

Testimony
Higher Education Appropriations Subcommittee
President Michael J. Hogan
University of Connecticut
March 11, 2009

Senator Harp, Representative Geragosian, Vice Chairs, Ranking Members, and Members:

I want to thank you for inviting me here today to discuss the proposed biennial appropriation to the University of Connecticut. We all are aware that the financial environment that existed when I testified just a year ago has changed profoundly. National economies expand and contract over time, as we all know, but not many people anticipated the rapid and sharp contraction of the past 12 months.

Before I discuss how the University of Connecticut at Storrs and our regional campuses will manage through these challenging times, I want to share some positive information. Evaluating UConn by any objective metric, one would have to conclude that the University is thriving.

We have enrolled more well-prepared and diverse students than at any time in our history. Competition for admission drove our average SAT score over the 1200 mark for the first time in our history and more than 20% of our freshman class members are from minority groups. Record numbers of highly qualified applicants rightly recognize that our excellent academic offerings, the quality of our campus life, and our cost of attendance make UConn a very competitive value. For example, while UConn is the highest-ranked university in New England, our resident tuition and fees are below the average and below the median in our regional peer group. And, if a Connecticut student chose to go to any of the other nine public flagship universities in this group, they would have to pay a minimum of \$10k more per year.

Also, students who choose to attend UConn are more likely to be retained and more likely to graduate. Our freshman-to-sophomore retention rate is an extremely high 93% and our average time-to-degree is about 4.5 years. These are among the highest and best rates in the nation. And remember, it's the 5th, 6th, 7th year of college that really adds to the cost

These successes, not to mention the ones on the research side, are in no small part due to the generous support of the General Assembly, and its unswerving commitment to excellence in public higher education. We appreciate your leadership and are gratified by the trust you've placed in us to educate and nurture the next generation of Connecticut's leaders.

Now, maintaining this record of success will be difficult going forward. It takes decades to build a world-class university, but only a year or two to bring it down.

Recognizing the challenging times we are in, the University has taken significant actions to reduce expenses, as any responsible unit of state government should do. As a result of the rescissions mandated by the Governor, UConn has reduced its current 2009 budget by over \$12 million. We absorbed this reduction during a period of unprecedented demand for courses caused by a record Fall 2008 freshman class that enrolled 425 more students than the previous year's class.

The over \$12 million in reductions were extremely difficult to execute due to their magnitude, timing, the University's commitment to provide the highest quality academic experience to our students, and our commitment to provide financial aid that is in excess of statutory requirements. Nevertheless, due to the creativity and hard work of the Provost and the leadership of our schools

and colleges, we were successful in managing these reductions, without compromising quality, accessibility, or jobs.

As the economic crisis worsened over the last several months, we spent almost every day, literally, thinking about how to manage a rescission that could be as high as 10% of our state appropriation in FY10. Believe me when I say that we are very grateful to Governor Rell for recognizing the importance of shielding UConn, to the extent she felt possible, and setting our rescission in her proposed budget plan at 5%.

Yet 5% is not trivial and I'd like to take some time to explain how we can mitigate the debilitating effects that such a rescission might have on the University and its students. Let me start by contextualizing the proposed reduction.

The Governor's proposed rescission for the University amounts to \$21.2 million and \$37.7 million in the next two fiscal years. Together with our projected increase in operating costs, this creates a deficit in the University budget of 9% or \$34 million in FY10, and 13% or \$50 million in FY11. Make no mistake these are deep cuts.

The University administration anticipated additional reductions in state support and began taking action even before the proposed rescissions were announced. Last fall, I established a task force comprised of faculty, staff, and administrators to look both at expense reductions and revenue enhancements. In just 12 weeks, this group has already identified \$7 million in permanent cost reductions and incremental revenues that will be fully implemented during FY10. The task force has been so effective, that I have asked that it continue its work indefinitely and look for additional savings and revenue opportunities.

At the same time, we modeled various scenarios of tuition increases, unit budget reductions, program curtailments, and wage concessions in an attempt to close the gap. All of the scenarios will require sacrifice across all University constituencies and may not be achievable without compromising our academic offerings.

We do have alternative revenue streams to which we can turn, including tuition. But even there, our options are limited. On the one hand, it would take a 13.5% increase in tuition, plus \$7M in savings to close a budget gap of this size. An increase of this size in a single year might protect our educational quality, but at a price in access for students that is greater than we want to take. Failing to look to tuition and to increase it at an appropriate level that still protects access would be devastating to the University, its students, and the state over both the short and long run.

On the other hand, a tuition freeze for even one year would reduce the amount of financial aid and it would result in a loss of revenue that would have to be made up by tuition increases in the 10% to 20% range in future years.

Even a projected tuition increase of approximately 6.0% frozen for one year would permanently reduce revenue by approximately \$12.4 million and financial aid by \$3.2 million, if no adjustments were made to future tuition increases. To recoup these funds over a five-year period would require increases of 2.3% per year, added to a normal increase of 6%.

Clearly, when it comes to tuition, we are going to have to find a middle ground – one not so high as to prevent access, but not so low as to pass the burden of today's crisis, like our national debt, onto future generations.

If some suggest that we manage the current crisis without lifting the cap on tuition increases, others have urged that we do so without laying off some portion of our workforce. This suggestion is counter-intuitive, because 100% of our state appropriation is allocated to cover salaries at the University. So obviously, we have to face the possibility of workforce reductions, even if we keep our tuition increase in the normal range of 6%.

Wage concessions, however, are an area we are examining. We have communicated with the leadership of the collective bargaining units with whom we negotiate directly regarding the sacrifices the University must make to manage its budgetary challenges. They are very concerned and want to partner with UConn, but recognize that wage concessions are a viable way to help UConn only to the extent that the savings from such concessions are returned to the University and to the extent that the appropriation is not further reduced by an amount equivalent to any concessions.

If afforded flexibility in responsibly managing tuition and personnel policies, I am confident that we can make the needed sacrifices in a way that will balance protection of accessibility for students, jobs for our workforce, and the quality of our programs. In the absence of such flexibility, more drastic measures will be required.

For instance, many universities around the country are dealing with the fiscal crisis by limiting enrollment, in effect, downsizing the university to its budget. At UConn a reduction of the freshman class by 200 students in the fall semester, equally split between resident and non-resident students would save about \$1.9 million, with the vast amount of the savings attributable to the in-state students who would not be admitted. It's interesting to note that this savings approximates a 1% increase in tuition. That is, every 1% tuition increase we must forego may amount to denying admissions to 100 Connecticut students. This is not an alternative I believe is good for the state. Like tuition hikes at or above the current cap, it lacks balance and covers our debt at the expense of student access.

Besides further erosion of our student-teacher ratio, which is already too high, course offerings will have to become less frequent and class sizes will grow, both of which will extend the time-to-degree and actually add to the cost of the degree for students and their families. These contingencies are being mapped right now.

In addition, we are also prepared if necessary, to consider selling University assets; closing the Graduate School and distributing its services; curtailing weekend dining services; reducing our financial aid set-asides from 17% to the state-mandated level of 15%; and curtailing operating hours in our libraries, museums, recreational facilities, and performance venues.

These alternatives are not approached enthusiastically, but are options that may be needed to allow UConn to sustain and protect, to the extent possible, its core teaching and research missions, should we be limited in our ability to manage budget rescissions through a balanced approach.

That balanced approach is going to involve and has involved some difficult decisions. For instance, we will have cut \$19M from our budget by the end of FY10, through measures that do not require lay-offs, do not limit accessibility, and do not threaten program quality. About \$12M of the \$19M was already cut by leaving positions vacant, re-organizing staffing, and curtailing low-demand services and programs. Another \$7M is being realized through energy conservation, more effective workflow processes, reorganization of graduate student assistantships, generating revenues through an expanded summer session, and more effectively deploying indirect cost recoveries from sponsored research.

We are also looking for ways to save students and their families on the costs of attending UConn, by providing them with more options. For example, we will save junior and senior students living in our apartment housing over \$4,000 each year by creating more housing for them.

We will make \$100M in new scholarships available through the President's Challenge fund – a new scholarship program that has already raised over \$100K in just a few weeks.

We will continue to work with our collective bargaining units to engage them as partners in addressing our budget challenges in a manner that continues to deliver outstanding programs to students, while avoiding lay-offs, which only burden our state's economy more.

We recognize sacrifices are needed – sacrifices on all sides. Students and their parents will have to sacrifice, if they want to continue to enjoy the high quality of education that they currently enjoy at the University of Connecticut. Faculty, staff, and administrators will also have to make sacrifices by working with fewer resources, if they wish to avoid job losses. And all parties will have to work harder to focus the resources we have on the very highest priorities enumerated in the University's Academic Plan. Responsible stewardship of a multi-billion dollar asset is simply not feasible, if even one of these options is taken off the table.

In recent history, the State of Connecticut has invested close to two billion dollars in UConn's campuses. We must have the flexibility to protect this investment, which even now provides significant returns to the state. A recent study by state economist Stan McMillan shows that:

- In 2008, operations at UConn and its Health Center added \$2.3 billion to Connecticut's GDP in fiscal 2008;
- For every state dollar allocated to UConn, including the Health Center, \$5.05 is added to the state's GDP;
- As a result of these operations, the state realized \$76 million more in tax revenues than it spent to fund UConn and its Health Center;
- UConn generated more than 29,000 jobs and brought \$713.5 million to the state;
- Nearly 70% of UConn graduates stay in Connecticut, contributing to our workforce;
- UConn is the primary contributor to the state's talented professional workforce, graduating doctors, dentists, nurses, engineers, teachers, lawyers, pharmacists and scientists, who contribute daily to our economy.

The significant state investments in the University through UCONN 2000 and to our operating budget are paying high dividends; these investments have enabled tremendous enrollment growth of more than 6,000, including more highly prepared students and diverse students, as evidenced by the 87-point rise in SAT scores and 131% increase in freshmen from minority groups.

UConn's visible climb in excellence to its position as the top-ranked public university in New England and one of the top-25 public research universities in the U.S. is a result of the state's investment and this visibility has led to a near-tripling in private support, and a near-doubling of externally funded research.

The University's nationally renowned research in stem cells, fuel cells, and nanotechnology and our technology transfer programs foster innovation and create jobs. In the past decade alone, UConn faculty have been awarded more than 184 patents and over 18 companies have been created from faculty inventions. Furthermore, within 18 months of first receiving state funding, UConn stem cell researchers have recently created two new human embryonic stem cell lines.

This achievement places UConn among a handful of elite universities that have developed this capacity.

It's also important to note that UConn is more than the State's premier public university—it's a 24/7 operation, equivalent to a moderately sized municipality – we not only educate students, we feed them, house them, and ensure their safety. And, the University is also a regional hub providing an array of public services, including utilities and public safety, to neighboring communities who rely on UConn to improve the quality of life for thousands of Connecticut residents who are proud to call us neighbor.

In these difficult times, it becomes more important to find ways to strengthen the role that UConn plays in driving long-term economic growth.

In closing, I would like to return to my message of hope that public higher education brings to our community in this the worst economy in decades.

Investment in an educated citizenry in good economic times is desirable. Investment in difficult economic times is critical. Some have suggested that we are experiencing a global correction of markets and national economies that occur once a century. On this point I agree. We who teach, conduct research, and support public higher education have the responsibility to teach the next generation the skills to not only compete in what will be a new economic paradigm, but the creativity, curiosity, and perseverance to guarantee their success.

We respectfully request that you continue to allow us the kind of flexibility over financial and personnel matters that has brought us to the level of distinction we now enjoy and that will continue to protect our high quality programs and student access to them.

I would be happy to address any questions you may have before also discussing the budget proposal for the University of Connecticut Health Center.

Health Center

The proposed budget for the UConn Health Center (UCHC), if passed, puts us on a path for the closure of the John Dempsey Hospital (JDH) and the serious impairment, if not terminal blow, to the Schools of Medicine and Dental Medicine. The demise of these enterprises will, in turn, severely compromise healthcare services to Connecticut citizens, as well as the research enterprise at UCHC and vitality of all of UConn.

The Governor's proposed appropriation results in a shortfall of \$7 million in FY10 and \$12.5 million in FY11. In addition, the proposed budget fails to recognize \$13 million for FY10 and \$14 million for FY11 in the fringe benefit differential for the employees of JDH. You will recall for the first time in FY09, the General Assembly recognized this unique cost borne by JDH, and had \$3.6 million in the State Comptroller's fringe account allocated to help offset some of that cost.

The result of these cuts, along with the proposed elimination in the DSS budget of reimbursement for routine dental coverage for adults covered by Medicaid or SAGA (estimated at a projected loss for UCHC dental clinics of \$3 million), will be a forecasted deficit in F10 and FY11 of \$21 million and \$30 million. In the absence of additional financial support from the state, the paucity of cash will create a crisis long before the full deficits are incurred.

We suffer from the same maladies I described last year, a small hospital, with higher than market but contractual obligated fringe benefits, an exceptionally challenging payor/service mix, and a

rapidly deteriorating physical plant that was never sized as planned and is now functionally obsolete.

Additionally, the John Dempsey Hospital projects a \$16.8 million deficit in FY 2009 and will seek a deficiency appropriation during this legislative session. (The Governor has not recognized the UCHC deficiency in her budget proposal.)

The report from the Connecticut Academy of Science & Engineering (CASE) laid out options to reverse the downward spiral that currently grips the Dempsey hospital. The report recommended a partnership between UConn and one or more hospitals in the Greater Hartford area to create a regional healthcare system, which would enhance accessibility to UConn's state-of-the-art healthcare treatments and address alarming shortages in physicians and other healthcare professionals that are imminent in the near future, if we stay on the current course.

We embraced CASE's recommendation and we are currently finalizing an integration agreement with Hartford Health Care Corporation, which if implemented, will revolutionize healthcare and economic development in the Hartford region. It will:

- Add treatment capacity and services, as well as access to them;
- Increase the class size in the Schools of Medicine & Dental Medicine addressing forecasted physician and dentist shortages in the state;
- Launch our School of Medicine from a second-tier to first-tier program on the national scene
- Secure jobs in the healthcare sector for the region;
- Catalyze the development of a biomedical economic sector;
- Grow the tax-base in the Greater-Hartford region.

In its report to the General Assembly just over 2 weeks ago, CASE validated the progress that has been made on this partnership and fully endorsed the creation of a 1,100 bed academic medical center

Key to the final integration is approval by the state to cover the fringe benefit differential and a commitment to finance the construction of a replacement 250 bed hospital costing \$475 million over the next five to six years, with approximately \$28 million to be incurred over the biennium.

I firmly believe that this is one of those instances where leadership will overcome the fear of the present and be exchanged for a future of improved healthcare provided by an integrated hospital system that will fuel a robust academic and research enterprise.

Thank you for inviting me here and listening. I would be happy to take any questions you might have.

University of Connecticut

Responses to Questions from Appropriations Committee Hearing on 2/13/09

Storrs & Regionals

1. How do we recruit minority students? (Attachment Q1)
2. How many minority students are CT residents? (Attachment Q2)
3. Are international students part of our minority percentages? (Q3)
4. What is the freshman and undergraduate residency? (Attachment Q4)
5. Why was freshman enrollment higher in fall 2008? (Attachment Q5)
6. What are the enrollment plans for the future? (Attachment Q6)
7. What kind of Retirement Incentive Program does the University need? (Attachment Q7)
8. How much money does the university receive from patents/licenses/start-ups?
(Attachment Q8)
9. If our state support is cut further, how would the University absorb those cuts?
(Attachment Q9)
10. Who receives tuition waivers? (Attachment Q10)
11. Provide detail savings numbers from CORE report. (Attachment Q11)

UCHC

12. What would happen if JDH were closed and what would be the potential savings?
(Attachment Q12)
13. Provide a summary of all the money going from the state to JDH in the past five years. Compare this to what the funding would look like under the UCHC/HHCC proposal.
(Attachment Q13)
14. What are the plans for the Genetics Division? (Attachment Q14)
15. What will happen to the UCHC dental clinics and access to dental care with the proposed elimination of providing reimbursement for adults on Medicaid and SAGA for routine dental care? What is the expected dollar value loss? (Attachment Q15)
16. Provide minority enrollment information for School of Medicine and School of Dental Medicine (Attachment Q16)

**University of Connecticut Division of Enrollment Management
Diversity Planning, Initiatives, and Outcomes**

Introduction

The Division of Enrollment Management is an integral part of the University's diversity efforts. By recruiting, retaining, and graduating outstanding, diverse students, we at UConn address our mission, a major priority of our Strategic Plan and a substantial 20-year capital investment by our state.

Data from the past decade reflect undergraduate enrollment quantity, quality, and diversity growth. At Storrs, applications have more than doubled, average SAT scores have climbed from 1112 to 1192, freshmen from the top ten percent of their high school class has nearly doubled, and incoming freshman enrollment is up by 45%. The percent of incoming minority freshmen at Storrs has gone from 14% to 19%; and, at the regional campuses from 23% to 28%.

Enrollment diversity has been enhanced by our dedication to reducing financial barriers that limit access and ensure fair and equitable awarding of financial aid to all eligible students. From fall 2001 to 2007, need-based aid grew from \$90.9 million to \$170.5 million. While state need-based aid increased from \$8.5 to \$9.7 million and federal aid from \$8.2 to \$10 million, university-supported need-based aid grew from \$17.5 million to \$32.6 million, and student loans more than doubled from \$56.8 to \$118.2 million.

Early Outreach

UConn reaches as far back as 6th grade to work with minority students as they progress toward and through high school, college, and a career. Admissions and the Center for Academic Programs work with underrepresented students through programs like: *Gear-Up* which encourages 6th graders to complete high school and attend college; *Educational Talent Search* that prepares middle and high school students from low income backgrounds for college; and the *Upward Bound/ConnCAP Program* that promotes high school completion and college placement to 9th graders via academic year and summer activities.

Minority Recruitment

The College Recruitment Program includes College Recruit Day for seniors in the fall and College Life Day for juniors in the spring, invites minority and first-generation students and counselors from urban settings in Connecticut to Storrs. Over 1,500 prospective students participate in these programs.

Electronic Application Days encourage students in urban and regional settings to apply online. Twenty-nine such days were held at high schools this past cycle, and more than 350 students participated.

Multicultural Center Call-Out Nights informs admits about the centers. Volunteers called more than 1,800 admitted students of color during six call-out night programs.

UConn Admit Celebration Days at Urban and Regional High Schools involves Admissions counselors visiting these schools in Connecticut to meet with admits. Sessions include: What Comes Next, Financial Aid, Orientation, and Open House Programs. Nearly 4,000 students participated in these programs.

The Mass Mutual Scholars Program increases access for Hartford's first generation and low-income students by annually funding 15 admits via the Student Support Services Program at Storrs through 2010.

Urban Yield Receptions in Bridgeport and Hartford last year hosted more than 750 people. At these informal meetings, faculty and staff answer questions posed by admits and their families.

UNESCO Human Rights Conference: During the fall, Admissions invites high school students to participate in this conference held at Storrs; 150 students attended this conference last year.

The Alumni Admissions Program has alumni participating in minority recruitment efforts.

Student volunteers in the *Husky Ambassador Program* participate in minority recruitment activities.

The *Honors Program* collaborates with Admissions to ensure competitive marketing and recruitment plans are implemented to attract high-achieving minority students.

Merit Scholarships and Recruitment Strategies enable us to compete for talented, diverse students, e.g., the Presidential Scholarship, Academic Excellence Award, Leadership Award, and Rowe Scholarship.

Day of Pride scholarships attract underrepresented students and promote cultural diversity.

Annual *Connecticut Urban Guidance Counselor Informational Luncheons* host over 170 counselors.

Between 2005 and 2007, 236 guidance counselors visited Storrs for the *UConn National School Counselor Tour*. This four-day orientation focuses on counselors from National Merit-recognized across the country with very diverse student populations.

Out of State Recruitment Guidance Counselor Informational Luncheons were held at nine sites for secondary counselors in targeted national markets, again with the emphasis was placed on counselors who represented National Merit-recognized schools with very diverse student populations.

Through the *Surround Recruitment Program*, the Admissions office contacts guidance counselors to thank them for recommending high achieving students to apply and notify them when their top students are admitted and that their students' academic standards were meritorious and will add to our diversity.

The *Guaranteed Admissions Program* provides Connecticut community college students with admission to UConn provided they complete an associate's degree and have at least a 3.0 (B) grade point average.

Reengineered multicultural application processing has been expedited through a fast-tracking process that moves applications into the pipeline quicker and more efficiently. Through telecounseling and e-mail efforts in 2006-07, over 10,000 prospects and 6,000 admits were contacted. Targeted populations such as multicultural applicants, admits and scholarship recipients are the primary audience of these efforts.

Minority Enrollment

The past decade reflects a record of success. At both Storrs and the regional campuses, incoming freshman minority enrollment has grown in total as well as in percent of population.

UConn Freshman Minority Enrollment Trends

Storrs	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	Change
Freshmen	2,199	2,560	2,956	2,836	3,149	3,185	3,208	3,247	3,260	3,241	3,179	+45%
Minority Freshmen	315	408	437	474	498	497	537	545	650	600	617	+96%
% Minority	14%	16%	15%	17%	16%	16%	17%	17%	20%	19%	19%	+5%pts
Regionals	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	Change
Freshmen	560	665	689	749	749	849	909	1,028	986	1,140	1,147	+105%
Minority Freshmen	129	156	157	188	201	227	248	274	331	340	319	+147%
% Minority	23%	23%	23%	25%	27%	27%	27%	27%	34%	30%	28%	+5%pts

We also have retained and graduated minority students at higher rates. Storrs minority freshman retention increased from 87% to 91% over the past five years, and four and six-year graduation rates have climbed 38% to 51%, and 65% to 68%, respectively. Corresponding overall rates are 93% retention, 61% four-year and 74% six-year graduation.

Diversity Planning

Department heads from all four units within the division were required to submit diversity recruitment and retention plans including measurable outcomes to be reviewed as part of an annual update. The Division's goals, strategies, and measures

are presented below:

Recruit and Retain Underrepresented Students and Employees

1. Goals

- a. Continue to increase minority undergraduate enrollment.
- b. Continue to increase minority student retention.
- c. Increase the number of students of color attending orientation.
- d. Increase number of underrepresented orientation leaders and retain them for more than one year.
- e. Have number of minority staff and minority student employees reflect our minority populations.
- f. Increase the number of underrepresented students who participate in the Husky Ambassador Program (HAP) to 30% of the volunteer group

Strategies

- a. The many minority outreach, financial aid and recruitment initiatives outlined earlier in this document facilitate minority enrollment growth.
- b. Implement R&G Task Force data-driven based initiatives pertaining to minority students.
- c. Facilitate access to attend orientation where needed.
- d. Work with the Cultural Centers to identify and retain potential minority orientation leaders.
- e. Work with Student Employment and the Cultural Centers on outreach efforts to increase the potential pool of minority student employees.
- f. Publicize the value of being a Husky Ambassador via e-mails and list-serves

Measures

- a. Outreach and recruitment initiatives described earlier, notification of available financial aid to the Cultural Centers, and encouragement of applications for minority scholarships from outside sources have helped to increased minority freshman enrollment.
- b. Storrs minority freshman retention rates have increased from 87% to 91% in the past five years.
- c. Minority student participation in orientation was increased by paying all or some of the fee.
- d. There is the same number of minority orientation leaders this year as last year, however there was an increase in the number of minority students returning to work on the parent staff.
- e. Increased percentage of minority student employees in the Office of the Registrar and the Student Services Center from 11% to 44%, and the number of minority student employees in the Office of Student Financial Aid Services from six to twelve.
- f. The number of Husky Ambassador Program paid coordinators are up from one to three students out of seven who are underrepresented students; five of 12 assistant coordinators from underrepresented populations; and, from 30 to 50 of 225 volunteers from those underrepresented.

Marketing and Communicating Diversity

2. Goals

- a. Increase minority presence in departmental publications.
- b. Increase communication of diversity opportunities at UConn.

Strategies

- a. Increase number of photos of underrepresented students attending orientation and campus events.
- b. Include article in campus publications and on campus websites regarding student diversity.

Measures

- a. The University photographer take photos of underrepresented students during Orientation and the Week of Welcome, especially the latter.
- b. Included article entitled *Cultural Centers of Excellence and Opportunity* in the August 2007 issue of Parent Talk and information on *Global House* in both the Orientation Packet and on the New Husky website as well as having

links to the cultural centers on the Parents Association website.

Diversity Education

3. Goals

- a. Each department within Enrollment Management will help plan diversity training for the division.
- b. All employees within the division will participate in diversity training.
- c. Diversity should be a topic of discussion during Orientation.
- d. Campus tours should include stops at the cultural centers.

Strategies

- a. Identify diversity training offered by Human Resources, Multicultural & International Affairs, and others and invite knowledgeable guest speakers to conduct diversity education programs.
- b. Department heads will partner to ensure employee participation in diversity training.
- c. Continued inclusion of diversity as a topic of discussion during Orientation.
- d. Continue inclusion of the cultural centers on campus tours.

Measures

- a. Two division-wide diversity training sessions coordinated by department heads were held this past year and another will be held soon.
- b. Attendance was mandatory division-wide.
- c. Diversity has been a topic during Orientation for the past eight years and will continue to be.
- d. Cultural centers continue to be a regular stop on campus tours.

Campus Climate

4. Goals

- a. Foster a welcoming environment for all members of the diverse student population.
- b. Create campus social opportunities that focus on learning about diversity.

Strategies

- a. Train staff and student employees regarding diversity issues.
- b. Involve underrepresented faculty and staff in the Parent Orientation Program and Parents Association.

