic Staff by category

Librarians	10	9	9	9
Advisors	0	0	0	0
Instructional Designers	2	3	3	2
Other; specify below:				
Staff Nurse	529	542	560	555
Medical Assistant	202	204	216	245
Nurse Aide	86	91	120	126
Clinic Office Assistant	151	143	169	175
Office Assistant	92	97	122	117
Other	3,367	2,752	2,719	2,774
Total	4,439	3,841	3,918	4,003

Please enter any explanatory notes in the box below

Percentage of courses taught by full-time faculty:

- The rates shown above is based on OIRE Teaching Load Census file;
- Only classes with Class Campus = UCHC were included;
- Only lectures were included;
- All UCH Faculty shown in the UCH Regular Payroll file was considered as full-time faculty.
- The courses were summarized by Fall and Spring terms, and then added up to get courses taught in each academic year.
- Prior to 2020, this data was maintained separately by the Health Center. Therefore these figures represent best estimates. Going forward, all records will be maintained together with the rest of the university's data.

Storrs Underlying titles for "Number of Faculty by rank"

Professor	Assoc Dept Head & Professor Associate Dean & Distinguished Professor Clinical Professor Department Head & Distinguished Professor Director & Distinguished Professor Distinguished Professor Distinguished Professor & Associate Dean Distinguished Professor & Department Head Distinguished Professor & Director Extension Professor Prof & Acting Department Head Professor Professor & Associate Dean Professor & Associate Dean & Director Professor & Department Head Professor & Director Professor And Associate Director Professor In Residence Research Professor University Professor & President Emeritus Visiting Professor
Associate Professor	Assoc Dept Head & Assoc Prof Assoc Extension Professor Assoc Prof & Department Head Assoc Professor In Residence Associate Clinical Professor Associate Dean & Associate Clinical Professor Associate Professor Associate Professor & Associate Dean Associate Professor & Director Associate Professor In Res & Associate Dean Associate Research Professor Director & Associate Professor In Res
Professor	Visiting Associate Professor Assistant Clinical Professor Assistant Extension Professor Assistant Professor Assistant Professor & Director Assistant Professor In Residence Assistant Research Professor Asst Prof In Res & Director Asst Professor In Residence
Instructor	Visiting Assistant Professor Clinical Instructor Extension Instructor Instructor Instructor In Res And Asst Dept Head Instructor In Residence
Lecturer	Visiting Instructor Assistant Clinical Professor Assoc Clinical Professor- Law Clinical Instructor Clinical Professor Lecturer Lecturer & Director Assistant Professor In Residence

Storrs Underlying titles for "Number of Academic Staff by category"

Librarians	Area Head-University Libraries Librarian 1 Librarian 2 Librarian 3 Librarian 3 - Manager Librarian 4 Librarian 4 - Manager University Associate Librarian University Librarian University Librarian Iv Academic Advisor Academic Advisor 1 Academic Advisor 2 Academic Advisory Ctr Dir International Advisor Program Advisor
Advisors	Instructional Dev 1 Instructional Dev 2 Instructional Developer Lead Instructional Developer
Instructional Designers	Manager, Instructional Development Services
Research Staff	Research Assistant Research Assistant 1 Research Associate Research Associate 1 & Director Research Laboratory Aide Research Scientist Research Vessel Captain Research Vessel Engineer Senior Research Scientist
Postdoc Fellows	Postdoctoral Fellow
Other	Academic Assistant Academic Counselor & Coordinator Accountant Activities Coord Activities Program Coord Ad Practice Registered Nurse Admin Coordinator Admin Program Manager 1 Admin Program Manager 2 Admin Program Manager 3 Admin Program Support 1 Admin Program Support 2 Admin Program Support 3 Admin Program Support 4 Admin Services Specialist Administrative Asst Administrative Manager Administrative Services Asst Admission Director-Regional Campus Admissions Counselor Admissions Manager Admissions Officer Admissions Officer 1 Admissions Officer 2 Admissions Officer 3 Agricultural Worker 1 Agricultural Worker 2 Alumni Relations Coordinator Animal Care Manager Animal Care Specialist Animal Care Technican Animal Care Washroom Technican Applications Administrator 1

Applications Administrator 3	Business Services Supvr	Educational Media Assistant
Applications Specialist	Career Consultant	Educational Media Associate
Art Museum Registrar	Center Director	Educational Program Manager 1
Assignments Coordinator	Chief Human Resources Officer	Educational Program Manager 2
Assistant Athletic Manager	Chief Information Systems Security Officer	Educational Program Manager 3
Assistant Athletic Trainer	Chief Of Staff	Elearning Developer 1
Assistant Coach	Claims Examiner	Elearning Developer 2
Assistant Computer Manager	Clerk	Electron Integ. Contr Sys Tech-Bldg Subsys
Assistant Dean	Clerk Typist	Electron Integ. Contr Sys Tech-Indus Contr
Assistant Dean Of Students	Clinical Phlebotomist	Electronics Design Tech
Assistant Director	Comm And Publicity Manager	Electronics Design Technician
Assistant Director Assignments	Community Director	Envir Health And Safety Mngr
Assistant Director Bgs & NonDegree Progs	Computer Engineer	Envir Health And Safety Spec 1
Assistant Director-Dining Services	Computer Laboratory Coordinator	Envir Health And Safety Spec 2
Assistant Extension Educator	Computer Manager	Envir Health And Safety Spec 3
Assistant Finance Director	Computer Programmer Analyst	Environ Health & Safety Manager
Assistant Manager Of Athletic Fields	Computer Programmer/Analyst 2	Environ Health & Safety Specialist 1
Assistant Placement Director	Computer Support Specialist 1	Environ Health & Safety Specialist 2
Assistant Registrar	Computer Support Specialist 2	Environ Health & Safety Technician
Assistant Scheduling Officer	Computer Support Technician 1	Environmental Compliance Analyst
Assistant Teacher	Computer Support Technician 2	Environmental Compliance Professional
Assistant Teacher-Child Development Labs	Computer Tech Support Consultant	Environmental Health & Safety Sr Specialist
Assistant To The Director	Computer Technical Support Consultant	Equipment Technician 2
Assistant Vice President	Computer Technical Support Consultant 1	Equipment/Facilities Manager - Athletics
Assoc Dining Services Director	Computer Technical Support Consultant 4	Executive Assistant
Assoc Director-Development & Learning	Computer Technician	Executive Director
Assoc Director-Student Dev. & Learning	Continuing Educ Counselor	Executive Program Director
Associate Admissions Director	Controller	Executive Vice President for Admin & CFO
Associate Dean	Cook	Ext Program Educ Liaison
Associate Dean Of Students	Coordinator/Counselor-Cap	Extension Educator
Associate Director	Counselor	Facilities Manager 1
Associate Extension Educator	Creative Services Director	Facilities Manager 2
Associate Finance Director	Custodian	Facilities Manager 3
Associate Registrar	Data Administrator 2	Facilities Professional
Associate Research Scientist	Data Analyst 1	Field Coordinator
Associate Scheduling Officer	Data Analyst 2	Finance Manager 1
Associate Vice President	Data Analyst 3	Finance Manager 2
Associate Vice Provost	Data Base Manager	Financial Aid Analyst
Asst Mngr Ath Equip Facilities	Data Base Programmer	Financial Aid Counselor
Asst Vice Provost	Data Base Programmer Analyst	Financial Aid Officer
Athletic Equipment Manager	Database Administrator 2	Financial Analyst 1
Audio Visual Specialist	Dean	Financial Analyst 2
Audio Visual Technician 1	Department Head	Financial Analyst 3
Audio Visual Technician 2	Deputy Chief Of Staff	Financial Assistant
Audio Visual Technician 3	Deputy Director & Chief Of Staff	Financial Assistant 1
B & G Patrol Officer - Uconn Dispatcher	Detective	Financial Assistant 2
Benefits Officer	Dining Serv Area Asst Manager	Financial Clerk
Bio Illustrator&Academic Coord	Dining Services Area Assistant Manager	Fire Inspector
Bldgs & Grounds Patrol Officer	Dining Services Area Manager	Fire Lieutenant
Box Office Manager	Dining Services Manager 1	Firefighter
Box Office Professional	Dining Services Manager 2	Fiscal Manager
Budget Analyst	Dining Services Manager 3	Functional Analyst
Budget Specialist	Director	Functional Specialist
Build Inspec And Compl Offic	Director Of Public Safety & Chief Of Police	General Counsel
Build Inspec And Compl Super	Director,StudentAthlete Counseling & Ment	General Trades Worker
Building Inspection & Compliance Official	Distinguished Professor & Director	Governmental Relations Associate
Building Renovation Projects Dir	Division Of Public Safety Operations Manager	Graduate Admissions Associate
Building Services Manager	Duplicating Services Supervisor	Grants & Contracts Specialist
Building Superintendent	Duplicating Technician	Grants And Contracts Assistant
Business Consultant	Ed Program Administrator	Grants And Contracts Dypmt Off
Business Manager	Ed Program Assistant 1	Grants And Contracts Manager
Business Ops Specialist 1	Ed Program Assistant 2	Grants And Contracts Spec
Business Ops Specialist 2	Ed Program Coordinator	Graphic Designer
Business Ops Specialist 3	Editor 2	Graphic Designer Illustrator

Head Athletic Trainer	Mtce Supervisor 1 - Electrical	Program Assistant - Educational Outreach
Head Coach	Mtce Supervisor 1 - General	Program Associate
Housekeeping Development Manager	Mtce Supervisor 1 - Grounds	Program Coordinator
Housing Coordinator	Mtce Supervisor 1 - Painting	Program Director
Information Security Analyst 2	Mtce Supervisor 1 - Plumbing & Steamfitting	Program Manager
Information Security Analyst 3	Mtce Supervisor 1 Locksmith	Program Manager Educational Outreach
Information Systems Analyst	Mtce Supervisor 1-Utilities	Program Specialist
Institutional Research Analyst	Mtce Supervisor 2 - Automotive	Program Specialist Educational Outreach
Institutional Research Spec	Mtce Supervisor 2 - Hvacr	Protective Services Trainee
Institutional Research Specialist Analytics	Mtce Supervisor 2 - Plumbing & Steamfitting	Protective Services Trainee (Fire)
Institutional Resrch Analyst 1	Mtce Supervisor 2-Utilities	Provost & Exec Vice President
It Manager	Museum Exhibit Designer	Psychiatric Social Worker
It Project Business Analyst	Museum Shop Manager	Psychiatrist
It Project Manager 2	Network Administrator 1	Psychologist
It Quality Assurance	Network Administrator 2	Publications Editors
It Team Lead 1	Network Administrator 3	Publicity Marketing Admin
It Team Lead 2	Network Construction Admin 2	Publicity Marketing Coord
Laboratory Assistant	Network Consultant 2	Publicity Marketing Dir
Laboratory Manager	Network Consultant 3	Publicity Marketing Mgr
Laboratory Supervisor	Network Specialist	Publicity/Marketing Admin
Laboratory Technician	Network Technician 1	Publicity/Marketing Coord
Laboratory Technician 1	Network Technician 2	Publicity/Marketing Manager
Laboratory Technician 2	Network Technician 3	Purchasing Agent
Laboratory Technician 3	Network Technician 4	Qualified Craft Worker - Glazier
Landscape Technician	Nurse	Qualified Craft Worker-Auto Mechanic
Lead Accountant	Nurse Clinical Coordinator	Qualified Craft Worker-Carpenter
Lead Custodian	Nurse Coordinator	Qualified Craft Worker-Electrician
Lead Graphic Designer	Office Assistant	Qualified Craft Worker-Hvac&Refrig
Lead Power Plant Operator	Office Manager	Qualified Craft Worker-Intern
Library Assistant 1	Operating Systems Programmer/Analyst 1	Qualified Craft Worker-Locksmith
Library Assistant 2	Operating Systems Programmer/Analyst 3	Qualified Craft Worker-Mason
Library Assistant 3	Operating Systems Programmer/Analyst 4	Qualified Craft Worker-Painter
Library Assistant 3 - Manager	Operating Systems Programmer/Analyst Ii	Qualified Craft Worker-Plumber
Licensed Architect/Professional Engineer	Osd Consultant And Project Manager	Qualified Craft Worker-Roofing
Machine Shop Engineer	Parking & Transportation Services Admin	Qualified Craft Worker-Sign Making
Machine Shop Engineer/Manager	Payroll Clerk	Qualified Craft Worker-Utilities
Mail Handler	Payroll Supervisor	Registered Diet/Nutri
Mail Services Supervisor 2	Pharm And Ancillary Serv Mngr	Registrar
Maintainer	Pharmacist	Registrar Specialist
Maintenance Supervisor-Electrical	Physician	Residence Hall Complex Coordinator
Manager Athletic Equipment Services	Plan Dsgn Const Asst Proj Mgr	Residence Hall Complex Manager
Manager Auditorium Operations	Plan Dsgn Const Project Mgr	Residence Hall Director
Manager Farm Services	Plan Dsgn Const Project S Mgr	Scientific Collection Mgr
Manager Lab Services	Police Captain	Secretary
Manager Theater Operations	Police Lieutenant	Sen Ed Program Administrator
Manager-Financial Services	Police Master Sergeant	Senior Accountant
Manager-Growth Operations	Police Officer	Senior Admin Program Support
Manager-Technical Projects	Police Sergeant	Senior Admissions Officer
Managing Editor	Power Plant Operator 1	Senior Associate Director-Admissions
Master Gardener	Power Plant Operator 2	Senior Associate Director-Regional Campus
Master Teacher	Power Plant Operator Trainee	Senior Computer Programmer/Analyst
Material Storage Specialist	Power Plant Supervisor	Senior Database Administrator
Material Storage Supervisor	Pre-Doctoral Intern	Senior Director
Material Storage Supervisor (Rc)	President	Senior Environmental Compliance Professional
Mechanical Design Technician	Procurement Analyst 1	Senior Extension Educator
Media Producer	Procurement Analyst 2	Senior Facilities Professional
Media Producer 1	Procurement Services Senior Specialist	Senior Graphic Designer
Media Producer 2	Procurement Specialist	Senior Public Relations Assoc
Media Producer 3	Production Technical Analyst Iii	Senior Vice Provost
Media Services Associate	Professor & Associate Dean	Shs Aprn
Microcomputer Support Consultant	Professor & Director	Shs Clinical Coordinator
Mngr Ath Equip And Facilities	Program Administrator	Shs Clinical Lab Technologist
Mtce Supervisor 1 - Automotive	Program Aide	Shs Information Coordinator
Mtce Supervisor 1 - Carpenter	Program Assistant	Shs Medical Laboratory Assistant

Sign Language Interpreter
 Skilled Maintainer
 Social Worker
 Software Developer 1
 Software Developer 2
 Software Developer 3
 Special Research Technician
 Specialist Ia
 Specialist Iia
 Specialist Iva
 Specialized Design Technician
 Sponsored Programs Team Leader
 Sr Art Designer
 Sr Machine Shop Engineer
 Sr Student Services Prog Admin
 Sr University Relations Associate
 Storekeeper
 Student Clinical Mhs Manager
 Student Employment Officer
 Student Services And Advocacy Associate 1
 Student Services Prog Assist 1
 Student Services Prog Assist 2
 Student Services Prog Coord
 Student Services Prog Mngr 1
 Student Services Prog Mngr 2
 Student Services Prog Mngr 3
 Student Services Program Admin
 Student Success Counselor
 Substance Abs Prev Education
 Supervising Custodian
 Supply Manager
 System Administrator
 Systems Administrator 1
 Systems Administrator 2
 Systems Administrator 3
 Systems Specialist
 Teacher
 Teacher Child Development
 Technical Assistant
 Technical Associate
 Technical Operations Manager
 Technical Records Coord
 Technical Records Coordinator
 Technical Shop Engineer
 Telecommunications Dispatcher
 Telephone Operator
 Theater Operations Manager
 Theater Production Manager
 Theater Production Specialist
 Theater Production Technician
 Ticket Manager
 Training & Development Coord
 Training/Development Coordinator
 Training/Development Specialist
 U Chief Of Staff & Gen Counsel
 U Lib Asst V-Law
 Uconn Dispatcher
 Uconn Dispatcher Trainee
 Univ Educational Assistant
 Univ Library Assistant Iii-Law
 Univ Library Assistant Ii-Law
 Univ Public Relations Assoc 1
 Univ Public Relations Assoc 2
 Univ Research Tech
 University Accountant
 University Accountant Iv

University Arborist
 University Bus Driver
 University Fire Captain
 University Library Assistant Ii
 University Library Assistant Iii
 University Library Assistant Iv
 University Pharmacist 1
 University Pharmacist 2
 University Relations Associate
 University Staff Professional
 University Staff Professional I
 University Staff Professional Ii
 University Staff Professional Ii
 University Technician I
 University Technician Ii
 Upward Bound Advisor
 Vice President
 Vice Provost
 Vice Provost & Dean
 Vice Provost, Dean & Distinguished Professor
 Visiting Assistant Extension Educator
 Visiting Associate Extension Educator
 Water Pollution Control Facility Operator 1
 Water Pollution Control Facility Operator 2
 Water Pollution Control Facility Operator 3
 Water Pollution Control Facility Supervisor
 Water Pollution Control Facility Supervisor 1
 Water Pollution Control Facility Supervisor 2
 Water Pollution Control Facility Technician
 Water Pollution Control Operator Mechanic
 Writer Editor
 X-Ray Supervisor
 X-Ray Technician 1
 X-Ray Technician 2
 X-Ray Technologist

UCHC Underlying titles for "# of Academic Staff by categor

Librarian
 Librarian 1
 Librarian 2
 Librarian 3
 Librarian 4
 Director, Library Services
 Library Director - Interim
 Instructional Designers
 Instructional Design Spec
 Staff Nurse
 Staff Nurse CN1
 Staff Nurse CN2
 Staff Nurse CN2 - Outpatient
 Staff Nurse CN3
 Staff Nurse CN3 - Outpatient
 Staff Nurse CN4
 Staff Nurse CN4 - Outpatient
 Medical Assistant
 Medical Assistant
 Nurse Aide
 Nurse Aide
 Clinic Office Assistant
 Clinic Office Assistant
 Office Assistant
 Office Assistant
 Other
 Acad Adm Manager, Surgery
 Acad Adm Mngr, Child & Fam Stu
 Acad Adm Mngr, Fam Medicine
 Academic Adm Manager, Psych
 Academic Admin Manager
 Academic Computing Spec II
 Academic Curric Coordinator
 Account Careers Trainee
 Accountant
 Accounts Receivable Collector
 ADA & HR Programs Officer
 Adm Fiscal Assistant
 Adm Mngr, Dept of Medicine,SOM
 Adm Program Assistant 1
 Adm Program Assistant 2
 Adm Program Coordinator
 Admin & Clin Sys Coord
 Admin & Clin Sys Coord (RC)
 Admin & Medical Specialty Tech
 Admin and Clin Research Coord
 Admin Manager, Cntr on Aging
 Admin Manager, NEAG CCC
 Admin Manager, OB/Derm/Radiol
 Admin Program Coordinator
 Admin, Total Joint Program
 Administrative Coordinator(RC)
 Administrative Director
 Administrative Manager
 Administrative Officer
 Administrative Supv, Nurse
 Adv Nurse Practitioner
 Animal Care Supervisor
 Animal Care Tech
 Animal Care Washroom Tech
 Application Analyst 1
 Application Analyst 2
 Application Analyst 3
 Application Architect
 Application Developer 1
 Application Developer 2
 Application Developer 3
 Architect/Electrical Designer
 Art Designer
 Assist Vice President, IT
 Assoc Accountant
 Assoc Compliance Officer

y''