Measures

- a. The two aforementioned diversity workshops were held this year and another, cancelled due to inclement weather, is being re-scheduled. Orientation leaders attend an all-day Diversity workshop conducted by an experienced facilitator every February.
- b. Minority faculty and staff participate in Parent Orientation Receptions and give Orientation Welcomes.

Summary

The Division of Enrollment Management is actively involved in diversity efforts as outlined above and has experience a great deal of success in promoting a diverse environment across the University. This commitment is ongoing and will continue.

University of Connecticut
Office of Undergraduate Admissions
Multicultural and Diversity Recruitment Programs

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**The University of Connecticut
Office of Undergraduate Admissions**

Diversity of the Applicant, Admit and Enrolling Group, Freshmen

Building on 2008's momentum, resulting in the largest number of applicants, admitted and enrolled students of color: this year's diversity number will continue to post record increases. For all campuses, student of color applications increased by 7.3% to 4,859 in FY-08 from 4,529 in FY-07. The majority of this increase was realized in the Storrs application pool posting a 6.4% increase to 4,415 in FY-08 from 4,148 in FY-07. I am projecting 20% of the FY-09 enrolling freshmen class on the Storrs campus may be students of color.

Freshmen Minority Recruitment Programs

Fall Open House

The Fall Open House program provides prospective students an opportunity to tour the campus, meet with faculty, staff, and current students, as well as attend workshops, presentations, and question/answer sessions on all aspects of University life. This program provides a general orientation to the University for prospective students and their families.

2007 Prospective Student Attendance: *1,997, a decrease of 213.*

Total with Guests: *5,594*

Spring Open House

The Spring Open House provides a comprehensive campus program for admitted students and their families. The program showcases academic programs, student life opportunities, residential facilities, and advising, cultural, social, athletic, recreational options available to students at UConn. The Open House also provides the opportunity for students to meet UConn's academic faculty and Staff. New this year was the implementation of electronic invitations.

2008 Admitted Student Attendance: *1,969, an increase of 480*

Total with Guest: *5,320*

Junior Search Campaigns

120,000 names were purchased for the junior prospect campaign for FY-09. The targeted markets for this campaign are Connecticut, Massachusetts, Rhode Island, New Hampshire, Vermont, Maine, New Jersey, Delaware, Texas, New York, Pennsylvania, Illinois, Maryland, Michigan, Minnesota, North Carolina, Virginia and Florida. All communications for this campaign were electronic. Students of Color are targeted in all search campaigns.

Sophomore Search Campaigns

60,000 names will be purchased for the 2010 sophomore campaign. All communications for this campaign will be electronic.

Sophomore Preview Communication (New)

A new paper mailer (Preview Piece) was developed to be mailed to all junior (rising senior prospects). This is a key piece to continue to cultivate interest from our junior prospect pool at a key time in their college search.

Regional Campuses View Books

All regional campus view books were revised and upgraded to reflect a style and market message consistent with the Storrs campus view book.

Communications En Español

This communications initiative was introduced in Fall 2006 to provide basic admissions and enrollment information for our Spanish speaking population. The Offices of Communications, Admissions, PRLAC and, Faculty members contributed to project. Look for future communications in Spanish in other communication pieces.

High School Visits and College Fairs

During the fall and spring, freshmen admissions staff participated in the following high school visits and college fairs.

	2006 - 2007	2007-2008
High School Visits	773	698
College Fairs	224	264
NACAC Fairs	29	25
NEACAC Fairs	12	9
NSSFNS Fairs	1	1
Evening Panels	36	39

Targeted areas are Connecticut, Massachusetts, Rhode Island, New Hampshire, Vermont and Maine, New Jersey, New York, Pennsylvania, Maryland, Virginia and Florida.

In addition, we expanded our college fair program and out-of-state markets to include California, Florida, Michigan, Texas, North Carolina, Michigan, Minnesota, Georgia, Illinois and Puerto Rico

College Recruit Day and College Life Day

The College Recruitment Program is a two part plan to host/invite students and their counselors on the Storrs Campus in groups from Connecticut urban cities and towns.

Part I: College Recruit Day for high school seniors is held in the fall.

Part II: College Life Day for high school juniors is held in the spring.

The agenda for the College Recruitment Program includes: general information session on admissions, financial aid, lunch and a tour of campus with student guides.

College Recruit Day agenda is designed to focus on a typical college student's schedule followed by a discussion as to why urban and or first generation students may or may not want to attend UConn. College Life Day is designed to focus on college life experiences and getting prepared for the admissions process experience.

More than 1,200 students participated in this program on our campus over the fall and spring terms.

Electronic Application Days

This program was created to provide hands-on assistance helping urban and rural students apply online. Over 23 Electronic Application Days were held at urban and rural Connecticut high schools. This program attracted 344 student applications.

Diversity Recruitment Call Out Nights

This program was implemented with the goal of increasing Cultural Center involvement in the enrollment of admitted students. Volunteers attend six evening call-out night programs and called admitted students of color. Over 3,500 students were called over the six day period.

UConn Admit Celebration Days at Urban and Regional High Schools

Admission Recruiters schedule spring visits to Connecticut's urban and rural high schools to host breakfast or luncheons for admitted students in urban and regional high schools. These celebrations are designed to focus on the enrollment process: What Comes Next? Deposit Fees, Financial Aid, Orientation Programs and Fees, Housing, Admitted Students Open Houses Programs, Questions and Answers. Admissions counselors from the Storrs and Regional Campuses attend each session to provide detailed information about enrollment to their campuses. Approximately 3,000 students participated in these programs.

3rd Annual Mass Mutual Scholars Program

The purpose of this program is to provide access to a UConn education for Hartford's first generation and low income students. We received a \$584,000 grant from MassMutual to support this initiative. The funds are managed by the Student Support Services program. These funds will support 15 Hartford students admitted through the Student Support Services Program (SSS) at the Storrs Campus through 2010.

Urban Yield Receptions in Hartford and Trumbull

The purpose of this program is to provide an opportunity for students and their families to discuss financial aid, academic options and connect with the University through social and cultural programs. Programs were held in Hartford and Trumbull. Approximately 1,404 people attended these events.

UNESCO Human Rights Conference

The Office of Admissions supports the University's UNESCO Human Rights Conference by providing lunch and bus transportation to high school students attending the program. Once on campus, students will hear an admissions presentation and meet the conference presenters. Approximately 120 Connecticut students attended from various high schools around the state.

Husky Ambassador Program

The Admissions Husky Ambassador Program cultivates student leaders who represent the University as a world-class institution of higher learning. Husky Ambassadors assist the Office in new student recruitment activities, including, but not limited to: Yield Receptions, Student Panels, and Guidance Counselor Programs.

The Husky Ambassador Program coordinates a variety of Day Visit programs throughout the year aimed at prospective students in the fall and admitted students in the spring. This program is called "Husky-for-a-Day".

Goals for the 2007-2008 academic years included:

- increase the number of prospective students touched by the program
- increase the number of current UConn students in our volunteer pool
- diversify our volunteer pool by increasing the number of minority students

Our goal to increase the number of guests at our fall Day Visits was exceeded; attendance grew by 80%.

Fall 2007: 15 visits total with 320 students

Spring 2008: 17 visits total with 407 students

Total: 28 Open Visits / 4 Honors Visits

The volunteer pool increased in size from the fall to the spring by 47%, with a particular focus on increasing the number of Engineering, Nursing and Agriculture students.

Total: 264 Student Volunteers

Over 46% of students in our volunteer pool are minorities. We plan to continue outreach to minority students by hiring two additional student coordinators who will focus on the enhancement of Husky Ambassador Program minority recruitment efforts.

Total: 43 Minority Student Volunteers (Reported)

Day of Pride and Nutmeg Scholarship Program

Day of Pride: This program was instituted at the University of Connecticut to attract and enroll students who have been traditionally underrepresented and to promote cultural diversity in the University community. This year, 15 students were selected to receive this meritorious award. As of the writing of this report, 11 students have accepted the award and paid an enrollment deposit.

Nutmeg: The Nutmeg Scholarship Program honors the exceptional accomplishments of Connecticut high school seniors. All Connecticut semifinalists and finalist in the National Achievement Scholarship Program, the National Hispanic Recognition Program, and the National Merit Semifinalist Competition may apply. This year, 15 students were selected to receive this meritorious award. As of the writing of this report, six students have accepted this award and paid an enrollment deposit.

We received a total number of 353 applications for 30 available scholarships. Overnight programs for students and parents, the annual banquet, calls from tele-counselors, and invitations to participate in the Husky for a Day Visit Programs were part of our recruitment and yield strategies to encourage these students to enroll at UConn.

Programs Focused on High School Guidance Counselors and Diversity

Connecticut Urban Guidance Counselor Informational Luncheons

The Admissions Office hosted four urban and rural Guidance Counselor Informational Luncheons. Events were hosted in Stamford, Norwalk, Bridgeport, and Hartford. General campus updates and enrollment data were shared at these events.

Over 170 guidance counselors attend these functions.

Connecticut High Schools Guidance Counselor Day

The annual Connecticut Guidance Counselor Information Day is hosted during the fall. This year more than 180 Connecticut high school guidance counselors and 35 Community College counselors attended the program. This program consists of workshops, information sessions, enrollment updates, lunch and a campus tour. The annual Connecticut High School Guidance Counselor Day included, for the first time, counselors from the Connecticut community colleges. The event highlighted the new Transfer Guaranteed Admission Program.

Regional Campuses Overview and Recruitment Strategies

The Regional Campuses continue to play an important role in meeting the overall enrollment goals of the University. The Admissions staff and the Associate Director for Regional Enrollment Services collaborate to coordinate activities of Regional Campuses to ensure events compliment the overall recruitment strategy, “One University, Six Campuses.” Increasing the number of first choice applicants to the Regional Campuses and converting the second choice students remains the primary focus of each campus.

For FY-08 Freshmen first choice applications at the Regional Campuses increased by 3.1% to 1,215 from 1,178 in FY-07. Overall, offers of admissions increased by 17.7% to 4,087 from 3,471 in FY-07.

Transfer Diversity Recruitment Programs, Events and Processes

Community Colleges Articulation

Several different articulation initiatives are in progress: Guaranteed Admissions Program; BSBT Agreement; College of Technology; the StrongCT program.

Transfer Admissions partnered with Undergraduate Education and Instruction to bring together faculty from UConn and across the Connecticut Community College system to support transfer and course articulation, accomplishing outcomes in Finance and Chemistry disciplines; and collaboratively developed mission statement, goals, general principles, and calendar for ongoing discussions and schedule for periodic course review.

Community College Transfer Counselor Round Table

A forum for discussion of relevant issues for Community College counselors, Regional Campus counselors, and Transfer Admissions counselors is convened annually on the Storrs campus.

This Round Table brings together the Transfer Admissions staff with Transfer counselors from each of the 12 Connecticut Community Colleges to share updates on programs, admission, requirements, and information in general on what is happening on our respective campuses. A special segment of the program is devoted to introducing the Community College winners of the Transfer Partnership Scholarships.

Undergraduate Transfer Admissions Recruitment/Yield Events

- A. Fall Open House
Designed to give detailed overview of transfer admission and credit evaluation policies and procedures to prospective transfer students and their families
- B. Spring Open House
Designed to give specific information and overview of what follows admission (i.e., credit evaluation, transfer orientation and registration, etc.) to admitted transfer students and their families. Organized a UConn transfer student panel, participation of which was also extremely beneficial to our guests and visitors.
- C. Husky WOW New Transfer Reception (Fall)
This program is designed to bring new, entering transfer students together in an informal and relaxed environment for the purpose of meeting each other and developing initial communication and contact. Other professional colleagues (academic advisors, student life representatives) as well as continuing UConn students who previously enrolled as transfers also attend to socialize and share information about life on campus.
- D. New Transfer Reception (Spring) – co-sponsored by Tau Sigma Honor Society
Because of a limited Orientation program for spring transfers, this program was designed to welcome new spring transfers, bringing them together in an informal setting. Tau Sigma Honor Society co-sponsored the event, its members interested in mentoring transfer students.
- E. UConn Day for Guaranteed Admission Program Students
Designed to bring second-year GAP students to the Storrs campus to meet with advisors, take a personalized tour, and, with advisors and transfer staff, share lunch in a dining hall. These sessions are held during spring break at most community colleges.
- F. GA Presentations at Connecticut community colleges
Designed as information sessions for students, faculty, and counselors at the community colleges to promote and inform about transfer opportunities.
- G. Attend College/Transfer Fairs at Connecticut Community Colleges
Attend Transfer Fairs at the 12 Connecticut Community Colleges to speak with/recruit (including admission requirements, credit transfer, and information about the University in general).

University of Connecticut
Undergraduate Enrollment Headcount¹
By Minority², Underrepresented Minority³, and Residence Status
Fall 2003 - Fall 2008

	Storrs Campus						Regional Campuses						Total All Campuses														
	Minority			Underrepresented Minority			Non-Resident Alien	Minority			Underrepresented Minority			Non-Resident Alien	Minority			Underrepresented Minority									
	I.S.	% I.S.	O.S.	Total	I.S.	% I.S.		O.S.	Total	I.S.	% I.S.	O.S.	Total		I.S.	% I.S.	O.S.	Total	I.S.	% I.S.	O.S.	Total					
Fall 2003	1,930	79.6%	494	2,424	1,128	77.6%	326	1,454	174	922	98.9%	10	932	635	98.8%	8	643	43	2,852	85.0%	504	3,356	1,763	84.1%	334	2,097	217
Fall 2004	2,025	80.0%	505	2,530	1,178	78.5%	323	1,501	158	1,010	99.0%	10	1,020	717	98.8%	9	726	52	3,035	85.5%	515	3,550	1,895	85.1%	332	2,227	210
Fall 2005	2,222	81.1%	519	2,741	1,287	79.7%	327	1,614	161	1,114	99.1%	10	1,124	786	99.1%	7	793	61	3,336	86.3%	529	3,865	2,073	86.1%	334	2,407	222
Fall 2006	2,324	81.0%	545	2,869	1,326	79.7%	337	1,663	166	1,150	99.2%	9	1,159	840	99.1%	8	848	75	3,474	86.2%	554	4,028	2,166	86.3%	345	2,511	241
Fall 2007	2,391	81.5%	542	2,933	1,388	80.3%	340	1,728	178	1,121	99.1%	10	1,131	825	99.0%	8	833	125	3,512	86.4%	552	4,064	2,213	86.4%	348	2,561	303
Fall 2008	2,487	80.5%	602	3,089	1,432	80.8%	341	1,773	220	1,235	99.1%	11	1,246	892	98.9%	10	902	82	3,722	85.9%	613	4,335	2,324	86.9%	351	2,675	302

¹ Includes undergraduate full-time and part-time degree and non-degree students in credit programs. Storrs Campus includes undergraduate non-degree enrollments at miscellaneous locations.

² Minority includes African American, Native American, Asian American, and Hispanic American.

³ Underrepresented Minority includes African American, Native American, and Hispanic American.

Source: OIR Fall IPEDS/DHE Residence Reports. Student-reported town of residence. May differ from registration residence.
 OIR/February 17, 2009

University of Connecticut
Undergraduate Degree and Non-Degree Seeking Students
By Connecticut Town of Origin for Connecticut Residents
Minority¹ and Underrepresented Minority²
Fall 2008

Town	Storrs		Regional Campuses		Total All Campuses	
	Minority	Underrepresented Minority	Minority	Underrepresented Minority	Minority	Underrepresented Minority
Andover	0	0	0	0	0	0
Ansonia	8	8	3	3	11	11
Ashford	7	4	0	0	7	4
Avon	23	7	3	0	26	7
Barkhamsted	1	0	2	2	3	2
Beacon Falls	1	1	2	2	3	3
Berlin	16	4	2	1	18	5
Bethany	3	1	1	0	4	1
Bethel	9	3	6	2	15	5
Bethlehem	0	0	1	1	1	1
Bloomfield	43	42	24	24	67	66
Bolton	0	0	0	0	0	0
Bozrah	2	2	0	0	2	2
Branford	13	4	1	1	14	5
Bridgeport	157	123	95	84	252	207
Bridgewater	0	0	0	0	0	0
Bristol	13	9	7	4	20	13
Brookfield	8	5	1	0	9	5
Brooklyn	1	1	0	0	1	1
Burlington	1	1	1	1	2	2
Canaan	0	0	0	0	0	0
Canterbury	0	0	0	0	0	0
Canton	2	2	2	1	4	3
Chaplin	2	2	0	0	2	2
Cheshire	25	3	7	2	32	5
Chester	1	1	0	0	1	1
Clinton	4	2	2	0	6	2
Colchester	7	6	3	2	10	8
Colebrook	0	0	0	0	0	0
Columbia	1	0	1	1	2	1
Cornwall	0	0	0	0	0	0
Coventry	5	2	1	0	6	2
Cromwell	8	3	4	3	12	6
Danbury	67	28	20	6	87	34
Darien	6	5	5	2	11	7
Deep River	1	1	1	1	2	2
Derby	0	0	3	3	3	3
Durham	2	1	1	1	3	2
East Granby	1	1	1	1	2	2
East Haddam	2	2	0	0	2	2
East Hampton	2	0	2	0	4	0
East Hartford	81	55	44	32	125	87
East Haven	10	4	5	1	15	5
East Lyme	26	5	7	5	33	10
East Windsor	4	2	3	1	7	3

Town	Storrs		Regional Campuses		Total All Campuses	
	Minority	Underrepresented Minority	Minority	Underrepresented Minority	Minority	Underrepresented Minority
Eastford	1	1	0	0	1	1
Easton	4	0	1	0	5	0
Ellington	13	9	3	2	16	11
Enfield	14	4	6	3	20	7
Essex	1	0	0	0	1	0
Fairfield	25	10	6	3	31	13
Farmington	24	13	9	6	33	19
Franklin	1	0	0	0	1	0
Glastonbury	56	14	17	9	73	23
Goshen	1	1	0	0	1	1
Granby	6	3	1	1	7	4
Greenwich	18	10	29	26	47	36
Griswold	5	2	1	0	6	2
Groton	19	7	20	10	39	17
Guilford	4	3	1	0	5	3
Haddam	0	0	1	0	1	0
Hamden	41	30	9	6	50	36
Hampton	1	1	0	0	1	1
Hartford	138	127	88	83	226	210
Hartland	0	0	0	0	0	0
Harwinton	2	1	0	0	2	1
Hebron	3	2	1	1	4	3
Kent	1	0	1	0	2	0
Killingly	4	4	0	0	4	4
Killingworth	2	2	0	0	2	2
Lebanon	0	0	0	0	0	0
Ledyard	8	5	14	10	22	15
Lisbon	0	0	0	0	0	0
Litchfield	1	1	0	0	1	1
Lyme	0	0	0	0	0	0
Madison	6	2	1	0	7	2
Manchester	61	36	22	12	83	48
Mansfield	74	42	1	1	75	43
Marlborough	4	2	0	0	4	2
Meriden	29	21	4	3	33	24
Middlebury	3	1	2	2	5	3
Middlefield	3	2	1	0	4	2
Middletown	28	11	8	3	36	14
Milford	30	13	5	5	35	18
Monroe	13	8	2	1	15	9
Montville	15	3	7	5	22	8
Morris	0	0	0	0	0	0
Naugatuck	10	7	8	8	18	15
New Britain	42	33	28	23	70	56
New Canaan	4	1	1	1	5	2
New Fairfield	12	6	1	0	13	6
New Hartford	1	0	0	0	1	0
New Haven	80	71	23	20	103	91
New London	20	15	10	9	30	24
New Milford	10	6	1	1	11	7
Newington	19	3	22	9	41	12
Newtown	11	6	3	2	14	8
Norfolk	0	0	0	0	0	0
North Branford	4	1	1	0	5	1

Town	Storrs		Regional Campuses		Total All Campuses	
	Minority	Underrepresented Minority	Minority	Underrepresented Minority	Minority	Underrepresented Minority
North Canaan	0	0	0	0	0	0
North Haven	11	3	4	1	15	4
North Stonington	2	1	0	0	2	1
Norwalk	70	44	91	69	161	113
Norwich	48	12	22	10	70	22
Old Lyme	2	0	0	0	2	0
Old Saybrook	2	0	1	0	3	0
Orange	16	10	0	0	16	10
Oxford	8	5	1	0	9	5
Plainfield	2	0	1	1	3	1
Plainville	9	5	3	3	12	8
Plymouth	5	2	3	3	8	5
Pomfret	1	1	1	1	2	2
Portland	2	2	0	0	2	2
Preston	2	0	2	1	4	1
Prospect	2	1	0	0	2	1
Putnam	2	2	0	0	2	2
Redding	6	3	0	0	6	3
Ridgefield	12	6	0	0	12	6
Rocky Hill	18	4	5	1	23	5
Roxbury	0	0	0	0	0	0
Salem	4	1	0	0	4	1
Salisbury	0	0	2	1	2	1
Scotland	0	0	0	0	0	0
Seymour	8	4	3	2	11	6
Sharon	0	0	0	0	0	0
Shelton	13	6	12	8	25	14
Sherman	2	2	1	1	3	3
Simsbury	18	6	5	2	23	8
Somers	5	4	0	0	5	4
South Windsor	43	11	7	5	50	16
Southbury	16	6	2	0	18	6
Southington	17	8	9	4	26	12
Sprague	0	0	0	0	0	0
Stafford	8	3	0	0	8	3
Stamford	101	65	152	122	253	187
Sterling	1	1	0	0	1	1
Stonington	11	7	5	1	16	8
Stratford	40	35	15	14	55	49
Suffield	4	3	1	0	5	3
Thomaston	3	1	2	2	5	3
Thompson	4	1	0	0	4	1
Tolland	22	11	2	1	24	12
Torrington	10	6	10	7	20	13
Trumbull	29	15	10	7	39	22
Union	0	0	0	0	0	0
Vernon	36	9	10	4	46	13
Voluntown	0	0	1	1	1	1
Wallingford	25	8	3	0	28	8
Warren	0	0	0	0	0	0
Washington	0	0	1	0	1	0
Waterbury	64	53	103	93	167	146
Waterford	23	15	6	2	29	17
Watertown	3	3	7	2	10	5

Town	Storrs		Regional Campuses		Total All Campuses	
	Minority	Underrepresented Minority	Minority	Underrepresented Minority	Minority	Underrepresented Minority
West Hartford	92	35	51	25	143	60
West Haven	31	19	7	7	38	26
Westbrook	3	2	0	0	3	2
Weston	1	1	0	0	1	1
Westport	4	1	1	0	5	1
Wethersfield	26	14	11	7	37	21
Willington	24	12	0	0	24	12
Wilton	3	1	3	2	6	3
Winchester	7	3	1	1	8	4
Windham	26	23	3	3	29	26
Windsor	69	43	30	23	99	66
Windsor Locks	11	3	2	2	13	5
Wolcott	11	8	3	1	14	9
Woodbridge	11	1	0	0	11	1
Woodbury	3	1	0	0	3	1
Woodstock	0	0	0	0	0	0
Unknown CT Town	0	0	0	0	0	0
TOTAL	2,487	1,432	1,235	892	3,722	2,324

¹ Minority includes African American, Native American, Asian American, and Hispanic American.

² Underrepresented Minority includes African American, Native American, and Hispanic American.

Note: Storrs Campus includes undergraduate non-degree enrollment at miscellaneous locations.

Source: OIR Fall 2008 IPEDS/DHE Residence Report. Student-reported town of residence in Connecticut. May differ from registration residence.

OIR/February 17, 2009

University of Connecticut
Total University (Excluding Health Center) Enrollment Headcount¹
by Ethnicity and Gender, and Percent Minority and Percent Female
Fall 1995-2008

	<i>International</i>		<i>African American</i>		<i>Native American</i>		<i>Asian American</i>		<i>Hispanic American</i>		<i>White²</i>		<i>Total Head Count</i>	<i>Percent Female</i>	<i>Percent Minority</i>	<i>Percent International</i>
	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>				
<i>Fall 1995</i>	625	391	410	563	40	39	544	518	417	484	8,944	9,496	22,471	51.1%	13.4%	4.5%
<i>Fall 1996</i>	651	399	434	522	45	39	575	523	390	501	8,476	9,250	21,805	51.5%	13.9%	4.8%
<i>Fall 1997</i>	653	414	409	526	37	43	578	504	391	490	8,192	9,012	21,249	51.7%	14.0%	5.0%
<i>Fall 1998</i>	612	397	441	597	39	34	539	539	419	531	8,186	9,064	21,398	52.2%	14.7%	4.7%
<i>Fall 1999</i>	693	387	475	640	34	37	537	562	418	577	8,467	9,414	22,241	52.2%	14.7%	4.9%
<i>Fall 2000</i>	747	473	476	617	42	36	572	620	457	618	8,680	9,597	22,935	52.2%	15.0%	5.3%
<i>Fall 2001</i>	732	564	496	641	40	30	624	682	485	625	8,975	9,686	23,580	51.9%	15.4%	5.5%
<i>Fall 2002</i>	820	697	496	686	38	46	692	687	501	701	9,357	10,652	25,373	53.1%	15.2%	6.0%
<i>Fall 2003</i>	842	714	569	754	37	48	774	716	520	731	9,611	10,840	26,156	52.8%	15.9%	5.9%
<i>Fall 2004</i>	818	672	614	788	33	54	785	789	568	793	10,026	11,154	27,094	52.6%	16.3%	5.5%
<i>Fall 2005</i>	789	654	649	885	34	59	888	869	618	785	10,117	11,251	27,598	52.6%	17.3%	5.2%
<i>Fall 2006</i>	809	662	684	872	41	62	891	921	650	837	10,402	11,163	27,994	51.9%	17.7%	5.3%
<i>Fall 2007</i>	838	703	670	929	44	53	928	904	661	895	10,448	11,117	28,190	51.8%	18.0%	5.5%
<i>Fall 2008</i>	875	710	677	931	37	46	1,054	986	746	930	10,764	11,124	28,880	51.0%	18.7%	5.5%

¹ Includes all undergraduate, graduate, and professional school enrollments at all campuses *except* the Schools of Dentistry and Medicine; Includes full-time and part-time students and degree and non degree students.

² Includes White plus other/unknown ethnicities.

University of Connecticut
Total University Undergraduate Enrollment Headcount¹
by Ethnicity and Gender and Percent Minority and Percent Female
Fall 1995-2008

	<i>International</i>		<i>African American</i>		<i>Native American</i>		<i>Asian American</i>		<i>Hispanic American</i>		<i>White²</i>		<i>Total Head Count</i>	<i>Percent Female</i>	<i>Percent Minority</i>	<i>Percent International</i>
	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>	<i>Male</i>	<i>Female</i>				
Fall 1995	71	58	305	365	28	27	439	401	297	321	6,163	6,192	14,667	50.2%	14.9%	0.9%
Fall 1996	80	55	313	333	30	24	461	400	286	335	5,926	6,211	14,454	50.9%	15.1%	0.9%
Fall 1997	82	46	306	362	29	23	459	385	286	326	5,894	6,184	14,382	50.9%	15.1%	0.9%
Fall 1998	84	54	321	426	32	19	427	425	321	375	5,959	6,412	14,855	51.9%	15.8%	0.9%
Fall 1999	99	49	372	456	29	21	439	457	341	411	6,172	6,895	15,741	52.7%	16.0%	0.9%
Fall 2000	107	65	385	460	36	25	475	518	380	466	6,533	7,231	16,681	52.5%	16.5%	1.0%
Fall 2001	97	68	407	486	32	18	532	581	405	499	6,968	7,537	17,630	52.1%	16.8%	0.9%
Fall 2002	109	95	412	515	31	28	594	576	423	538	7,216	8,125	18,662	52.9%	16.7%	1.1%
Fall 2003	104	113	477	568	32	34	660	599	429	557	7,446	8,268	19,287	52.6%	17.4%	1.1%
Fall 2004	102	108	519	588	27	41	653	670	461	591	7,858	8,533	20,151	52.3%	17.6%	1.0%
Fall 2005	98	124	546	673	29	46	735	723	502	611	7,832	8,606	20,525	52.5%	18.8%	1.1%
Fall 2006	96	145	571	663	32	44	753	764	535	666	8,032	8,483	20,784	51.8%	19.4%	1.2%
Fall 2007	127	176	536	686	38	40	767	736	546	715	8,063	8,416	20,846	51.7%	19.5%	1.5%
Fall 2008	143	159	545	710	32	33	850	810	607	748	8,355	8,380	21,372	50.7%	20.3%	1.4%

¹ Includes all undergraduate enrollments at all campuses; includes full-time and part-time students and degree and non-degree students in credit programs.

² Includes White plus other/unknown ethnicities.

University of Connecticut - Total All Campuses
Residence of First-Time Freshmen and All Undergraduates
Fall 1995-2008

Fall	In-State		Out-of-State		International		TOTALS		% In State		% Out-of-State		% International	
	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	Total IPEDS First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates
1995	2,229	12,826	413	1,712	49	129	2,691	14,667	82.8%	87.4%	15.3%	11.7%	1.8%	0.9%
1996	2,266	12,611	472	1,708	36	135	2,774	14,454	81.7%	87.2%	17.0%	11.8%	1.3%	0.9%
1997	2,282	12,545	453	1,709	26	128	2,761	14,382	82.7%	87.2%	16.4%	11.9%	0.9%	0.9%
1998	2,596	12,859	599	1,858	32	138	3,227	14,855	80.4%	86.6%	18.6%	12.5%	1.0%	0.9%
1999	2,756	13,375	852	2,218	37	148	3,645	15,741	75.6%	85.0%	23.4%	14.1%	1.0%	0.9%
2000	2,627	13,843	920	2,666	38	172	3,585	16,681	73.3%	83.0%	25.7%	16.0%	1.1%	1.0%
2001	2,885	14,323	982	3,142	30	165	3,897	17,630	74.0%	81.2%	25.2%	17.8%	0.8%	0.9%
2002	2,994	15,019	1,014	3,439	27	204	4,035	18,662	74.2%	80.5%	25.1%	18.4%	0.7%	1.1%
2003	3,166	15,470	920	3,600	31	217	4,117	19,287	76.9%	80.2%	22.3%	18.7%	0.8%	1.1%
2004	3,258	16,143	997	3,798	20	210	4,275	20,151	76.2%	80.1%	23.3%	18.8%	0.5%	1.0%
2005	3,317	16,519	901	3,784	28	222	4,246	20,525	78.1%	80.5%	21.2%	18.4%	0.7%	1.1%
2006	3,340	16,691	987	3,852	54	241	4,381	20,784	76.2%	80.3%	22.5%	18.5%	1.2%	1.2%
2007	3,340	16,808	924	3,735	62	303	4,326	20,846	77.2%	80.6%	21.4%	17.9%	1.4%	1.5%
2008	3,622	17,159	1,185	3,911	51	302	4,858	21,372	74.6%	80.3%	24.4%	18.3%	1.0%	1.4%

Source: Federal IPEDS Residence Survey and, in selected years, the Connecticut DHE Residence Survey. Residence is defined as the legal domicile of the student at the time of first registration. This is usually the permanent address at the time of application or first enrollment, whichever comes first. Data for this table include degree, non-degree, full-time, and part-time students counted in the official census for fall semester and reported in the DHE/IPEDS Surveys. Data in Admissions Office reports may differ from official census counts.

University of Connecticut - Storrs Only
Residence First-Time Freshmen and All Undergraduates
Fall 1995-2008

Fall	In-State		Out-of-State		International		TOTALS		% In State		% Out-of-State		% International	
	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	Total IPEDS First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates
1995	1,576	9,569	402	1,684	42	112	2,020	11,365	78.0%	84.2%	19.9%	14.8%	2.1%	1.0%
1996	1,666	9,571	467	1,683	30	118	2,163	11,372	77.0%	84.2%	21.6%	14.8%	1.4%	1.0%
1997	1,731	9,642	446	1,683	21	112	2,198	11,437	78.8%	84.3%	20.3%	14.7%	1.0%	1.0%
1998	1,942	9,755	590	1,834	29	126	2,561	11,715	75.8%	83.3%	23.0%	15.7%	1.1%	1.1%
1999	2,082	10,034	840	2,184	34	135	2,956	12,353	70.4%	81.2%	28.4%	17.7%	1.2%	1.1%
2000	1,897	10,470	905	2,627	34	154	2,836	13,251	66.9%	79.0%	31.9%	19.8%	1.2%	1.2%
2001	2,154	10,803	974	3,105	21	142	3,149	14,050	68.4%	76.9%	30.9%	22.1%	0.7%	1.0%
2002	2,151	11,183	1,009	3,373	26	160	3,186	14,716	67.5%	76.0%	31.7%	22.9%	0.8%	1.1%
2003	2,264	11,457	917	3,553	27	174	3,208	15,184	70.6%	75.5%	28.6%	23.4%	0.8%	1.1%
2004	2,241	11,867	988	3,726	18	158	3,247	15,751	69.0%	75.3%	30.4%	23.7%	0.6%	1.0%
2005	2,342	12,221	898	3,730	20	161	3,260	16,112	71.8%	75.9%	27.5%	23.2%	0.6%	1.0%
2006	2,234	12,391	974	3,790	33	166	3,241	16,347	68.9%	75.8%	30.1%	23.2%	1.0%	1.0%
2007	2,220	12,484	920	3,686	39	178	3,179	16,348	69.8%	76.4%	28.9%	22.5%	1.2%	1.1%
2008	2,383	12,686	1,179	3,859	42	220	3,604	16,765	66.1%	75.7%	32.7%	23.0%	1.2%	1.3%

Source: Federal IPEDS Residence Survey and, in selected years, the Connecticut DHE Residence Survey. Residence is defined as the legal domicile of the student at the time of first registration. This is usually the permanent address at the time of application or first enrollment, whichever comes first. Data for this table include degree, non-degree, full-time, and part-time students counted in the official census for fall semester and reported in the DHE/IPEDS Surveys. Data in Admissions Office reports may differ from official census counts.

Note: Storrs counts include non-degree students at miscellaneous locations.

University of Connecticut - Regional Campuses Only
Residence of First-Time Freshmen and All Undergraduates
Fall 1995-2008

Fall	In-State		Out-of-State		International		TOTALS		% In State		% Out-of-State		% International	
	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	Total IPEDS First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates	First-time Freshmen	Total Undergraduates
1995	653	3,257	11	28	7	17	671	3,302	97.3%	98.6%	1.6%	0.8%	1.0%	0.5%
1996	600	3,040	5	25	6	17	611	3,082	98.2%	98.6%	0.8%	0.8%	1.0%	0.6%
1997	551	2,903	7	26	5	16	563	2,945	97.9%	98.6%	1.2%	0.9%	0.9%	0.5%
1998	654	3,104	9	24	3	12	666	3,140	98.2%	98.9%	1.4%	0.8%	0.5%	0.4%
1999	674	3,341	12	34	3	13	689	3,388	97.8%	98.6%	1.7%	1.0%	0.4%	0.4%
2000	730	3,373	15	39	4	18	749	3,430	97.5%	98.3%	2.0%	1.1%	0.5%	0.5%
2001	731	3,520	8	37	9	23	748	3,580	97.7%	98.3%	1.1%	1.0%	1.2%	0.6%
2002	843	3,836	5	66	1	44	849	3,946	99.3%	97.2%	0.6%	1.7%	0.1%	1.1%
2003	902	4,013	3	47	4	43	909	4,103	99.2%	97.8%	0.3%	1.1%	0.4%	1.0%
2004	1,017	4,276	9	72	2	52	1,028	4,400	98.9%	97.2%	0.9%	1.6%	0.2%	1.2%
2005	975	4,298	3	54	8	61	986	4,413	98.9%	97.4%	0.3%	1.2%	0.8%	1.4%
2006	1,106	4,300	13	62	21	75	1,140	4,437	97.0%	96.9%	1.1%	1.4%	1.8%	1.7%
2007	1,120	4,324	4	49	23	125	1,147	4,498	97.6%	96.1%	0.3%	1.1%	2.0%	2.8%
2008	1,239	4,473	6	52	9	82	1,254	4,607	98.8%	97.1%	0.5%	1.1%	0.7%	1.8%

Source: Federal IPEDS Residence Survey and, in selected years, the Connecticut DHE Residence Survey. Residence is defined as the legal domicile of the student at the time of first registration. This is usually the permanent address at the time of application or first enrollment, whichever comes first. Data for this table include degree, non-degree, full-time, and part-time students counted in the official census for fall semester and reported in the DHE/IPEDS Surveys. Data in Admissions Office reports may differ from official census counts.

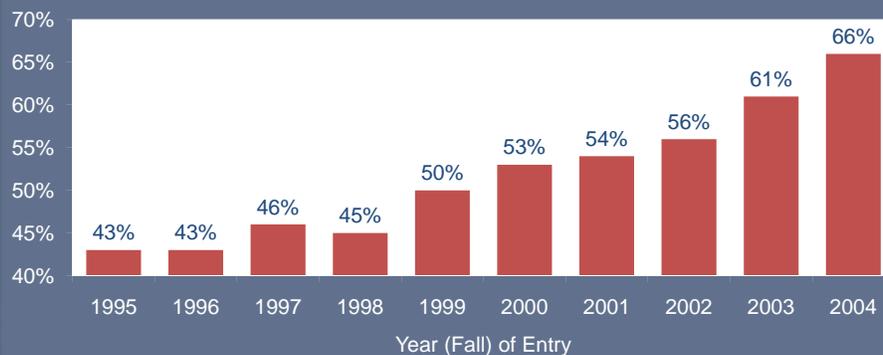
Exceptions: 1980 and 1987 - total undergraduate residence categories estimated.

4-Year Graduation Trend

UConn

Storrs Campus

- Since we have been graduating our students in record numbers in four years, we did want to grow our freshman enrollment for the fall 2008 semester



Freshman Yield Rates

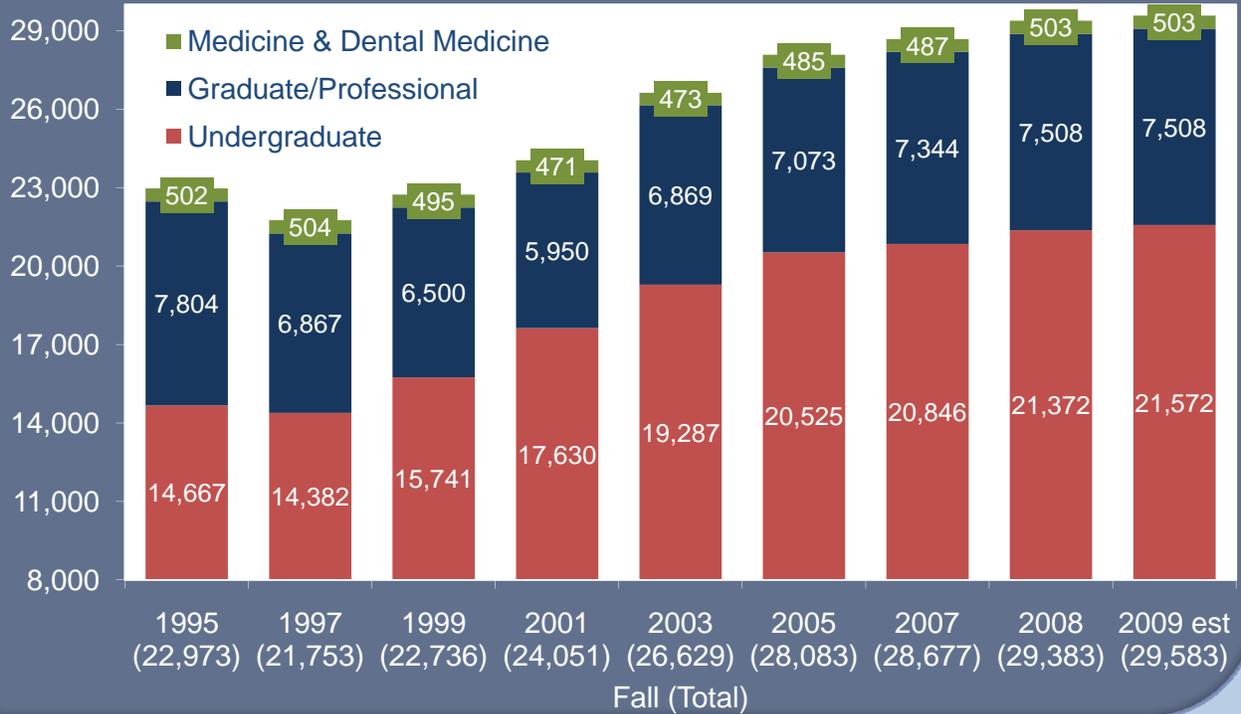
UConn

Storrs Campus

- Because of the downturn in the economy and our outstanding value in the marketplace, our yield rates for both in-state and out-of-state students increased
 - The in-state yield rate increased from 43% to 46%
 - The out-of-state yield rate increased from 18% to 20%

Student Enrollment

UCONN New student enrollment goals call for modest growth in order to stabilize overall enrollment



**Retirement Incentive Program
Issues for Public Colleges and Universities**

If a Retirement Incentive Program moves forward, it is critical that a number of provisions be included to ensure that Connecticut's public colleges and universities can continue to meet the demands of the unprecedented enrollment growth we are experiencing. A summary of key provisions are described below.

1. Allow Public Higher Education to Refill 100% of Faculty Positions and Retain 70% of the Retirement Savings to Refill Essential Faculty and Non-Faculty Positions

Need for these Provisions: Our core mission is teaching, research, clinical care and public service. The refill of faculty positions is absolutely necessary to meet course demands, maintain research activity and related grant revenue and continue patient care. The state recognized this need during the last two Early Retirement Incentive Plans (ERIP) and allowed Connecticut's public colleges and universities to refill 100% of faculty positions. They also allowed us to maintain a significant portion of the ERIP savings to refill positions.

In a time of continued dramatic enrollment growth, we have already experienced increasing faculty-student ratios. In fact, we have been struggling to keep our faculty to student ratio at 17:1 which is already higher than that of our peer institutions. As the attached graph indicates, UConn has 810 SERS employees and 934 ARP employees who would be eligible for the retirement incentive plan. Of these numbers, 194 SERS employees are faculty as are 438 ARP employees.

Of course, other positions are also critically important since the University operates the equivalent of a mid-sized city and a hospital that are open 24-hours a day, 7 days a week. Adequate levels of staff are needed to allow us meet the residential, health and life-safety needs of our students and patients.

The tremendous growth in enrollment has driven concomitant growth in our residential responsibilities. In the past decade, the University's number of students living on campus has increased by 4,264 students, from 7,626 in fall 1998 to 11,890 students in fall 2008.

With this significant increase in residential activity, student health and safety require appropriate levels of maintenance/janitorial, dining, security and health care services. In addition, because there is no town utility or service infrastructure, the University operates its own water system, sewer system, police department and fire department. All of these services are critical to safe and secure operations—every parent of a UConn student would call these services “essential.” We simply cannot meet the needs of our growing student population without replacing employees who provide critical services. At the Health Center, we could find ourselves unable to meet patient care responsibilities. We ask, therefore, that we be permitted to retain 70% of the state dollars saved through retirement incentive plan in order to enable us to meet clinical and research demands, and to provide educational, residential and support services for more than 29,000 students.

2. Assistance in Payments of Accruals for Retirees

During the last two ERIPs, the state has recognized the need to assist Connecticut's public colleges and universities by fully funding the accruals (sick and vacation days) for public higher education retirees. OPM funds these payments for all other state agencies and it should do the same for UConn, the Connecticut State University System and the Community Colleges.

3. Permit Employees in Public Higher Education to Retire After the Current Semester Is Completed

Need for this Provision: While the University understands the need to achieve retirement savings in the current fiscal year, faculty and essential staff are absolutely needed to complete the semester. The proposed date of March 31st is right in the middle of an academic semester. If employees are required to retire mid-semester, it is unclear how students would be able to complete classes and receive other essential services. Patients at our Health Center would also risk continuity of care. Refilling critical positions, if permitted, could take weeks or months. Additionally, time to graduation and degree completion could be delayed for a semester or more.

Office of Technology Commercialization Annual Report FY 2008

An overview of results and activities conducted or reported during this period for the four OTC programs, as well as its overall effort to support state economic development.

Office of Technology Commercialization

Functional Overview

The Office of Technology Commercialization (OTC) manages a continuum of services and provides expertise supporting faculty commercialization efforts. In addition, the OTC provides guidance for policy and program development to further the University's commitment to economic development. OTC programs are as follows:

- The Center for Science and Technology Commercialization (CSTC) works with faculty to identify and protect inventions, and to license them to existing industry, to UCONN R&D Corporation or entrepreneurs creating new firms.
- The UCONN R&D Corporation, working with CSTC, takes technologies that have the capacity to be a platform for a new company and generates the business plan, leadership team, and capital necessary to form one.
- The UCONN Technology Incubation Program (TIP) provides incubation space and support services at three campuses to nurture companies formed around UCONN technologies and to help other companies become successful through use of UCONN services, and collaboration with faculty.
- The UCONN Tech-Knowledge Portal provides a front door to the University, promoting UCONN's capacity to help industry, facilitating access and creating relationships between faculty, students, and industry.

Funded by both the Storrs and UCHC campuses, and with state and federal grants, the OTC work plan is presented annually to the President, the Provost and the Executive Vice President for Health Affairs. It was agreed that the 08 work plan would be to continue initiatives intended to further its traditional program activities, as well as new activities to better position the University in the area of technology based economic development, including efforts to support a more robust technology pipeline coming from the University. Since last year OTC has:

- utilized the President's internal and external advisory committees on commercialization to provide guidance and new ideas to support increased commercialization
- implemented a marketing plan to "brand" OTC and its components, and to provide exposure in a variety of UCONN publications in order to increase faculty, student, and alumni knowledge and participation in commercialization
- successfully pursued funding for new TIP facilities at Farmington and Avery Point
- broadened the TIP to include all technology companies with leases on UCONN campuses
- conducted a feasibility study to provide a clear understanding of market forces impacting a UCONN Technology Research Park and to move forward with development in 2009
- pursued development of angel funds through the UCONN Foundation
- increased campus-wide interest in commercialization and better integrated the OTC into the University environment.

Highlights

The Center for Science and Technology Commercialization in FY 08 received 77 invention disclosures from faculty and filed 30 new US patent applications. Patents were issued for 26 faculty inventions. Licenses and/or options executed for UCONN technology totaled 17 with 85 ongoing licenses being managed. Income generated was \$1,029,788. In addition, the CSTC provided assistance to OSP on contracts involving intellectual property. The value of these contracts for FY 08 was \$3,167,980 (Storrs only) and at an indirect cost rate of 28%, provided \$887,034 of indirect support.

Office of Technology Commercialization

The UCONN R&D Corporation is managing five faculty startups and has three new projects being reviewed as potential companies. Renzulli Learning, formed with Professors Joe Renzulli and Sally Reis of the School of Education, reached over \$3 million in sales in 2007- a significant milestone - and currently has almost 80 employees. Venomix Inc., formed with Professor Glen King of UCHC, has received a \$6.5 million in investment and is expanding the scope of its partnership with Chemtura, a Connecticut based specialty chemical company. Synaptic Dynamics Inc, a newly formed company with Professors Ben Bahr and Dennis Wright of Pharmacy, won proof of concept funding totaling \$65,000 from The Department of Economic and Community Development and has developed patentable compounds that are currently in testing. An STTR application has been filed. New Ortho Polymers has received \$250, 000 from Connecticut Innovations and is currently developing products. Overall, R & D Corp companies:

- have raised about \$11 million in capital to further develop technology in UCONN based startups
- have almost 95 employees involved with their operations
- have funded research in four University departments
- have provided consulting and commercialization opportunities for 10 professors

The Technology Incubation Program in FY 08 hosted 11 companies at three campuses with 31 jobs in all and including 13 students or recent UCONN graduates. Program fees will total about \$ 90,000. The TIP currently supports two faculty starts ups and has companies involved with faculty at Pharmacy, the Connecticut Global Fuel Cell Center, the School of Engineering, the Chemistry Department the UCHC Center for Vascular Biology, the Dental School and the Department of Genetics and Developmental Biology. This does not include firms that have been on campus prior to the TIP that now are under the authority of the TIP. In a recent survey the 11 original TIP firms reported:

- research expenditures totaling \$1.7 million
- increases in research expenditures ranging from 12 to 100 percent
- successful use of proprietary technology to save the sight of four patients
- development of a new biotech GMP facility in CT
- a revenue producing license for use of nonelectric devices

Now in its fifth year of operation, TIP can report three graduations as Evergen, Venomix, and Allerquest left the program to launch scaled up operations. Two additional firms are expected to graduate in the next six months. A shortage of available lab space has delayed graduation for some and lead to an effort to work with local economic development officials to develop follow on space for UCONN companies.

The UCONN Tech-Knowledge Portal, a program funded with a three-year grant commitment from the US Economic Development Administration, handled approximately 100 requests in FY 08 from clients requesting support or information. The Tech-Knowledge Portal promoted UCONN's technological capacity at various events including the Crossroads Venture fair and the CCAT Future of Manufacturing Conference. It also supported a variety of seminars for students and faculty. At least 105 students and faculty participated in 15 seminars offered on a variety of topics of interest to entrepreneurs and others interested in commercialization. A recent emphasis has been to leverage MBA Graduate Assistants to provide direct technical assistance to companies. Going forward our focus will be to secure additional grant monies and expand client participation. A new grant request for \$306,750 has been approved by EDA to support the program for an additional three year period.

To increase commercialization at UCONN, the OTC conducts a variety of activities that do not fall under any single OTC program. For example OTC staff over the past year has:

Office of Technology Commercialization

- developed for CURE and DECD, cost estimates for a GMP facility modeled after a New Castle England facility recently visited, to support a proposed addition to UCHC's 400 Farmington Ave facility that would accelerate commercialization of stem cell research
- briefed the Lieutenant Governor and the new DECD Commissioner on efforts University-wide to support economic development
- worked with DECD for an annual \$200,000 allocation to support prototype development for faculty commercialization projects and \$750,000 for a new incubator at Avery Point
- developed draft program guidelines for use by CCAT for the distribution of clean energy research funding to educational institutions and for small business incubator program grants for technology startups statewide
- developed recommendations, with the input of the President's External Committee on Commercialization, to increase opportunities for UCONN to support technology transfer and industry research and development needs
- worked with the President's Internal Committee on Commercialization to address issues and practices impacting faculty involvement in commercialization
- developed and implemented a new University Policy on Leasing which was approved by the board of trustees to assure that all new leases and lease renewals with companies located on campus in academic space are managed in a fashion consistent with TIP practices and University policies
- partnered with the School of Engineering and recruited funding sponsors, CI and BEACON, to organize a successful Bioengineering Forum and reception to bring together faculty from UCHC and Storrs as a first step towards increased interdisciplinary research and commercialization.