Assoc Dir,AHEC/Dir Urbn Track	Chief Counsel	Controller	Director, OSD & Support Svcs
Assoc Director Hosp Operations	Chief Dosimetrist	Credentialed Trainer	Director, Parking & Transporta
Assoc Director, Investigations	Chief Financial Officer	Custodian	Director, Parking and Transpor
Assoc Director, Pharmacy CMHC	Chief Information Officer	Cytotechnologist	Director, Patient Support Svcs
Assoc Vice President, Budget	Chief of Staff	Data Entry Oper 1	Director, Perfusion Services
Assoc VP, Bus & Ancillary Svcs	Chief Technologist, Clin Labs	Dental Asst	Director, Poison Info Center
Assoc VP, Campus Planning	Childcare Head Teacher	Dental Auxiliary Instructor	Director, Procurement
Assoc VP, Fac Dev & Oper	Childcare Teacher	Dental Hygienist	Director, Qual Perf Improv UMG
Assoc VP,Pharm& Ancillary Svcs	Clerk	Dental Hygienist 1	Director, Quality & PI - UMG
Assoc VP,Res Integrity&Reg Aff	Clerk Typist	Dental Lab Tech 2	Director, Research Safety
Associate Director	Clin Nrsr Consultant, Risk Mng	Dental Supply Assistant	Director, SODM Finance
Associate Director, Nursing Op	Clin Pas Ed Prog Specialist	Dentist	Director, SOM Finance
Associate Director, Pharmacy	Clin Simulation CTR Coordinato	Deputy General Counsel	Director, Staff Development
Associate Director, Radiology	Clin Soc Worker	Desktop Technician I	Director, Strategic Planning
Associate Vice President	Clin Sys/Informatics Analyst	Desktop Technician II	Director, Student Affairs
Asst Dir, MH & Psych Svcs CMHC	Clinical Case Manager	Detective (Unclassified)	Director, UP Accounts
Asst Dir, Procurement Systems	Clinical Coordinator	Diabetes Education Program Coo	Director,Behav Hlth & Neur Svc
Asst Director, Campus Planning	Clinical Coordinator 2	Diabetes Educator	Director,Campus Planning/Const
Asst Director, Design Svcs	Clinical Documentation Spec	Diagnostic Imaging Assistant	Director,HR Operations&Payroll
Asst Director, Fac Bus Svcs	Clinical Engineer	Diagnostic Med Sonographer	Director,Research Finance Post
Asst Director, Fac Mgmnt (RC)	Clinical Info Syst Supervisor	Diagnostic Rad Tech	Diversity Compliance Spec
Asst Director, Lab Animal Care	Clinical Lab Supervisor	Dir, EPIC Inpatient Apps	DM Sonography Technlgst 1
Asst Director, Multimedia Svcs	Clinical Nurse Specialist	Dir, Medicare/Medicaid Rptng	DM Sonography Technlgst 2
Asst Director, Unified Communi	Clinical Nurse Supvr - UHP Sal	Dir, Outcomes, Research & Qual	Duplicating Technician 2
Asst Director/Supply Chain Ops	Clinical Patient Navigator	Dir, Revenue Integrity	E.D. Admissions Specialist
Asst Nursing Manager	Clinical Perfusionist	Dir,Compensation & Perf Improv	Educ & Development Spec.
Asst Radiation Safety Officer	Clinical Perfusionist Coord	Dir,Public Safety/Police Chief	Education Technology Trainer
Asst Supervisor of CSSS	Clinical Practice Manager	Director of Quality	EEO Investigator
Asst Vice President	Clinical Practice Manager 2	Director of Quality - Interim	Electrical Engineer
Asst VP, Business Analytics	Clinical Program Coordinator	Director, Admin Svcs CMHC	Electronic Integrated Control
Asst VP, Enterprise Systems	Clinical Radiologic Supvr	Director, Adolescent Svcs CMHC	Embalmer/Coordinator
Asst VP, Payer Negotiation	Clinical Research Assoc 1	Director, Ambulatory Access In	Employee Assist Prog Mngr-EAP
Asst VP, Research Finance Svcs	Clinical Research Assoc 2	Director, Ambulatory Practice	Employee Assistance Counselor
Asst VP, Research Informatics	Clinical Research Asst 1	Director, Ambulatory Practices	Employee Labor Relations Assoc
Asst VP, Revenue Integrity	Clinical Research Asst 2	Director, Application Developm	Employee Resource Specialist
Asst VP,Procurement Ops Contr	Clinical Research Asst 3	Director, Benefits	Env Health & Safety Spec
Athletic Trainer	Clinical Research Technician	Director, Budget	Environmntl Contrl Maintainer
Attorney, UConn Health	CMHC CSSD Ment Hlth Prog Mngr	Director, Clin Reg Compliance	Ergonomist
Audio Visual (AV) Specialist	CMHC Discharge Planning Mngr	Director, CMHC MH/Psych Svcs	Exec Admin Asst, COA
Autopsy/Pathology Technician	CMHC Halfway House Prog Mngr	Director, Dental Services CMHC	Exec Admin Asst, Dean SOM
Behav Hlth Part Hosp Prog Mngr	CMHC Hlth Svcs Adm Garner	Director, Ed & Training CMHC	Exec Admin Asst, EVP
Biological Safety Officer	CMHC Hlth Svcs Adm Hartford	Director, Emergency Preparedne	Executive Adm Asst, SODM
Biomedical Communication Supvr	CMHC Hlth Svcs Adm McDg/Walk	Director, Env Care Clin Saf Of	Executive Assistant
Biomedical Tech Specialist	CMHC Hlth Svcs Adm New Haven	Director, EPIC Ambulatory/Mobi	Executive Assistant, UMG
Biomedical Technician 2	CMHC Hlth Svcs Adm Nrth/Wl/Cy	Director, EPIC Ancillary	Executive Director - Periop Sv
BioMedical Technician I	CMHC Hlth Svcs Adm Osborne	Director, EPIC Inpatient	Executive Staff Asst
Bldg & Grnds Patrol Off	CMHC Hlth Svcs Adm York	Director, EPIC Revenue Cycle	Finance Manager
Bone Densitometry Technologist	CMHC Information Tech Admin	Director, EPIC Review Cycle	Finance Manager (RC)
Budget Analyst	CMHC Medical Director	Director, Epidemiology	Finance Manager, Finance Corp
Business Services Manager	CMHC Prog Mngr Utilization Rev	Director, Epidemiology (NonMD)	Finance Manager-Sponsored Prog
Business System Analyst	CMHC Prog Mngr, Infect Disease	Director, Finance-Grad Med Ed	Financial Aid Officer
Cardiac Testing Tech	Cntrl Sterile Proc Instr Spec	Director, Graduate Medical Edu	Fiscal Admin Asst
Cardiac/Vascular Sonographer	Coding & Documnt Integrity Mgr	Director, Hlth Career Opp Prog	Fiscal Admin Off
Cardio Sonographer	Coding Reimbursement Spec	Director, Hlth Mrktng Med Svcs	Fiscal Assistant
Cardiovascular Sonographer	Coding Trainer	Director, HRIS/Data Proc/Pyrrl	Fiscal Coordinator
Cardiovascular Technologist 1	Comm Based Educ Spec	Director, Info Technology	Fiscal Supervisor
Cardiovascular Technologist 2	Community Health Prog Supvr	Director, Info Technology CHMC	FMLA Leave Coordinator
Cash Accounting Clerk	Community Health Specialist	Director, IT Infrastructure	General Trades Worker
Cast Technician	Community Health Worker	Director, IT-3rd Party Systems	Grants & Contracts Specialist
Cent Sterile Proc & Dist Aide	Compensation/Classific Officer	Director, Logistics Management	Head Nurse-Correctional
CEO UConn Hlth/Exec VP Hlth Af	Compliance & Integrity Officer	Director, Medical Staffing	Health Attorney
Chaplain	Compliance Specialist	Director, Nurse Prof. Practice	Health Privacy Specialist
Chemical Safety Officer	Computed Tomography (CT) Tech2	Director, Nursing	Health Services Admin - CMHC
Chief Admin Officer	Computed Tomography Tech 1	Director, Nursing Magnet Prog	Healthcare Data Analyst

Histology Supervisor	Lead Radiologic Technologist	Nurse Manager, Psychiatry	Pulmonary Coordinator	Staff Accountant 2
Histology Technician	Lead Respiratory Therapist	Nurse Manager, Surgery Cntr	Pulmonary Function Spec	Staff Accountant 3
Histotechnologist	Lead Transport Aide	Nurse Manager, Surgical 7	Purchasing and Inventory Spec	Staff Physician
Hlth Svcs Admin, CMHC Brdgrpt	Lead Transport Aide (RC)	Nurse Practitioner	Qual Crft Wrkr-A&E Mech	Staff Psychiatrist
		Nursing Director, CMHC	Qual Crft Wrkr-Carpenter	Staff Radiological Tech
HR Consultant	Library Technican 2	Occupational Therapist 1-UHP	Qual Crft Wrkr-Elect	Stationary Engineer
HR Coordinator	Library Technician 1	Occupational Therapist 2-UHP	Qual Crft Wrkr-HVACR	Storekeeper
HR International Officer	Library Technician 2	Occupational Therapy Supvr	Qual Crft Wrkr-Lock	Storekeeper Assistant
HRIS Administrator	Library Technician Assistant	Operations Assoc, Risk Mngmnt	Qual Crft Wrkr-Painter	Strategic Planner
HRIS Specialist 2	LPN	Operations Manager	Qual Crft Wrkr-Plumber	Student Affairs Officer
Human Resources Assistant	LPN Per Diem	Operations Mngr-Facilities Svc	Quality Assurance Specialist	Sup Psychologist 1 CL
Human Resources Associate	Mag Resonance Imaging Tech 2	Ophthalmology Technician	Radiation Safety Officer	Sup Psychologist 2 CL
Human Resources Specialist 1	Mail Handler	Optometrist	Radiation Therapy Supervisor	Supervising Accountant - UHP
Human Resources Specialist 2	Maintainer	OR/Anesthesia Tech	Radiation Therapy Technologist	Supervising Accountant - UHP
Human Resources Specialist 3	Maintainer (Drive/Equip Oper)	Oral and Max Radiologic Supvr	Records Manager	Supervising Custodian
Infection Control Specialist 2	Maintenance Supv 2 (Grounds)	Pathologist's Asst	Registrar	Supervising Nurse-Correctional
Informatics Pharmacist	Mammography Technologist	Patient Access Representative	Rehabilitation Coordinator	Supervisor, Patient Access
Informatics Pharmacist (RC)	Manager, Clinical Engineering	Patient Aide	Rehabilitation Services Supvr	Supply Coordinator
Information Specialist	Manager, Diagnostic Imaging	Patient Instructor Trainer	Reimbursement Analyst 1	Supv Patient Svcs Accts
Infrastructure Architect	Manager, HIM Coding	Patient Svcs Accounts Coord	Reimbursement Analyst 2	Supvr, Clinical Case Manager
Instructional Technology Spec	Manager, HIM Transcription	Patient Svcs Representative	Research Analyst	Surg Technologist 2
Interim Chief Counsel	Manager, Off Human Rsrch Prot	Payroll Coordinator	Research Assistant 1	Surgical Tech 1 (Per Diem)
Interim Compliance Officer	Manager, Pharmacy - CMHC	Payroll Manager	Research Assistant 2	Surgical Tech 2 (Per Diem)
Interim Nurse Manager	Manger, Single Billing Office	Performance Improvement Spec	Research Assistant 3	Surgical Technologist 1
Interim Vice President	Mat Stor Supv 2	Personnel Specialist 1	Research Associate 1	Surgical Technologist 2
Internal Audit Manager	Material Mngmnt Supervisor	Personnel Specialist 2	Research Associate 2	Systems Coordinator
Internal Auditor	Med Materials Mngmnt Supvr	Pharmacist-UHP	Research Compliance Monitor 1	Talent Acquisition Specialist
Internal Auditor 1 - Medical	Med Rec Spec 1	Pharmacy Clinical Coord	Research Compliance Monitor 2	Technical Analyst 1
Interpreter Deaf/Hard of Hear	Med Rec Spec 2	Pharmacy Manager	Research Database Manager	Technical Analyst 2
Interpreter Services Coord	Medical Dosimetrist	Pharmacy Quality Coordinator	Research Facilitator	Technical Analyst 3
Intrventnl/Spec Procedure Tech	Medical Laboratory Technician	Pharmacy Resident	Research Nurse Manager	Technology Transfer Off-Patent
Inv Drug Pharm/Med Safty Pharm	Medical Physicist	Pharmacy Technician	Research Safety Spec 1	Telecom Operator
IT Project Manager	Medical Program Manager CMHC	Pharmacy Technician Coord	Research Safety Spec 2	Telecommunication Analyst/Coor
Lab Aide	Medical Records Clerk	Pharmacy Technician Trainee	Research Technician	Telecommunication Dispatcher
Lab Animal Tech Svcs Spec	Medical Records Coding Tech	Phlebotomist - 1199	Resp Therapist Per Diem	Telephone Opr
Labor Relations Coordinator	Medical Records Supervisor	Physical Therapist 2 - UHP	Respiratory Therapist	Therapeutic Recreation Spec
Labor Relations Specialist	Medical Technologist 1	Physician 2	Respiratory Therapy Supervisor	Training & QA Coordinator
Laboratory Assistant	Medical Technologist 2	Physician Assistant - UHP	RN Per Diem	Transport Aide
Laboratory Assistant 2	Medical Technologist 2 -RCP	Physician Asst - 1199	Secretary 1	UCH Communications Specialist
Laboratory Assistant 3	Mental Health Clinician	PI Project Leader	Secretary 2	UCH Finance Manager
Lactation Nurse	MH Asst 1	Planning Specialist	Senior Director - Budget	UCH Paralegal Specialist
Lactation Team Lead	Mobile Intensive Care Coord Su	Poison Information Spec	Senior Director, Nursing	UCH-Emergency Mgmt Prog Spec
Landscape Technician	MTCE Spv 1 Gen	Police Lieutenant - Unclassifi	Senior Director-Budget	UH Resident Dentist 1
LD Ctl St Sup Ad	MTCE Spv 1 HVA	Police Master Sergeant	Senior Health Attorney	UH Resident Dentist 2
Ld Mag Resonance Imagng Tech 2	MTCE Spv 2 Car	Police Officer - Unclassified	Skilled Maintainer	UHP President
Lead Cardiac/Vascular Sngraphr	MTCE Spv 2 Elect	Police Sergeant - Unclassified	Snr Director, Hosp Operations	UHP Vice President
Lead Cardiovascular Sonographe	MTCE Spv 2 HVAC	Practice Relations Liaison	Social Work Supervisor	UHPC-4/Dept Manager
Lead Coding Trainer	MTCE Spv 2 Plum	Preclinical Educ Specialist	Social Worker 1	Univ Asst Director
Lead Computed Tomography Tech	Multi Media Specialist 1	Principal Physician	Social Worker 2	Univ Director
Lead Custodian	Multimedia Specialist 1	Principal Psychiatrist	Spec Dental Lab Tech	Univ Helper
Lead Cytotechnologist	Multimedia Specialist 2	Principal Trainer	Spec Radiologic Tech-IR/SP	Univ Physician Fee Spec
Lead Dental Asst	Neonatal Spec Resp Care	Procurement Contract Spec	Spec Radiologic Tech-Mamo	Univ Post Doc Fellow 1
Lead Diagnostic Medical Sonogr	Network Telecom Specialist	Procurement Financial Officer	Spec Secretary (Medical)	University Audit Director
Lead Med Records Coding Tech	Neurodiagnostic Tech	Professional Counselor	Speech Pathologist	Vice President
Lead Network Telecomm Spec	Neurosurgical Physician Asst	Program Director	Sponsored Program Specialist	Visual Media Designer
Lead Neurosurgical Phys Asst	Nuclear Medicine Technologist	Program Director-NESCI/CBD	Spvr, Medical Coding & Training	VP Facilities, Dev & Oper
Lead Nuclear Med Tech	Nurse Anesthetist	Program Manager	Spvr, Sterile Proc & Distr	VP, Patient Experience
Lead Nurse Practitioner	Nurse Correction	Program Manager Clinical Ed	Sr Dir, Hosp Oper Therap	VP, Patient Experience-Interim
Lead Ophthalmology Technician	Nurse Manager	Program Manager Faculty Dvlpmt	Sr Director, Finance/Adm,SOM	VP, Quality & Patient Services
Lead Pathologist Assistant	Nurse Manager, ER	Program Manager-Risk Mngmnt	Sr Health Attorney	VP, UMG Admin
Lead Patient Svcs Rep	Nurse Manager, Intermediate Un	Program Mgr,Comm&Ed Outreach	Sr Labor Relations Specialist	Web and Marketing Assoc
Lead Physician Assistant	Nurse Manager, Medical 3	Project Manager 2, Campus Plan	Sr. Director, Hosp Operations	Web Communication Officer 1
Lead Radiologic Tech - US/Sono	Nurse Manager, NCCC	Project Manager 3, Campus Plan	Sr. Director, Nursing	Web Communication Officer 2
Lead Radiologic Tech-IR/SP	Nurse Manager, Neonatal	Project Manager, Campus Plan	Sr. Health Attorney	Wound & Ostomy Nurse
Lead Radiologic Tech-Mamo	Nurse Manager, Operating Room	Psychologist Clinical	Staff Accountant 1	Wrker's Comp & Safety Prg Coor

Standard 6: Teaching, Learning, and Scholarship
(Faculty by Category and Rank; Academic Staff by Category, Fall Term)

3 Years Prior	2 Years Prior	1 Year Prior	Current Year
Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)

Storrs & Regional Campuses

Number of Faculty by rank	Tenure- track		Non-Tenure		Tenure- track		Non-Tenure		Tenure- track		Non-Tenure	
	Tenured	Non-Tenured	Tenured	Non-Tenured	Tenured	Non-Tenured	Tenured	Non-Tenured	Tenured	Non-Tenured	Tenured	Non-Tenured
Professor	479	6	13	476	3	12	489	3	20	510	5	21
Associate Professor	371	28	66	378	27	72	395	22	87	394	23	94
Assistant Professor	4	287	238	8	264	248	3	230	248	4	226	266
Instructor	0	0	44	0	0	42	0	0	40	0	0	45
Lecturer	0	0	62	0	0	61	0	0	54	0	0	54
Other	0	0	0	0	0	0	0	0	0	0	0	0
Total	854	321	423	862	294	435	887	255	449	908	254	480

Number of Faculty by ethnicity/gender	Tenured	Non-Tenured										
International	0	55	36	2	60	37	3	56	37	4	65	47
Male	0	36	19	0	37	18	2	36	24	1	39	25
Female	0	19	17	2	23	19	1	20	13	3	26	22
Black	24	8	6	26	5	6	23	3	9	23	6	10
Male	17	5	5	19	2	6	16	1	8	15	1	7
Female	7	3	1	7	3	0	7	2	1	8	5	3
Native American	4	0	2	3	0	1	2	0	1	2	0	1
Male	2	0	1	2	0	0	2	0	0	2	0	0
Female	2	0	1	1	0	1	0	0	1	0	0	1
Asian American	119	45	27	125	40	29	134	24	29	144	17	34
Male	84	34	10	89	29	12	95	17	12	103	11	12
Female	35	11	17	36	11	17	39	7	17	41	6	22
Hispanic/Latino	35	19	11	39	15	8	40	11	12	43	12	16
Male	22	10	3	22	9	2	23	8	4	26	7	5
Female	13	9	8	17	6	6	17	3	8	17	5	11
Native Hawaiian/Pacific Islander	0	0	1	0	0	1	0	0	1	0	0	1
Male	0	0	0	0	0	0	0	0	0	0	0	0
Female	0	0	1	0	0	1	0	0	1	0	0	1
Two or More Races	0	2	2	4	3	3	6	3	4	7	4	3
Male	0	1	1	2	2	1	3	1	1	3	2	1
Female	0	1	1	2	1	2	3	2	3	4	2	2
White	655	151	281	639	116	264	650	77	253	649	64	271
Male	418	77	126	398	61	117	402	34	105	396	28	113
Female	237	74	155	241	55	147	248	43	148	253	36	158
Unknown	17	41	57	24	55	86	29	81	103	36	86	97
Male	11	25	35	15	32	45	19	47	48	24	48	45
Female	6	16	22	9	23	41	10	34	55	12	38	52
Total	854	321	423	862	294	435	887	255	449	908	254	480

Please enter any explanatory notes in the box below

Faculty data include all full-time and part-time regular payroll teaching faculty with unmodified titles at the main (Storrs) or regional campuses, including academic administrators with faculty pay titles and visiting, clinical and in-residence faculty if they are teaching. The data, compiled annually for each November 1, exclude faculty on leaves without pay, unpaid and retired faculty, adjuncts and special payroll lecturers paid by the course, teaching graduate assistants, and non-faculty staff who contribute to the instructional delivery of courses. Faculty members at the main and regional campuses are counted with their academic discipline. Characteristics of the faculty on the Health Center payroll are separately maintained by the Health Center Department of Personnel.

3 Years Prior	2 Years Prior	1 Year Prior	Current Year
Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)

UCH Campus

Number of Faculty by rank	Tenure- Non-											
	Tenured	track	Tenure									
Professor	83		34	99	1	37	85	1	45	85	1	51
Associate Professor	36	7	94	35	8	102	35	10	100	34	12	100
Assistant Professor	10	24	282	6	28	292	4	30	302	2	34	307
Instructor		8	21		7	22		4	32		2	31
Lecturer												
Other/Dept Head/Dean	13	1	7	13	1	8	13	1	8	11	1	10
Total	142	40	438	153	45	461	137	46	487	132	50	499

Number of Faculty by ethnicity/gender

International												
Male												
Female												
Black	3	1	21	3	1	23	3	1	25	3	1	25
Male	2		9	2		10	2		12	2		10
Female	1	1	12	1	1	13	1	1	13	1	1	15
Native American												
Male												
Female												
Asian American	27	11	106	28	16	119	28	18	128	28	20	132
Male	19	6	48	20	10	56	20	13	62	20	15	58
Female	8	5	58	8	6	63	8	5	66	8	5	74
Hispanic/Latino	5	3	30	5	2	32	5	2	39	4	1	39
Male	3		18	3		19	3		21	3		23
Female	2	3	12	2	2	13	2	2	18	1	1	16
Native Hawaiian/Pacific Islander												
Male												
Female												
Two or More Races												
Male												
Female												
White	104	23	280	99	24	286	99	24	294	96	27	302
Male	75	11	156	72	12	157	72	12	157	70	13	159
Female	29	12	124	27	12	129	27	12	137	26	14	143
Unknown	0	2	1	1	2	1	1	1	1	1	1	1
Male			1			1			1			1
Female		2		1	2		1	1		1	1	
Total	139	40	438	136	45	461	136	46	487	132	50	499

Please enter any explanatory notes in the box below

Characteristics of the faculty on UConn Health payroll are separately maintained by the UConn Health Human Resources department. Data in the faculty by race/ethnicity/gender section is regardless of citizenship. Emeritus Professors counted in the section by rank are excluded in the race/ethnicity/gender counts.

**Standard 6: Teaching, Learning, and Scholarship
(Full-time Faculty by Tenure Status, Fall Term)**

5 Years Prior	4 Years Prior	3 Years Prior	2 Years Prior	1 Year Prior	Current Year
Fall 2015 (FY 2016)	Fall 2016 (FY 2017)	Fall 2017 (FY 2018)	Fall 2018 (FY 2019)	Fall 2019 (FY 2020)	Fall 2020 (FY 2021)

Full-time Teaching Faculty

Tenured	808	799	794	804	828	855
Tenure-Track	290	306	304	281	243	243
Non-Tenure-Track	288	314	326	350	350	390
Total	1,386	1,419	1,424	1,435	1,421	1,488

Standard 6: Teaching, Learning, and Scholarship

(Appointments, Tenure, Departures, Retirements, Teaching Load Full Academic Year)

		3 Years Prior		2 Years Prior		1 Year Prior		Current Year	
		Fall2017		Fall2018		Fall2019		Fall2020	
		(FY2018)		(FY2019)		(FY2020)		(FY2021)	
		FT	PT	FT	PT	FT	PT	FT	PT
Storrs & Regional Campuses									
? Number of Faculty Appointed									
Professor		3	3	4		7		7	
Associate		9		7	1	6	3	8	
Assistant		74	1	74	1	65	4	83	5
Instructor		9	1	5		2	1	11	1
No rank									
Department Head									
Other		2		3		2		5	1
Total		97	5	93	2	82	8	114	7
? Number of Faculty in Tenured Positions									
Professor		460	19	461	15	476	13	498	11
Associate		365	6	369	9	389	6	391	3
Assistant		4		7	1	3		4	
Instructor									
No rank									
Department Head									
Other									
Total		829	25	837	25	868	19	893	14
? Number of Faculty Departing									
Professor		13		7	1	9		4	
Associate		15		15		9		7	2
Assistant		38		53		75	4	39	1
Instructor		7	1	2	6	1		2	
No rank									
Other		1		4				1	
Total		74	1	81	7	94	4	53	3
? Number of Faculty Retiring									
Professor		21	2	21	1	25		20	1
Associate		5		7		9		8	
Assistant		4		4		1		4	1
Instructor			1			1			1
No rank									
Other		1		2		1			
Total		31	3	34	1	37	0	32	3

Please enter any explanatory notes in the box below

Faculty data include all full-time and part-time regular payroll teaching faculty with unmodified titles at the main (Storrs) or regional campuses, including academic administrators with faculty pay titles and visiting, clinical and in-residence faculty if they are teaching. The data, compiled annually for each November 1, exclude faculty on leaves without pay, unpaid and retired faculty, faculty with extension modified titles (e.g. associate extension professor), adjuncts and special payroll lecturers paid by the course, teaching graduate assistants, and non-faculty staff who contribute to the instructional delivery of courses. Faculty members at the main and regional campuses are counted with their academic discipline. Characteristics of the faculty on the Health Center payroll are separately maintained by the Health Center Department of Personnel.

		3 Years Prior		2 Years Prior		1 Year Prior		Current Year	
		Fall2017		Fall2018		Fall2019		Fall2020	
		(FY2018)		(FY2019)		(FY2020)		(FY2021)	
		FT	PT	FT	PT	FT	PT	FT	PT
UCH Campus									
? Number of Faculty Appointed									
Professor		1	0	1	3	0	1	2	0
Associate		3	0	2	0	3	0	1	1
Assistant		30	6	39	7	34	5	37	6
Instructor		3	0	9	0	1	0	3	0
No rank		0	0	0	0	0	0	0	0
Department Head		1	0	1	0	0	0	1	0
Other		0	0	1	0	0	0	0	0
Total		38	6	53	10	38	6	44	7
? Number of Faculty in Tenured Positions									
Professor		80	0	82	0	82	2	83	2
Associate		36	0	35	0	35	0	34	0
Assistant		10	0	6	0	4	0	2	0
Instructor		0	0	0	0	0	0	0	0
No rank		0	0	0	0	0	0	0	0
Department Head		11	0	11	0	11	0	10	0
Other		2	0	2	0	2	0	1	0
Total		139	0	136	0	134	2	130	2
? Number of Faculty Departing									
Professor		4	0	2	0	5	0	1	3
Associate		4	1	6	2	4	1	1	1
Assistant		15	6	12	5	14	4	10	7
Instructor		3	0	5	0	3	1	5	0
No rank		0	0	0	0	0	0	0	0
Other		0	0	0	0	0	0	0	0
Total		26	7	25	7	26	6	17	11
? Number of Faculty Retiring									
Professor						11	3	3	0
Associate						0	1	2	3
Assistant						1	0	1	4
Instructor						0	0	0	0
No rank						0	0	0	0
Department Head						0	0	1	0
Total		0	0	0	0	12	4	7	7

Please enter any explanatory notes in the box below

Characteristics of the faculty on UConn Health payroll are separately maintained by the UConn Health Human Resources department.

Standard 7: Institutional Resources
(Headcount of Employees by Occupational Category)

For each of the occupational categories below, enter the data reported on the IPEDS Human Resources Survey (Parts B and D1) for each of the years listed.

If your institution does not submit IPEDS, visit this link for information about how to complete this form:

https://surveys.nces.ed.gov/IPEDS/Downloads/Forms/package_1_43.pdf

Storrs & Regional Campuses	3 Years Prior			2 Years Prior			1 Year Prior			Current Year		
	(FY 2018)			(FY 2019)			(FY 2020)			(FY 2021)		
	FT	PT	Total	FT	PT	Total	FT	PT	Total	FT	PT	Total
Instructional Staff	1,495	762	2,257	1,435	783	2,218	1,421	803	2,224	1,553	749	2,302
Research Staff	225	38	263	253	30	283	268	30	298	274	29	303
Public Service Staff	58	16	74	55	15	70	55	13	68	42	16	58
Librarians	48	1	49	46	1	47	46	1	47	51	1	52
Library Technicians	17	0	17	15	0	15	16	0	16	19	0	19
Archivists, Curators, Museum staff	2	0	2	3	0	3	3	0	3	2	0	2
Student and Academic Affairs	8	0	8	7	1	8	8	1	9	6	1	7
Management Occupations	113	0	113	126	6	132	121	0	121	119	0	119
Business and Financial Operations	183	4	187	212	6	218	222	6	228	205	7	212
Computer, Engineering and Science	355	7	362	362	2	364	367	7	374	356	5	361
Community, Social Service, Legal, Arts, Design, Entertainment, Sports, and Media	163	2	165	134	1	135	138	2	140	190	3	193
Healthcare Practitioners and Technical	29	42	71	25	37	62	25	35	60	27	38	65
Service Occupations	179	2	181	232	4	236	230	7	237	218	3	221
Sales and Related Occupations	10	1	11	9	1	10	9	0	9	8	0	8
Office and Administrative Support	1,293	48	1,341	1,331	43	1,374	1,357	42	1,399	1,373	39	1,412
Natural Resources, Construction, Maintenance	473	0	473	454	0	454	469	0	469	468	0	468
Production, Transportation, Material Moving	3	5	8	3	3	6	3	0	3	2	0	2

Total	4,654	928	5,582	4,702	933	5,635	4,758	947	5,705	4,913	891	5,804
-------	-------	-----	-------	-------	-----	-------	-------	-----	-------	-------	-----	-------

Please enter any explanatory notes in the box below

UCHC Campus	3 Years Prior			2 Years Prior			1 Year Prior			Current Year		
	(FY 2018)			(FY 2019)			(FY 2020)			(FY 2021)		
	FT	PT	Total	FT	PT	Total	FT	PT	Total	FT	PT	Total
Instructional Staff	492	127	619	512	125	637	515	133	648	n/a	n/a	n/a
Research Staff	83	2	85	87	0	87	91	0	91	n/a	n/a	n/a
Public Service Staff	0	0	0	0	0	0	0	0	0	n/a	n/a	n/a
Librarians	9	1	10	8	1	9	8	1	9	n/a	n/a	n/a
Library Technicians	3	0	3	3	0	3	3	0	3	n/a	n/a	n/a
Archivists, Curators, Museum staff	0	0	0	0	0	0	0	0	0	n/a	n/a	n/a
Student and Academic Affairs	16	2	18	15	2	17	15	2	17	n/a	n/a	n/a
Management Occupations	207	3	210	190	2	192	198	1	199	n/a	n/a	n/a
Business and Financial Operations	143	8	151	151	7	158	166	6	172	n/a	n/a	n/a
Computer, Engineering and Science	358	58	416	360	58	418	355	53	408	n/a	n/a	n/a
Community, Social Service, Legal, Arts, Design, Entertainment, Sports, and Media	123	13	136	50	11	61	57	7	64	n/a	n/a	n/a
Healthcare Practitioners and Technical	1,072	611	1,683	717	525	1,242	710	522	1,232	n/a	n/a	n/a
Service Occupations	377	145	522	363	147	510	230	161	391	n/a	n/a	n/a
Sales and Related Occupations	0	0	0	0	0	0	9	0	9	n/a	n/a	n/a
Office and Administrative Support	790	121	911	754	125	879	1,357	132	1,489	n/a	n/a	n/a
Natural Resources, Construction, Maintenance	67	2	69	63	5	68	469	4	473	n/a	n/a	n/a
Production, Transportation, Material Moving	4	0	4	4	0	4	3	0	3	n/a	n/a	n/a
Total	3,744	1,093	4,837	3,277	1,008	4,285	4,186	1,022	5,208	0	0	0

Please enter any explanatory notes in the box below

Standard 7: Institutional Resources
(Statement of Financial Position/Statement of Net Assets)

Fiscal Year ends - month & day: (06/30)	2 Years Prior (FY17)	1 Year Prior (FY18)	Most Recent Year (FY19)	Percent Change		
				2 yrs-1 yr prior	1 yr-most recent	
ASSETS (in 000s)						
?	Cash and Short Term Investments	\$368,472	\$347,312	\$391,116	-5.7%	12.6%
?	Cash held by State Treasurer				-	-
?	Deposits held by State Treasurer	\$97,993	\$64,650	\$52,342	-34.0%	-19.0%
?	Accounts Receivable, Net	\$58,223	\$60,125	\$79,398	3.3%	32.1%
?	Contributions Receivable, Net				-	-
?	Inventory and Prepaid Expenses	\$7,622	\$7,579	\$12,373	-0.6%	63.3%
?	Long-Term Investments	\$15,045	\$15,833	\$16,187	5.2%	2.2%
?	Loans to Students	\$12,884	\$11,250	\$8,805	-12.7%	-21.7%
?	Funds held under bond agreement	\$142,418	\$357,914	\$277,131	151.3%	-22.6%
?	Property, plants, and equipment, net	\$1,904,088	\$2,099,316	\$2,203,537	10.3%	5.0%
?	Other Assets	\$1,531,373	\$1,688,762	\$1,726,259	10.3%	2.2%
	Total Assets	\$4,138,118	\$4,652,741	\$4,767,148	12.4%	2.5%
	DEFERRED OUTFLOWS OF RESOURCES (in 000s)	\$446,264	\$383,869	\$410,273	-14.0%	6.9%
LIABILITIES (in 000s)						
?	Accounts payable and accrued liabilities	\$237,925	\$243,974	\$221,242	2.5%	-9.3%
?	Deferred revenue & refundable advances	\$46,484	\$38,454	\$38,712	-17.3%	0.7%
?	Due to state				-	-
?	Due to affiliates				-	-
?	Annuity and life income obligations				-	-
?	Amounts held on behalf of others	\$13,033	\$37,090	\$8,826	184.6%	-76.2%
?	Long-term investments	\$1,855,743	\$2,216,181	\$2,263,374	19.4%	2.1%
?	Refundable government advances	\$11,906	\$11,835	\$11,920	-0.6%	0.7%
?	Other long-term liabilities	\$1,171,905	\$2,341,496	\$2,435,454	99.8%	4.0%
	Total Liabilities	\$3,336,996	\$4,889,030	\$4,979,528	46.5%	1.9%
	DEFERRED INFLOWS OF RESOURCES (in 000s)	\$4,141	\$67,352	\$99,033	1526.5%	47.0%
NET POSITION (in 000s)						
	Invested in capital assets, net of related debt	\$1,557,469	\$1,682,317	\$1,681,657	8.0%	-0.04%
	Restricted nonexpendable	\$14,483	\$15,044	\$15,005	3.9%	-0.26%
	Restricted expendable					
	- Research, instruction, scholarships and other	\$34,058	\$32,273	\$21,716	-5.2%	-32.71%
	- Loans	\$2,543	\$2,566	\$2,608	0.9%	1.64%
	- Capital projects	\$89,145	\$134,419	\$176,782	50.8%	31.52%
	- Debt service	\$1	\$34	\$3	3300.0%	-91.18%
	Unrestricted	(\$454,454)	(\$1,786,425)	(\$1,798,911)	293.1%	0.70%
	Total Net Position	\$1,243,245	\$80,228	\$98,860	-93.5%	23.2%

Please enter any explanatory notes in the box below

1. The University follows the GASB (Governmental Accounting Standards Board) pronouncements.
2. The University has one related, but independent and corporate entity: the University of Connecticut Foundation, Inc. The above numbers do not include the Foundation financial data.
3. For the University of Connecticut Health Center Financial Statements, see the following <https://health.uconn.edu/finance/accounting/overview/financial-reports/>

Standard 7: Institutional Resources
(Statement of Revenues and Expenses)

Fiscal Year ends - month & day: (06/30)	3 Years Prior (FY17)	2 Years Prior (FY18)	Most Recently Completed Year (FY19)	Current Year (FY20)	Next Year Forward (FY21)
OPERATING REVENUES (in 000s)					
⌵ Tuition and fees	\$515,766	\$543,883	\$569,361	\$605,433	
⌵ Room and board					
⌵ Less: Financial aid	-\$148,415	-\$156,962	-\$172,581	-\$182,914	
Net student fees	\$367,351	\$386,921	\$396,780	\$422,519	\$0
⌵ Government grants and contracts	\$117,328	\$126,002	\$139,552	\$145,880	
⌵ Private gifts, grants and contracts	\$28,005	\$18,386	\$23,577	\$21,042	
⌵ Other auxiliary enterprises	\$209,851	\$210,990	\$211,036	\$169,016	
Endowment income used in operations					
⌵ Other revenue (specify):	\$20,325	\$23,708	\$22,710	\$15,688	
Other revenue (specify):	\$11,909	\$14,009	\$29,750	\$31,960	
Net assets released from restrictions					
Total Operating Revenues	\$754,769	\$780,016	\$823,405	\$806,105	\$0
OPERATING EXPENSES (in 000s)					
⌵ Instruction	\$419,251	\$419,691	\$438,702	\$518,689	
⌵ Research	\$80,953	\$88,469	\$97,258	\$102,859	
⌵ Public Service	\$53,116	\$49,417	\$56,081	\$66,985	
⌵ Academic Support	\$138,912	\$147,264	\$170,050	\$204,759	
⌵ Student Services	\$40,087	\$44,856	\$49,730	\$62,243	
⌵ Institutional Support	\$74,226	\$75,357	\$90,086	\$106,092	
Fundraising and alumni relations					
⌵ Operation, maintenance of plant (if not allocated)	\$137,259	\$138,184	\$151,589	\$178,009	
⌵ Scholarships and fellowships (cash refunded by public institution)	\$10,306	\$8,232	\$10,979	\$23,449	
⌵ Auxiliary enterprises	\$227,816	\$229,415	\$235,160	\$239,036	
⌵ Depreciation (if not allocated)	\$104,807	\$108,185	\$119,346	\$117,870	
⌵ Other expenses (specify):					
Other expenses (specify):					
Total operating expenditures	\$1,286,733	\$1,309,070	\$1,418,981	\$1,619,991	\$0
Change in net assets from operations	-\$531,964	-\$529,054	-\$595,576	-\$813,886	\$0
NON OPERATING REVENUES (in 000s)					
⌵ State appropriations (net)	\$374,113	\$342,987	\$356,898	\$376,866	
⌵ Investment return	\$2,996	\$6,059	\$11,957	\$7,881	
⌵ Interest expense (public institutions)	\$5,628	\$6,068	\$6,873	\$7,861	
Gifts, bequests and contributions not used in operations	\$23,628	\$19,732	\$28,185	\$21,790	
⌵ Other (specify): Federal and state financial aid	\$34,800	\$37,986	\$42,222	\$64,549	
Other (specify): Disposal of property and equipment, net	-\$1,418	-\$1,524	-\$2,345	-\$1,912	
Other (specify): Other nonoperating revenues (expense), net	-\$1,776	-\$2,475	\$745	\$207	
Net non-operating revenues	\$437,971	\$408,833	\$444,535	\$477,242	\$0
Income before other revenues, expenses, gains, or losses	-\$93,993	-\$120,221	-\$151,041	-\$336,644	\$0
⌵ Capital appropriations (public institutions)					
⌵ Other (specify):	\$284,113	\$192,706	\$158,483	-\$13,989	
TOTAL INCREASE/DECREASE IN NET ASSETS	\$190,120	\$72,485	\$7,442	-\$350,633	\$0

**Standard 7: Institutional Resources
(Statement of Debt)**

FISCAL YEAR ENDS month & day (06/30)		3 Years Prior (FY17)	2 Years Prior (FY18)	Most Recently Completed Year (FY19)	Current Year (FY20)	Next Year Forward (FY21)
	Long-term Debt					
	Beginning balance	\$1,642,028	\$1,855,743	\$2,220,511	\$2,263,374	
	Additions	\$389,090	\$507,139	\$279,164	\$9,114	
	Reductions	(\$175,375)	(\$146,701)	(\$236,301)	(\$185,982)	
	Ending balance	\$1,855,743	\$2,216,181	\$2,263,374	\$2,086,506	\$0
	Interest paid during fiscal year	\$64,468	\$77,905	\$91,697	\$93,758	
	Current Portion	\$145,357	\$158,727	\$167,319	\$158,629	
	Bond Rating	GO2017 Aa3 GO2017Ref Aa3	GO2018 A1 RB2018 Aa3	GO2019 A1 GO2019Ref A1	No bond issuances in FY20	
	Debt Service Coverage Operating Income / (Annual Interest + Current Portion of Debt)	N/A	N/A	N/A	N/A	
	Debt to Net Assets Ratio Long-term Debt / Total Net Assets	1.49	27.62	22.89		
	Debt to Assets Ratio Long-term Debt / Total Assets	0.45	0.48	0.47		

Debt Covenants: (1) Describe interest rate, schedule, and structure of payments; and (2) indicate whether the debt covenants are being met. If not being met, describe the specific covenant violation (i.e., requirement of the lender vs. actual achieved by the institution). Also, indicate whether a waiver has been secured from the lender and/or if covenants were modified.

Note: Restatement to Long-term debt Beginning balance represents the balance of long-term software commitments which were reclassified from Other long-term liabilities to Long-term Debt in FY 2019.

The University's debt has various interest rates ranging from 1.5% to 5.25%. Interest and principal payments vary by issuance. The debt details can be found in the Financial Statements link in <http://accountingoffice.uconn.edu>. Debt covenants are being met.

Line(s) of Credit: List the institutions line(s) of credit and their uses.

N/A

Future borrowing plans (please describe).

From time to time, UConn plans to issue bonds.