Center for Science and Technology Commercialization

As a component of the Office of Technology Commercialization, the Center for Science and Technology Commercialization (CSTC) has responsibility for managing the University of Connecticut's intellectual property including both the main campus in Storrs and the Health Center campus in Farmington.

CSTC actively seeks to identify technologies with commercial potential by meeting with faculty. Faculty members are identified based upon the titles of their grants and manuscripts which are monitored on a regular basis. Additional faculty members are identified based upon the recommendations of their colleagues. As an indication of this activity, during FY08 the CSTC professionals had over 150 meetings with faculty; about 100 of these were with Storrs faculty.

The CSTC is involved with University/industry negotiations dealing with intellectual property. This is done in coordination with the Office of Sponsored Programs on the Storrs campus and the Office of Research and Sponsored Programs at the Health Center. In FY08, the CSTC was involved in 39 such negotiations, 27 for Storrs faculty. Not all negotiations involve monetary research support (some involve acquisition of research reagents, tools, compounds, etc.), but for those that did, funding was \$4,080,123, of that, \$3,167,980 was for Storrs faculty.

The CSTC makes itself available to share its expertise in a teaching role, as well. Dr. Gallo presented Patent Issues in Biotechnology and Dr. Goodwin presented Responsible Conduct in Research to Molecular and Cell Biology students.

The CSTC also reviews technologies that have been disclosed by means of Invention Disclosures. In FY08, the CSTC received 77 disclosures including 14 from the Health Center. The CSTC filed 30 new US patent applications, 3 of these by company partners; 25 (83%) were by Storrs faculty. The inventions come from a

Office of Technology Commercialization

diverse array of departments. In FY08, \$860,276 was spent on patent protection, \$599,514 (70%) on Storrs inventions.

It is one of the CSTC's goals to put the University's intellectual property into the hands of those commercial entities that will actually bring products containing such intellectual property to market. To that end, in FY08, 17 licenses and options were completed. The technologies covered by such agreements include shape memory polymers for orthodontics and toys, glaucoma diagnosis, coated suture technology, aids education video, and immune adjuvants.

Revenue from the cumulative 41 licenses and options producing income in FY08 was \$1,029,788 of which \$448,026 was associated with Storrs technologies.

Although not available for basic research, another means by which the CSTC tries to increase the marketability of University technologies is by overseeing the use of prototype funds. Five projects were approved for funding at a total amount of almost \$313,188. The projects deal with electrochromic devices, shape memory polymers, dietary response and genotype, small molecule drug discovery, and an artificial retina.

The success of any commercialization office, not just the patents and licenses arm, depends upon quality invention disclosures. Faculty interested, experienced and committed to seeing their work in the market place are a key resource of the University. CSTC continues to work with current faculty members and potential industrial partners to increase interest on the faculty's part in commercialization.

University of Connecticut Research & Development Corporation

The University of Connecticut Research & Development Corporation (UCONN R & D) is a for-profit subsidiary of the UCONN Foundation that initiates new business start-ups based on innovative technologies developed by the faculty and staff. UCONN R&D serves faculty by allowing them to engage in commercialization without the burden of operating their own company. By providing the analysis, planning, leadership needed to develop a company and pursuing capital to launch it, UCONN R&D helps faculty enjoy the benefit and satisfaction of seeing their technology reach the marketplace while still pursuing academic endeavors.

Companies:

Renzulli Learning Systems, LLC is a web-based learning coach that allows teachers to use differentiated curriculum in the classroom by creating an individualized assessment of each child's interests and preferred methods of learning.

- sales for Fiscal Year 2007 exceeded \$3,000,000, a 100 percent increase over FY 06
- sold in 41 states
- implemented in more than 1,500 schools across the US
- 80 full and part time employees

New Ortho Polymers, Inc. is working with a patented shape memory polymer technology to create new orthodontic appliances. The company is also completing research on a patented technology that will result in an improved and aesthetically appealing arch wire.

- won \$100,000 Phase I STTR grant and \$50,000 state grant from DECD
- \$250,000 investment from Connecticut Innovations
- UCONN PhD student hired full time

Office of Technology Commercialization

Synaptic Dynamics, Inc. is developing drugs that promote the clearance of protein accumulations at neural synapses found in Alzheimer's disease.

- new compounds developed under prototype funding grant
- resubmitted STTR application on April 4, 2008 to NIH/NIA.

VENOMIX, Inc. an agricultural biotechnology company is developing the next generation of insecticides for an environmentally conscious 21st century. Based on a new source of toxins, these products will target novel sites of action in insects and will be safe to non-target species. Recently, the company completed a Series A financing with SWMF Life Science Venture Fund, LP for \$2.25 million.

- \$6.5 million raised in financing
- field testing in process
- EPA product registration being planned
- Chemtura expanding project scope

New Opportunities being Assessed / Developed:

Treatment for Cardiac Failure

Dr. Bruce Liang, Director of the Pat and Jim Calhoun Cardiology Center, in conjunction with the National Institutes of Health, has identified a new target and class of compounds to treat cardiac hypertrophy and failure. UCONN R&D is seeking funding to complete large animal studies (canine) and perform preliminary toxicology testing.

Active Toy Technologies

Utilizing shape memory polymers (SMP) developed at the Institute of Materials Science, UCONN R&D is partnering with a toy development company to develop action figures based on these new polymers. The first phase is to complete three to four prototypes that demonstrate the feasibility of SMP in several toy concepts. The company recently secured \$45,000 in prototype development funds.

Applications for Photoactive Proteins

Dr. Robert Birge, Harold S. Schwenk Distinguished Professor of Biophysical Chemistry, is researching genetically engineered bacteriorhodopsin. Bacteriorhodopsin proteins generate an electrical pulse when photo-activated. The Birge Lab manufactures variants of the proteins and screens them to optimize their photochemical properties. UCONN R&D is working with the Birge Lab to create a working prototype of an artificial retina that uses these proteins. Dr. Birge recently received \$65,000 in financing from the UCONN prototype fund for development of an artificial retina device in order to establish proof-of-concept.

Other Faculty Discussions:

	2007-2008
• faculty consultations	25
• faculty reviews	8

Technology Incubation Program

The TIP was developed, with the guidance of a University-wide Incubator Management Committee, to support technology transfer, collaboration, and to provide students and faculty with a supportive entrepreneurial environment. It provides startup sized space, services, and procedures to help assure that all such relationships meet their full potential and are in compliance with University policies. TIP policies and procedures follow national best practices as outlined by the National Business Incubator Association including a rigorous

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application process involving a review of business and technology information provided by the company and an interview with company founders.

- that the relationship with the University will be beneficial to the goals of the University
- there is a plan in place for the company's operation at the University with milestones to support accomplishment of mutually beneficial goals by the end of the lease term
- justification for admission to the program through a written assessment of the company
- progress made against milestones

TIP aims to nurture the successful startup of high-tech companies at UCONN through the provision of services delivered through mentors, advisors and staff to support business and technical need of clients. The TIP makes the commercialization process easier for faculty and provides a structure needed to avoid potential conflict. The TIP is also designed to be the first home of UCONN R&D companies and others collaborating at the University.

New TIP firms:

- *Revegen* joined the TIP in March and is a research-based pharmaceutical company that identifies new therapeutically active molecules through novel, proprietary technology – PDICAD – improving the efficiency of the drug discovery process.
- *Escientia* joined the TIP in January and is a contract research organization that collaborates with R&D departments of biotechnology and biopharmaceutical companies to discover and develop new medicines. The company will also engage in its own new drug discovery agenda to treat tropical diseases such as malaria. It is envisioned that Escientia can support faculty projects involving drug discovery.
- *Arbor Fuel* came to the TIP with the support of Professor Richard Parnas. The company will provide technology for production of bio-mass based butanol and may eventually mass produce cost-competitive biofuels and solvents using proprietary microbial cell lines.
- *NativeNano* joined the TIP at Avery Point in June and is developing a novel modular low cost system that produces clean sustainable electrical energy utilizing relatively slow water flow across an airfoil.
- *Amastan* was formed by Dr. Kamal Hadidi of MIT, and with Eric Jordan of Mechanical Engineering, has obtained a grant of \$2.7 million from DARPA for the production of infra-red optical windows.

Firms TIP continues to support:

- *MAK Scientific* is investigating medications based on cannabinoid technology developed by former UCONN Professor Alexandros Makriyannis. MAK is in discussions, regarding their UCONN technology, to reach agreement with two major pharmaceutical companies.
- *Catelectric Corporation* is collaborating with Professor Steven Suib in chemistry and is developing catalytic systems for qualitative advances in pollution control and hydrogen generation. However, new discoveries have lead to new market opportunities and new UCONN owned IP.

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- *Lifepharms* is researching natural products for medicinal and agricultural uses, including anticancer and pox virus medications and employs UCONN students in the process. They expect to graduate from the Avery Point facility in 08, but a site has not been identified.
- *Conversion Energy Enterprises* specializes in design and development of medical systems utilizing advanced concepts in electronic lasers and biomaterials with a focus on laser assisted joining of tissue. CEE spin out, LumeNora, is pursuing FDA approval and commercialization for an ophthalmic application of CEE technology. Graduating by November 08 as they are considering several sites to establish a GMP facility.
- *MysticMD™ Inc.* is leveraging specific attributes of carbon nanotube based conductive coatings for applications in power, security, medical, and performance coatings markets. The company is collaborating with the Global Fuel Cell Center and others in the School of Engineering. MysticMD sponsors an endowed scholarship at Engineering and has spun out a new company, Native Nano to support hydro energy applications that located at Avery Point.
- *New Ortho Polymers, Inc.* (“NOP”) is a start-up company launched by UCONN R&D Corporation focused on the orthodontics industry based on the Shape Memory Polymers and working with Charles Burrstone and Jon Goldberg.
- *Agrivida* is an MIT startup that is developing improved corn varieties that are used to produce environmentally friendly fuels such as ethanol. Agrivida is active in the UCONN Bio-fuels Consortium and employs a minimum of two students per semester. In addition they fund one full time University greenhouse worker.

TIP Graduates:

- *UCONN R&D company, Venomix*, graduated from the TIP last summer.
- *AllerQuest* was established by a team including Emeritus Professor Charlotte Ressler, specifically to further develop and produce skin test reagents to safely and accurately identify patients who are at risk for potentially life threatening reactions to penicillin antibiotics. The firm has developed a GMP facility in Plainville to support production and sales of their first product Pre-Pen.
- *Evergen Biotechnology*, founded by UCONN Professor Jerry Yang, to improve dairy productivity and commercialize transgenic technology, graduated in July 08 and is now located in Vernon, CT. They will continue to collaborate with the CRB on grants and to further their transgenic animal work.

Firms grandfathered into the TIP program through a new University leasing policy:

- *OSCI/Biorasis* - - formed by Faquir Jain and Fotios Papadimitrakopoulos to commercialize a minimally invasive glucose sensor
- *OPEL* - a company based on technology developed by of Geoff Taylor

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- *ImCorp* - a company based on UCONN technology from IMS led by emeritus professor Matthew Mashikian.

There continues to be strong demand for TIP space and services. We currently have three new applicants seeking space at the TIP and have already accepted a strong candidate, Affinimark, to fill the Evergen space. State and federal earmarks will provide over a million dollars to expand space at the Avery Point campus for TIP use. Plans for renovations to the 400 Farmington Avenue site acquired last year will include a significant space for TIP to replace the outdated UCHC incubator at building four. In addition, three rooms have been offered to the TIP at the Longley building for incubation needs in Storrs.

The Tech-Knowledge Portal

The Tech-Knowledge Portal is an Economic Development Administration grant-funded program to encourage the growth of technology-based businesses and jobs in the state. It works to promote a culture of innovation in Connecticut, and to support both entrepreneurs and existing businesses by coordinating access to the technical capacity of the University in mutually beneficial programs. Clients benefit from faculty consultants, access to specialized labs and equipment, technology licenses, business incubation space and services, joint pursuit of grant funds, and custom designed projects that utilize UCONN students and interns.

The major role of the Portal is to provide client support in ways that also benefit UCONN. A particular emphasis is on using MBA graduate assistants to provide direct technical assistance for clients who may have a strong technology or product concept but need help in the development of a business plan, marketing strategy, or in generating lead customers. While not an exhaustive list, some illustrative examples of 2008 projects include:

- *Technoria Inc.* - A startup software company that will design and launch a child-centered learning suite of products. Using an MBA student, the Portal conducted research for development of background data for the business plan including secondary research to understand the market space and why other firms have succeeded or failed in similar attempts.
- *Read Engineering / Hypocycloidal Crank* – a startup led by an experienced engineering and manufacturing supervisor, has a design for a new crank mechanism for an air pump. John Hanson reviewed the design concept and introduced the firm to Dr. Thomas Barber of mechanical engineering professor and head of the Senior Design program. John also met with the Senior Design students, and provided some advice and guidance about the issues associated with the design process. Students performed some analytical studies, assessing loads, mechanical loading and stresses, and estimates of efficiency, and are building the first prototypes and assessing the validity of their analytical models. John Hanson has been asked to sit on the Board of Advisors of Read Engineering, and will be providing some support as they pursue SBIR funding and the development of their business plan.
- *Chapco* – an established manufacturing firm offering design and quick small to medium lot size fabrication of complex sheet metal parts and assemblies. With increasing pressure on profitability, the firm's long-term viability is linked to shifting to super-specialized fabrication services, and a product offering. Chapco secured the licensing rights to a new technology. The Portal conducted research to help them understand the market segments for this new design, and other issues such as price / payback, and impact of energy

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distribution and costs. In addition, the Portal ranked regions where the market may be more favorable for pricing and highlighted a number of factors that need to be considered in launching a new technology into a mature market. The result of this work was a set of recommendations focused on targeting a defined market in a geographic region, offering a solid warrantee, and also offering a financing packing.

- *Dur-A-Flex* – an East Harford based firm that had successfully completed a lean production exercise in early 2007 with huge savings. As their productivity increased, Dur-A-Flex was seeking expanded sales to take advantage of the resulting additional capacity and productivity of the plant and workforce. An MBA student, focusing on one of the three product lines that Dur-A-Flex offered, conducted research that identified a critical gap in Dur-A-Flex's marketing plan, and helped the company find ways to tap the potential for upside sales and profitability growth.

While primarily servicing individual companies and entrepreneurs, The Tech-Knowledge Portal is collaborating with a number of Connecticut-based organizations, by attending and participating in numerous events and by sponsoring several. This allows the Portal to actively promote technology innovation and the UCONN brand at tech-related events. In addition it promotes the idea of commercialization to faculty providing contacts, knowledge, and services to support an interest in commercialization by faculty members.

Key Accomplishments in 2008:

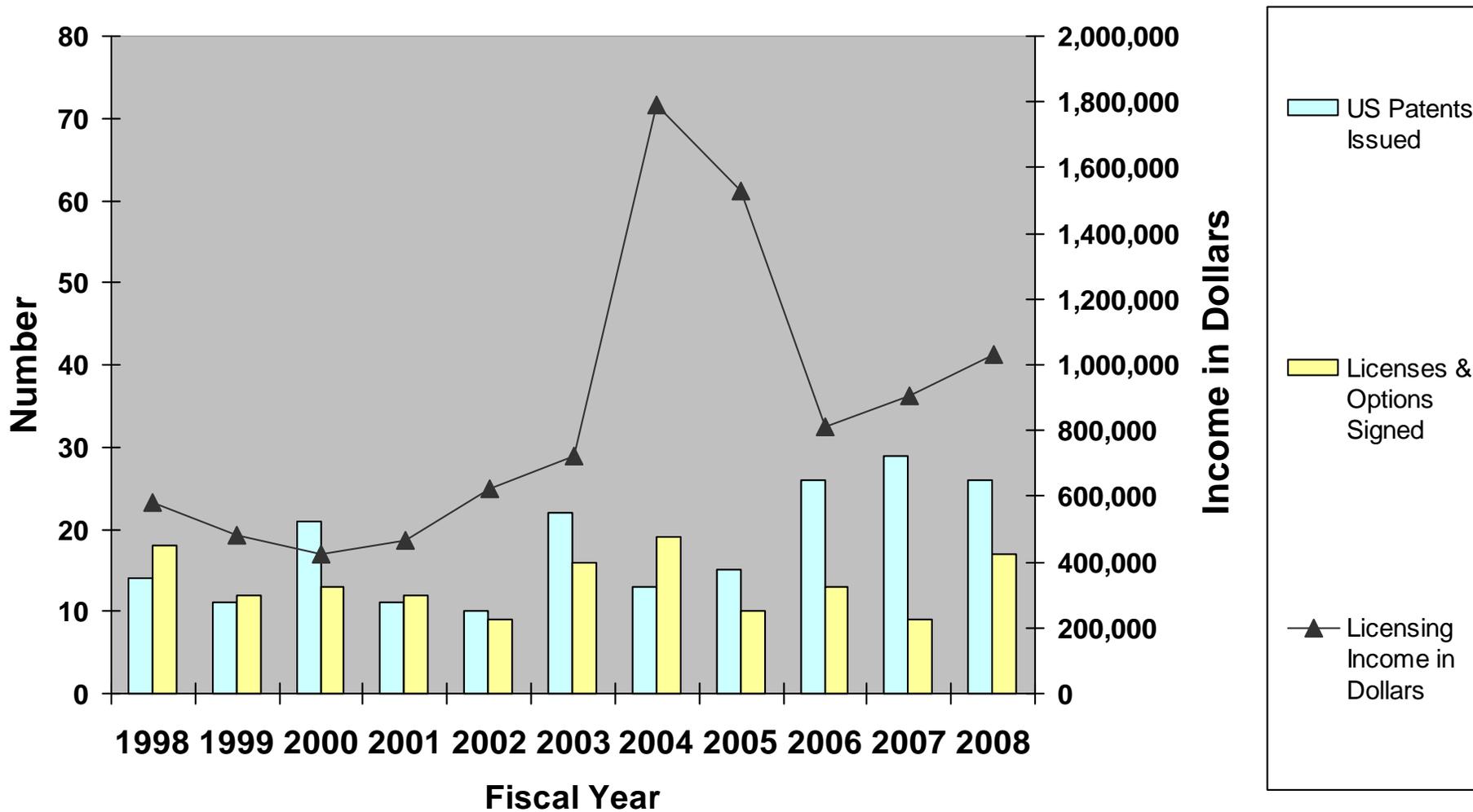
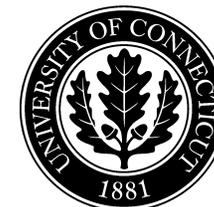
- obtained a commitment for \$60,000 in outside funding to support the program
- met all original EDA grant metrics and successfully competed for a new three year grant that will increase program capacity
- developed a new initiative aimed at helping distressed communities with environmental impediments and positioned it with EDA for an additional planning grant to be pursued in the coming year.
- conducted, with GA's, a review of web based technology marketing practices to guide OTC efforts to increase licensing
- developed a portfolio of clients reporting value from the program including one that anticipates a million dollars in new sales and another closing on a first round of angel funding

Summary

The OTC is helping UCONN fulfill the promise of a return on the state's investment in the University by developing new initiatives that will generate new technologies and economic development opportunities. New inventions, spin out companies, jobs, and collaborations are all an outgrowth of the work OTC has done this year. Further, the OTC has independently been awarded more than \$1.8 million in grants from state and federal agencies not including \$1.7 million in research grants to TIP firms. OTC achieved over \$11 million in private investment for UCONN startups, generated more than \$450,000 in preseed and seed level funding for faculty startups, negotiated OSP intellectual property related agreements valued at over \$4 million dollars impacting the payment of more than \$1 million dollars of indirect support for the University, and collects at least one million dollars annually in licensing income. However, despite these impressive numbers, we count as one of our greatest achievements the growing support and increased interest in commercialization by faculty, students and administrators. It appears that the culture of the University is changing as more and more people embrace commercialization as means to attract top notch faculty, increase research funding, and provide students with a superior educational experience.



CSTC Historic Metrics



State Appropriations (M)



Storrs & Regional Campuses

	<u>FY09</u>		<u>FY10</u>		<u>FY11</u>
Allotment	\$247.8	Request	\$259.1		\$271.1
Forecast	<u>239.0</u>	Gov Rec	<u>235.3</u>		<u>235.7</u>
	(\$8.8)		(\$23.8)		(\$35.4)
			(9.2%)		(13.1%)

Impact of Rescissions



Storrs & Regional Campuses

- While we would be guided by our Academic Plan, any rescissions would cause:
 - Continued hiring freeze
 - Negative impact on student accessibility
 - Reduction in course availability
 - Decreased student support services
 - Adverse impact on retention and graduation rates
 - Reduction in research and outreach
 - Diminished economic impact
- Will need to identify additional savings and revenues to maintain the UConn Promise!

Employee Tuition Waiver

- UCPEA (Article 35.2)
- Management/Confidential (Extended by the Board of Trustees)
 - Employees must be employed a minimum of 50%. The waiver is prorated to the percent of employment.
 - A waiver of tuition for undergraduate and graduate courses is on a space available basis.
 - There is no credit limit. The employee must be either a matriculated student or taking courses that are job related.
 - General University fees and other assessed fees as well as intercession, and summer session are excluded.
- Clerical- AFSCME (Collective Bargaining Agreement Memorandum of Understanding)
 - Employees must be employed a minimum of 50%. The waiver is prorated to the percent of employment
 - A waiver of tuition for undergraduate credit courses on a space available basis.
 - There is a two course limit per semester.
 - General University fees and other assessed fees as well as intercession, summer session and graduate courses are excluded.

Dependent Child Tuition Waiver

- AAUP (Article 19.IV.A.1)
- UCPEA (Article 35.2)
- Management/Confidential (Extended by the Board of Trustees)
- ROTC Teaching Faculty(Extended by the Board of Trustees)
- Law Faculty (Extended by the Board of Trustees)
- UNITE Dining Services employees (Article 26.9-employees with 10 or more years of satisfactory service)
 - Employees must be employed a minimum of 50%. The waiver is prorated to the percent of employment.
 - Dependent children of employees in above groups must be matriculating in an undergraduate program at UConn.
 - General University fees, room and board and other assessed fees as well as intercession, summer session and graduate courses are excluded.

Employee Spousal Tuition Waiver

- AAUP (Article 19.IV.A.2)
- Management/Confidential(Extended by the Board of Trustees)
- ROTC Teaching Faculty (Extended by the Board of Trustees)
 - The spouse of an eligible employee must be matriculating in an undergraduate program at UConn.
 - A waiver of tuition for undergraduate courses is on a space available basis.
 - There is no credit limit.
 - General University fees, room and board and other assessed fees as well as intercession, summer session and graduate courses are excluded.

COST, OPERATIONS, & REVENUE EFFICIENCIES (CORE) TASK FORCE INITIAL REPORT TO PRESIDENT HOGAN

I. BACKGROUND & OVERVIEW OF ACTIVITIES

The creation of the CORE Task Force was announced to the UConn community on November 10, 2008 via email from President Hogan, with the first meeting on November 13, 2008. President Hogan charged CORE with identifying cost-savings amounting to the equivalent of 3%-5% of the state appropriation and revenue enhancements equivalent to about 2%-4% of the state appropriation (see charge and membership roster in Appendix I)¹

CORE's primary purpose is to help the University of Connecticut effectively manage the increasingly difficult fiscal environment resulting from the economic downturn. Because of the urgency created by the economic situation, President Hogan asked CORE for recommendations by early-mid February, 2009, which identifies ways to reduce costs, enhance revenues and be more efficient. This document constitutes that initial report.

After receiving its charge, the Task Force began meeting weekly and quickly developed a process for soliciting suggestions to engage the community in its work and generate new ideas to save money, enhance revenues, and work more efficiently. A series of meetings were soon set up with key constituencies (see Appendix II for list of groups with whom CORE met) to listen to their suggestions, as well as their hopes and concerns about the economic impact seriously affecting the university. Additionally, in an effort to reach out to as many faculty, student and staff as possible, CORE held a series of town meetings on the Storrs and West Hartford campuses (see Appendix II for dates and times). The town meetings afforded an opportunity for CORE to share its work, and to hear suggestions, concerns, and hopes from staff, students, and faculty. The meetings were well-attended and led to a number of recommendations, which CORE continues to assess. In addition to these efforts CORE developed an interactive Web site: <http://core.uconn.edu/>, permitting members of the community to post ideas and suggestions. The Web site also provides a vehicle through which CORE can communicate to the community regarding its work and provide notification of events, such as the town meetings.

To date, CORE members have reviewed the more than 500 suggestions received from faculty, students and staff. While some of the suggestions are duplicative or similar, all reflect the UConn community's deep commitment to finding ways to responsibly address the fiscal challenges that confront us. CORE is grateful for the many suggestions and genuine interest in its work expressed by individuals throughout the University of Connecticut.

¹ As work progressed the committee decided that in light of the growing economic downturn that it should plan for a larger reduction of ten percent in cost reductions/revenue enhancements.

At this point, CORE's work will continue for the foreseeable future. Task Force members are still analyzing the suggestions to determine the cost-savings or revenue enhancement that might be achieved from them, as well as the timeline for realizing the results of various recommendations. Although there is more work to be done, CORE has arrived at preliminary findings, which should be immediately pursued. Additionally, in this initial report, the Task Force outlines other areas that should be explored further.

Before presenting our preliminary recommendations and additional areas for analysis we want to set forth key principles that CORE believes should guide the university's budget decision-making in FY 2010 and 2011.

II. BUDGET DECISION-MAKING PRINCIPLES

The origins of the budget decision-making principles are firmly rooted in the Board of Trustees Academic Plan which subsequently guided the development of CORE's adopted General Guiding Principles. They were further defined by discussions among CORE members and between CORE and members of the UConn community. These principles are intended to set forth a framework for decision-making.(Appendix III contains the CORE's General Guiding Principles) It is fully expected that as the Task Force's work continues they may be elaborated or expanded:

- Protect student access to UConn's outstanding academic programs, in particular by continuing to provide substantial support in the form of financial aid;
- Recognize the human effects of each budget action – including the potential that each action may have a cost in terms of jobs, although it may not be initially apparent – and avoid job losses, which place greater burdens on the economy and economic recovery;
- As each recommendation and budget action resulting from it is contemplated, carefully assess the long-term impact on the viability of our academic, research, and outreach missions, recognizing that short-term gains with long-term and potentially irreversible effects may not be prudent;
- To the extent possible, preserve the discretion of unit/department managers in implementing cost-saving/revenue-enhancing measures in response to University budget decisions;
- Recognizing that difficult decisions must be made and implemented, these decisions should be made and implemented with care and compassion.

III. PRELIMINARY RECOMMENDATIONS

The CORE Task Force recommends that UConn immediately begin to implement operational, staffing/workload, and academic/research changes to address an anticipated reduction in the FY10 state appropriation. CORE estimates that, together, the measures described below will generate an estimated \$5M - \$7M in cost-savings and revenues

yearly, on a continuing basis. These savings were identified in areas under the responsibility of the Vice President & Chief Operating Officer (i.e., “Operational Efficiencies”) and under the responsibility of the Executive Vice President & Provost (i.e., “Academic/Research Efficiencies”).

A. Operational Efficiencies

When President Hogan created CORE, part of his charge was to examine all university areas, especially the areas of energy utilization, facilities operations, procurement and logistical support, information technology, public safety and human resources. These services provide the needed support to carry-out the daily mission of a major research institution. Like other mid-size cities in Connecticut the University provides an array of vital services, from police and fire to building maintenance and snow-plowing, seven days a week, twenty-four hours a day. The University of Connecticut is a city that never sleeps.

The CORE Task Force received a number of suggestions from University faculty, students and staff regarding the operating areas mentioned above. The suggestions were read by the Vice President and Chief Operating Officer. They were reviewed to determine practicality and potential for improving efficiency, reducing costs or enhancing revenue. And in keeping with the spirit of engagement and employee inclusion members of several operating divisions spent time discussing ways they could reduce costs and operate more efficiently. These employees came up with a number of suggestions as well. What follows are immediate steps that can be taken to save on expenditures and generate revenues.

1. Energy

Recommendations on how to reduce energy consumption constituted the biggest number of suggestions from the university community. These recommendations coupled with changes recommended by facilities operations employees should lead to significant savings FY 2010 energy budget, and hopefully an even greater savings in FY 2011. They include:

- Adjusting building temperature set points and occupancy schedules.
- Continuing the re-lamping program already underway, which reduced energy use.
- Continuing, and if possible increasing, investments in repairs to building exteriors such as window replacements, which conserves energy.
- Using a hedging strategy to purchase future natural gas and electricity in order to bring predictability to utility costs and to moderate prices.
- Expanding outreach, education and awareness to students, faculty and staff to influence behavior to drive down energy demand and reduce costs.

- Participating in selling energy credits to determine if this is a potential new income source that can be used to fund energy reduction programs.
- If cost effective continue purchasing electricity that has as a component renewable energy from wind, sun or other alternative, renewable sources. In FY10 and FY11 the University can purchase electricity that is twenty-five percent green.

2. Facilities Operations

Several suggestions came to CORE related to landscaping and how recycling and planning in our operations can generate cost-savings. While some of these suggestions require further analysis, two that CORE believes can be immediately implemented are:

- Continuing to recycle such items as granite curbing and topsoil.
- Looking at campus areas to plant wild flowers in order to reduce the acreage currently mowed.

3. Purchasing

Suggestions in this category focused on changing/relaxing purchasing rules; pursuing strategies to reduce regulations that cause delays in procurement or increased costs; streamlining the workflow of purchasing goods and materials; pursuing e-procurement opportunities; and allowing more procurement control at the department level.

4. Printing

Aside from energy/conservation, the largest number of recommendations CORE received deal with printing. While much of UConn's printing reflects the need to communicate and disseminate information, the University can expand its use of e-mail and Web-based communications to the extent possible, eliminate duplicate distribution of brochures; and other print materials, and reduce the use of four-color printing and perhaps eliminate the extensive use of catalogues and directories, which are available (and can be kept more current) on-line.

B. Staffing/Workload

CORE received a number of suggestions related to staffing and workload. Most of these require further analysis, but one suggestion – expanding the Voluntary Schedule Reduction Program (VSRP) – could be immediately implemented. CORE recommends that it the VSRP be promoted as an immediately available option for employees.

C. Academic/Research Efficiencies

Our academic and research missions are at the heart of our identity as a public land-grant university. The activities involved in these missions are under the oversight of the Executive Vice President & Provost and the President. Many suggestions CORE has received emphasize the importance of protecting the quality and accessibility of our academic programs and research work. Yet, staff, students, and faculty also made a number of suggestions regarding how these programs are implemented and revealed important ways that they can be expanded (to generate new revenues and even enhance accessibility), streamlined (to create greater efficiencies without undermining quality or accessibility), and how budgets for them might be more effectively and efficiently managed.

The Executive Vice President & Provost reviewed suggestions involving academic and research affairs and identified ones that might be immediately put in place. Others were marked for further consideration and analysis (and appear below in Section II of our report). The following recommendations reflect actions that CORE believes could be immediately implemented.

1. Enhanced Summer Session

Students are increasingly interested in summer and intersession opportunities. These additional academic sessions provide opportunities for students to “catch-up” if they have fallen behind (or to even “get ahead”) in their degree progress. There appears to be a robust demand for additional offerings, particularly in our summer session. Enhancing the summer session would generate additional revenues and increase student accessibility to our programs and a UConn degree.

2. Research Foundation Reallocations

Currently, the University of Connecticut generates revenues from our research operations (e.g., in the form of indirect cost recoveries and from other sources). These funds are managed by the University of Connecticut Research Foundation and used in conjunction with other university funding to support an array of research-related needs, including bridging funds for grants, start-up funding for new faculty, seed funding for promising scholarly work, and resources to support proof-of-concept projects that are critical to enhance the competitiveness of subsequent extramural grants. Although earmarked for these kinds of uses, the funds are not always deployed in a timely fashion. By more completely allocating the funds on an annual basis (as opposed to allowing them to unnecessarily lie dormant), we can promote the ongoing vitality of the research enterprise, without relying on alternative funding sources for the above kinds of important research needs.

3. Graduate Assistantship Review

Currently graduate assistant appointments are handled at the unit-level, with very little institutional policy governing such aspects of their appointments as the number of hours worked, workloads, or funding sources. There is substantial variation across UConn regarding how graduate appointments are managed and the expectations for students in their appointments. It was suggested to CORE that the organization of graduate assistantships should be reviewed, with the goal of achieving consistencies within broad disciplinary grouping and ensuring that student appointments provide a livable stipend.

IV. CORE RECOMMENDATION

The CORE Task Force recommends that the University immediately take steps described above to realize the recurring annual savings, efficiencies, and revenues that may generate on an annual basis an estimated \$5M - \$7M by the end of FY10.

V. TOPICS & AREAS FOR CONTINUING REVIEW & CONSIDERATION

The CORE Task force recommends that the above suggestions be implemented as soon as possible. Also there are suggestions that have come to CORE's attention, which require further analyses to ascertain the potential for cost savings, revenue enhancement and work efficiencies. These suggestions fall into four categories: operations actions, personnel actions, program actions, and tuition/fees. These recommendations concern areas that are complex. Actions in any of them may be far-reaching and could have unanticipated and perhaps undesirable effects. As such they require more analysis and discussion, but should remain "on the table" for consideration.

A. Operations Actions

Several promising suggestions are worthy of further analysis to assess cost-savings in the area of operations, including eliminating uniforms, purchasing trucks with smaller engines, charge Athletics for hours worked by UConn Police & Fire personnel during athletic events, not using SUVs as part of the public safety fleet, eliminating printing of pay-stubs and centralizing I-9 form preparation.

Another area of operations for which CORE received a number of suggestions we continue to analyze is the area of University Information Technology Service. These recommendations reflected the relative merits of centralization vs. decentralization of information technologies on campus (e.g., e-mail, servers, and services, such as the help desks), as well as the potential for out-sourcing e-mail and other technology services. CORE recommends continuing to examine these suggestions.

B. Personnel Actions

1. Wages & Benefits

The compensation and working conditions of the majority of UConn's faculty and staff are governed by collective bargaining agreements. These agreements specifically cover wages and benefits. While CORE respects these agreements, we recommend that management and the unions with which we bargain directly maintain open lines of communication regarding if/how they might seek common ground regarding revisions to these agreements as the University seeks to protect its employees, while navigating the difficult fiscal environment.

CORE also recognizes that statewide bargaining is underway with SEBAC and the outcome of those negotiations may also have an effect on the University's operations and finance. We urge the University administration to closely monitor these discussions. Should programs that save funds in wages and/or benefits come to fruition, it will be important for any savings to be reflected in UConn's budget.

While CORE is respectful of the collective bargaining process currently underway with the SEBAC units, our recommendation is for all university employees to become a part of a plan to resolve our budget difficulties by forgoing some or all of their 2010 wage adjustments.

2. Staffing/Workload

The CORE Task Force received suggestions related to examining scheduling alternatives. Four-day work weeks, examining course loads, and exploring such options as telecommuting and flex-time have been brought to the Task Force's attention. Suggestions also include looking at days/hours worked (e.g., whether staff and faculty are assigned work days/hours that collectively address the University's needs and fully leverage our facilities).

To the extent that current collective bargaining agreements provide for alternative scheduling, which may better leverage use of our facilities, CORE recommends further study of these possibilities, considering those options within the framework of the appropriate contract.

Some scheduling alternatives also require bargaining with the appropriate union. CORE encourages the University to consider responsive options within the context of collective bargaining.

C. Program Actions

The value of a UConn degree is deeply embedded in the quality of our programs and their accessibility to our students. While CORE recognizes that difficult budget decisions need to be made regarding such matters as tuition/fee rates and cuts to program budgets, we urge that great care be taken to strike a balance between these decisions. For example, although CORE recognizes in the difficult fiscal environment the University is confronting, tuition/fees may need to be increased at rates above the norm of recent years to offset dramatic rescissions to our state appropriation and to protect quality and access to programs. On the one hand, too limited an increase of tuition/fees, may result in cuts to programs, which for instance, compromise students' ability to graduate in a timely fashion and consequently result in an overall increase in costs for them and their families, while also undermining the quality of their education. On the other hand, tuition/fee rates should not be increased so much that they undermine student access by shifting the full burden of any rescission to the state appropriation to students and their families.

1. Unit Rescissions

In FY09, units across the University were asked to absorb a 3% rescission to their operating budgets. While this reduction was very difficult, there was a certain amount of "necessity is the mother of invention" that led to some operating efficiencies. While further rescissions at the unit level will be very difficult, they should not be removed from consideration. CORE also notes, however, that further unit rescissions may curtail some programs which could effect quality, limit student accessibility, and/or necessitate lay-offs. Consequently, unit rescissions should be pursued only with great caution and with attention to the budget decision-making principles outlined above.

2. Program/Unit Closures and Consolidations

CORE has been alerted to programs and units, which may have unnecessary redundancies and inefficiencies in their operations. For instance there are multiple programs related to the same area of study/research; some majors have low enrollments; and some centers/institutes appear to involve very low activity. CORE believes these programs/units should be carefully examined and decisions made based upon their academic quality and centrality as opposed to size. In some cases consolidation may allow the University to enhance the programs, building on their strength and contribution to the University and beyond. In other cases, they may be candidates for closure. It should be noted that closure of programs would be pursued for academically strategic reasons rather than for any short term financial advantage. It should be understood that savings from closures may be limited and may not be realized for a long period of time. Nonetheless it is prudent to begin examining them now.

D. Tuition/Fee Adjustments

As noted, above, CORE recognizes that difficult budget decisions need to be made regarding tuition/fee rates, which must be balanced with decisions regarding program budget cuts. While tuition and fees can serve as a kind of gatekeeper to a university – effectively making it difficult or impossible for some highly qualified students and their families to become members of the UConn community-- it is also important to recognize the value of a UConn degree and have that value adequately reflected in our tuition and fees. CORE notes that this value is embedded in the quality of our programs and their availability to students as they pursue their degrees.

Recognizing the difficult fiscal environment the University is confronting and seeking to preserve accessibility and the value of a UConn degree, CORE recommends that a tuition increase ranging up to 5 to 10 percentage points higher than in recent years remain a consideration to the extent needed to preserve program quality and accessibility, should UConn confront a rescission on the state appropriation of a commensurate amount (e.g., 5%-10%). While such a percentage-point increase in tuition would not absorb the equivalent percentage rescission in state appropriation, it would facilitate the strategy of balancing program quality and accessibility with risks to affordability, as described above.

It is also important to emphasize that through specific financial aid set-aside policies and gauging tuition according to the prospects for future earnings, UConn can establish fair policies that protect accessibility, while generating the revenues it needs to continue to provide an exemplary curriculum for students. CORE believes it is important for the University to consider such avenues as differential tuition (for majors and level of study) and whether financial aid set asides are appropriately addressing need and accessibility.

VI. CONCLUSIONS

An extremely challenging economic climate is enveloping the nation, state, and University. We believe that institutions of higher education, such as the University of Connecticut, can help address the current economic down-turn and reverse the severe recession the nation is in. UConn, with its dedicated staff, students, and faculty, is well-positioned to identify creative as well as practical strategies for addressing the financial challenges we will face in FY 2010 and 2011. This preliminary report is intended to provide President Hogan with creative yet practical, down to earth recommendations that will reduce costs, improve our efficiency, and where possible enhance our revenues. CORE realizes that there is more work to be done and wants to be a part of an on-going university effort to become more efficient, reduce costs and identify new sources of revenues. We therefore respectfully request the President's support for continuing to work on the areas listed in Section V of this report.

In closing this preliminary report, we'd like to express our thanks to the faculty, students, and staff who have stepped forward with creative and constructive suggestions which were offered in the spirit of help, support and cooperation. We are impressed by the innovativeness, sense of stewardship, and extraordinary compassion that is represented in the suggestions and ideas offered by the many individuals who have communicated with us. It is a testament to the exceptional integrity of our community, the commitment of our students and UConn employees to excellence, and our deep respect for responsible stewardship of the resources entrusted to us by the people of the State of Connecticut.

Peter J. Nicholls
Provost

Richard D. Gray
Chief Financial Officer

Barry M. Feldman
Chief Operating Officer

Respectfully submitted this 6th day of February 2009 by:

CORE Task Force Members:

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Vice President & Chief Operating Officer

Richard Gray, Co-Chair
Vice President & Chief Financial Officer

Peter Nicholls, Co-Chair
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Winthrop Smith
Professor of Physics
Chair, University Senate Budget Committee

Lysa Teal
Director, Budget Office

Lisa Troyer
Sr. Associate to the President
Chief of Staff



University of Connecticut
Office of the President

Michael J. Hogan
President

MEMORANDUM

DATE: NOVEMBER 10, 2008
FROM: MICHAEL J. HOGAN
TO: COSTS, OPERATIONS, & REVENUE EFFICIENCIES (CORE) TASK FORCE
RE: CORE TASK FORCE CHARGE

The financial challenges currently confronting the State of Connecticut resulting from a global economic downturn are already being felt by the University of Connecticut in the form of a 3% rescission on the FY09 state appropriation to the University (totaling over \$12M). The downturn is unlikely to be momentary and subsequent recovery may be lengthy. Consequently, UConn should anticipate and prepare for potentially substantial permanent rescissions on its state appropriation over at least the next two budget cycles. As we plan for and manage rescissions, it is critical that we do so while protecting core academic programs and strategic priorities. We can do this, in part, by carefully reviewing current budgeting and operations practices, aggressively seeking efficiencies in these practices, and identifying opportunities for enhancing revenues the University receives outside of state appropriations and tuition/fees.

With this goal in mind, I am appointing a special Costs, Operations, & Revenue Efficiencies (CORE) Task Force, which will be charged with undertaking such a review. The Task Force will aim to identify annual institutional cost-savings on expenditures amounting to the equivalent of 3%-5% of the state appropriation and annual revenue enhancements outside state appropriations and tuition/fees of 2%-3%.

The Task Force will examine all program/activities that receive some or all funding through state appropriations and assess (1) availability of alternative funding sources that might support the programs/activities; and (2) relation of programs/activities to core programming and to UConn's strategic priorities. Domains that the Task Force will explore to achieve the cost-savings and revenue enhancement targets may include (but are not limited to):

- Budgeting
- Productivity
- Purchasing & Procurement
- Utilities/Energy
- Information Systems
- Workflow

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The Task Force will be comprised of faculty, staff, and administrators and will be co-chaired by Vice President & Chief Financial Officer Rich Gray, Vice President & Chief Operations Officer, Barry Feldman, and Executive Vice President & Provost, Peter Nicholls. It will internally assess UConn's processes and policies in the above domains and in others it deems as candidates for efficiency, cost-saving, and revenue enhancement. It will also review budgeting and operations in these domains at comparable organizations (e.g., public research universities), as well as efficiency, cost-savings, and revenue enhancement strategies that comparable institutions may be implementing to identify "best practices" that may be adopted by UConn. The Task Force may also pursue additional strategies for achieving the cost-savings and revenue enhancement targets at its discretion. The Task Force will consult with stakeholders in the domains it examines.

By Spring 2009, the Task Force will issue a first report to the President that:

- Identifies concrete avenues for realizing cost-savings and revenue enhancements;
- Estimates the amount of savings/revenues associated with each avenue;
- Suggests a timeline over which those savings/revenues can reasonably be achieved;
- Outlines risks or disadvantages that the avenues may pose for the University and the constituencies it serves.

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APPENDIX II

CORE
Guest Speaker List

Enrollment Management	December 2, 2008
Undergraduate Student Government Representatives	December 9, 2008
AAUP Representatives	January 6, 2009
UCPEA Representatives	January 13, 2009
Student Affairs	January 20, 2009
AFSCME, NP-2 and NP-5 Representatives	January 27, 2009

CORE
Town Hall Meetings

December 3, 2008	1:00 p.m. – 3:00 p.m.	Dodd Center, Storrs
December 10, 2008	11:30 a.m. – 1:30 p.m.	Library Auditorium, West Hartford
December 11, 2008	4:00 p.m. – 5:00 p.m.	Bishop Center, Storrs
January 22, 2009	3:00 p.m. – 5:00 p.m.	Dodd Center, Storrs

Appendix III

CORE Task Force**Guiding Principles**

1. *Primacy of The Academic Plan.* It is important to state at the outset that our thinking must be guided by the vision for the University that is set out in the Academic Plan. Recall that the Plan articulates goals and strategic steps that will advance the University's standing in five interrelated areas. As stated in the Plan, it is important to remember that in each of these areas, the goals articulated must also guide the way resources are allocated or reallocated. In other words, the goals pursued and the resources available must be aligned with each other, rather than at odds, or the plan will not succeed. The five interrelated areas are:

- Undergraduate Education
Engage our undergraduates in an intellectually challenging and diverse learning environment that combines excellent opportunities in the liberal arts and sciences with strong pre-professional education, co-curricular activities, and research collaborations with members of the faculty.
- Graduate and Professional Education
Sustain and develop select graduate and professional programs of national and international distinction.
- Research, Scholarship, and Creative Activity
Enhance the benefits to the state, nation, and world from faculty, staff, and student research, scholarship, and creative activity by increasing productivity, building on our existing strengths and focused areas of excellence, developing a stronger extramural funding portfolio, and expanding the infrastructure that supports research and strengthens our ability to translate new discoveries into practical applications, including our capacity in the area of technology transfer.
- Diversity
Ensure an enriched learning and work environment by creating a

more inclusive community that recognizes and celebrates individual differences.

- Public Engagement
Enhance the contributions of UConn faculty, staff, and students to the state, nation, and world through appropriate collaboration with partners in both the public and private sectors.

2. *Academic Priorities.* As the CORE group considers priority areas related to academics, we must focus on programs, units, and activities that are of the highest quality and that are central to the core mission and culture of the University. We expect such programs, units, and activities to be characterized by:

- Sustained high-levels of demand from undergraduates;
- Ability to address workforce needs within the State of Connecticut;
- A strong upward trajectory toward national and international prominence in the quality and quantity of faculty research, scholarship or creative work;
- Outstanding graduate and/or professional students who are able to compete successfully for extramural fellowships and awards and obtain tenure-track positions in academia, competitive post-doctoral positions or highly sought employment in public or private sector organizations upon timely completion of their degrees;
- Visionary leadership that demonstrates strategic fiscal stewardship;
- Potential to generate extramural funds through grants, contracts or philanthropy;
- Capacity to contribute in concrete ways to multiple strategies articulated in the Academic Plan.
- In making cuts and reductions, all other activities of the University, as worthy as they might be, must be considered as ancillary to the academic functions. Budgetary allocations or reductions should be imposed in a manner that protects the University's ability to move forward in execution of the Academic Plan.

3. *Income Generating Potential.* In making all of its recommendations, the CORE group should consider the following:
 - a. In making budget reductions, the availability of alternative external funding for various programs should be considered. Programs that can support themselves by securing contributions, seeking grants, or charging fees (insofar as those fees do not simply come out of other unit's budgets) might be expected to absorb larger budget reductions than other programs.
 - b. At the same time, if a program or activity is asked to take on a larger part of the burden of funding itself, it should be given significant support in developing a plan for reaching that goal. The UConn Foundation should be asked especially to provide assistance and fundraising opportunity for programs that are asked to raise private support. The Foundation should be flexible enough in its policies and practices to provide assistance for programs that may not previously have participated in Foundation activities.
 - c. To the extent possible, phasing in reductions over 2-3 year period may be appropriate for units that are asked to find more of their own support. In addition, it is important to recognize the ability that some units may have to generate revenue for the institution. To the extent that this happens, consideration should be given to the wisdom of reducing allocations to such a unit.
4. *Evenhandedness.* Reductions and reallocations should be thoughtfully considered across all levels and units of the University and consideration of reductions and reallocations should remain mindful of the long-term (a) impact on the mission of the University, (b) well-being of its constituencies, and (c) quality of its programs.
5. *Diversity.* Our commitment to being a diverse and inclusive institution should not be compromised as we consider budget reductions. Our budget priorities should reflect our core value to form a richly diverse and intellectually stimulating community. Adversely impacting our diversity efforts on campus ultimately weakens our institution of higher learning.
6. *Effectiveness.* Recommendations for budget cuts should be made with attention to avoiding cost shifting. Recommending that a particular program or unit cut

its costs does not do any good if that program or unit simply shifts those cuts by taking steps to impose higher costs on other units.

7. *Structural changes to save costs.* The Task Force should be considering the possibility of cost savings that may be secured by broad policy decisions, including such things as a) consolidation of related services that are provided at multiple points within the University, b) hiring freezes or campus-wide furloughs, or c) structural changes in retirement and benefits policies.

**COST, OPERATIONS, & REVENUE EFFICIENCIES (CORE) TASK FORCE
INITIAL REPORT TO PRESIDENT HOGAN
ADDENDUM
(2/9/09)**

As indicated in our initial report, we believe that cost savings and revenue enhancements totaling about \$5M-\$7M can be achieved by the University of Connecticut by the end of FY10. Following is a breakdown of these savings/revenues in the areas described in our initial report. We recommend implementing the actions described in the report to obtain these savings and revenues.

A. *Operational Efficiencies*

- 1-2. Energy Savings/Revenues & Facilities Operations \$1,800,000 - \$2,500,000**
- 3. Purchasing \$150,000 - \$350,000**
- 4. Printing \$200,000 - \$300,000**

B. *Staffing/Workload*

- 1. Voluntary Schedule Reduction Program \$100,000 - \$250,000**

C. *Academic/Research Efficiencies*

- 1. Enhanced Summer Session \$750,000 - \$1,000,000**
- 2. Research Foundation Reallocations \$750,000 - \$1,000,000**
- 3. Graduate Assistant Review \$1,250,000 - \$1,750,000**

TOTAL \$5,000,000 - \$7,000,000

Question #12: What would happen if JDH were closed and what would be the potential savings?

On its face this question appears simple however it is not.

John Dempsey Hospital does not receive any predictable appropriation from the general fund. JDH has received deficiency appropriations over the successive years in the \$20 - \$22 million range and in FY 2009 \$3.6 million was appropriated to cover a portion of the differential in fringe benefit costs that occurs as a result of a higher fringe benefit rate paid to state employee's vis-à-vis the private sector. On a base level it can be assumed that upon a complete shut down of the hospital these appropriations will no longer be required and the state would save these amounts.

The more complex the analysis the more issues are raised by a proposed closure. The following represents only a partial list.

An application to the Office of Health Care Access would be required to close the hospital and the filing of this application would likely cause a serious drop in admissions causing even greater deficits as there would be less volume to cover the fixed and staff costs required by regulation whether there are few patients or many. These deficiencies would have to be covered by an additional state appropriation.

Approaching the closure from an employment viewpoint, the loss of in excess of 1,400 jobs in this period of recession would affect not only the livelihood of many families and would likely result in the loss of significant tax revenue to the state even assuming a portion could be reemployed in the healthcare field.