**Standard 7: Institutional Resources
(Supplemental Data)**

FISCAL YEAR ENDS month & day (06/30)	3 Years Prior (FY17)	2 Years Prior (FY18)	Most Recently Completed Year (FY19)	Current Year (FY20)	Next Year Forward (FY21)
NET ASSETS					
Net position beginning of year , adjusted	\$1,053,125	\$7,743	\$91,418	\$98,860	
Total increase/decrease in net position	\$190,120	\$72,485	\$7,442	(\$350,633)	
Net position end of year	\$1,243,245	\$80,228	\$98,860	(\$251,773)	\$0
FINANCIAL AID					
Source of funds					
Unrestricted institutional	\$101,951	\$111,498	\$122,055	\$132,014	
Federal, state and private grants	\$40,249	\$41,888	\$47,489	\$48,761	
Restricted funds	\$11,196	\$10,071	\$10,864	\$10,702	
Total	\$153,396	\$163,457	\$180,408	\$191,477	\$0
% Discount of tuition and fees	28.8%	28.9%	30.3%	30.2%	
? % Unrestricted discount of tuition and fees	18.8%	19.3%	20.1%	20.4%	
Net Tuition Revenue per FTE	\$13	\$13	\$14	\$14	
? FEDERAL FINANCIAL RESPONSIBILITY COMPOSITE SCORE					
	N/A	N/A	N/A	N/A	
Please indicate your institution's endowment spending policy:					
The amount of funds allocated for expenditure for the purposes for which an endowed fund was established will equal 4.25% annually (1.0625% per quarter) of the rolling prior 12-quarter average market value on unitized basis. 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.					
Please enter any explanatory notes in the box below.					
(1) Net position of beginning year for the FY18 was adjusted for a correction related to compensated absences (2) Net position of beginning year for the FY19 was adjusted due to implementation of GASB 75, <i>Accounting and Financial Reporting for Postretirement Benefit Other Than Pensions</i>					

**Standard 7: Institutional Resources
(Liquidity)**

FISCAL YEAR ENDS month & day (06/30)	3 Years Prior (FY17)	2 Years Prior (FY18)	Most Recently Completed Year (FY19)	Current Year (FY20)	Next Year Forward (FY21)
CASH FLOW					
Cash and Cash Equivalents beginning of year	\$328,225	\$368,472	\$347,312	\$391,116	
Cash Flow from Operating Activities	(\$465,239)	(\$419,983)	(\$431,532)	(\$460,352)	
Cash Flow from Investing Activities	\$7,948	(\$210,590)	\$91,388	\$197,714	
Cash Flow from Financing Activities	\$497,538	\$609,413	\$383,948	\$219,709	
Cash and Cash Equivalents end of year	\$368,472	\$347,312	\$391,116	\$348,187	\$0
LIQUIDITY RATIOS					
Current Assets	\$822,684	\$995,893	\$972,009	\$730,018	
Current Liabilities	\$470,954	\$497,038	\$464,695	\$420,061	
Current Ratio	1.75	2.00	2.09	1.74	0.00
Days Cash on Hand ((Cash and Cash Equivalents / [Operating Expenses + Depreciation and other noncash expenses]) / 365)	109.61	106.27	115.16	101.36	
Please enter any explanatory notes in the box below that may impact the institution's cash flow.					
Has the institution needed to access its restricted net assets or liquidate other financial assets to fund operations? If so, please describe and indicate when approvals (if required) were obtained from the state's authority.					
Please enter any explanatory notes in the box below.					

**Standard 8: Educational Effectiveness
(Undergraduate Retention and Graduation Rates)**

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(Fall 2017)	(Fall 2018)	(Fall 2019)	(Fall 2020)	(Fall 2021)
STORRS CAMPUS					
IPEDS <u>Retention</u> Data					
Associate degree students	91%	74%	83%	82%	82%
Bachelors degree students	94%	93%	94%	93%	93%
IPEDS <u>Graduation</u> Data (150% of time)					
Associate degree students	77%	67%	66%	65%	65%
Bachelors degree students	83%	85%	85%	83%	83%
IPEDS <u>Outcomes Measures</u> Data					
First-time, full time students					
Awarded a degree within six years	82%	82%	83%	84%	84%
Awarded a degree within eight years	83%	83%	83%	86%	86%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
First-time, part-time students					
Awarded a degree within six years	63%	83%	47%	63%	63%
Awarded a degree within eight years	63%	100%	60%	63%	63%
Not awarded within eight years but still enrolled	0%	0%	7%	13%	13%
Non-first-time, full-time students					
Awarded a degree within six years	83%	80%	80%	81%	81%
Awarded a degree within eight years	84%	81%	81%	82%	82%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
Non-first-time, part-time students					
Awarded a degree within six years	42%	42%	47%	75%	75%
Awarded a degree within eight years	43%	47%	51%	75%	75%
Not awarded within eight years but still enrolled	4%	0%	1%	0%	0%
Other Undergraduate Retention/Persistence Rates (Add definitions/methodology in #1 below)					
1					
2					
3					
4					
5					
Other Undergraduate Graduation Rates (Add definitions/methodology in # 2 below)					
1					
2					
3					
4					
5					
Definition and Methodology Explanations					
1					
2					

Note: complete this form for each distinct student body identified by the institution (See Standard 8.1)

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
EVERY POINT CAMPUS	(Fall 2017)	(Fall 2018)	(Fall 2019)	(Fall 2020)	(Fall 2021)
IPEDS Retention Data					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	86%	78%	86%	81%	81%
IPEDS Graduation Data (150% of time)					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	58%	58%	61%	64%	64%
IPEDS Outcomes Measures Data					
First-time, full time students					
Awarded a degree within six years	48%	57%	58%	57%	57%
Awarded a degree within eight years	50%	60%	60%	58%	58%
Not awarded within eight years but still enrolled	0%	0%	1%	1%	1%
First-time, part-time students					
Awarded a degree within six years	0%	0%	0%	33%	33%
Awarded a degree within eight years	0%	17%	0%	33%	33%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
Non-first-time, full-time students					
Awarded a degree within six years	61%	63%	65%	78%	78%
Awarded a degree within eight years	66%	65%	66%	78%	78%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
Non-first-time, part-time students					
Awarded a degree within six years	52%	69%	73%	62%	62%
Awarded a degree within eight years	52%	71%	75%	69%	69%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
STAMFORD CAMPUS	(Fall 2017)	(Fall 2018)	(Fall 2019)	(Fall 2020)	(Fall 2021)
IPEDS Retention Data					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	84%	80%	81%	82%	82%
IPEDS Graduation Data (150% of time)					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	64%	67%	64%	65%	65%
IPEDS Outcomes Measures Data					
First-time, full time students					
Awarded a degree within six years	57%	58%	63%	67%	67%
Awarded a degree within eight years	63%	61%	65%	69%	69%
Not awarded within eight years but still enrolled	0%	1%	1%	0%	0%
First-time, part-time students					
Awarded a degree within six years	11%	13%	25%	50%	50%
Awarded a degree within eight years	11%	13%	33%	50%	50%
Not awarded within eight years but still enrolled	0%	0%	8%	0%	0%
Non-first-time, full-time students					
Awarded a degree within six years	73%	83%	82%	77%	77%
Awarded a degree within eight years	73%	83%	83%	77%	77%
Not awarded within eight years but still enrolled	1%	1%	0%	1%	1%
Non-first-time, part-time students					
Awarded a degree within six years	55%	59%	52%	67%	67%
Awarded a degree within eight years	58%	59%	53%	68%	68%
Not awarded within eight years but still enrolled	3%	0%	1%	0%	0%

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
HARTFORD CAMPUS	(Fall 2017)	(Fall 2018)	(Fall 2019)	(Fall 2020)	(Fall 2021)
IPEDS Retention Data					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	82%	84%	83%	85%	85%
IPEDS Graduation Data (150% of time)					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	63%	65%	66%	59%	59%
IPEDS Outcomes Measures Data					
First-time, full time students					
Awarded a degree within six years	58%	56%	62%	65%	65%
Awarded a degree within eight years	63%	58%	64%	68%	68%
Not awarded within eight years but still enrolled	1%	1%	1%	1%	1%
First-time, part-time students					
Awarded a degree within six years	40%	33%	33%	27%	27%
Awarded a degree within eight years	60%	33%	33%	36%	36%
Not awarded within eight years but still enrolled	0%	33%	0%	0%	0%
Non-first-time, full-time students					
Awarded a degree within six years	69%	71%	70%	65%	65%
Awarded a degree within eight years	71%	72%	72%	67%	67%
Not awarded within eight years but still enrolled	2%	0%	0%	0%	0%
Non-first-time, part-time students					
Awarded a degree within six years	50%	52%	51%	56%	56%
Awarded a degree within eight years	52%	55%	55%	56%	56%
Not awarded within eight years but still enrolled	2%	2%	0%	2%	2%

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
WATERBURY CAMPUS	(Fall 2017)	(Fall 2018)	(Fall 2019)	(Fall 2020)	(Fall 2021)
IPEDS Retention Data					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	85%	84%	81%	78%	78%
IPEDS Graduation Data (150% of time)					
Associate degree students	N/A	N/A	N/A	N/A	N/A
Bachelors degree students	60%	64%	64%	65%	65%
IPEDS Outcomes Measures Data					
First-time, full time students					
Awarded a degree within six years	56%	60%	60%	63%	63%
Awarded a degree within eight years	59%	62%	62%	64%	64%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
First-time, part-time students					
Awarded a degree within six years	18%	20%	0%	14%	14%
Awarded a degree within eight years	27%	20%	0%	29%	29%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
Non-first-time, full-time students					
Awarded a degree within six years	65%	67%	79%	72%	72%
Awarded a degree within eight years	67%	67%	80%	73%	73%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%
Non-first-time, part-time students					
Awarded a degree within six years	50%	75%	56%	48%	48%
Awarded a degree within eight years	50%	75%	58%	52%	52%
Not awarded within eight years but still enrolled	0%	0%	0%	0%	0%

Standard 8: Educational Effectiveness
(Student Success and Progress Rates and Other Measures of Student Success)

ALL CAMPUSES		Bachelor Cohort Entering		Associate Cohort Entering	
Category of Student/Outcome Measure		6 years ago Fall 2014	4 years ago Fall 2016	6 years ago Fall 2014	4 years ago Fall 2016
First-time, Full-time Students	Degree from original institution	77%	66%	68%	78%
	Not graduated, still enrolled at original institution	1%	14%	0%	0%
	Degree from a different institution	8%	4%	3%	0%
	Transferred to a different institution	3%	6%	10%	9%
	Not graduated, never transferred, no longer enrolled	10%	11%	19%	13%
First-time, Part-time Students	Degree from original institution	53%	21%		
	Not graduated, still enrolled at original institution	3%	11%		
	Degree from a different institution	7%	3%		
	Transferred to a different institution	10%	24%		
	Not graduated, never transferred, no longer enrolled	27%	42%		
Non-first-time, Full-time Students	Degree from original institution	80%	77%		
	Not graduated, still enrolled at original institution	0%	3%		
	Degree from a different institution	9%	6%		
	Transferred to a different institution	2%	4%		
	Not graduated, never transferred, no longer enrolled	8%	10%		
Non-first-time, Part-time Students	Degree from original institution	61%	35%		
	Not graduated, still enrolled at original institution	2%	8%		
	Degree from a different institution	15%	17%		
	Transferred to a different institution	0%	6%		
	Not graduated, never transferred, no longer enrolled	22%	34%		

Measures of Student Achievement and Success/Institutional Performance and Goals					
	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2017)	(FY 2018)	(FY 2019)	(FY 2020)	(FY 2021)

Success of students pursuing higher degrees (add more rows as needed; add definitions/methodology in #1 below)

1	Enrolled in grad program	23%	22%	28%	24%	24%
2						
3						
4						

Other measures of student success and achievement, including success of graduates in pursuing mission-related paths (e.g., Peace Corps, public service, global citizenship, leadership, spiritual formation) and success of graduates in fields for which they were not explicitly prepared (add more rows as needed; add definitions/methodology in #2 below)

1	Is your graduate program in the same (or similar) field as your undergraduate major?	Yes - 84% No - 16%	Yes - 86% No - 14%			
2	Is the work you do at your current job degree-related?	Yes - 70% No - 30%	Yes - 71% No - 29%			
3	Was your UConn degree helpful when applying for your current job?	Yes - 80% No - 20%	Yes - 82% No - 18%			
4	Reported positive post-grad outcome	87%	88%	91%	85%	85%
5	Serving in military, Peace Corp, etc.	1%	2%	1%	1%	1%

Definition and Methodology Explanations

1	First Destination Survey results (bachelor's degree recipients). Response rates: FY17 = 68%; FY18 = 69.3%; FY19 = 64%; FY20 = 33.5%. Positive post-grad outcomes = employed, enrolled in grad school, serving in military, volunteering, or not seeking employment etc.
2	Until FY2018, bachelor's degree recipients were surveyed in the fall following graduation (rows 38-40, survey response rate = 17% in FY17 and 12% in FY18). This alumni survey was discontinued in 2018, as the First Destination survey was garnering much larger response rates (rows 41-42, see response rates above).

Standard 8: Educational Effectiveness
(Licensure Passage and Job Placement Rates and
Completion and Placement Rates for Short-Term Vocational Training Programs)

		3-Years Prior		2 Years Prior		1 Year Prior		Most Recent Year	
		AY2016-17 (FY 2017)		AY2017-18 (FY 2018)		AY 2018-19 (FY 2019)		AY 2019-20 (FY 2020)	
? State Licensure Examination Passage Rates									
	Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1	Connecticut Bar Exam - first time takers	112	93	80	55	80	63	101	87
2	Bar Exam Other Jurisdictions - first time takers	31	22	18	15	19	14	20	16
3	edTPA	1	1	11	11	87	83	193	182
	Praxis 5002 - Elementary Education Multiple Subjects: Reading & Language	58	55	48	48	41	40	33	33
	Praxis 5003 - Elementary Education Multiple Subjects: Mathematics	58	53	49	48	38	37	36	32
	Praxis 5004 - Elementary Education Multiple Subjects: Social Studies	62	54	48	46	43	40	36	35
	Praxis 5005 - Elementary Education Multiple Subjects: Science	59	53	48	45	45	39	35	33
	Praxis 5039 - English Language Arts: Content and Analysis	32	31	34	32	25	21	25	21
	Praxis 5081 - Social Studies: Content Knowledge	30	26	39	33	22	19	22	18
	Praxis 5114 - Music: Content and Instruction	7	7	15	14	15	15	12	12
	Praxis 5161 - Mathematics: Content Knowledge	30	17	27	21	21	17	28	21
	Praxis 5235 - Biology: Content Knowledge	22	21	20	19	20	18	11	11
	Praxis 5245 - Chemistry: Content Knowledge	5	4	15	9	13	9	6	6
	Praxis 5265 - Physics: Content Knowledge	6	6	4	3	9	8	2	1
	Praxis 5435 - General Science: Content Knowledge	15	14	16	12	19	13	3	0
	Praxis 5543 - Special Ed: Core Knowledge and Mild to Moderate Application	43	43	44	44	38	38	39	37
	Praxis 5571 - Earth & Space Science: Content Knowledge	6	6	4	4	6	3		
	Praxis 6412 - Connecticut Administrator Test					16	16	23	23
4	National Council of State Boards of Nursing (NCLEX) Licensure Exam - undergrad students	126	126	103	102	125	125	123	116
5	National Council of State Boards of Nursing (NCLEX) Licensure Exam - BS/CEIN students	125	121	126	125	145	143	142	141
? National Licensure Passage Rates									
	Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1	North American Pharmacist Licensure Examination (NAPLEX) - first time takers	94	87	91	84	85	76	63	57
2	AANP - Nursing	1	1	11	11	12	12	7	21
3	NNC - Nursing	5	5	5	4	15	15	20	20
4	ANCC - Nursing	30	30	17	17	22	22	7	7
5	AACN - Nursing	2	1	0	0	3	3		
6	National Board Dental Examination	43	43	43	43	40	40	49	48
7	(fourth yr)	97	95	123	118	107	103	66	64

8	(fourth yr)	86	86	94	93	110	107	94	94
9	(fourth yr)	73	73	96	94	91	91	93	92

Job Placement Rates

Major/time period	*	# of grads	# with jobs						
1 Law School/9 months post graduation	*	153	135	90	87	105	94	140	n/a
2 Pharmaceutical Sciences (all degree levels)/at graduation		100	89	90	78	91	80	98	47
3 MD		92	91	84	84	92	92	100	99
4 School of Business - undergraduate/3 months post graduation		725	167	691	137	724	240	726	68
5 School of Business - MBA		53	27	61	41	45	32	32	24
6 School of Business - BAPM		290	139	238	189	193	116	209	148
7 CEIN/BS - Nursing		125	121	126	125	145	143	142	142
8 Master's - Nursing		44	44	48	48	52	52	52	52
9 DNP		6	6	2	2	18	18	6	6
10 PhD - Nursing		7	7	4	4	8	8	5	5
11 Teacher Education		201	187	200	197	188	172	173	161
12 Administrator Preparation Program	*	45	N/A	35	35	37	37	28	28

* Check this box if the program reported is subject to "gainful employment" requirements.

Web location of gainful employment report (if applicable)

<https://www.law.uconn.edu/admissions/aba-required-disclosures>

Completion and Placement Rates for Short-Term Vocational Training Programs for which students are eligible for Federal Financial Aid

3 Years Prior (FY 2)	2 Years Prior (FY2)	1 Year Prior (FY 2)	Current Year (FY 2)	Next Year Forward (goal) (FY 2)
-----------------------	----------------------	----------------------	----------------------	----------------------------------

Completion Rates

1					
---	--	--	--	--	--

Placement Rates

1					
---	--	--	--	--	--

Please enter any explanatory notes in the box below

State Exams

3. Reported for the year they were taken, irrespective of the student's cohort or graduation year. Each student is counted only 1 time per test per academic year, but may be counted in multiple years for the same test.

--edTPA: Beginning in September 1, 2018, the State of Connecticut required an edTPA official score for all initial licensure teacher candidates completing teacher preparation program approved by the State Board of Education as a result, AY 2016-17 and AY 2017-18 reflect piloting in the Neag School of Education.

--Praxis 6412 - Connecticut Administrator Test: Effective September 2018, CT transitioned from a state-developed licensure assessment to the Educational Leadership Administration and Supervision (ELAS) test, developed and administered by the Educational Testing Service (ETS). After this transition, the CT-based organization that provided EPPs with test data from the state-developed assessment ceased to do so, and, as a result, administrative preparation programs will have a gap in their test data reporting.

4 and 5. Based on all test takers, not only 1st time takers.

National Exams

3. NNC results as of December 14, 2020; will not be official until January 2021 so may change.

Jobs

1. Law School: survey of JD graduates. Does not include those enrolled in graduate programs or with deferred employment start dates. Response rates: FY17 - 98%; FY18 - 99%; FY19 - 99%. Data for FY20 graduates will be available in February/March 2021.
2. Job placement for Pharmaceutical Sciences is at the time of graduation and includes 1-2 students annually who enrolled in another graduate programs. For FY20, COVID-19 impacted hiring at the traditional time and only 65/98 students provided data at graduation.
3. MD program: Any student who graduated and entered a residency or other employment was considered a part of # with jobs.
4. School of Business undergrad job placement includes those who are employed, enrolled/planning to enroll in graduate programs, or serving in the military/voluntary service programs. Response rates: FY17 - 37.2%; FY18 - 26.6%; FY19 - 43.4%; FY20 - 14%.
5. School of Business MBA placements 3 months post-graduation. Does not include those not seeking employment due to postponing jobsearch, starting their own business, already employed, continuing studies, or pursuing non-MBA employment (e.g. MD/MBA, PharmD/MBA, JD/MBA graduates). Count of graduates who fall into these categories are: FY17 - 16, FY18 - 9, FY19 - 5, FY20 - 2.
6. School of Business BAPM placements 6 months post-graduation and includes those who are employed, enrolled/planning to enroll in graduate programs, or serving in the military/voluntary service programs.. For FY20, data is incomplete as of the writing of this table; final data will be available February 2021.
11. Teacher Education Job Placement numbers are for the Fall semester after their graduation. All Teacher Education graduates are surveyed and the number employed is extrapolated based on those who respond to the survey.
12. Administrator Preparation Program graduates are surveyed yearly, number employed is extrapolated based on those who respond to the survey. The 2016-17 survey combined 2 years of graduates and the raw data is not available to Neag, as such we are unable to determine the employment rate for that year.