A shut down would also require that patients be transferred to other hospitals in the area and given the high Medicaid payer mix of JDH acceptance of these patients by other health care providers would place an increasing financial burden on these institutions which may request additional reimbursement levels from the state.

A specialized economic impact study would be required in order to determine the full effect of ceasing operations at JDH.

Question #13:									
CURRENT STATE CONTRIBUTION TO JOHN DEMPSEY HOSPITAL (Based on the Governor's Proposed FY10 and FY 11 Budgets)									
		2004	2005	2006	2007	2008	2009	2010	2011
		Funded	Funded	Funded	Funded	Funded	Funded	Requested	Requested
General Fund		0	0	0	0	0	0	0	0
Fringe Benefit (FB) Differential (Comptrollers FB Account)		0	0	0	0	0	3.6	13	14
Deficiency		0	0	0	3.9	14.9	16	8*	16*
Total					3.9	14.9	19.6	21	30
PROPOSED STATE CONTRIBUTION TO HOSPITAL PARTNERSHIP									
General Fund									
Fringe Benefit Differential (Comptrollers FB Account)								13	14
→ Deficiency (Any deficiency covered by Hartford Hospital)								0	0
→ Debt Service								1.3	2.6
Total General Fund								14.3	16.6
Bond Funds									
→ Planning and Design Capital								14	14
Total								28.3	30.6
<p>*Note: These figures are based on receiving FB Differential. If FB Differential not received, 2010 requested for deficiency is 21. In 2011, deficiency without receipt of FB Differential is 30.</p>									

Question # 14: What are the plans for the Genetics Division?

As of the time of this response, the UConn Health Center (UCHC) is estimating a \$16.8 million deficiency for FY 09, primarily attributed to the John Dempsey Hospital; and is seeking a deficiency appropriation from the General Assembly to cover that deficiency. At the direction of the UCHC Board of Directors and the President of the University, management at the UCHC is working to develop break-even budgets for FY 10 & FY 11. Getting to break-even budgets will not be easy.

Since, 2000 and after \$78 million in revenue enhancements and cost reductions at the UCHC, and recent revenue cycle improvements, all low hanging fruit is gone. In order to meet leadership's mandate, every program at the UCHC is being reviewed, all programs, including outpatient Genetics, are being evaluated. As of the writing of this memo, no decisions on program cuts, reductions or eliminations have been made.

All programs at the UCHC are being reviewed for clinical performance, cost (loss/gain) and how they relate to the teaching and research missions of the UCHC. The Genetics Division is comprised of 3 areas. Preliminary budget information for FY 08 shows that across 3 areas, outpatient services (direct care), outpatient laboratory performance and Genetic Counseling Performance experienced a total program loss of \$990,928.

Genetic's Performance

		<u>Total</u>		
UMG Operation's	Annualized	\$ (309,113)		
Genetic's Out Patient Laboratory Performance	FY 2008	(503,999)	Negative Contribution Margin	Fully Allocated Loss - With Indirects
Genetic Counseling Performance	FY2008	<u>(177,816)</u>	Negative Contribution Margin	Fully Allocated Loss - With Indirects
Total Program Loss		<u><u>\$ (990,928)</u></u>		
December Genetics UMG Loss		\$ 143,251		
Annualized		<u><u>\$ 286,502</u></u>		

Question #15: What will happen to the UCHC dental clinics and access to dental care with the proposed elimination of providing reimbursement for adults on Medicaid and SAGA for routine dental care? What is the expected dollar value loss?

The following testimony was provided to the Appropriations Committee on February 18, 2009.

H. B. No. 6365 AN ACT CONCERNING THE STATE BUDGET FOR THE BIENNIUM ENDING JUNE 30, 2011, AND MAKING APPROPRIATIONS THEREFOR.

Distinguished members of the Appropriations Committee, my name is Monty MacNeil, Dean, School of Dental Medicine, University of Connecticut. Thank you for the opportunity to provide written testimony regarding H. B. No. 6365 AN ACT CONCERNING THE STATE BUDGET FOR THE BIENNIUM ENDING JUNE 30, 2011, AND MAKING APPROPRIATIONS THEREFOR.

I am asking that you oppose the provision of the Governor's proposed budget that eliminates coverage or reimbursement for routine dental care for those individuals covered by Medicaid or SAGA in the Department of Social Services Budget. The proposal effectively limits services covered to emergency dental care. This will have a significant detrimental effect on the educational programs at the University Of Connecticut School Of Dental Medicine (SODM). It will diminish our ability to train a culturally competent dental workforce, negatively impact the teaching and training time we require of our students (and future dentists) and it will adversely impact the overall health of the neediest citizens of Connecticut.

As many of you know, the SODM is the largest, single provider of oral health care services to Medicaid and SAGA recipients in the State. We see patients from every zip code in the State of Connecticut. In FY'08, we provided 94,400 patient visits at our dental clinics in Farmington and Hartford, of which 62,519 (66.2%) were for Medicaid/SAGA recipients. 9,335 visits in FY08 were adult emergency visits, which represents approximately ten percent of our overall patient care activity. The UConn Health Center (UCHC) sees the greatest number of dental emergency patients in the State. If the proposed reduction in Medicaid services were to be enacted, it will undeniably result in an exponential increase in the number of emergency visits related to dental disease. An average dental visit in the dental clinics costs \$106 while an emergency visit costs an average of \$176; a shift in care delivery from comprehensive dental care focused on preventive strategies is significantly less cost effective than emergency, episodic care. The estimated impact of this proposed cut is a \$3 million loss to the dental clinics at the UCHC, adding to its estimated FY 09 deficit.

The SODM provides dental care to underserved populations beyond its own facilities throughout the State. Since 1999, the School has partnered with community clinics to expand access to care; we are currently working with fourteen (14) safety net providers

in Hartford, New Britain, Middletown, Norwalk, East Hartford, Manchester, Waterbury, Norwich, New Haven, Willimantic, Putnam, Derby, Bridgeport, and Torrington. With this community outreach effort, we have been able to provide an additional 32,000 patient visits to residents who otherwise would not receive dental care. If this proposal is implemented, it goes without saying that all patient care activities at these sites may be in jeopardy. Our focus on community based training has resulted in meaningful changes in the dental workforce; specifically, data shows that there has been a measurable increase in the number of our graduates who have chosen to practice in community settings, serving traditionally underserved populations, as a result of their educational program at UConn. These gains will likely be lost as we would need to refocus the training programs and limit extramural care in the absence of reimbursement.

In order to provide the best possible clinical training for dental students and residents, it is essential that the SODM be able to expose students to a broad patient population with a full spectrum of oral and system diseases. We are exceptionally concerned that changes in Medicaid coverage for adults will create an environment in which patients will no longer seek care until emergency situations arise, significantly decreasing the patient base critical for our teaching missions. Although management of emergencies is a component of our training programs, it cannot become the predominant mode in our clinical setting. This will compromise the quality of the educational experience and may adversely impact the dental care workforce in the State.

As the states only public academic medical center, the SODM will continue to support its public service mission, and we will continue to provide the citizens of the State of Connecticut with the finest possible dental care while training future generations of qualified dental practitioners. However, the proposed budget has ramifications beyond compromising the health of thousands of citizens – it will adversely affect our ability to provide students with the best possible clinical training, negatively impact the career choices of our graduates, increase the operational costs at the UCHC, and will ultimately cost the State far more.

I strongly urge you to reject this proposal and fully restore funding and reimbursement for routine and preventative dental services for individuals on Medicaid and SAGA. Thank you for your attention.



School of Medicine and School of Dental Medicine
Admissions Trends

March 2, 2009

Fall Semester Enrollment by Ethnic Category - School of Medicine

	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008
White/Other	245	221	228	215	214	217	212	208	209	205	222
All Ethnic Minorities	74	83	79	84	85	84	94	99	96	88	90
Asian American	38	42	39	36	38	40	40	41	40	39	49
African American	24	25	25	32	36	34	40	44	44	38	34
Native American	2	2	1	3	1	1	3	2	2	3	3
Hispanic American	10	14	14	13	10	9	11	12	10	8	4
Total Ethnic Minorities (URM Only)	36	41	40	48	47	44	54	58	56	49	41
Other	0	0	0	0	0	1	1	1	0	0	0
Unknown/Did not state	10	14	13	15	10	6	5	3	15	23	13
Foreign	5	5	4	2	2	4	6	8	8	7	6
Total Medical	332	322	325	328	320	316	332	336	344	333	323

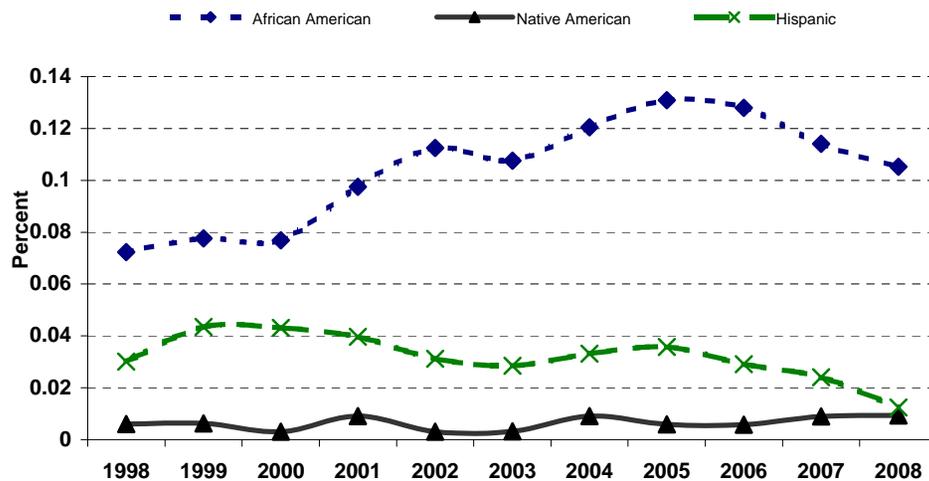
Source: Registrar's Enrollment Reports

URM (Underrepresented Minorities totals do not include Asian Americans)

Total Medical Under Represented Minorities Only) as a Percentage of Fall Semester Enrollment



Medical Ethnic Minorities as a Percentage of Fall Semester Enrollment



Fall Semester Enrollment by Ethnic Category - School of Dental Medicine

	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008
White/Other	131	130	114	103	108	110	104	106	99	108	111
All Ethnic Minorities	32	29	33	32	26	30	33	32	35	27	39
Asian American	21	18	22	20	14	18	19	13	13	11	17
African American	5	3	3	6	8	9	9	11	13	8	10
Native American	0	0	0	0	0	0	0	0	0	0	1
Hispanic American	6	8	8	6	4	3	5	8	9	8	11
Total Ethnic Minorities (URM Only)	11	11	11	12	12	12	14	19	22	16	22
Other	0	0	0	0	0	0	0	0	0	0	0
Unknown/Did not state	3	5	6	10	13	11	17	17	14	17	16
Foreign	3	8	7	10	11	10	13	11	11	12	6
Total Dental	159	165	149	147	156	155	162	172	168	169	177

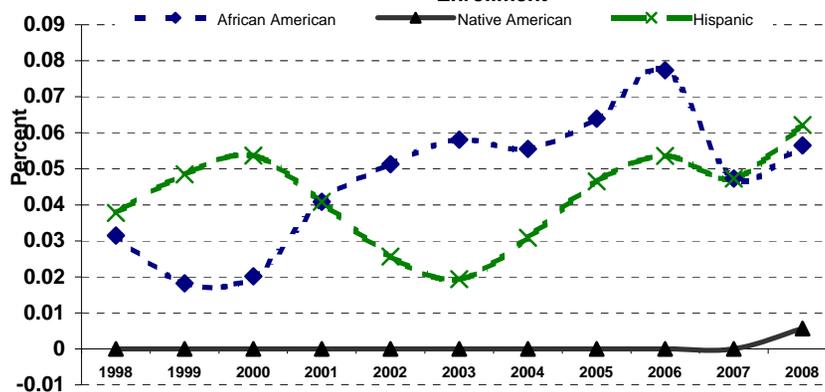
Source: Registrar's Enrollment Reports

URM (Underrepresented Minorities totals do not include Asian Americans)

Total SODM Under Represented Minorities Only as a Percentage of Fall Semester Enrollment



Dental Ethnic Minorities as a Percentage of Fall Semester Enrollment



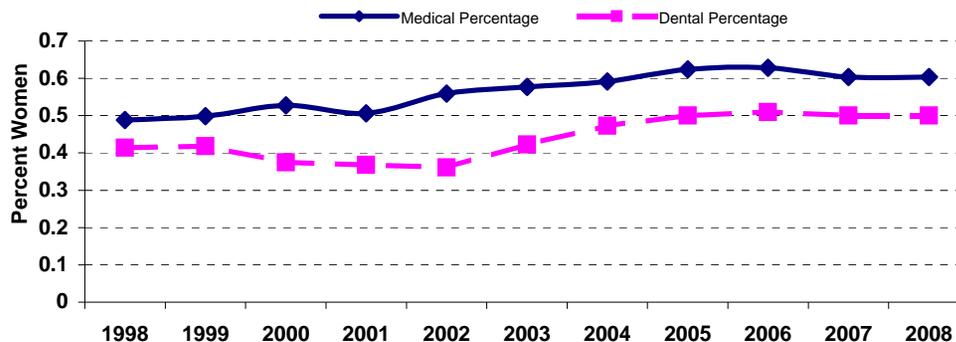
Fall Semester Enrollment for Women - School of Medicine and Dental Medicine

	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008
Total Medical	334	323	324	316	311	312	318	319	328	323	331
# of Women	163	161	171	160	174	180	188	199	206	195	195
Medical Percentage	48.8%	49.8%	52.8%	50.6%	55.9%	57.7%	59.1%	62.4%	62.8%	60.4%	60.4%

	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008
Total Dental	169	172	160	155	158	161	167	166	159	164	172
# of Women	70	72	60	57	57	68	79	83	81	82	83
Dental Percentage	41.4%	41.9%	37.5%	36.8%	36.1%	42.2%	47.3%	50.0%	50.9%	50.0%	50.0%

Source: Registrar's Enrollment Reports

Women as a Percentage of Enrollment by School

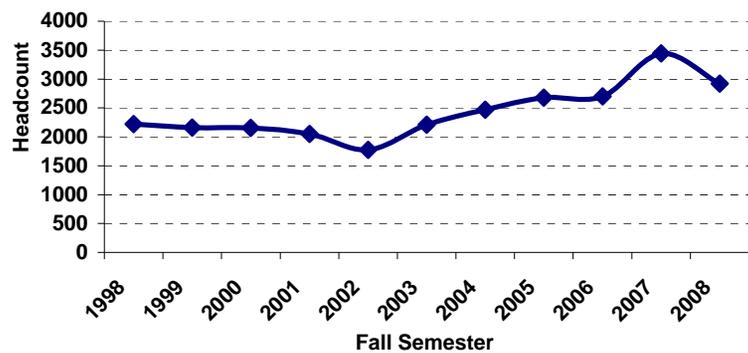


Headcount of Fall Semester New Freshman Applicants - School of Medicine

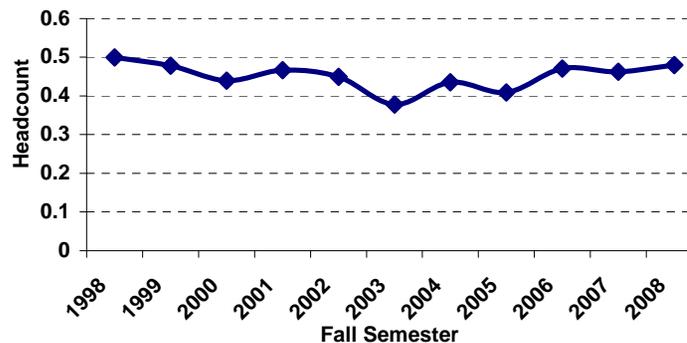
	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008
Applicants	2220	2160	2154	2051	1776	2208	2466	2676	2699	3442	2919
Admitted	154	161	182	163	167	196	179	193	170	175	177
Enrolled	77	77	80	76	75	74	78	79	80	81	85
Percentage of Applicants who were Admitted:	6.9%	7.5%	8.4%	7.9%	9.4%	8.9%	7.3%	7.2%	6.3%	5.1%	6.1%
Percentage of Admitted who Enrolled:	50.0%	47.8%	44.0%	46.6%	44.9%	37.8%	43.6%	40.9%	47.1%	46.3%	48.0%

Source: Medical Admissions Office - Dr. Keat Sanford

Number of New Medical Freshman Applicants



Percent of Admitted Applicants who Enrolled

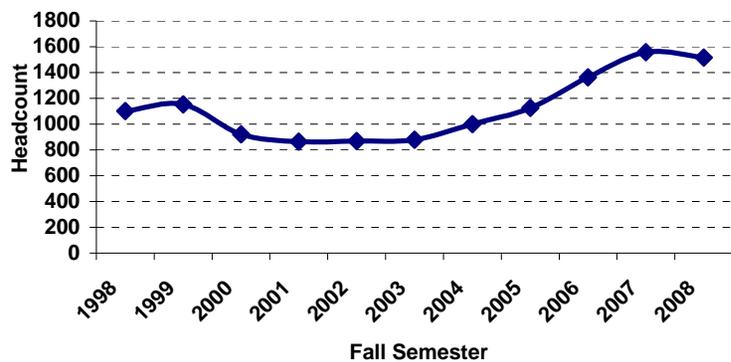


Headcount of Fall Semester New Freshman Applicants - School of Dental Medicine

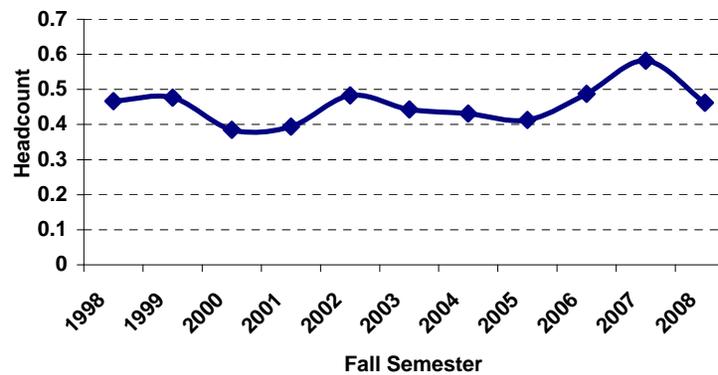
	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008
Applicants	1102	1152	922	865	870	880	1001	1126	1362	1557	1515
Admitted	90	86	104	104	89	88	95	92	80	67	93
Enrolled	42	41	40	41	43	39	41	38	39	39	43
Percentage of Applicants who were Admitted:	8.2%	7.5%	11.3%	12.0%	10.2%	10.0%	9.5%	8.2%	5.9%	4.3%	6.1%
Percentage of Admitted who Enrolled:	46.7%	47.7%	38.5%	39.4%	48.3%	44.3%	43.2%	41.3%	48.8%	58.2%	46.2%

Source: Dental Admissions Office - Dr. Edward Thibodeau

Number of New Dental Freshman Applicants



Percent of Admitted Applicants Who Enrolled





University of Connecticut

Higher Education Subcommittee Hearing

March 11, 2009

Indicators of Success

UConn

- UConn among the top 26 in the nation and rated the top public university in New England for the past 10 years (*U.S. News & World Report*)
- UConn ranked in the top 35 best value public colleges for in-state costs (*Kiplinger's Personal Finance*)
- 94% of recent graduates are either employed or are in graduate/professional schools
- 68% of those working full-time are doing so in CT



Indicators of Success

UCONN

- UCONN 2000 program has completed more than 9.7 million square feet of new & renovated space
- Athletic teams have won 8 NCAA Division I national championships, 38 Big East tournaments & 44 Big East regular season titles since 1995
- UConn Health Center's John Dempsey Hospital honored with a Premier | CareScience Select Practice National Quality Award in 2007
- UConn Health Center's School of Dental Medicine is consistently #1 or #2 in the country by the National Dental Board



UConn's Contribution to Connecticut

UCONN

- Faculty Research, Training & Service:
 - Contributes to Connecticut's economic growth
 - Enhances health, technological advancement & quality of life across the state, the nation & beyond
 - External funding increased 97.7% from FY96 to FY08
- Fuel Cells:
 - CT Global Fuel Cell Center-supported by federal government & major state and other firms
 - Involves 40 faculty in vital cutting-edge research
- Innovative Technologies:
 - Faculty awarded 211 patents in the past twelve years & 20 companies have been created from faculty inventions in this time period

UCONNOMY

UCONN

Sample Statistics

- UConn's ongoing operations add \$2.3B to Connecticut's gross domestic product
- Every state dollar allocated to UConn results in a \$5.05 increase in Connecticut's gross domestic product – a 505% return on investment
- With State support, the University attracts an additional \$713.5M to the Connecticut economy
- Connecticut businesses experience \$3.2B in new sales as a result of the University's ongoing operations

Student Quality & Diversity

UCONN

Health Center

- Over the last 7 years (fall 2002-2008):
 - School of Medicine applications have increased by 64% (1,776 to 2,919)
 - School of Dental Medicine applications have increased by 74% (870 to 1,515)
 - School of Medicine passing rates on National Exams have been at 100%
 - School of Dental Medicine passing rates on National Exams have been at 100%
- Approximately 35% of School of Medicine graduates practice in the state while 51% of School of Dental Medicine graduates practice in the state



Student Quality & Diversity: Exceeding Expectations

UCONN

Storrs & Regional Campuses

- Fall 2008 compared to fall 1995 at Storrs:
 - Applications increased 113% (9,874 to 21,058)
 - Freshman enrollment increased 78% (2,021 to 3,604)
 - Freshman minority enrollment increased 131% (308 to 710)
 - SAT scores increased 87 points from fall '96 (1113 to 1200)
- Since 1995, 1,074 valedictorians and salutatorians enrolled at all campuses



Freshman Application Trends

UCONN

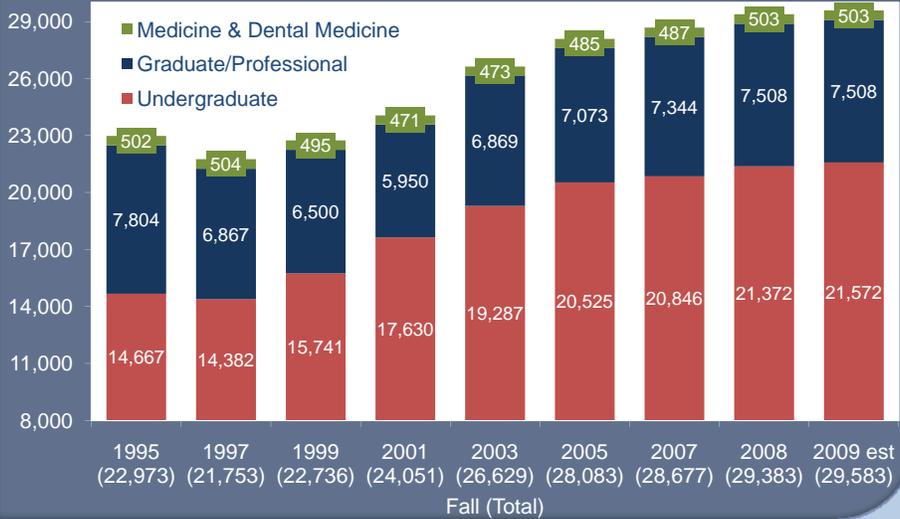
Storrs & Regional Campuses

- At this point, freshman applications are 5% ahead of the same time last year
- Applications have increased 107% from Fall 1995 to Fall 2008



Student Enrollment

UCONN Undergraduate enrollment is projected to increase 47% from 1995 to 2009



Freshmen Retention Trend

UCONN Storrs Campus

- Fall 2006 freshman retention rate is substantially higher than the 81% average for 441 colleges & universities in the national Consortium for Student Retention Data Exchange (CSRDE)



Minority Freshmen Retention Trend

UConn

Storrs Campus



- Fall 2006 minority freshman retention rate is also substantially higher than the national 79% average (CSRDE)

4-Year Graduation Trend

UConn

Storrs Campus

- UConn's ranking among the 58 Public Research Peer Universities:
 - Fall 2001 4-year graduation rate of 54% ranks 11th
 - Fall 2001 average time to graduate of 4.3 years ranks 8th



6-Year Graduation Trend



Storrs Campus

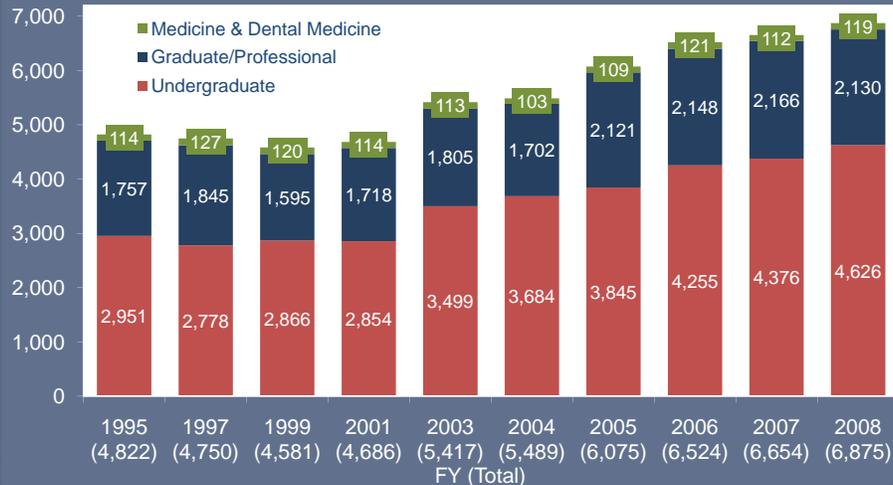
- UConn's ranking among the 58 Public Research Peer Universities:
 - Fall 2001 6-year graduation rate of 75% ranks 20th
 - Fall 2001 6-year minority graduation rate of 68% ranks 22nd