**Standard 8: Educational Effectiveness
(Graduate Programs, Distance Education, Off-Campus Locations)**

Student Success Measures/ Prior Performance and Goals	3 Years Prior (AY 2016-17)	2 Years Prior (AY 2017-18)	1 Year Prior (AY 2018-19)	Current Year (AY 2019-20)	Next Year Forward (goal) (AY 2020-21)
? Master's Programs (Add definitions/methodology in #1 below)					
Retention rates first-to-second year	95%	96%	96%	96%	96%
Graduation rates @ 150% time	83%	83%	87%	84%	84%
Average time to degree	1.6	1.5	1.6	1.6	1.6
Other measures, specify:					
? Doctoral Programs (Add definitions/methodology in #2 below)					
Retention rates first-to-second year	94%	95%	93%	95%	94%
Graduation rates @ 150% time: PhD	62%	63%	65%	62%	62%
Graduation rates @ 150% time: AuD	50%	88%	94%	100%	100%
Graduation rates @ 150% time: DMA	33%	50%	100%	80%	80%
Graduation rates @ 150% time: EdD	67%	n/a	86%	n/a	n/a
Graduation rates @ 150% time: DNP	13%	8%	20%	31%	31%
Average time to degree	5.5	5.4	5.6	5.6	6
Other measures, specify:					
? First Professional Programs (Add definitions/methodology in #3 below)					
Retention rates first-to-second year	95%	94%	94%	96%	96%
Graduation rates @ 150% time: JD part time	90%	93%	89%	97%	97%
Graduation rates @ 150% time: JD full time	93%	87%	82%	89%	89%
Graduation rates @ 150% time: PharmD	98%	99%	100%	100%	100%
Average time to degree: JD	2.7	2.7	2.7	2.7	3
Average time to degree: PharmD	1.6	1.6	1.7	1.7	2
Other measures, specify:					
? MD Programs (Add definitions/methodology in #4 below)					
Retention rates first-to-second year	see note	see note	see note	see note	100%
Graduation rates @ 150% time	see note	see note	see note	see note	see note
Average time to degree	see note	see note	see note	see note	see note
Other measures, specify:					
? DMD Program (Add definitions/methodology in #5 below)					
Retention rates first-to-second year	see note	see note	see note	see note	see note
Graduation rates @ 150% time	see note	see note	see note	see note	see note
Average time to degree	see note	see note	see note	see note	see note
Other measures, specify:					
Distance Education (Add definitions/methodology in #6 below)					
Course completion rates					
Retention rates					
Graduation rates					

Other measures, specify:

Branch Campus and Instructional Locations (Add definitions/methodology in #7 below)

Course completion rates

Retention rates

Graduation rates

Other measures, specify:

Definition and Methodology Explanations

Cohorts entering FA15, FA16, FA17, FA18, FA19.
 Includes MA, MS, MBA, MPA, MPH, MPP, MFA, MDentSc, MEng, MMus, MSW.
 For 150% time, calculations are broken out by program based on degree due to variance in expected time. Master's = 3 years (cohorts entering FA14, FA15, FA16, FA17).
 Time to degree calculated using first time, full time students who entered and graduated from the same program (did not change programs after their initial enrollment). Rates reflect students graduating in summer, fall, and spring terms of the given academic year.
 150% of time and average time to degree for FY2021 estimated to be similar to the previous year.

1

Cohorts entering FA15, FA16, FA17, FA18, FA19.
 Includes PhD, AuD, DMA, EdD, DNP.
 For 150% time, calculations are broken out by program based on degree due to variance in expected time. PhD = 7.5 years (cohorts entering FA10, FA11, FA12, FA13); AuD = 6 years (cohorts entering FA11, FA12, FA13, FA14); DMA = 6 years (cohorts entering FA11, FA12, FA13, FA14); EdD = 6 years (cohorts entering FA11, FA12, FA13, FA14); DNP = 4.5 years (cohorts entering FA13, FA14, FA15, FA16).
 Time to degree calculated using first time, full time students who entered and graduated from the same program (did not change programs after their initial enrollment). Rates reflect students graduating in summer, fall, and spring terms of the given academic year.
 150% of time and average time to degree for FY2021 estimated to be similar to the previous year.

2

Cohorts entering FA15, FA16, FA17, FA18, FA19.
 Includes JD, SJD, PharmD.
 For 150% time, calculations are broken out by program based on degree due to variance in expected time. JD full time = 4.5 years (cohorts entering FA13, FA14, FA15, FA16); PharmD = 3 years (cohorts entering FA14, FA15, FA16, FA17).
 Time to degree calculated using first time, full time students who entered and graduated from the same program (did not change programs after their initial enrollment). Rates reflect students graduating in summer, fall, and spring terms of the given academic year.
 150% of time and average time to degree for FY2021 estimated to be similar to the previous year.
 Average time to degree and 150% of time not calculated for SJD because there were 0-2 students in the program during these years.

3

Graduation rate and time to degree not tracked prior to Fall 2019. Recent changes in systems and reporting roles will allow us to begin reporting retention and graduation rates for MD students Fall 2019 forward, and will be reported in the NECHE ten-year report.

4

Retention and graduation rates and time to degree not tracked prior to Fall 2019. Recent changes in systems and reporting roles will allow us to begin reporting retention and graduation rates for DMD students in the NECHE ten year report.

5

Graduate student retention and graduation rates are tracked in aggregate for all delivery modes. Thus, these programs are included in the master's, doctoral, and first professional data.

6

Graduate student retention and graduation rates are reported to IPEDS under the Storrs campus for all branches. Thus, programs at branch campuses are included in the master's, doctoral, and first professional data.

7

**Standard 9: Integrity, Transparency, and Public Disclosure
(Integrity)**

Policies	Last Updated	Website location where policy is posted	Responsible Office or Committee
Academic honesty	undergrad 2012; grad 2014	https://community.uconn.edu/the-student-code-appendix-a/ https://policy.uconn.edu/2014/04/11/policy-on-scholarly-integrity-in-graduate-education-and-research/	Office of Vice President for Student Affairs The Graduate School
Intellectual property rights	Sept. 2015	https://policy.uconn.edu/2015/10/08/intellectual-property-and-commercialization-policy/	Office of Vice President for Research
Conflict of interest	Finance Jan 2015; state Feb 2014	https://policy.uconn.edu/2011/05/24/financial-conflicts-of-interest-in-research/	Office of Provost; Office of University Compliance
Privacy rights	Aug 2016	https://ferpa.uconn.edu/ https://policy.uconn.edu/2011/05/24/ferpa-policy/	University Registrar; University Privacy Officer
Fairness for students	under review	https://csd.uconn.edu/rights-and-responsibilities/ https://cap.uconn.edu/sss/	Division of Student Affairs; Center for Academic Programs
Fairness for faculty	2021	https://policy.uconn.edu/by-laws/	Office of the Provost
Fairness for staff	2021	https://equity.uconn.edu/policiesprocedures/	Office of Institutional Equity
Academic freedom	Feb 2011; Feb 2009	https://policy.uconn.edu/2011/05/17/employee-code-of-conduct/ https://policy.uconn.edu/2011/05/24/uconn-web-policy/ https://www.aaup.org/report/1940-statement-principles-academic-freedom-	Information Technology Services American Association of University Professors Website
Research	2020	https://ovpr.uconn.edu/services/trics/	Office of Vice President for Research
Title IX	2020	https://titleix.uconn.edu/title-ix-at-uconn/uconn-policies/	Office of Institutional Equity
Other; specify	2008	https://policy.uconn.edu/2011/05/17/compliance-training-policy/	Compliance Training; Office of University Compliance
Human Subjects Research	May 2018	https://policy.uconn.edu/2011/05/24/human-subjects-research-and-the-institutional-research-board-policy-on/	Office of Vice President for Research
Code of Conduct	Feb 2011; Jan 2008; Jan 2004; Jan 2013	https://policy.uconn.edu/2011/05/17/employee-code-of-conduct/	Office of University Compliance

Non-discrimination policies

Recruitment and admissions	2020	https://catalog.uconn.edu/admission/ https://grad.uconn.edu/policy/	Undergraduate Admissions Graduate School
Employment	Fall 2017	https://policy.uconn.edu/2011/05/17/policy-statement-affirmative-action-	Office of Institutional Equity
Evaluation	2020	https://hr.uconn.edu/performance-appraisals-classified-employees/ https://hr.uconn.edu/resolving-employee-performance-problems/ https://hr.uconn.edu/procedures-regarding-potential-disciplinary-action/	Human Resources Office of Faculty and Staff Labor Relations
Disciplinary action	2010	https://provost.uconn.edu/faculty-and-staff-resources/promotion-tenure-and-reappointment-2/	Office of the Provost; Human Resources
Advancement	2019		
Other; specify			
Complaint process	2019	https://heoa.uconn.edu/	Office of Institutional Equity

Resolution of grievances

Students	grad 2014	http://community.uconn.edu/to-file-an-appeal/ https://gradcatalog.uconn.edu/grad-school-info/complaint-appeal-hearing-https://hr.uconn.edu/wp-content/uploads/sites/1421/2020/01/AAUP.CBA_07.01.17.pdf	Office of Community Standards Graduate School
Faculty	2021 (contract extension)	https://hr.uconn.edu/wp-content/uploads/sites/1421/2020/01/AAUP.CBA_07.01.17.pdf	Human Resources; Office of the Provost
Staff	various	https://hr.uconn.edu/labor-contracts-unions/	Human Resources
Other; specify			

Other	Last Updated	Website location or Publication	Responsible Office or Committee
Student Consumer Rights		http://www.heoa.uconn.edu/	Office of University Compliance
Board of Trustees	July 2020	https://boardoftrustees.uconn.edu/members/	UConn Board of Trustees
Electronic Data Security	May 2012; June 2007	https://policy.uconn.edu/2012/06/21/confidential-data-information-https://policy.uconn.edu/	Information Technology Services
e-Policy Library		https://policy.uconn.edu/	Information Technology Services
University Senate ByLaws		https://policy.uconn.edu/by-laws/	University Senate

Please enter any explanatory notes in the box below

Standard 9: Integrity, Transparency, and Public Disclosure (Transparency)

Information	Website location and/or Relevant Publication(s)
How can inquiries be made about the institution? Where can questions be addressed?	https://uconn.edu/contact-the-uconn-webmaster/ https://president.uconn.edu/contact/#contact-us https://provost.uconn.edu/contact-us/ https://admissions.uconn.edu/connect/staff/
Notice of availability of publications and of audited financial statement or fair summary	http://accountingoffice.uconn.edu/accounting-financial-reporting/
Processes for admissions	https://admissions.uconn.edu/ https://grad.uconn.edu/admissions/ https://grad.uconn.edu/prospective-student/
Processes for employment	https://hr.uconn.edu/jobs/
Processes for grading	https://registrar.uconn.edu/grades/ https://catalog.uconn.edu/academic-regulations/grade-information/ https://gradcatalog.uconn.edu/grad-school-info/academic-regulations/#Grades
Processes for assessment	https://geoc.uconn.edu/assessment-and-learning-outcomes/ https://provost.uconn.edu/administrators-and-leadership/centers-and-institutes/ https://oire.uconn.edu/wp-content/uploads/sites/35/2013/12/ProgramReviewSelfStudyOutlineFall2015.pdf
Processes for student discipline	https://policy.uconn.edu/2019/08/27/student-discipline-dismissal-and-appeal-process-from-professional-clinical-programs-procedures-on/ https://catalog.uconn.edu/academic-regulations/scholastic-standards/ https://community.uconn.edu/the-student-code-part-iv/ https://gradcatalog.uconn.edu/grad-school-info/academic-regulations/#Termination
Processes for consideration of complaints and appeals	https://gradcatalog.uconn.edu/grad-school-info/complaint-appeal-hearing-procedures/ https://community.uconn.edu/to-file-an-appeal/

List below the statements or promises made regarding program excellence, learning outcomes, success in placement, and achievements of graduates or faculty	
Statement/Promise	Website location and/or publication where valid documentation can be found
program excellence	See individual program pages on https://uconn.edu/
learning outcomes	See individual program pages on https://uconn.edu/
general education learning outcomes	https://geoc.uconn.edu/assessment-and-learning-outcomes/
success in placement	https://career.uconn.edu/outcomes/
achievements of graduates	See individual program pages on https://uconn.edu/
achievements of faculty	https://provost.uconn.edu/events-and-recognition/awards/
statement of accreditation	https://accreditation.uconn.edu/about-accreditation/
academic vision	https://academicvision.uconn.edu/
mission statement	https://academicvision.uconn.edu/introduction/mission-statement/
UConn's path to excellence	https://academicvision.uconn.edu/creating-our-next-chapter/
university excellence	https://excellence.uconn.edu/

Date of last review of:	
Print publications	
Digital publications	

Please enter any explanatory notes in the box below

**Standard 9: Integrity, Transparency, and Public Disclosure
(Public Disclosure)**

Information	Website location
Institutional catalog	https://catalog.uconn.edu/ https://gradcatalog.uconn.edu/
Obligations and responsibilities of students and the institution	https://community.uconn.edu/the-student-code-part-iii/ http://catalog.uconn.edu/student-resources/
Information on admission and attendance	https://admissions.uconn.edu/ https://grad.uconn.edu/admissions/ https://catalog.uconn.edu/academic-regulations/ https://gradcatalog.uconn.edu/grad-school-info/admission/ https://gradcatalog.uconn.edu/grad-school-info/academic-regulations/
Institutional mission and objectives	http://academicvision.uconn.edu/introduction/mission-statement/ http://academicvision.uconn.edu/introduction/core-values/
Expected educational outcomes	https://assessment.uconn.edu/ (site currently being updated)
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	https://uconn.edu/about-us/
Requirements, procedures and policies re: admissions	https://admissions.uconn.edu/ https://grad.uconn.edu/admissions/
Requirements, procedures and policies re: transfer credit	https://admissions.uconn.edu/apply/transfer/transfer-credit https://gradcatalog.uconn.edu/grad-school-info/academic-regulations/ https://ece.uconn.edu/courses/
A list of institutions with which the institution has an articulation agreement	https://admissions.uconn.edu/apply/transfer/gap
Student fees, charges and refund policies	https://bursar.uconn.edu/undergraduate-student/ https://bursar.uconn.edu/graduate-students-3/ https://bursar.uconn.edu/2020-2021-school-of-medicine-tuition-fees/ https://bursar.uconn.edu/2020-2021-dental-school-tuition-fees-final/ https://bursar.uconn.edu/non-degree-students-2 https://bursar.uconn.edu/checks-and-refunds/
Rules and regulations for student conduct	https://community.uconn.edu/ https://gradcatalog.uconn.edu/grad-school-info/scholarly-integrity-and-misconduct/
Procedures for student appeals and complaints	https://gradcatalog.uconn.edu/grad-school-info/complaint-appeal-hearing-procedures/ https://community.uconn.edu/to-file-an-appeal/
Other information re: attending or withdrawing from the institution	https://catalog.uconn.edu/academic-regulations/ https://gradcatalog.uconn.edu/grad-school-info/academic-regulations/
Academic programs	https://catalog.uconn.edu/academic-degree-programs/ https://gradcatalog.uconn.edu/academic-programs/
Courses currently offered	https://student.studentadmin.uconn.edu/psp/CSGUE/EMPLOYEE/HRMS/c/UC_ENROLL_UC_GUEST_CLS_SCH.GBL?
Other available educational opportunities	https://provost.uconn.edu/administrators-and-leadership/centers-and-institutes/

Other academic policies and procedures	https://catalog.uconn.edu https://gradcatalog.uconn.edu
Requirements for degrees and other forms of academic recognition	https://catalog.uconn.edu/academic-regulations/ https://gradcatalog.uconn.edu/grad-school-info/academic-regulations/#Standards
List of continuing faculty, indicating department or program affiliation, degrees held, and institutions granting them	https://phonebook.uconn.edu/ See also individual pages at https://uconn.edu/
Names and positions of administrative officers	https://uconn.edu/about-us/administration/
Names, principal affiliations of governing board members	https://boardoftrustees.uconn.edu/members/
Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services available at each location	https://uconn.edu/about-us/campuses/
Programs, courses, services, and personnel not available in any given academic year.	https://scheduling.uconn.edu/class-schedule-snapshots/
Size and characteristics of the student body	https://uconn.edu/fact-sheet-archive/
Description of the campus setting	https://uconn.edu/about-us/campuses/
Availability of academic and other support services	https://cap.uconn.edu/sss/ https://advising.clas.uconn.edu/ https://wellness.uconn.edu/ https://counseling.uconn.edu/ https://iss.uconn.edu/ https://offcampus.uconn.edu/
Range of co-curricular and non-academic opportunities available to students	https://studentactivities.uconn.edu/
Institutional learning and physical resources from which a student can reasonably be expected to benefit	https://uconn.edu/campus-life/arts-culture/ https://opencommons.uconn.edu/
Institutional goals for students' education	https://iss.uconn.edu/ https://academicvision.uconn.edu/sustaining-excellence-in-undergraduate-education/ https://academicvision.uconn.edu/achieving-excellence-in-graduate-education/
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success appropriate to institutional mission. Passage rates for licensure exams, as appropriate	https://oire.uconn.edu/data/retention-degrees/ https://career.uconn.edu/outcomes/
Total cost of education and net price, including availability of financial aid and typical length of study	https://financialaid.uconn.edu/ https://financialaid.uconn.edu/cost/ https://financialaid.uconn.edu/pricecalc/
Expected amount of student debt upon graduation and loan payment rates	https://financialaid.uconn.edu/pricecalc/
Statement about accreditation	https://accreditation.uconn.edu/about-accreditation/

Appendix E

Making Assessment More Explicit: E1 Part A & Part B

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT
OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY	(1) Where are the learning outcomes for this level/program published? (please specify) Include URLs where appropriate.	(2) 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)	(3) Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	(4) What changes have been made as a result of using the data/evidence?	(5) Date of most recent program review (for general education and each degree program)
At the institutional level:					
Students achieving required standards from the catalog	https://catalog.uconn.edu/	Varies by program	Data on student outcomes submitted through program reviews; deans, department heads, and faculty in academic units review information related to overall program outcomes (e.g., retention and graduation rates) every eight years through the program review process.	Development of five-year assessment plan has resulted in a timeline for the development of updated student learning outcomes for all programs. These will be submitted to the University Student Learning Outcome Committee, and thereafter assessment reports will be submitted on an annual basis.	Assessment plan developed in spring 2021
Graduate outcomes by degree program	https://career.uconn.edu/outcomes/	Positive graduate outcomes	Data is made available to all academic programs. No formal evaluation is in place, but programs make use of this as they see fit. Overall outcomes are also publicized to members of our legislature to show positive student	No formal process to understand how the data has been used.	Will be determined by USLAC within the next five years.

			outcomes.		
For general education if an undergraduate institution:	<p>Learning outcomes for current general education curriculum: https://geoc.uconn.edu/assessment-and-learning-outcomes/</p> <p>Learning outcomes for topics of inquiry in the new “Core Curriculum for Leadership and Global Citizenship”: https://delta.senate.uconn.edu/topics-of-inquiry/</p>	<p>Currently passing grades are the only evidence used to show that learning outcomes have been met.</p> <p>New curriculum will use an “integrated experience” to highlight connections within and between disciplines.</p>	<p>Senate committee has oversight; Delta2GE have worked on the new curriculum and will work with the University Student Learning Assessment committee. Individual courses are examined to determine if assessments align with outcomes. Senate oversight committees have examined a sample of assessment data for particular curricular areas in the past.</p>	No formal process to make changes as a result of data.	Currently undergoing revision.
List each degree program:					
1. Animal Science, MS, College of Agriculture, Health, and Natural Resources (CAHNR)	<p>Program website https://animalscience.uconn.edu/graduate/prospectiveGrad.php</p>	Job placement rates of graduates.	Department head reviews outcomes.	Learning outcomes established and reviewed through departmental review of curriculum, ~every three years.	2021
2. Animal Science, PhD, CAHNR	<p>Program website https://animalscience.uconn.edu/graduate/prospectiveGrad.php</p>	The number and quality of awards, publications, conference presentations, and subsequent employment of graduate students.	Department head reviews outcomes.	Learning outcomes established and reviewed through departmental review of curriculum, ~every three years.	2021
3. Animal Science, BS, CAHNR	<p>Program website https://animalscience.uconn.edu/undergrad/areas-of-interest.php</p>	Course grades for learning outcomes in individual classes, senior exit interviews and surveys.	Instructors review learning outcomes each semester, department head reviews overall outcomes each academic year.	Learning outcomes established and reviewed through departmental review of curriculum, ~every three years.	2021.

4. Animal Science, AAS, CAHNR	Program website https://rhsa.uconn.edu/animal-science/	Course grades for learning outcomes in individual classes, senior exit interviews and surveys, transfer rate to BS program.	Instructors review learning outcomes each semester, department head reviews overall outcomes each academic year.	Learning outcomes established and reviewed through departmental review of curriculum, ~every three years.	2021
5. Agricultural and Resource Economics, PhD, CAHNR	https://are.uconn.edu/masters/student-handbook/	Qualifying exam, specialist field exam, PhD dissertation, job placements of graduates.	No formal process.	No formal process to understand how data has been used.	2015
6. Applied and Resource Economics, MS, CAHNR	https://are.uconn.edu/wp-content/uploads/sites/232/7/2019/09/Final-9.6.2019.pdf	Thesis or major paper.	No formal process.	No formal process to understand how data has been used.	2015
7. Applied and Resource Economics, BS, CAHNR	https://are.uconn.edu/concentrations/	No information other than passing grades.	No formal process.	No formal process to understand how data has been used.	2015
8. Culture, Health, and Human Development. Graduate Certificate, CAHNR	Program website: https://chhd.uconn.edu/graduate-certification/	Final integrative research project	Department reviews learning outcomes.	No formal process to understand how data has been used.	2018
9. Diagnostic Genetic Sciences, Post-Bac Certificate, CAHNR	Program website: https://dgs.alliedhealth.uconn.edu/certificate/certificate-outcomes/	Graduation rates, pass on national certification exam	Department reviews learning outcomes.	No formal process to make changes as a result of data.	2018
10. Health Promotion Sciences, MS, CAHNR	Program website: https://healthpromotionsciences.uconn.edu/masters-program-health-science/	Thesis or project & practicum.	Graduate faculty meetings, which include graduate student representatives	Enhanced curriculum mapping of learning outcomes	2018
11. Health Promotion Sciences, PhD, CAHNR	Program website: https://healthpromotionsciences.uconn.edu/doctoral-program/	Exam and dissertation	Graduate faculty meetings, which include graduate student representatives	N/A: program was established in 2015 and has yet to undergo revision.	2018
12. Kinesiology, MS, CAHNR	Program website: https://exsci.kins.uconn.edu/graduate-program-overview/	Training module competencies	No formal process.	No formal process to understand how data has been used.	2019
13. Kinesiology, PhD, CAHNR	Program website: https://exsci.kins.uconn.edu/graduate-program-overview/	Training module competencies, exam and dissertation	No formal process.	No formal process to understand how data has been used.	2019

	overview/				
14. Natural Resources: Land, Water, and Air, MS, CAHNR	Program website: https://nre.uconn.edu/Graduate_Students/	Thesis	Department Head and NRE Graduate Program Coordinator	During our annual working days/retreat there is continuous conversations on both graduate and undergraduate assessments of learning outcomes.	2015
15. Natural Resources: Land, Water, and Air, CAHNR	Program website: https://nre.uconn.edu/Graduate_Students/	Dissertation and Examination.	Department Head and NRE Graduate Program Coordinator	During our annual working days/retreat there is continuous conversations on both graduate and undergraduate assessments of learning outcomes.	2015
16. Natural Resources, BS, CAHNR	Program website: https://nre.uconn.edu/Undergraduate_Students/Academics.php	Job placement rates of graduates	All faculty in the program	During our annual working days/retreat there is continuous conversations on both graduate and undergraduate assessments of learning outcomes.	2015
17. Occupational Health and Safety, Graduate Certificate, CAHNR	Program website: https://osh.uconn.edu/about/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2019
18. Allied Health Sciences, BS, CAHNR	Program website: https://alliedhealth.uconn.edu/undergrad/ahsmajor/major-requirements/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2019
19. Pathobiology, MS, CAHNR	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/pathobiology/	Thesis or comprehensive exam.	The Department of Pathobiology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2021

20. Pathobiology, PhD, CAHNR	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/pathobiology/	Dissertation and examination.	The Department of Pathobiology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2021
21. Pathobiology, BS, CAHNR	Program website: https://pathobiology.cahnr.uconn.edu/core-curriculum/	College-level exit survey	The Department of Pathobiology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2021
22. Sustainable Environmental Planning and Management, Graduate Certificate, CAHNR	Program website: https://environmental-planning.online.uconn.edu/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
23. Urban Forestry Arboriculture, AAS, CAHNR	Program website: https://rhsa.uconn.edu/ufa/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
24. Agriculture and Natural Resources, BS, CAHNR	Program website: https://grow.uconn.edu/agnr/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
25. Environmental Sciences, BS, CAHNR / CLAS	Program website: https://envs.uconn.edu/	Internship or research experience	No formal process.	No formal process to make changes as a result of data.	N/A
26. Environmental Studies, BA, CAHNR / CLAS	Program website: https://evst.uconn.edu/overview/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	N/A
27. Sustainable Plant and Soil Systems, BS, CAHNR	Program website: http://plantscience.uconn.edu/Students/Undergrad/sustainable-plant-and-soil-systems.php	No information other than passing grades.	Periodic faculty review and discussion.	No formal process to make changes as a result of data.	2018
28. Puppet Arts, Graduate Certificate, School of Fine Arts (SFA)	Program website: https://puppetartscert.uconn.edu/	Graduate outcomes	No formal process.	No formal process to make changes as a result of data.	2019
29. Puppetry, BFA, SFA	Program website: https://drama.uconn.edu/p	No information other than passing grades.	No formal process.	No formal process to make changes as a	2019

	rograms/puppet-arts/bfa-puppet-arts/			result of data.	
30. Theater Studies, BA, SFA	Program website: https://drama.uconn.edu/programs/theatre-studies/theatre-studies-course-of-study/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2019
31. Health Care Genetics, MS, Institute for Systems Genomics	Program website: https://healthcaregenetics.uconn.edu/health-care-genetics/	Internship and final exam.	External advisory board.	Feedback leads to changes during re-affiliation process with national Professional Science Master's organization.	2020
32. Integrative Studies, PhD, Graduate School	Program website: https://grad.uconn.edu/integrative-studies-phd/#:~:text=The%20individualized%20PhD%20in%20Integrative,another%20existing%20field%20of%20study.	Dissertation	No formal process.	Highly individualized program; outcomes may be idiosyncratic due to the nature of the program. Program only established in 2021, so no data yet.	N/A
33. Systems Genomics, PhD, Institute for Systems Genomics	Program website: https://isg.uconn.edu/systems-genomics-phd/	Dissertation and required training.	No formal process.	No formal process to make changes as a result of data.	2020
34. Systems Genomics: Clinical Communication and Counseling, Graduate Certificate, Institute for Systems Genomics	Program website: https://clinical-genomics-communication.online.uconn.edu/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2020
35. Logic, Graduate Certificate, Graduate School	Program website: https://logic.uconn.edu/graduate-certificate-in-logic/	Participation in logic colloquium.	No formal process.	No formal process to make changes as a result of data.	N/A
36. Energy and Environmental Law, LL.M., School of Law	Program website: https://www.law.uconn.edu/academics/jd-certificate-	An advanced writing project, a clinic, or an externship with an appropriate law firm, energy company, utility, regulatory or	No formal process.	No formal process to make changes as a result of data.	2018

	programs/energy-and-environmental-law-certificate-jd	quasi-public agency, or public interest organization.			
37. Exec Master of Law: U.S. Law, LLM, School of Law	Program website: https://llm.uconn.edu/programs/executive-llm-in-u-s-law/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
38. U.S. Legal Studies, LLM, School of Law	Program website: https://llm.uconn.edu/programs/us-legal-studies/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
39. Governance, Risk Management and Compliance, LLM, School of Law	Program website: https://llm.uconn.edu/programs/governance-risk-management-and-compliance/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
40. Insurance Law, LLM, School of Law	Program website: https://llm.uconn.edu/programs/insurance-law/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
41. Human rights and Social Justice, LLM, School of Law	Program website: https://llm.uconn.edu/programs/human-rights-and-social-justice/	Participation in Asylum and Human Rights Law Clinic.	No formal process.	No formal process to make changes as a result of data.	2018
42. American Studies, Graduate Certificate, College of Liberal Arts and Sciences (CLAS)	Program website https://americanstudies.uconn.edu/masters/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
43. American Studies, BA, CLAS	Program website: https://americanstudies.uconn.edu/major/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
44. Anthropology, PhD, CLAS	Program website: https://anthropology.uconn.edu/graduate-requirements/	Comprehensive exam and dissertation.	Faculty across the department. Reflection from external review process and self-study.	Currently working on curricular revision with updated learning outcomes and assessment measures.	2018
45. Anthropology, MA, CLAS	Program website: https://anthropology.uconn.edu/graduate-requirements/	Final examination	Faculty across the department. Reflection from external review process and self-study.	Currently working on curricular revision with updated learning outcomes and assessment measures.	2018

46. Anthropology, BA, CLAS	Program website: https://anthropology.uconn.edu/undergraduate-program/major-and-minor/	Thesis for honors students only.	Faculty across the department.	Reflection from external review process and self-study resulted in changes that gave students more flexibility and choice.	2018
47. Applied Biochemistry and Cell Biology, MS, CLAS	Program website: https://abc.mcb.uconn.edu/learning-outcomes/	Exit examination requiring an original piece of scholarly work.	Faculty across the department.	Program formalized after last external review.	2016
48. Applied Financial Mathematics, MS, CLAS	Program website: https://math.uconn.edu/degree-programs/graduate/m-s-in-applied-financial-mathematics/	Internship and exit project.	Director of Graduate Studies.	Updates to learning outcomes as trends change.	2017
49. Applied Genomics, MS, CLAS	Program website: https://psm.uconn.edu/applied-genomics/	Internship and exit exam	External advisory board, weekly meetings with outside experts during the semester.	Feedback leads to changes during re-affiliation process with national Professional Science Master's organization.	2016
50. Applied Microbial Systems Analysis, MS, CLAS	Program website: https://psm.uconn.edu/microbial-systems-analysis/	Internship and exit exam	External advisory board, weekly meetings with outside experts during the semester.	Feedback leads to changes during re-affiliation process with national Professional Science Master's organization.	2016
51. Biodiversity and Conservation Biology, MS, CLAS	Program website: https://ceb.uconn.edu/m-s-degree-requirements-for-ceb-b-s-m-s/	Internship and paper on research experience, employment outcomes.	No formal process	No formal process to understand how data has been used.	2015
52. Biostatistics, MS, CLAS	Program website: https://stat.uconn.edu/m-s-in-biostatistics/	Qualifying exam, if progressing to the PhD, exit project.	Program director has primary responsibility for reviewing data.	Continued work to try and improve assessment metrics.	2018
53. Chemistry, MS, CLAS	Graduate handbook: https://handbook.chemistry.uconn.edu/wp-	Thesis, if taking this route.	Department, via self-study process.	No formal process to make changes as a result of data.	2021

	content/uploads/sites/1342/2021/01/GRADUATE_HANDBOOK-20-21.pdf				
54. Chemistry, PhD, CLAS	Graduate handbook: https://handbook.chemistry.uconn.edu/wp-content/uploads/sites/1342/2021/01/GRADUATE_HANDBOOK-20-21.pdf	Qualifying exams, dissertation	Department, via self-study process.	None noted	2021
55. Chemistry, BA, CLAS	Program website: https://chemistry.uconn.edu/undergraduate/ba/	No information other than passing grades.	Undergraduate Committee/ Undergraduate Program Director	Currently working on curricular revisions in relation to learning outcomes.	2021
56. Communication MA, CLAS	Graduate student handbook: https://comm.uconn.edu/wp-content/uploads/sites/1506/2021/09/COMM-Grad-Stu-Handbk-2021-2022-final.pdf	Thesis	Departmental review	MA tracks combined into one option; MA thesis timelines updated	2019
57. Communication, PhD, CLAS	Graduate handbook: https://comm.uconn.edu/wp-content/uploads/sites/1506/2021/09/COMM-Grad-Stu-Handbk-2021-2022-final.pdf	Exams, dissertation	Departmental review	Regular introduction of new graduate-level courses; dissertation length and format were formalized.	2019
58. Communication, BA, CLAS	Program website: https://catalog.uconn.edu/college-of-liberal-arts-and-sciences/communication/	Internship, competency in information literacy	Departmental review	Developed new and revitalized courses related to applied communication skills and theory, and certificates to demonstrate skills to support employability. Working on integrating externally valid assessments.	2019

59. Ecology and Evolutionary Biology, MS, CLAS	Graduate handbook: https://eeb.uconn.edu/wp-content/uploads/sites/1312/2021/08/EEB_GradHandbook_2021-22_Final.pdf	Oral exam, internship	No formal process	No formal process to make changes as a result of data.	2015
60. Ecology and Evolutionary Biology, PhD, CLAS	Graduate handbook: https://eeb.uconn.edu/wp-content/uploads/sites/1312/2021/08/EEB_GradHandbook_2021-22_Final.pdf	Thesis	Reflection from self-study	Expansion of research specialties in department	2015
61. Ecology and Evolutionary Biology, BA, CLAS	Program website: https://bioadvising.clas.uconn.edu/majors/ecology-evolutionary-biology/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
62. Ecology and Evolutionary Biology, BS, CLAS	Program website: https://bioadvising.clas.uconn.edu/majors/ecology-evolutionary-biology/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
63. Economics, MA, CLAS	Program website: https://econ.uconn.edu/grad-2/	Job placement	Departmental Graduate Program Committee	No formal process to make changes as a result of data.	2018
64. Economics PhD, CLAS	Program website: https://econ.uconn.edu/grad-2/	Thesis, qualifying exams, job placement	Departmental Graduate Program Committee	No formal process to make changes as a result of data.	2018
65. Quantitative Economics, MS, CLAS	Program website: https://msqe.econ.uconn.edu/courses/	Job placement, feedback from employers on skills of graduates	MSQE Committee	No noted changes (program only launched in 2017)	2018
66. Economics, BA, CLAS	Program website: https://econ.uconn.edu/econ/major-requirements/	Loose feedback on job placement	Departmental Undergraduate Program Committee	No formal process to make changes as a result of data.	2018
67. Economics, BS, CLAS	Program website: https://econ.uconn.edu/econ/major-requirements/	Loose feedback on job placement	Departmental Undergraduate Program Committee	No formal process to make changes as a result of data.	2018
68. English, MA, CLAS	Program website: https://english.uconn.edu/graduate/programs/masters/	Writing project	All faculty in the department through the program review process.	No formal process to make changes as a result of data.	2015
69. English, PhD, CLAS	Program website: https://english.uconn.edu/graduate/programs/phd/	Exams, dissertation	All faculty in the department through the program review process.	No formal process to make changes as a result of data.	2015

70. English, BA, CLAS	Catalog: https://english.uconn.edu/undergraduate/majors-and-minors/	Surveys of students, instructors, and reviewed projects, and review of grades in our gateway course (2600) and our capstone course (4000-level).	All faculty in the department through the program review process.	Writing program has been implementing changes to improve equity in assessment.	2015
71. Feminist Studies, Graduate Certificate, CLAS	Program website: https://wgss.uconn.edu/graduate-certificate/	Program Director approves individual plans to ensure interdisciplinary breadth.	No formal process.	No formal process to make changes as a result of data.	2011
72. Women's, Gender, & Sexuality Studies, BA, CLAS	Program website: https://wgss.uconn.edu/major-requirements/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2011
73. Geographic Information Systems, Graduate Certificate, CLAS	Program website: https://giscertificate.uconn.edu/about/	The focus is currently on mapping learning outcomes to specific courses rather than assessing overall program outcomes.	No formal process.	No formal process to make changes as a result of data.	2017
74. Geographic Information Science, BA, CLAS	Program website: https://geography.uconn.edu/undergrad/giscience/	The focus is currently on mapping learning outcomes to specific courses rather than assessing overall program outcomes.	No formal process.	No formal process to make changes as a result of data.	2017
75. Geographic Information Science, BS, CLAS	Program website: https://geography.uconn.edu/undergrad/giscience/	The focus is currently on mapping learning outcomes to specific courses rather than assessing overall program outcomes.	No formal process.	No formal process to make changes as a result of data.	2017
76. Geography, MA, CLAS	Program website: https://geography.uconn.edu/graduate/	Thesis, if this option is taken.	No formal process.	No formal process to make changes as a result of data.	2017
77. Geography, PhD, CLAS	Program website: https://geography.uconn.edu/graduate/	Examination, dissertation proposal, dissertation and dissertation defense.	No formal process.	No formal process to make changes as a result of data.	2017
78. Geography, BA, CLAS	Program website: https://geography.uconn.edu/undergrad/ba-geog/	The focus is currently on mapping learning outcomes to specific courses rather than assessing overall program outcomes.	No formal process.	No formal process to make changes as a result of data.	2017
79. Geography, BS, CLAS	Program website: https://geography.uconn.edu/undergrad/bs-geog/	The focus is currently on mapping learning outcomes to specific courses rather than assessing overall program outcomes.	No formal process.	No formal process to make changes as a result of data.	2017
80. Geological Sciences, MS, CLAS	Program website: https://geosciences.uconn.edu/	Thesis or final exam	No formal process	No formal process to make changes as a	N/A (department formed in 2019)

	edu/graduateprogram/			result of data.	
81. Geological Sciences PhD, CLAS	Program website: https://geosciences.uconn.edu/graduateprogram/	Exam and dissertation	No formal process	No formal process to make changes as a result of data.	N/A (department formed in 2019)
82. Remote Sensing and Geospatial Data Analytics, Graduate Certificate, CLAS	Program website: https://remotesensing.online.uconn.edu/about/	No information other than passing grades.	No formal process	No formal process to make changes as a result of data.	N/A (department formed in 2019)
83. Geoscience, BA, CLAS	Program website: https://geosciences.uconn.edu/undergraduate/	The focus is currently on mapping learning outcomes to specific courses rather than assessing overall program outcomes.	No formal process	No formal process to make changes as a result of data.	N/A (department formed in 2019)
84. Geoscience, BS, CLAS	Program website: https://geosciences.uconn.edu/undergraduate/	The focus is currently on mapping learning outcomes to specific courses rather than assessing overall program outcomes.	No formal process	No formal process to make changes as a result of data.	N/A (department formed in 2019)
85. History, MA, CLAS	Program website: https://history.uconn.edu/graduate-program/master-program/	Thesis and final exam.	The Department of History is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2017
86. History, PhD, CLAS	Program website: https://history.uconn.edu/graduate-program/doctoral-program/	Exam, dissertation prospectus, dissertation	The Department of History is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2017
87. History, BA, CLAS	Program website: https://history.uconn.edu/history-major-minor/	No information other than passing grades	The Department of History is currently working with CETL on creating processes for formalizing assessment	Currently working on curricular revision with updated learning outcomes and assessment measures	2017
88. Human Development and Family Sciences, MA, CLAS	Graduate handbook: https://hdfs.uconn.edu/wp-content/uploads/sites/601/2020/08/2020-2021-GRAD-handbook.pdf	Annual portfolio reporting of products, practicum, oral exam, and thesis (for those on the thesis track only).	The department's Graduate Curriculum Committee (which includes faculty and a graduate student) routinely reviews alignment of required	Ongoing course-to-program mapping of objectives.	2019

			and elective courses with program-level goals. The Associate Department Head for Graduate Studies reviews each graduate student's annual progress using a portfolio submitted annually by each graduate student.		
89. Human Development and Family Sciences, PhD, CLAS	Graduate handbook: https://hdfs.uconn.edu/wp-content/uploads/sites/601/2020/08/2020-2021-GRAD-handbook.pdf	Portfolio, conference presentations, research publication(s), comprehensive exam, independent teaching, and dissertation.	Graduate Curriculum Committee.	No formal process to make changes as a result of data.	2019
90. Human Development and Family Sciences, BA, CLAS	Program website: https://hdfs.uconn.edu/undergraduate-program/careerpaths/	Indirect measures from SETs and peer evaluation of teaching, and findings from annual exit survey of graduates.	Undergraduate Curriculum committee developed SLOs, findings from assessment are shared with all faculty engaged in undergraduate teaching	Ongoing alignment of material in courses with shared learning objectives.	2019
91. Indigeneity, Race, Ethnicity, and Politics, Graduate Certificate, CLAS	Program website: https://polisci.uconn.edu/graduate/indigeneity-race-ethnicity-politics-certificate/	Job placement (including several years post-graduation).	No formal process	None as yet; program established in 2020	2018
92. Indigeneity, Race, Ethnicity, and Politics, MA, CLAS	Program website: https://polisci.uconn.edu/graduate/indigeneity-race-ethnicity-politics-masters/	Presentation of research project and job placement (including several years post-graduation).	No formal process	None as yet; program established in 2020	2018
93. International Studies, MA, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/international-studies/	Thesis, language proficiency.	No formal process.	No formal process to make changes as a result of data.	2017
94. Linguistics, MA, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-	Thesis	Faculty across the department review information.	No formal process to make changes as a result of data.	2016

	programs/linguistics/				
95. Linguistics, PhD, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/linguistics/	Comprehensive exam, dissertation	Faculty across the department review information.	No formal process to make changes as a result of data.	2016
96. Linguistics and Psychology, BA, CLAS	Program website: https://linguistics.uconn.edu/undergraduate/	Capstone in experimental linguistics.	Faculty across the department review information.	No formal process to make changes as a result of data.	2016
97. Linguistics and Philosophy, BA, CLAS	Program website: https://linguistics.uconn.edu/undergraduate/	Capstone in experimental linguistics.	Faculty across the department review information.	No formal process to make changes as a result of data.	2016
98. Literary Translation, Graduate Certificate, CLAS	Program website: https://languages.uconn.edu/graduate-certificate-in-literary-translation/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2014
99. Literacy, Cultures, and Languages, MA	Program website: https://languages.uconn.edu/graduate-2/ma/	Final exam or thesis, graduate employment.	Faculty across the department can engage with data.	Work to streamline the courses offered with consolidation into single LCL graduate degrees.	2014
100. Literacy, Cultures, and Languages, PhD	Program website: https://languages.uconn.edu/graduate-2/ma/	Exam and dissertation.	Faculty across the department can engage with data.	Work to streamline the courses offered with consolidation into single LCL graduate degrees.	2014
101. American Sign Language, BA, CLAS	Program website	No information other than passing grades.	No formal process.	Program only established in 2020; no data to review yet.	N/A
102. Arabic and Islamic Civilizations, BA, CLAS	Program website: https://catalog.uconn.edu/college-of-liberal-arts-and-sciences/arabic-and-islamic-civilizations/	Expectation that they will have the equivalent level of Advanced level in the ACTFL scale of competence.	Faculty across the program engage with data.	Consideration of across-the-board assessments.	2014
103. Chinese, BA, CLAS	Program website: https://languages.uconn.edu/chinese/undergrad/ma;or/	Participation in approved study abroad program in Chinese-speaking country. Expectation of high level of proficiency in the ACTFL scale.	Faculty across the program engage with data.	No formal process to make changes as a result of data.	2014