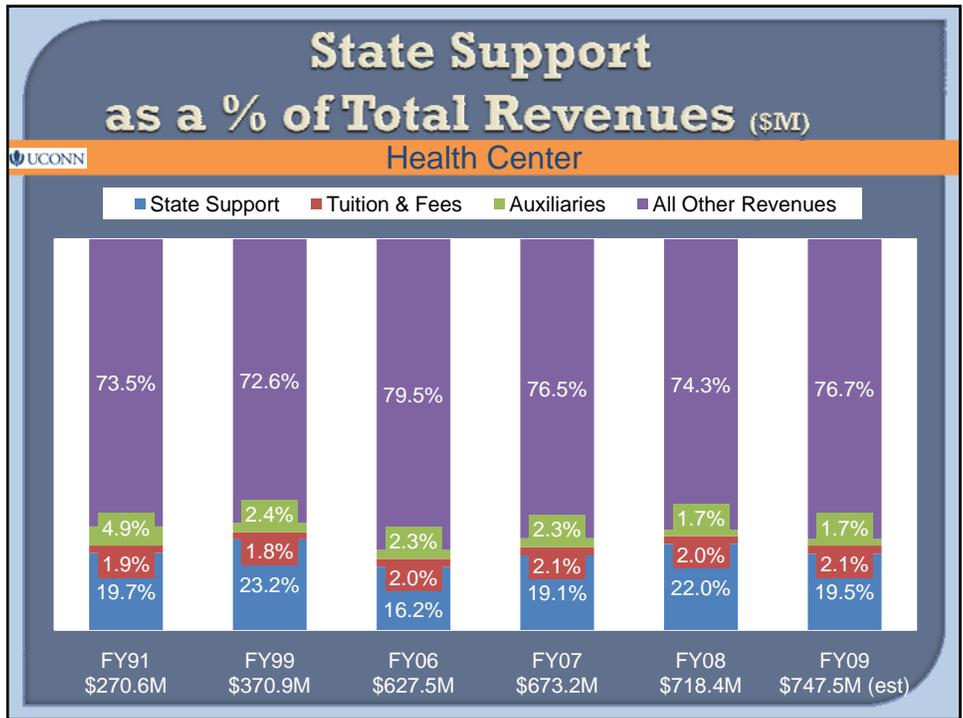
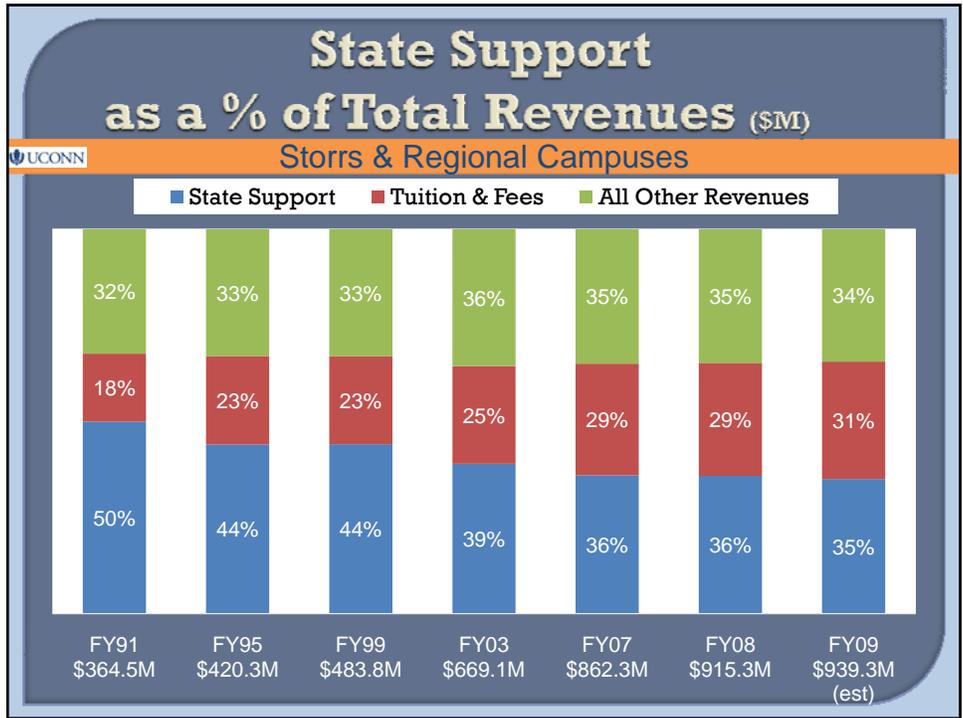
Degrees Awarded



Undergraduate degrees have increased 62% since 2001



Over 109,500 alumni live in Connecticut



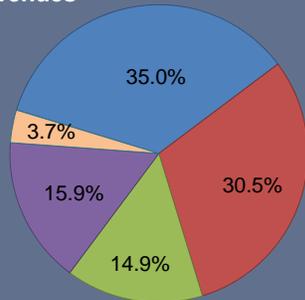
Revised FY 2009 Budget

Approximately \$940 million



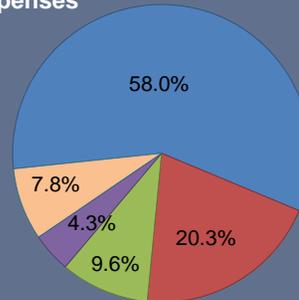
Storrs & Regional Campuses

Revenues



- State Support: 35.0%
- Tuition & Fees: 30.5%
- Auxiliaries: 14.9%
- Gifts, Grants & Contracts: 15.9%
- All Other: 3.7%

Expenses



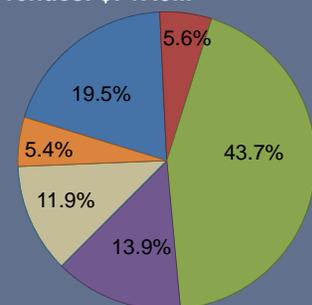
- Personal Services (w/FB): 58.0%
- Equipment & Other: 20.3%
- Financial Aid: 9.6%
- Transfers: 4.3%
- Research Fund: 7.8%

FY 2009 Budget



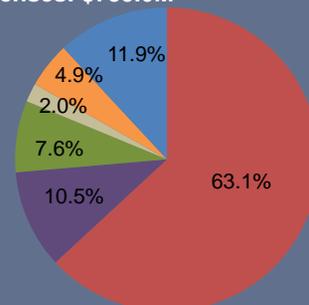
Health Center

Revenues: \$747.5M



- State Support: 19.5%
- Interns & Residents: 5.6%
- Patient Care: 43.7%
- CMHC: 13.9%
- Gifts, Grants & Contracts: 11.9%
- All Other: 5.4%

Expenses: \$759.0M



- Personal Services (w/FB): 63.1%
- Drugs/Medical Supplies: 10.5%
- Outside & Other Purchases: 7.6%
- Medical Contractual Support: 2.0%
- Medical/Dental House Staff: 4.9%
- All Other: 11.9%

State Appropriations (M)

UConn

Health Center

	<u>FY09</u>		<u>FY10</u>	<u>FY11</u>
Allotment	\$102.0	Request	\$117.8	\$125.7
Forecast	<u>105.0</u>	Gov Rec	<u>110.7</u>	<u>113.1</u>
	\$3.0		(\$7.1)	(\$12.6)
			(6.0%)	(10.0%)

- Requests a \$16.8M deficiency appropriation for FY09
- Fringe benefit differential is \$13M for FY10 and \$14M for FY11
- Funds needed to restore coverage for routine dental services for adults on Medicaid and SAGA are \$3M for FY10 and \$3M for FY11 based on dental clinic volume

State Appropriations (M)

UConn

Storrs & Regional Campuses

	<u>FY09</u>		<u>FY10</u>	<u>FY11</u>
Allotment	\$247.8	Request	\$259.1	\$271.1
Forecast	<u>239.0</u>	Gov Rec	<u>235.3</u>	<u>235.7</u>
	(\$8.8)		(\$23.8)	(\$35.4)
			(9.2%)	(13.1%)

Impact of Rescissions



Storrs & Regional Campuses

- While we would be guided by our Academic Plan, any rescissions would cause:
 - Continued hiring freeze
 - Negative impact on student accessibility
 - Reduction in course availability
 - Decreased student support services
 - Adverse impact on retention and graduation rates
 - Reduction in research and outreach
 - Diminished economic impact
- Will need to identify additional savings and revenues to maintain the UConn Promise!

CORE Task Force



Cost, Operations & Revenue Efficiencies

- Created by the President in November 2008
- Primary purpose is to help effectively manage the increasingly difficult fiscal environment
- CORE members have reviewed more than 500 suggestions
- Immediate implementation of savings/revenues could generate an estimated \$5-7M in FY10

Non-State Revenue Streams

UCONN



○ Research funding



○ Private support

○ Clinical revenue @ Health Center



○ Tuition/fees/room/board @ Storrs & Regionals

Research, Training & Service External Awards (\$M)

UCONN



UConn Foundation (\$M)



UConn



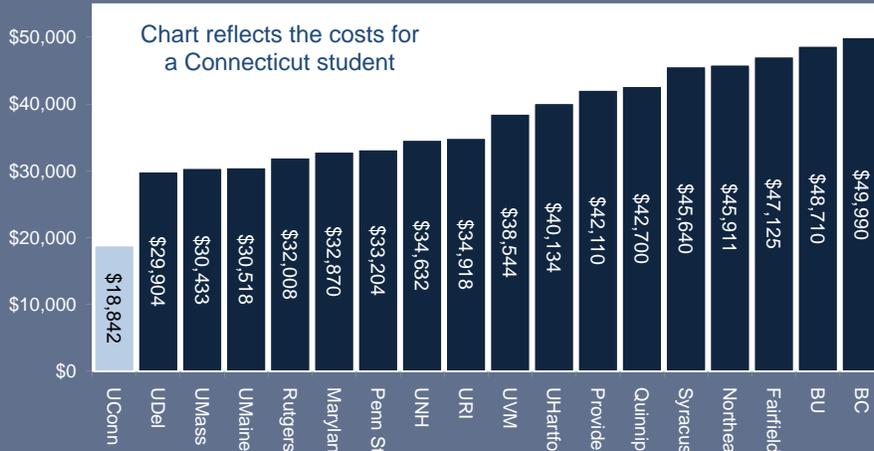
UConn's Affordability FY09 Tuition & Mandatory Fees

UConn

Private Schools	<u>In & Out of State</u>	Public Schools	<u>In State</u>	<u>Out of State</u>
Boston College	\$38,380	Penn State	\$13,706	\$24,940
Boston Univ	\$37,050	Univ Vermont	\$12,844	\$29,682
Fairfield	\$36,075	Univ New Hampshire	\$11,756	\$25,236
Northeastern	\$33,971	Rutgers	\$11,562	\$21,776
Syracuse	\$33,440	Univ Massachusetts	\$10,232	\$21,729
Providence	\$31,300	Univ Connecticut	\$9,338	\$24,050
Quinnipiac	\$30,900	Univ Maine	\$9,100	\$22,510
Univ Hartford	\$28,172	Univ Rhode Island	\$8,678	\$24,776
		Univ Delaware	\$8,646	\$21,126
		Univ Maryland	\$8,445	\$23,516

UConn's Affordability FY09 Tuition, Fees, Room & Board*

UConn



*Board rates reflect the most expensive meal plan available.

Tuition, Fees, Room & Board

UConn

Storrs & Regional Campuses

<u>In-State</u>	<u>FY08 Amount</u>	<u>FY09 Amount</u>	<u>Increase Over FY08</u>	
Undergraduate				
Tuition	\$6,816	\$7,200	5.63%	\$384
Room	\$4,698	\$5,090	8.34%	\$392
Board (Value Meal Plan)	\$3,960	\$4,210	6.31%	\$250
Undergraduate Total	\$17,510	\$18,638	6.44%	\$1,128
Graduate Total	\$19,356	\$20,592	6.39%	\$1,236
<u>Out-of-State</u>				
Undergraduate Total	\$31,454	\$33,350	6.03%	\$1,896
Graduate Total	\$32,838	\$34,812	6.01%	\$1,974

* Board rates reflect the Value meal plan which is the most popular plan available.

National Trends in College Pricing at 4-Year Public Institutions

UConn

- Tuition & Fees:
 - National rates 6.4% higher in FY 2009 than FY 2008
 - (UConn 5.49%)
 - National increase of 42% from FY 2004 - FY 2009
 - (UConn 37%)
 - New England increase of 90% from FY 1998 – FY 2009
 - (UConn 78%)
 - National increase of 112% from FY 1998 - FY 2009
 - (UConn 78%)
- Tuition, Fees, Room & Board:
 - National increase of 92% from FY 1998 - FY 2009
 - (UConn 76%)

Source: 2008 Trends in College Pricing, College Board

Total Financial Aid (\$M)

UConn

Storrs & Regional Campuses

	<u>FY08</u>	<u>FY09</u> Forecast	<u>% Change</u> (FY08-FY09)
Need-Based Grants	\$54.1	\$59.5	10.0%
University Scholarships	25.4	28.8	13.4%
Non-University Scholarships	5.2	5.8	11.5%
Loans (federal & private)	128.4	140.5	9.4%
Tuition Waivers	<u>41.9</u>	<u>44.3</u>	5.7%
Subtotal	\$255.0	\$278.9	9.4%
Work Study/Student Labor	<u>15.4</u>	<u>17.4</u>	13.0%
Total Financial Aid	\$270.4	\$296.3	9.6%

Tuition Funded Financial Aid (\$M)

UCONN

Storrs & Regional Campuses

	<u>FY08</u>	<u>FY09</u> <small>Forecast</small>
Total Tuition Funded Financial Aid	\$87.6	\$96.7
Total Tuition Funded as a % of Gross Tuition Revenue	37.8%	38.5%
Tuition Funded Need-Based as a % of Net Tuition Revenue	16.6%	17.2%
DHE Need-Based Set Aside Policy	15.0%	15.0%

Financial Aid Summary

UCONN

Storrs & Regional Campuses

- All tuition, fees, room & board increases have been accompanied by an off-setting increase in financial aid to ensure that any qualified student can attend the University regardless of financial means
- For FY09, total aid is forecasted to increase 9.6% and need-based grants are projected to increase 10%
- Meet direct educational expenses for the neediest in-state students
- 77% of students (undergraduate and graduate) received aid in FY08



Financial Aid Enhancements

UConn

Storrs & Regional Campuses

- Increased commitment to financial aid in FY10
- Lawmakers negotiated an additional \$500 per student in Federal Pell Grants to be provided by the Federal Stimulus Bill
- Direct Lending Program
 - Lower cost of borrowing
 - Streamlined process
 - Quicker disbursement to students
 - Students will be insulated from potential funding disruptions
 - More efficient use of staff resources

FY09 Spending Plan Highlights

UConn

- Storrs & Regionals
 - Faculty hires
 - Undergraduate enrichment
 - Course coverage
- Health Center
 - Financial stability



Provost's Priorities for FY09

UCONN

Storrs & Regional Campuses

Academic Leadership
Undergraduate Enrichment & Diversity
Increased Collaborations
Research: Blueprint for the Future
Faculty Hiring: Continuing Momentum
Implementation of New Initiatives
Re-Phasing of UCONN 2000



Academic Leadership

UCONN

Senior academic leadership provided by 13 Deans



- 4 Deans hired in FY 2008: Law, Business, Nursing & Engineering
- 4 new Deans recruited to start in FY 2009: Medicine, CLAS, Social Work & CANR
- Successful completion of these searches has been the highest priority in Academic Affairs



Undergraduate Enrichment

UCONN

Storrs & Regional Campuses

- Honors program expansion – additional 70 students in fall 2008 compared to fall 2007 (\$255k)
- Living & Learning Communities – Honors & Global Houses (\$100k)
- Study Abroad Goals
 - Increase percentage of students who benefit from an international experience from 18% to 30%
 - Forge substantial partnerships with a limited number of prestigious international universities



Academic Advising

UCONN

- Institute for Student Success
 - Ensures the success of students inside and outside the classroom
 - Designed to facilitate student success by assisting with the transition to the University
 - Provides advising, counseling and academic support for the first two years and beyond
 - 75% of all incoming students participate in the First Year Experience program
 - Over 9,000 student advising visits during the last academic year
 - Success of the program is measured by the University's high national rankings in retention and graduation rates

Diversity



Storrs & Regional Campuses

- Increase the international dimension of teaching & research programs and enhance the range of diversity programming



Increase recruitment efforts for undergraduate international students

Increased diversity in graduate programs



Focused effort to recruit diverse faculty



Achieve diversity goals spelled out in various college plans for faculty & students

Increased Collaborations



Inter-Departmental and Inter-Campus

- CICATS (CTSA)-Connecticut Institute for Clinical and Translational Science
- Nanotechnology
- Stem Cell Research: \$16.1M supports 23 researchers
- School of Medicine: post doctoral training for Nursing faculty
- Honors Program: students working in Neonatal Intensive Care Unit
- Papanikou Center for Excellence in Developmental Disabilities: joint hires



Research: Blueprint for the Future

UConn

Storrs & Regional Campuses

- Increase emphasis on focused research areas
 - Eminent Faculty program: Alternative Energy & Fuel Cells
 - \$2M state funding -Eminent faculty hire anticipated (fall 2009)
 - Center for Entrepreneurship program: Business & Law
 - 6 faculty hired (FY08)
 - Nanotechnology: partnering with state agencies
 - Collaboration with foreign institutions
 - Pursuing workforce development for the state
 - Strategic investment in cultural & artistic programming



Faculty Hiring: Continuing Momentum

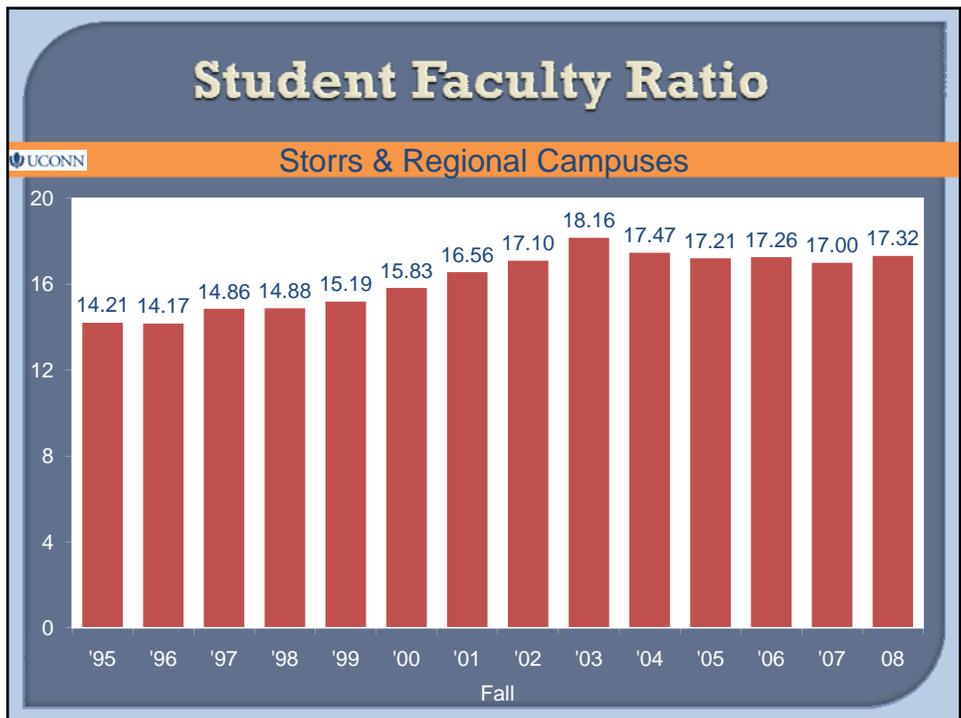
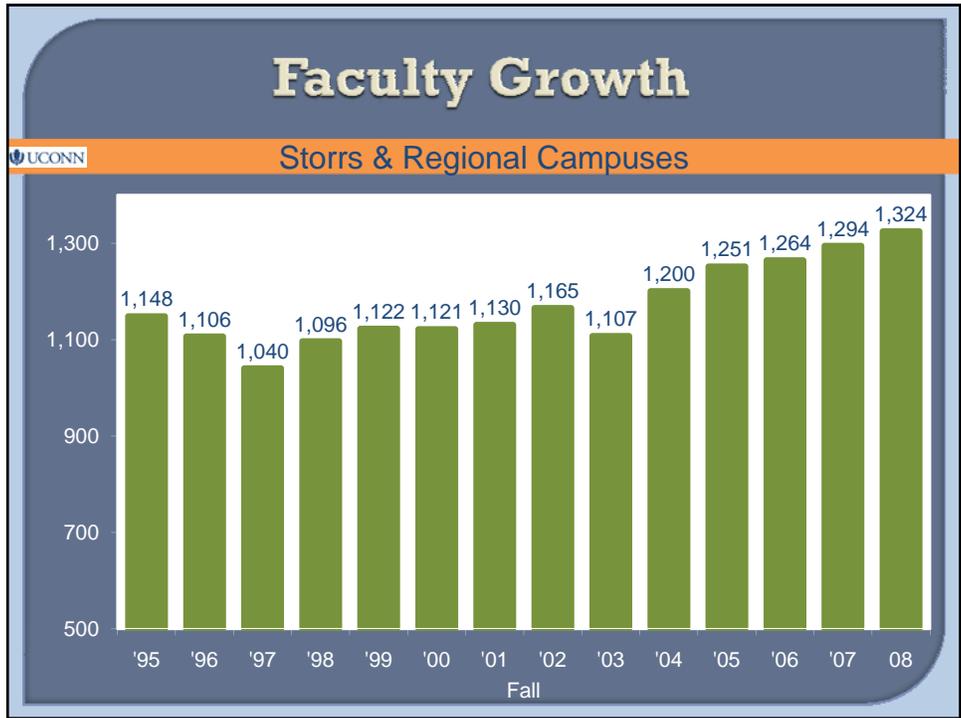
UConn

Storrs & Regional Campuses

- Net new faculty
 - 51 in FY06
 - 13 in FY07
 - 30 in FY08
 - 30 in FY09



- Faculty Hiring Plan
 - Currently on hold due to hiring freeze





UConn
Health Center

Appropriations Committee Hearing

February 13, 2009

FY 2009 Plan

UConn

Health Center

- We have new leadership
- We are pursuing a principal partnership with Hartford Hospital and an academic (education and research) collaboration with the area hospitals in keeping with the CASE recommendations and subsequent legislation
- We are pursuing cost reductions and revenue enhancements
 - After \$78M in cost reductions and revenue enhancements since 2000, low-hanging fruit is gone
 - PwC recommendations fuel new efforts
 - Productivity enhancement and performance improvement is longer-term
 - Revenue enhancement and cost savings initiatives in the FY09 budget total \$9.5M

FY 2009 Plan

UConn

Health Center

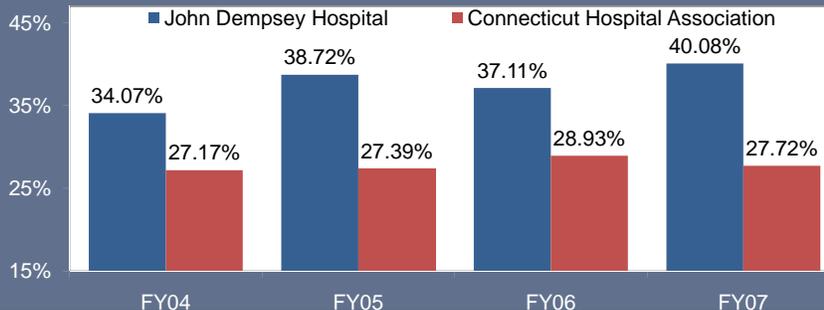
- Structural problems persist
 - JDH is undersized and outdated
 - 116 of 224 beds are low-reimbursement specialty (NICU, newborn, high-risk maternity, psychiatry, Correction) unavailable for med/surg activity
 - For FY08, NICU average loss per case is estimated at \$31,700
 - JDH carries a unique hospital fringe benefit obligation: estimated fringe benefit differential for FY09 is \$13.0M
- Faculty must enhance clinical revenue while still meeting the needs of a comprehensive medical education program
- Absent a clinical partnership or state support of the public service mission, we will have no choice but to implement difficult service and program eliminations.