104. Classics and Ancient Mediterranean Studies, CLAS	Program website: https://languages.uconn.edu/cams/major/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2014
105. French, BA, CLAS	Undergraduate catalog: https://catalog.uconn.edu/college-of-liberal-arts-and-sciences/literatures-cultures-languages/#french	Participation in approved study abroad program in French-speaking country. Indirect assessment to determine that students are at a CEFR B1 or B2 level, although they do not directly test for this level.	Faculty across the program engage with data.	No formal process to make changes as a result of data.	2014
106. German, BA, CLAS	Undergraduate catalog: https://languages.uconn.edu/german/undergrad-2/major/	Participation in approved study abroad program or work program in German-speaking country. Intercultural communicative competence (ICC) and intercultural citizenship (ICit) are integrated into the program. Integrated performance assessments (IPA) for all levels of German in order to assess what students can do with their language and intercultural competence in authentic tasks.	Faculty across the program.	Adoption of new textbooks that were co-planned, designed and co-authored by UConn German faculty and former graduate students for the first two years of German. These books can be more easily adapted to meet designated learning goals.	2014
107. Italian Literature and Cultural Studies, BA, CLAS	Program website: https://languages.uconn.edu/italian/undergrad/	Expectation that graduates will reach the equivalent standard of CILS B1 or B2 level, but no formal testing of this.	Language program coordinator oversees discussions.	Discussing the potential use of a program created by IcoN, a consortium of Italian universities that would grant students an easier access to official certification of their language skills.	2014
108. Judaic Studies, BA, CLAS	Program website: https://languages.uconn.edu/hebrew/bachelor-of-arts-and-minor-in-judaic-studies/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2014

109. Spanish, BA, CLAS	Undergraduate catalog: https://catalog.uconn.edu/college-of-liberal-arts-and-sciences/literatures-cultures-languages/#spanish	Sample of research papers of graduating seniors are evaluated. Participation in approved study-abroad program in a Spanish-speaking country.	Spanish language coordinator and undergraduate program committee.	Modification of developmental programs, clarify outcome formulations, or adaptation of method of assessment in order to improve the quality of student learning, performance and evaluation.	2014
110. Mathematics, MS, CLAS	Program website: https://math.uconn.edu/degree-programs/graduate/m-s-in-mathematics/	Examinations and thesis	Director of Graduate Studies.	Updates to learning outcomes as trends in the field change.	2018
111. Mathematics, PhD, CLAS	Program website: https://math.uconn.edu/degree-programs/graduate/ph-d-in-mathematics/	Examination and dissertation, surveys over the course of the graduate degree	Graduate program committee.	No changes documented.	2018
112. Mathematics, BA, CLAS	Program website: https://math.uconn.edu/degree-programs/undergraduate/mathematics-major/	Assessment of core learning outcomes in 1000 and 2000 level courses, thesis if relevant.	Undergraduate program committee	Instruction is adjusted based on aggregate performance and to drive discussions of instruction for future meetings.	2018
113. Mathematics, BS, CLAS	Program website: https://math.uconn.edu/degree-programs/undergraduate/mathematics-major/	Assessment of core learning outcomes in 1000 and 2000 level courses, thesis if relevant.	Undergraduate program committee	Instruction is adjusted based on aggregate performance and to drive discussions of instruction for future meetings.	2018
114. Mathematics/Statistics, BA, CLAS	Program website: https://math.uconn.edu/degree-programs/undergraduate/mathematics-major/	Assessment of core learning outcomes in 1000 and 2000 level courses, thesis if relevant.	Undergraduate program committee	Instruction is adjusted based on aggregate performance and to drive discussions of instruction for future meetings.	2018

115. Mathematics/ statistics, BS, CLAS	Program website: https://math.uconn.edu/degree-programs/undergraduate/mathematics-major/	Assessment of core learning outcomes in 1000 and 2000 level courses, thesis if relevant.	Undergraduate program committee	Instruction is adjusted based on aggregate performance and to drive discussions of instruction for future meetings.	2018
116. Mathematics- Physics, BS, CLAS	Program website: https://math.uconn.edu/degree-programs/undergraduate/mathematics-major/	Assessment of core learning outcomes in 1000 and 2000 level courses, thesis if relevant.	Undergraduate program committee	Instruction is adjusted based on aggregate performance and to drive discussions of instruction for future meetings.	2018
117. Medieval Studies, MA, CLAS	Program website: https://medievalstudies.uconn.edu/degree-programs/graduate/master/s/	Written examination	No formal process.	No formal process to make changes as a result of data.	2014
118. Medieval Studies, PhD, CLAS	Program website: https://medievalstudies.uconn.edu/degree-programs/graduate/doctorate/	Examination and dissertation	No formal process.	No formal process to make changes as a result of data.	2014
119. Molecular and Cell Biology, MS, CLAS	Department mission statement: https://mcb.uconn.edu/about-the-department/	Thesis	All faculty in the program	Student feedback incorporated into mission of the department	2016
120. Molecular and Cell Biology, PhD, CLAS	Department mission statement: https://mcb.uconn.edu/about-the-department/	Examination and dissertation	All faculty in the program	Student feedback incorporated into mission of the department	2016
121. Molecular and Cell Biology, BS, CLAS	Department mission statement: https://mcb.uconn.edu/about-the-department/	Graduate outcomes	All faculty in the program	No formal process to make changes as a result of data.	2016
122. Cognitive Science Cert, CLAS	Program website: https://cogsci.uconn.edu/requirements/	Individual plans of study evaluated by the Cognitive Science Steering Committee.	No formal process.	No formal process to make changes as a result of data.	None yet
123. Health Psychology, Graduate	Program website: https://grad.psych.uconn.edu/graduate-certificate-in-	No information other than passing grades	The Department of Psychology is currently working with CETL on	No formal process to make changes as a result of data.	2016

Certificate, CLAS	health-psychology/		creating processes for formalizing assessment		
124. Neurobiology of Language, Graduate Certificate, CLAS	Program website: https://nbl.cogsci.uconn.edu/vision/	Internships, J-Term primers on academic, professional development, and methodological topics.	No formal process.	No formal process to make changes as a result of data.	None yet
125. Occupational Health Psychology, Graduate Certificate, CLAS	Program website: https://grad.psych.uconn.edu/occupational-health-psychology/	No information other than passing grades	The Department of Psychology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2016
126. Psychological Sciences, MS, CLAS	Program handbook: https://grad.psych.uconn.edu/wp-content/uploads/sites/702/2021/09/Psychological-Sciences-Graduate-Student-Handbook.pdf	Thesis and final exam	The Department of Psychology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2016
127. Psychological Sciences, PhD, CLAS	Program handbook: https://grad.psych.uconn.edu/wp-content/uploads/sites/702/2021/09/Psychological-Sciences-Graduate-Student-Handbook.pdf	General exam and dissertation	The Department of Psychology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2016
128. Quantitative Research Methods, Graduate Certificate, CLAS	Program website: https://grad.psych.uconn.edu/quantitative-research-methods-certificate/	No information other than passing grades	The Department of Psychology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2016
129. Psychological Sciences, BS, CLAS	Program website: https://undergrad.psych.uconn.edu/about-the-psychological-sciences/	No information other than passing grades	The Department of Psychology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2016
130. Psychological Sciences, BA, CLAS	Program website: https://undergrad.psych.uconn.edu/about-the-psychological-sciences/	No information other than passing grades	The Department of Psychology is currently working with CETL on creating processes for formalizing assessment	No formal process to make changes as a result of data.	2016

131. Oceanography, MS, CLAS	Program website: https://marinesciences.uconn.edu/academic/graduate-student-handbook/	Thesis	No formal process.	No formal process to make changes as a result of data.	2015
132. Oceanography, PhD, CLAS	Program website: https://marinesciences.uconn.edu/academic/graduate-student-handbook/	Dissertation, defense, examination	No formal process.	No formal process to make changes as a result of data.	2015
133. Marine Sciences, BA, CLAS	Program website: https://marinesciences.uconn.edu/mscss/marine-sciences-curriculum/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
134. Marine Sciences, BS, CLAS	Program website: https://marinesciences.uconn.edu/mscss/marine-sciences-curriculum/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
135. Maritime Studies, BA, CLAS	Program website: https://maritimestudies.uconn.edu/academic-programs/mast-curriculum/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2015
136. Philosophy, MA, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/philosophy/	Demonstration of philosophical writing and research proposal.	No formal process.	No formal process to make changes as a result of data.	2015
137. Philosophy, PhD, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/philosophy/	General examination and dissertation.	No formal process.	No formal process to make changes as a result of data.	2015
138. Philosophy, BA, CLAS	Program website: https://philosophy.uconn.edu/why-study-philosophy/	Consultation with alumni/ae	Undergraduate Studies Director, the Undergraduate Committee, the Undergraduate Liaison, discussions with the Philosophy Department Climate Committee, and consultation with the Undergraduate Philosophy Society.	No formal process to make changes as a result of data.	2015

139. Physics, MS, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/physics/	Thesis	No formal process.	No formal process to make changes as a result of data.	2016
140. Physics, PhD, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/physics/	Dissertation and examination	No formal process.	No formal process to make changes as a result of data.	2016
141. Physics, BA, CLAS	Program website: https://physics.uconn.edu/academics/undergraduate-program/	No information other than passing grades.	Undergraduate Affairs Committee.	No formal process to make changes as a result of data.	2016
142. Physics, BS, CLAS	Program website: https://physics.uconn.edu/academics/undergraduate-program/	No information other than passing grades.	Undergraduate Affairs Committee.	No formal process to make changes as a result of data.	2016
143. Physiology and Neurobiology, MS, CLAS	Program website: https://pnb.uconn.edu/graduate-programs/	Thesis or examination.	No formal process.	No formal process to make changes as a result of data.	2016
144. Physiology and Neurobiology, PhD, CLAS	Program website: https://pnb.uconn.edu/graduate-programs/	Dissertation and examination.	No formal process.	No formal process to make changes as a result of data.	2016
145. Physiology and Neurobiology, BS, CLAS	Program website: https://pnb.uconn.edu/undergraduatecourses/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2016
146. Political Science, MA, CLAS	Program website: https://polisci.uconn.edu/undergraduate/fifth-year-masters/#collapsepanel-532-2-0-10	Research presentation	No formal process.	No formal process to make changes as a result of data.	2017
147. Political Science, PhD, CLAS	Program website: https://polisci.uconn.edu/graduate/programs/	Dissertation and examination.	No formal process.	No formal process to make changes as a result of data.	2017
148. Politics and Popular Culture, MA, CLAS	Graduate catalog: https://gradcatalog.uconn.edu/academic-programs/politics-and-popular-culture/	Research presentation	No formal process.	No formal process to make changes as a result of data.	2017

149. Political Science, BA, CLAS	Program website: https://polisci.uconn.edu/undergraduate/programs/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2017
150. Public Financial Management, Graduate Certificate, CLAS	Program website: https://dpp.uconn.edu/public-financial-management-certificate/	A range of assessment that takes place within the MPA and MPP assessment cycle, including: <ul style="list-style-type: none"> • Pre-post test of student perceptions • Competency mastery survey (Mastery at end of the program and change in mastery) • Competency portfolio assessment 	A three-year cycle of data collection.	Faculty within the department review the data and respond to each three-year cycle of assessment.	2020
151. Public Policy, Master of Public Policy, CLAS	Program website: https://dpp.uconn.edu/mp/p/	<ul style="list-style-type: none"> • Pre-post test of student perceptions • Competency mastery survey (Mastery at end of the program and change in mastery)* • Competency portfolio assessment • Internship evaluations • Job placements • Internship placements • Admissions statistics and other admissions data • Focus group of employers and alumni • Employer interviews • Exit survey questions regarding overall curriculum assessment. 	A three-year cycle of data collection.	Faculty within the department review the data and respond to each three-year cycle of assessment. Based on feedback from employer and alumni focus groups: enhanced teaching of project management by adding the core course PP 5345 Project Management in the Public Sector. Based on feedback from Graduating Student Survey introduced focus areas in nonprofit management, public finance and budgeting, public policy, survey research, social policy and an individualized focus area.	2020

152. Survey Research, MA, CLAS	Program website: https://dpp.uconn.edu/survey-research/	Incoming student survey and graduating student survey. Final portfolio including examples of survey related work and reflective paper.	A three-year cycle of data collection.	Faculty within the department review the data and respond to each three-year cycle of assessment.	2020
153. Survey Research, Graduate Certificate, CLAS	Program website: https://dpp.uconn.edu/survey-research-certificate/	A range of assessment that takes place within the MPA and MPP assessment cycle, including: <ul style="list-style-type: none"> • Pre-post test of student perceptions • Competency mastery survey (Mastery at end of the program and change in mastery) • Competency portfolio assessment 	A three-year cycle of data collection.	Faculty within the department review the data and respond to each three-year cycle of assessment.	2020
154. Nonprofit Management, Graduate Certificate, CLAS	Department website: https://dpp.uconn.edu/nonprofit-management-certificate/	A range of assessment that takes place within the MPA and MPP assessment cycle, including: <ul style="list-style-type: none"> • Pre-post test of student perceptions • Competency mastery survey (Mastery at end of the program and change in mastery) • Competency portfolio assessment 	A three-year cycle of data collection.	Faculty within the department review the data and respond to each three-year cycle of assessment.	2020
155. Sociology, MA, CLAS	Department website: https://sociology.uconn.edu/wp-content/uploads/sites/2172/2021/02/Graduate-Handbook-Approved-2-21.pdf	Thesis or portfolio of work.	Graduate Program Committee.	Students no longer directly admitted to the non-thesis track.	2017
156. Sociology, PhD, CLAS	Department website: https://sociology.uconn.edu/wp-content/uploads/sites/2172/2021/02/Graduate-Handbook-Approved-2-21.pdf	Benchmarks associated with “adequate progress” through the program, and include competence in quantitative methods, qualitative methods, core theory, contemporary theory (all competencies established through a rigorous series of seminars), and a substantive area (competency established through the doctoral exam and defense of the dissertation proposal).	Graduate Program Committee.	Increased requirements for both quantitative and qualitative methods courses, and increased breadth in exams.	2017

		Job placement rates, publication rates, and extramural funding rates.			
157. Sociology, BA, CLAS	Department website: https://sociology.uconn.edu/undergraduate/	2009-2012 assessment study. Number of students each year who are inducted into the Phi Beta Kappa honor society each year and/or graduate with Honors or as University Scholars.	Discussion of student outcomes at the Undergraduate Program Committee and department level.	Findings showed learning outcomes were being met, but increased attention was paid to teaching how to design sociological research.	2017
158. Statistics, MS, CLAS	Department website: https://stat.uconn.edu/m-s-in-statistics/	Internship.	Curriculum committee.	No formal changes made.	2017
159. Statistics, PhD, CLAS	Department website: https://stat.uconn.edu/dctoral-program/	Examination and dissertation.	Curriculum committee.	No formal changes made.	2017
160. Statistics, BA, CLAS	Undergraduate catalog: https://catalog.uconn.edu/college-of-liberal-arts-and-sciences/statistics/	Student evaluations of teaching, assessment survey of graduating majors.	Undergraduate Program Director with Department Head.	Recent changes to enhance the quality and rigor of our undergraduate major: a) a student who already has credit for Stat 3375Q or Stat 3445 may not receive credit for the more elementary Stat 3025Q, and b) a grade of C+ or better in Math 2110Q or 2130Q is a prerequisite to enroll in Stat 3375Q.	2017
161. Statistics, BS, CLAS	Undergraduate catalog: https://catalog.uconn.edu/college-of-liberal-arts-and-sciences/statistics/	Student evaluations of teaching, assessment survey of graduating majors.	Undergraduate Program Director with Department Head.	Recent changes to enhance the quality and rigor of our undergraduate major: a) a student who already has credit for Stat 3375Q or Stat 3445 may not receive	2017

				credit for the more elementary Stat 3025Q, and b) a grade of C+ or better in Math 2110Q or 2130Q is a prerequisite to enroll in Stat 3375Q.	
162. Individualized Major, BS, CLAS / CAHNR	Program website: https://iisp.uconn.edu/about-the-individualized-major/	Sustained research or creative project.	An Advisory and Admissions Committee produces an annual report each year that includes discussion of learning outcomes. This is also shared with the associate deans responsible for undergraduate learning in each college.	Currently working through curriculum revisions.	2014
163. Individualized Major, BA, CLAS / CAHNR	Program website: https://iisp.uconn.edu/about-the-individualized-major/	Sustained research or creative project.	An Advisory and Admissions Committee produces an annual report each year that includes discussion of learning outcomes. This is also shared with the associate deans responsible for undergraduate learning in each college.	Currently working through curriculum revisions.	2014
164. Africana Studies, BA, CLAS	Undergraduate catalog: https://catalog.uconn.edu/college-of-liberal-arts-and-sciences/africana-studies/	No information other than passing grades.	No formal process.	Currently working through curricular revisions.	2019
165. Biological Sciences, BA, CLAS	Program website: https://bioadvising.clas.uconn.edu/majors/biological-sciences/	No information other than passing grades.	A faculty-led working group has been looking at a representative sample of assessment data.	Learning outcomes currently under revision.	2016

166. Biological Sciences, BS, CLAS	Program website: https://bioadvising.clas.uconn.edu/majors/biological-sciences/	No information other than passing grades.	A faculty-led working group has been looking at a representative sample of assessment data.	Learning outcomes currently under revision.	2016
167. Structural Biology and Biophysics, BS, CLAS	Program website: https://bioadvising.clas.uconn.edu/majors/strutural-biology-biophysics/	No information other than passing grades.	A faculty-led working group has been looking at a representative sample of assessment data.	Learning outcomes currently under revision.	2016
168. Cognitive Science, BA, CLAS	Program website: https://cogsci.uconn.edu/major/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2021
169. Cognitive Science, BS, CLAS	Program website: https://cogsci.uconn.edu/major/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2021
170. Latino and Latin American Studies, BA, CLAS	Program website: https://elin.uconn.edu/undergraduate-academics/	No information other than passing grades.	A faculty committee had previously been appointed to review and revise the major. Advisors work with individual students on their progress through the major.	Curricular revisions resulted in clear learning objectives and these are mapped into the curriculum so grades for classes reflect progress toward learning outcomes has been met.	2017
171. Urban and Community Studies, BA, CLAS	Program website: https://urban.uconn.edu/degree-requirements-iii/	Focus on introductory and capstone classes; survey of alumni to understand career preparation.	All faculty in the program review information.	Introduced research methods and capstone courses.	2021
172. General Studies, BGS, CLAS	Program website: https://bgs.uconn.edu/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2016
173. Social Determinants of Health, graduate certificate, School of Medicine	https://gradcatalog.uconn.edu/certificates/social-determinants-of-health-and-disparities/#:~:text=The%20Certificate%20in%20Social%20Determinants,policies%20that%20promot	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018

	e%20health%20equity.				
174. Certificate in Addiction Science, Graduate Certificate, School of Medicine	Program website: https://ph.addictionscience.certficate.uconn.edu/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
175. Biomedical Science, MS, School of Medicine	Program website: https://health.uconn.edu/graduate-school/academics/programs/mctr/	Oral examination of grant proposal and scientific report.	No formal process.	No formal process to make changes as a result of data.	2018
176. Biomedical Science, PhD, School of Medicine	Program website: https://health.uconn.edu/graduate-school/academics/programs/ph-d-biomedical-science/	Dissertation	No formal process	No formal process to make changes as a result of data.	2018
177. Biomedical Science Research Experience Certificate, Graduate Certificate, School of Medicine	Program website: https://gradcatalog.uconn.edu/certificates/biomedical-science-research-experience/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
178. Clinical and Translational Research, Graduate Certificate, School of Medicine	Program website: https://health.uconn.edu/graduate-school/academics/programs/mctr/	No information other than passing grades	Program advisory committee reviews yearly.	No formal process to make changes as a result of data.	2018
179. Clinical and Translational Research, MS, School of Medicine	Program website: https://health.uconn.edu/graduate-school/academics/programs/mctr/	Final oral presentation with Q&A.	Program advisory committee reviews annually	No formal process to make changes as a result of data.	2018
180. Certificate of Interdisciplinary Disability Studies in Public Health, Graduate Certificate, School of Medicine	Program website: https://ph.disability.certficate.uconn.edu/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018

181. Foundations of Public Health, Graduate Certificate, School of Medicine	Program website: https://mph.uconn.edu/graduate-certificate-in-foundations-of-public-health/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2018
182. Adult Learning, Sixth Year Certificate, Neag School of Education	Catalog: https://gradcatalog.uconn.edu/certificates/adult-learning/	Summary project or a comprehensive exam	No formal process.	No formal process to make changes as a result of data.	2021
183. Applied Behavior Analysis, Graduate Certificate, Neag School of Education	Catalog: https://gradcatalog.uconn.edu/certificates/applied-behavior-analysis/	(a) number of accepted applicants who matriculate, (b) prior/current institution of Master's degree, (c) diversity of applicants and matriculated students, (d) time to certificate completion, (e) student grades, (f) course evaluations, (g) percentage of students who obtain supervised clinical placements, (h) exit and alumni surveys and (i) percentage of students who pass the BCBA exam.	All faculty annually review time to completion for students in the course, SETs used by faculty for review on an ongoing basis.	Program only formalized in 2019.	N/A
184. Leadership and Diversity in Sport Management, Graduate Certificate, Neag School of Education	Program website: https://sportmanagement.uconn.edu/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2021
185. Sport Management, MS, Neag School of Education	Program website: https://sport.education.uconn.edu/wp-content/uploads/sites/659/2018/12/Sport-Management-Masters-Guidelines-2018-2019.pdf	Internship & comprehensive exam, or thesis.	No formal process.	No formal process to make changes as a result of data.	2021
186. Sport Management, BS, Neag School of Education	Program website: https://sport.education.uconn.edu/wp-content/uploads/sites/659/2021/09/Sport-	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2021

	Management-2021-2022.pdf				
187. Postsecondary Disability Services, Graduate Certificate, Neag School of Education	Program website: https://pds-certificate.uconn.edu/	Practicum	No formal process.	No formal process to make changes as a result of data.	2021
188. Program Evaluation, Graduate Certificate, Neag School of Education	Program website: https://progeval.uconn.edu/	- Grades earned by course - Student retention rates - List of positions held by alumni - Program evaluation exit questionnaire	Faculty in the program.	No formal process to make changes as a result of data.	2021
189. Human Rights, Graduate Certificate, Global Affairs	Graduate catalog: https://gradcatalog.uconn.edu/certificates/human-rights/	No information other than passing grades.	No formal process.	No formal process to make changes as a result of data.	2016
190. Human Rights, MA, Global Affairs	Program website: https://humanrights.uconn.edu/academics/masters-human-rights/	Capstone practicum, Human Rights Practice Lab.	No formal process.	No formal process to make changes as a result of data.	2016
191. Human Rights, BA, Global Affairs	Program website: https://humanrights.uconn.edu/academics/major-in-human-rights/	Capstone requirement; senior thesis or service learning/internship experience.	No formal process.	No formal process to make changes as a result of data.	2016

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT
OPTION E1: PART B. INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

(1) Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name).	(2) Date of most recent accreditation action by each listed agency.	(3) List key issues for continuing accreditation identified in accreditation action letter or report.	(4) Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.). *	(6) Date and nature of next scheduled review.
ABET (Engineering)	October 2019	None. All programs given no outstanding issues in final statement.	For Programs Accredited by Engineering Accrediting Commission (EAC) Graduates of the program will have an ability to: <ol style="list-style-type: none"> 1. an ability to identify, formulate, and solve complex engineering problems by applying principles of engineering, science, and mathematics 2. an ability to apply engineering design to produce solutions that meet specified needs with consideration of public health, safety, and welfare, as well as global, cultural, social, environmental, and economic factors 3. an ability to communicate effectively with a range of audiences 4. an ability to recognize ethical and professional responsibilities in engineering situations and make informed judgments, which must consider the impact of engineering solutions in 	Fall 2025 (full review)

			<p>global, economic, environmental, and societal contexts</p> <ol style="list-style-type: none"> 5. an ability to function effectively on a team whose members together provide leadership, create a collaborative and inclusive environment, establish goals, plan tasks, and meet objectives 6. an ability to develop and conduct appropriate experimentation, analyze and interpret data, and use engineering judgment to draw conclusions 7. an ability to acquire and apply new knowledge as needed, using appropriate learning strategies. <p>For Programs Accredited by Computing Accrediting Commission (CAC) Graduates of the program will have an ability to:</p> <ol style="list-style-type: none"> 1. Analyze a complex computing problem and to apply principles of computing and other relevant disciplines to identify solutions. 2. Design, implement, and evaluate a computing-based solution to meet a given set of computing requirements in the context of the program's discipline. 3. Communicate effectively in a variety of professional contexts. 4. Recognize professional responsibilities and make informed judgments in computing practice based on legal and ethical principles. 	
--	--	--	--	--

			5. Function effectively as a member or leader of a team engaged in activities appropriate to the program's discipline.	
Accreditation Council for Education in Nutrition and Dietetics (Dietetic Internship and Coordinated Program)	Dietetic Internship - 2/8/2019 Coordinated Program - 2/8/2019	None	80% 1st year pass rate on national registration examination.	Dietetic Internship - 6/30/2026 Coordinated Program - 6/30/2026
Accreditation Council for Education in Nutrition and Dietetics (Didactic Program in Dietetics)	Site visit was in April 2018, reaccreditation was granted April 2019. Yearly report of DPD statistics is submitted in December.	1.) Meeting/Exceeding all goals and objectives, and meeting/exceeding all KRDN assessment standards. 2.) Strong faculty and strong relationship with coordinated dietetics program in Department of Allied Health.	1.) Registered Dietitian Exam pass rate. 2.) Percent of students applying and being accepted into supervised practice programs. 3.) Percent of students completing supervised practice and DPD. 4.) Internship directors satisfaction with DPD students.	Program's accreditation term end date is June 30, 2027 and program's next site visit will occur January-June 2026.
Accreditation Council for Pharmacy Education (PharmD)	Fall 2020	In compliance with all standards	On-time graduation rate, NAPLEX pass rate, residency placement, post-graduation employment.	Fall 2028
Accrediting Council on Education in Journalism and Mass Communication (ACEJMC)	Self-study 2014; reaccreditation granted 2015	Weaknesses identified in 2014: Though the lone part-time broadcast journalism professor is beloved by the students, there is no fulltime faculty member teaching broadcast journalism. The result is that there are fewer broadcast journalism classes than students.	1. Mission, Governance and Administration; 2. Curriculum and Instruction; 3. Diversity and Inclusiveness; 4. Faculty numbers; 5: Scholarship; 6. Student services; 7. Resources; 8. Professional and public service; 9 Assessment of learning outcomes.	Fall 2021
America Chemical Society (Chemistry)	Report submitted June 2021; currently under review	Current strategic goals include: -Increasing experiential learning -Greening of organic laboratories -Broadening the core chemistry course offerings -Increasing hands-on instrumentation access for undergraduate students	ACS requires the development of professional skills including: -Problem solving skills -Reading and/or searching primary literature -Written and oral communication -Ethics -Safety -Team skills	-Annual report due every year in August (next report due August 2022) -ACS Periodic Report due every 5 years
American Bar Association (Law)	September 2018	All issues addressed	Bar passage data, admissions data, retention rate, full and part time faculty, graduation rate, achievement of learning outcomes, employment outcomes, facilities, diversity, assessments, autonomous governance; budget/finances; experiential education.	2028

American Psychological Association (APA)	February 2016 (site visit in Fall 2015)	<ol style="list-style-type: none"> 1) Replace Dr. Michelle Williams. The faculty member who did replace Dr. Williams has since left the University and the Program must replace her with a faculty member whose interests focus on diversity and cultural competence. 2) The site visitors noted the need for increased administrative support for the Clinical Program and for the Psychological Services Clinic. The department subsequently created a full-time administrative position to be split between the Clinical Program (re: Accreditation and Clinical Compliance issues) and the Psychological Services Clinic. 3) The site visitors noted that responsibility for purchasing test materials for academic instruction had shifted to the Clinic and recommended that the department assume responsibility for paying for test materials required for instruction. Dr. Green agreed to that change; the Clinic continues to pay for test materials related to client services in the Clinic. 	<ol style="list-style-type: none"> 1) Internship match rate: 96% over the past 10 years 2) Professional licensure: 97% over the past 10 years 3) Student attainment of Profession wide Competencies (APA): 92-100% over the past 5 years 	Spring 2022
American Psychological Association (APA) - School psychology (PhD)	April 2021	<p>Program's coverage and evaluation of the discipline-specific knowledge (DSK) area of affective bases of behavior.</p> <p>MLAs for the School Psychology Field Evaluation: Internship form and Internship Portfolio are indicative of readiness for entry-level practice.</p> <p>The program must provide information in its public materials regarding trainee admissions, support, and outcome data (each October 1).</p>	Policies and Practice, Discipline-specific knowledge, Professional-wide competencies, Practicum and Internship Performance, Dissertations, Program graduate employment, student demographics and enrollment, program milestone completion rates, faculty demographics and professional activities.	2029
Commission on Collegiate Nursing Education	3/6/2019 (Effective date Doctor of Nursing Practice and Post-Graduate APRN Certification)	No issues identified	<ol style="list-style-type: none"> 1.) Employment Rates 2.) NCLEX Pass Rates for UG 3.) AANP; AANC (AGACNP; AGPCNP; FNP) ; NCC (Neo-Natal) 	The next scheduled review is due in March of 2025 where all 4 programs will be audited: DNP; Post Graduate APRN Certificate; Master's and Baccalaureate
Commission on Dental Accreditation	Comprehensive report: 2/16;	None identified	Pass rates on national board of dental examinations, regional clinical	Comprehensive CODA Site Visit: October 2023

	additional approvals from CODA on pandemic-associated interruption of educational programs received during 2020 and 2021		examinations, and other standardized measures.	[CODA site visit schedule is every 7 years] Advanced Education Program in Oral & Maxillofacial Surgery CODA Site Visit: 12/13/2022 [review schedule for OMFS programs in 5 years]
Council for Accreditation of Counseling and Related Educational Programs (CACREP) - Counselor Education & Counseling Psychology (MA/6th year, PhD)	January 2017	None noted	Policies and Practice, Practicum and Internship Performance, Program graduate employment, student demographics and enrollment, program milestone completion rates, faculty demographics and professional activities.	October 2023
Council for the Accreditation of Educator Preparation (CAEP)	October 2015	Information technologies are not used in all programs (Special Education, School Psychology, and Executive Leadership) to support the systematic collection, aggregation, and analysis of data at the program and unit levels. The unit does not follow a regular and systematic schedule for conducting employer and graduate follow-up surveys.	Program's coverage and evaluation of the discipline-specific knowledge (DSK) area of affective bases of behavior. MLAs for the School Psychology Field Evaluation: Internship form and Internship Portfolio are indicative of readiness for entry-level practice. The program must provide information in its public materials regarding trainee admissions, support, and outcome data (each October 1).	May 1-3, 2022: Site Visit October 2022: Accreditation Council decision.
Council on Social Work Education (CSWE)	3/8/2021 (BSW Program) 6/7/2021 (MSW Program)	<i>BSW Program</i> 1) Program needs to explicitly address how the program's structure and autonomy supports achievement of the program's mission and goals. 2) Program must clearly demonstrate how their course-embedded assignment measures align with the 2015 EPAS requirements for competency-based student learning outcomes assessment. <i>MSW Program</i> None identified.	Develop the nine competencies outlined in the CSWE <i>Standards</i> . Assess these competencies through multi-dimensional assessment methods.	BSW – 2025 (accreditation) MSW – 2028 (reaccreditation)
Landscape Architectural Accreditation Board	April 2018	1) Develop strategic plan. 2. Develop assessment program. 3) Integrate technology. 4) Develop promotion guidelines specific to	Minimum number of FTE instructors. Cover and assess core curricular elements defined in the LAAB <i>Standards</i> .	2024

		program. 5) Update website and promotional materials.	Meet standards related to faculty identified in the <i>Standards</i> .	
Liaison Committee on Medical Education	Current Accreditation Cycle: 10/19/2018	Need to include language related to shared responsibility of the clinical affiliate and the school for creating and maintaining an appropriate learning environment.	-Program completion rate -Residency placement -STEP exams	Next review: AY 2024-25
National Accrediting Agency for Clinical Laboratory Sciences (NAACLS) - Diagnostic Genetic Sciences	February 1, 2018	Program meets all benchmarks. Program achieves all measured outcomes.	Graduation rates Employment or entry into graduate school upon graduation Successful passing of national (American Society for Clinical Pathology - ASCP) certification exam.	5-year interim report to be submitted April, 2022. To include summary of the last 5 year's annual reporting, a narratives on how outcome measures are analyzed and utilized and a narrative describing how significant changes in annual reporting are handled
National Accrediting Agency for Clinical Laboratory Sciences (NAACLS) - Medical Laboratory Sciences	2020 - NAACLS Annual Survey 2019 - Accreditation Award (continues to 2029)	• 2018 Site Visit Report: affiliation agreements did not explicitly state or assure that scheduled clinical rotations would be completed before dissolution of the agreement (issue resolved in 2018).	• Enrollment and number of graduates • American Society of Clinical Pathology Board of Certification Pass Rates • Job placement rates • Graduation/Attrition rates	Fall 2021: NNACLS Annual Survey Spring 2023: Year 5 Interim Report
National Association of Schools of Art and Design	Progress report accepted in April 2021; previous report on May 2019	Timeline for completion of repair of the electrical system in the art building	Studio space quality; knowledge of art/design history, theory, and criticism; knowledge of technology and equipment; achievement of entry-level competence through demonstration of development of a body of work (final projects)	Next progress report April 2022
National Association of Schools of Music	April 2019	1) Need for sufficient faculty and support staff. 2) Need for involvement in the admissions process. 3) Need for sound isolating practice rooms. 4) Sub-standard condition of the piano inventory. 5) Need for safe volume of sound. 6) Lack of library support	Specific music programs must meet designated requirements for each program as laid out in the NASM <i>Standards</i> , as well as general standards for accreditation. These include classes in specific areas for different degree types, and resources required for effective teaching.	2022
Network of Schools of Public Policy, Administration and Affairs (NASPAA)	July 2018	None, in fact, we were identified for a strategic site visit because the Commission thought that we excelled in meeting the NASPAA accreditation standards.	Clear Mission and Mission Process that engages stakeholders Mission Evaluation process (Logic Model, Scorecard, etc...) Faculty composition – minimum nucleus faculty per program, at least	2023-2024 self-study year, 2024-2025 site visit year, July 2025 decision date

			<p>75% academically qualified (Ph.D. + active research agenda), faculty qualifications for adjunct faculty</p> <p>Diversity plan addressing Faculty, student, and across-the-curriculum Diversity</p> <p>Student admission, student diversity, retention and completion, advising, experiential learning, internships, job placement for graduates (tracking) and alumni</p> <p>Five core competencies:</p> <ol style="list-style-type: none"> 1. To lead and manage in public governance. 2. To participate in and contribute to the public policy process. 3. To analyze, synthesize, think critically, solve problems and make decisions. 4. To articulate and apply a public service perspective. 5. To communicate and interact productively with a diverse and changing workforce and citizenry. <p>Adequate resources to address the mission of each program</p> <p>Matching communications to stakeholders (prospective and current students, faculty, employers, alumni, etc.) with the mission.</p>	
The Association to Advance Collegiate Schools of Business	August 2, 2021	1) While the school is to be applauded for its ability to financially support itself through program-generated revenue (approximately 50% of its current operating budget), there is obviously risk associated with a high degree of dependence on this particular source of funds. That is especially the case since past budget increases have been fueled by 1) consistent year-to-year enrollment growth and 2) significant international student enrollment- both of which can be volatile due to external changes in the economy, political shifts (e.g., visas influencing	UConn School of Business utilizes the Assurance of Learning program set forth by AACSB. The Assurance of Learning Program includes direct and indirect assessments.	2025

		<p>demand by international students), and even natural disasters, such as the current COVID global pandemic. Internally, the school also recognizes potential risks due to 1) the possibility of an increasing university tax on UCSB graduate tuition and 2) the challenges with chasing university-mandated salary increases with parallel tuition increases in a price-sensitive market. While these risks are noted in the school's continuous improvement review report, the school should devote additional attention to a risk management plan in the current strategic plan and the next AACSB review process. This could include how potentially adverse trends will be monitored (including a discussion of KPI's associated with the strategic plan) and consideration of potential responses to adverse trends such as a nominal consideration of "worse" case scenarios. (Standard 1: Strategic Planning)</p> <p>2) The school should continue to improve upon its assurance of learning (AoL) process in terms of 1) adopting a more unified manner for communicating AoL efforts, 2) more specifically "connecting the dots" between the AoL elements, outcomes, and curricular change, 3) and creating a more consistent approach across the college's AoL programs. (Standard 5: Assurance of Learning).</p> <p>3) It is not clear what the five-year plan is to support scholarship regarding impact beyond the academic community. Specifically, what is the plan for encouraging and supporting faculty scholarship and thought leadership as it impacts business practice? For instance, while the school's focus on "business and society" including human rights is a notable focus, it would be helpful to see more specifics regarding how such scholarship will be incentivized and communicated to the practice community. Indeed, it is</p>		
--	--	---	--	--

		understood that there is interest among UCSB's in-residence faculty to pursue practice scholarship, more broadly, although they do not perceive that it is currently valued by the school. (Standard 8: Impact of Scholarship)		
The Association to Advance Collegiate Schools of Business (Accounting)	August 2, 2021	<p>o Undergraduate Program - The department has a systematic process in place to measure learning objectives with course embedded metrics. These embedded measurements produce acceptable outcomes (measured as students scored as exceeding a 70% "meets" cutoff). Although certainly possible, if evaluations of learning objectives over a five-year period indicate that students are doing very well, and nothing in the curriculum needs tweaking or improving, there is room for reevaluation and improvement in either the objective or the metric. The department's discussion of "closing the loop" is disconnected from the actual learning objective metrics and analyses. The curriculum and its delivery have improved over the last five years, however, there should be a systematic relationship between the learning objectives, metrics and analyses, and changes in the curriculum. The AoL process (and the participation by its various stakeholders) should be better documented. It is suspected that the accounting department measures too many things and could benefit from simplifying the process. The department can improve the process in determining what is measured, when it is measured, and how the measures are integrated and then use this information as a basis for curriculum development.</p> <p>o MSA Program- The MSA program doesn't appear to have any formal learning objectives. Implicitly, the learning objectives seem to be a set of skills and competencies under two broad categories: (1) professional skills and (2) technical competencies. The department reports direct and indirect assessments of whether the MSA students obtain or improve these skills and competencies during the program. However, the links between these AoL assessments for the</p>	The accounting program utilizes AACSB's assurance of learning (AOL) program which demonstrate students achieve the program's learning goals through assessment processes.	2025

		MSA program and improvements to the curriculum are not clear. A clear set of learning objectives for the program (as opposed to the individual courses) should be developed and communicated for the MSA program. In addition, a systematic process should be developed for measuring the objectives and providing feedback for curriculum improvement (i.e., closing the loop).		
The Council on Academic Accreditation in Audiology and Speech-Language Pathology (Audiology)	Current Accreditation Cycle: 01/01/2018-12/31/2025 Effective Date: June 22, 2021	There were no areas for follow-up/non-compliance with accreditation standards	-Program completion rates -Employment rates -Praxis examination rates	Current accreditation cycle ends: 12/31/2025 Effective date: June 22, 2021
The Council on Academic Accreditation in Audiology and Speech-Language Pathology (Speech-Language Pathology)	Current Accreditation Cycle: 01/01/2018 Effective Date: June 22, 2021	There were no areas for follow up/non-compliance with accreditation standards.	-Program completion rates -Praxis Exam pass rate -Employment rate	Next Review: Annual Report due February 1, 2022 Current accreditation cycle ends 12/31/2025