Fringe Benefit Costs

UConn

JDH v. CHA Member Hospital Average

- As a state entity, JDH has fringe rates significantly higher than other hospitals
- JDH has absorbed the cost of fringe benefits for its employees - for the first time in FY09, \$3.6M in the state comptroller's fringe account will help to offset some of that cost.
- The dollar value of that differential was \$8.4M in FY 05, \$6.7M in FY 06, 10.7M in FY 07, and is estimated at \$12.5M in FY 08, \$13M in FY 09, \$13M in FY 10 and \$14M in FY11

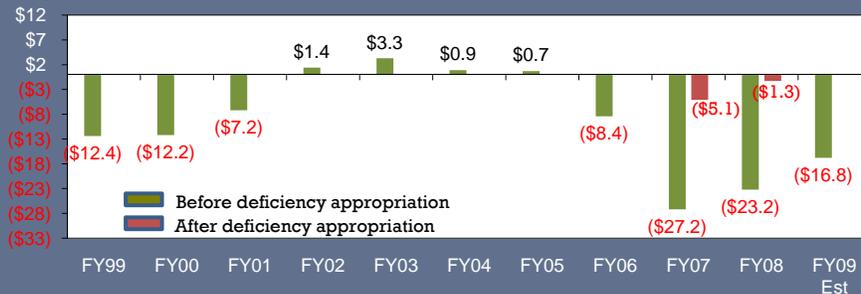


Total Excess / Deficiency (\$M) (Before Capital Appropriations)

UCONN

Health Center

- Beginning in FY02, the Health Center experienced 4 straight years of improved financial performance & balanced budgets (primarily due to the positive performance of JDH)
- Beginning in FY06, the Health Center experienced annual deficits



Total Excess / Deficiency (\$M)

UCONN

John Dempsey Hospital

- The performance of John Dempsey Hospital in FY02-FY07 was greatly influenced by positive settlement of Medicare cost reports from prior years
- In FY06, while still generating a margin, the hospital was no longer able to fill the “academic gap”
- By FY07, JDH was in deficit and continues to experience annual deficits

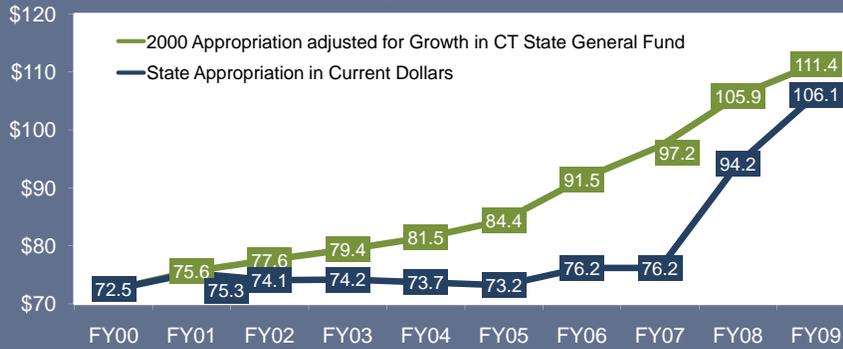


State Appropriation (\$M)

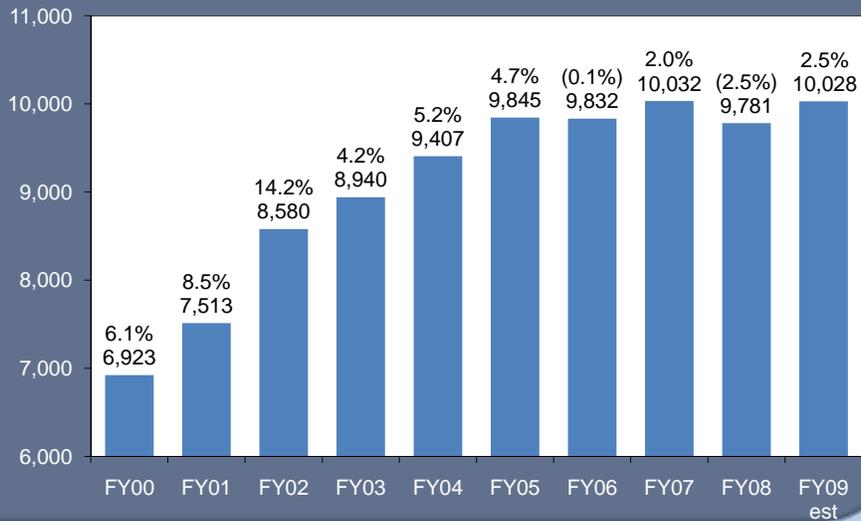


Health Center

- From FY00 to FY07, the state appropriation (the mainstay of the academic enterprise) saw an average annual rate of increase of only 0.8%
- In FY08 and FY09, the General Assembly recognized this disparity and funded the academic gap

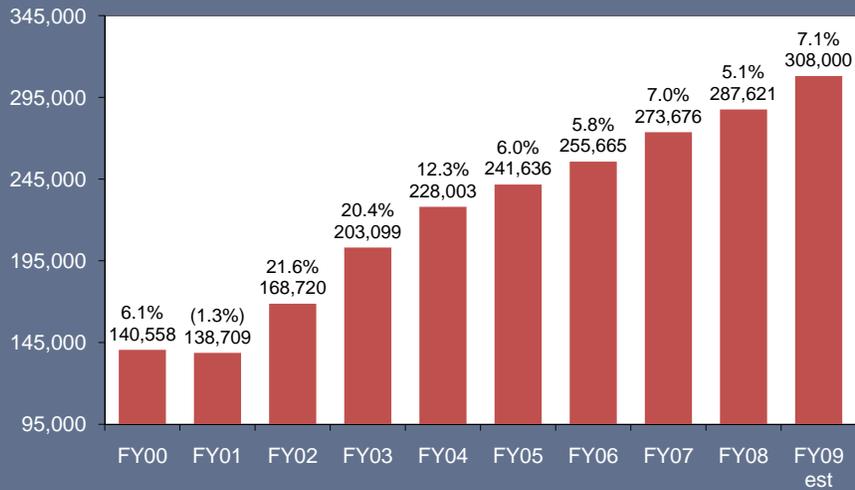


JDH Admissions



JDH Outpatient Visits

UConn



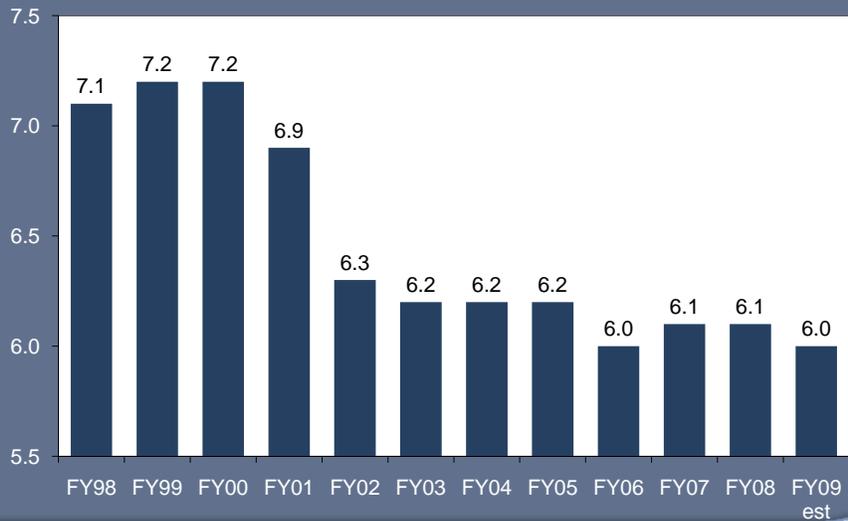
JDH Average Daily Census

UConn



JDH Length of Stay

UConn

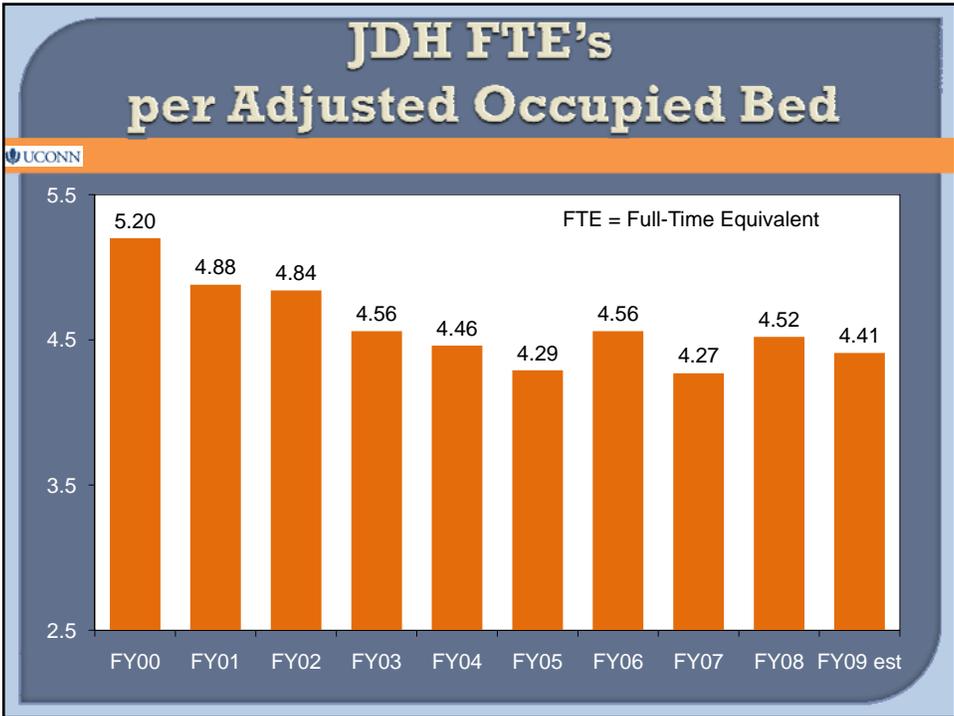
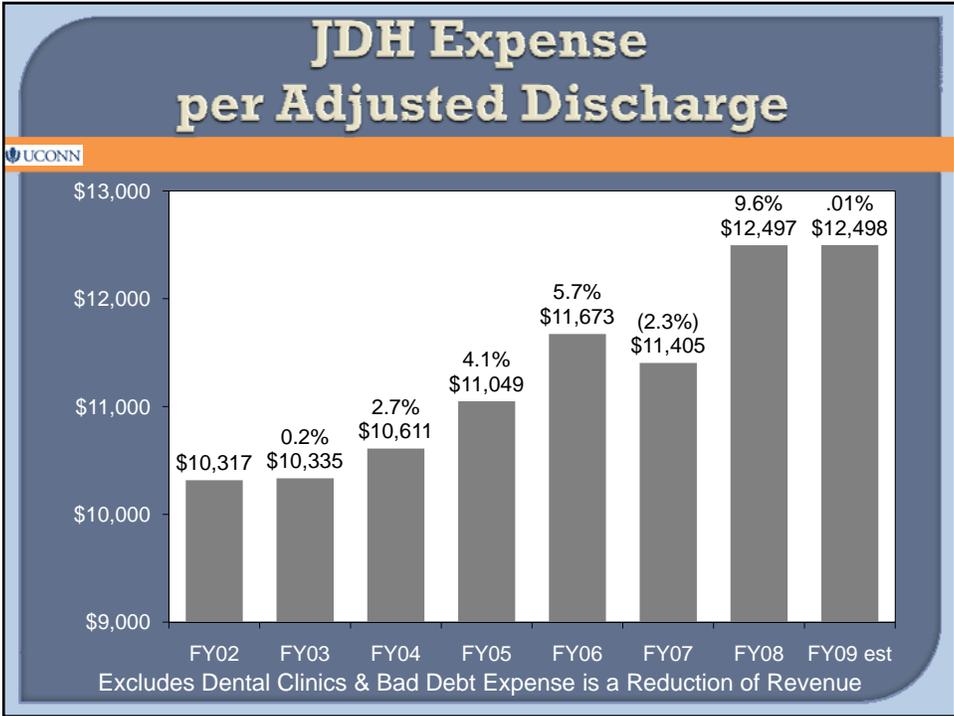


JDH Revenue per Adjusted Discharge

UConn



Excludes Dental Clinics & Bad Debt Expense is a Reduction of Revenue



UConn Promise



- The State has made a tremendous investment in UConn
- UConn will continue to...
 - Provide a high quality instructional program
 - Enhance access and diversity
 - Help meet State workforce needs
 - Retain best and brightest students in Connecticut
 - Be a powerful driver of economic development
 - Manage effectively within our resources
- The current economic downturn should not jeopardize the State's investment and the dramatic progress that has occurred at UConn in the last decade!



University of Connecticut
Health Center

KNOW BETTER CARE



University of Connecticut Health Center

February 2009





UCHC'S Primary Mission: Education and Research

- **3 Schools:**
 - Medical School (331 students)
 - Dental School (172 students)
 - Graduate School in bio-medical sciences (342 students)
- **Research:** More than \$90M per year of innovative research is conducted and discoveries are translated into advances in patient care, e.g. cancer vaccines, hormone therapies for Osteoporosis, new materials for Dental Implants, and Stem Cell research
- **Residency Training:** For 675 residents (medical and dental) per year who train in local hospitals
- **John Dempsey Hospital (JDH) and UConn Medical Group (UMG),** the multi-specialty faculty practice, are sites for learning and represent key elements in attracting talented faculty who want to teach, do research and provide patient care



A Worthy Investment

- **Approximately 35% of School of Medicine graduates practice in the State, as do 46% of School of Dental Medicine graduates**
- **Dental School is historically #1 or #2 in the country**
- **For the entering class of 2008, Connecticut residents comprise 75% of the School of Medicine and 56% of the School of Dental Medicine**
- **Total minority enrollment in Fall 2008 is 28.1%**
- **School of Medicine national leader in innovative curriculum**
- **The Health Center has 5062 employees (77% union, 13% faculty, 3% managerial and 7% residents/graduate assistants/student payroll) and generates \$938 million in Gross State Product**



UCHC: A Resource to the Community and the State

- **Service to Medicaid Patients**
 - In FY08, JDH was among the top 5 hospitals in CT in Medicaid inpatient days as a percentage of total inpatient days
 - Largest single provider of dental services to Medicaid clients and the under- and uninsured
 - 66% of patient visits to the UCHC dental clinic in Farmington are Medicaid clients
 - 71% of all student/intern/resident dental care activity is service to Medicaid clients
- **Clinical Service Collaboration:**
 - Dept. of Public Health, Dept. of Correction, Dept. of Mental Health & Addiction Services, Dept. of Veteran Affairs (Rocky Hill), Dept. of Developmental Services
- **Community Service:**
 - South Park Inn Medical Clinic (Hartford)
 - South Marshall Street Homeless Clinic (Hartford)
 - Urban Service Track
 - Connecticut Poison Control Center
 - YMCA Adolescent Girls Medical Clinic (Hartford)
 - Camp Courant Dental Screening Program
 - Migrant Worker Clinic
 - Covenant House (Willimantic)
- **Economic Driver for the Region and State:**
 - Catalyst for Biomedical and Biotech jobs, e.g., Stem Cells



UCHC: Partner & Resource to Other Hospitals

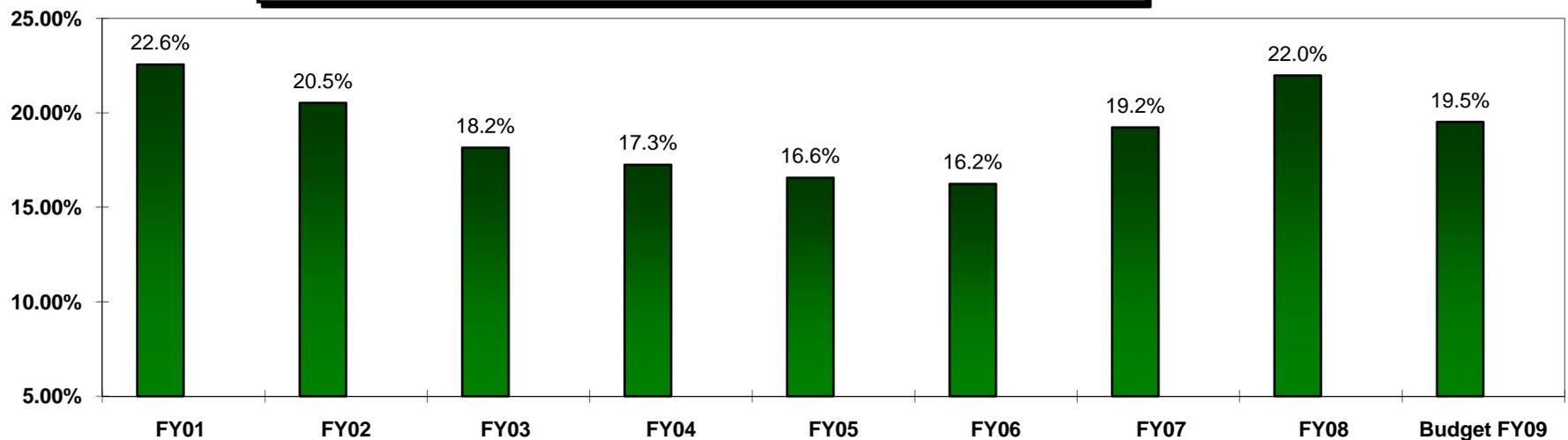
- **Internship/Residency Program**
 - The internship/residency program contributes to the quality of service in the participating hospitals & also drives additional Medicare reimbursement to their bottom line
- **Trained physicians and staff of Waterbury and St. Mary's for regional cardiac surgery and interventional cardiology program**
- **Trained staff and assisted ECHN in establishing a Level II nursery at Manchester Hospital**
- **Pediatric dentistry program at CCMC**
- **Statewide Neonatal Transport Program and Regional Neonatal Intensive Care Unit / In FY07, UConn's Neonatal Transport Program transported 350 neonates to JDH and 15 other hospitals from 98 Connecticut towns**
- **Provide workforce at St Francis/UConn Burgdorf Clinic (Hartford's north end)**
- **Provide cardiac perfusionist services to St. Mary's and Waterbury Hospitals**
- **Regional dental emergency room service**
- **Training site for nursing, allied health schools**



State Support

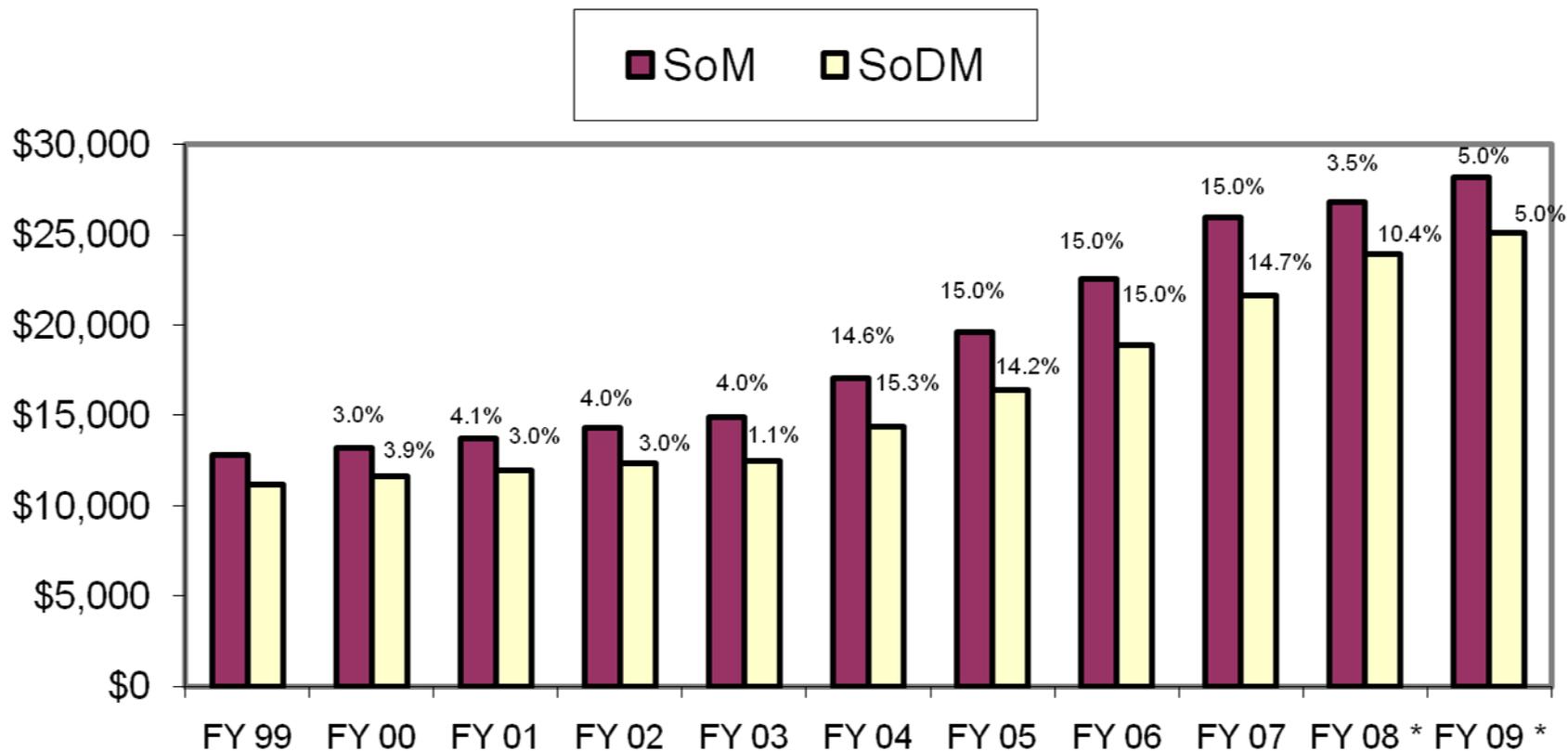
- Traditionally received state general funds support the academic (education and research) enterprise only.
- 19.5% of the Health Center budget is state supported.
- 80.5% comes from other revenues (clinical, research, tuition, philanthropy).

UNIVERSITY OF CONNECTICUT HEALTH CENTER
STATE SUPPORT AS A PERCENT OF TOTAL REVENUES



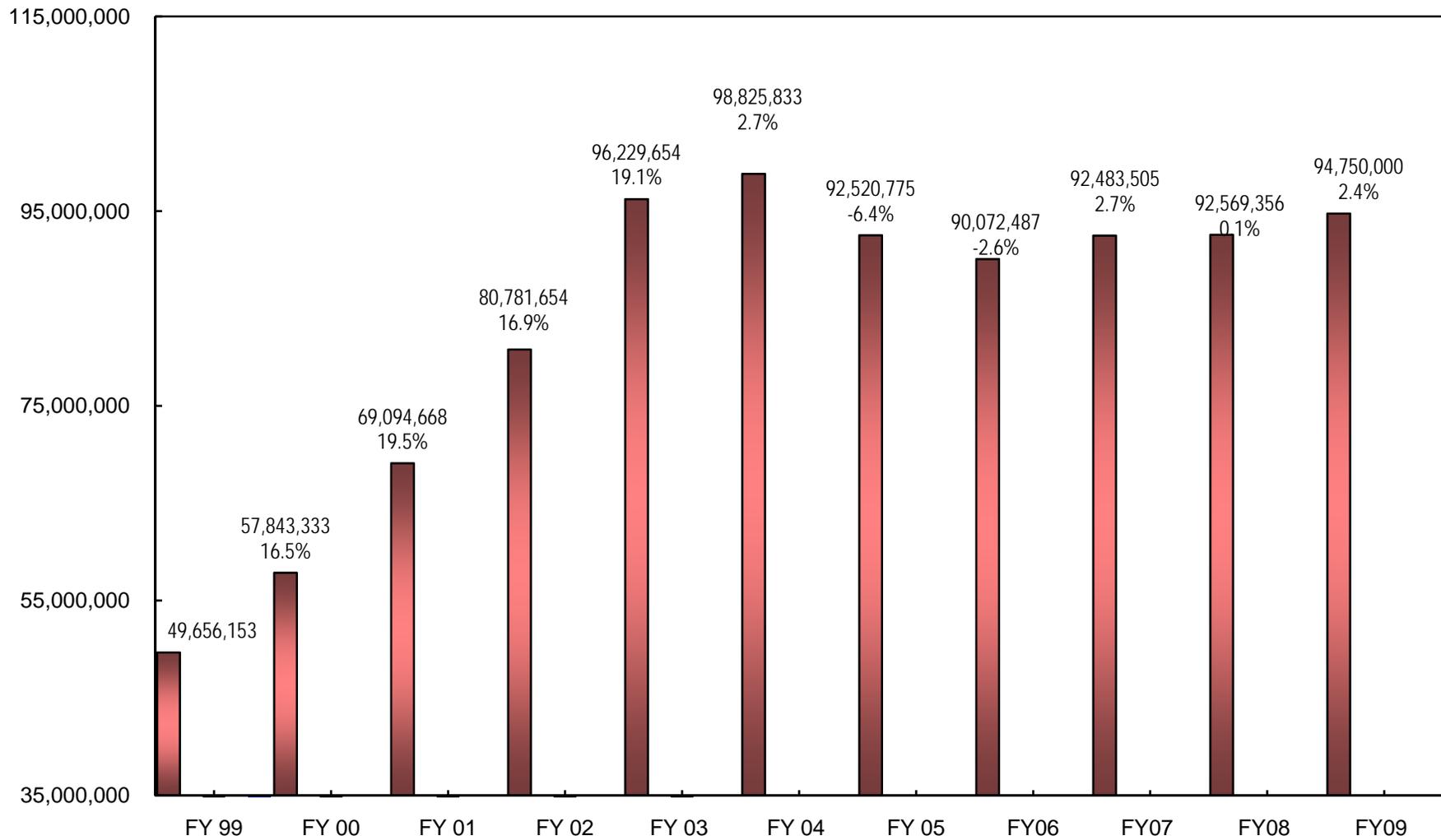


In-state Tuition and Fees



Note: Board of Governors policy requires tuition be set between the 70th - 75th percentiles of U.S. public schools, but with no annual increase higher than 15%.

UNIVERSITY OF CONNECTICUT HEALTH CENTER
RESEARCH AWARDS BY FISCAL YEAR
 Note: This graph includes the full grant amount (even if multi-year) in the year of the award





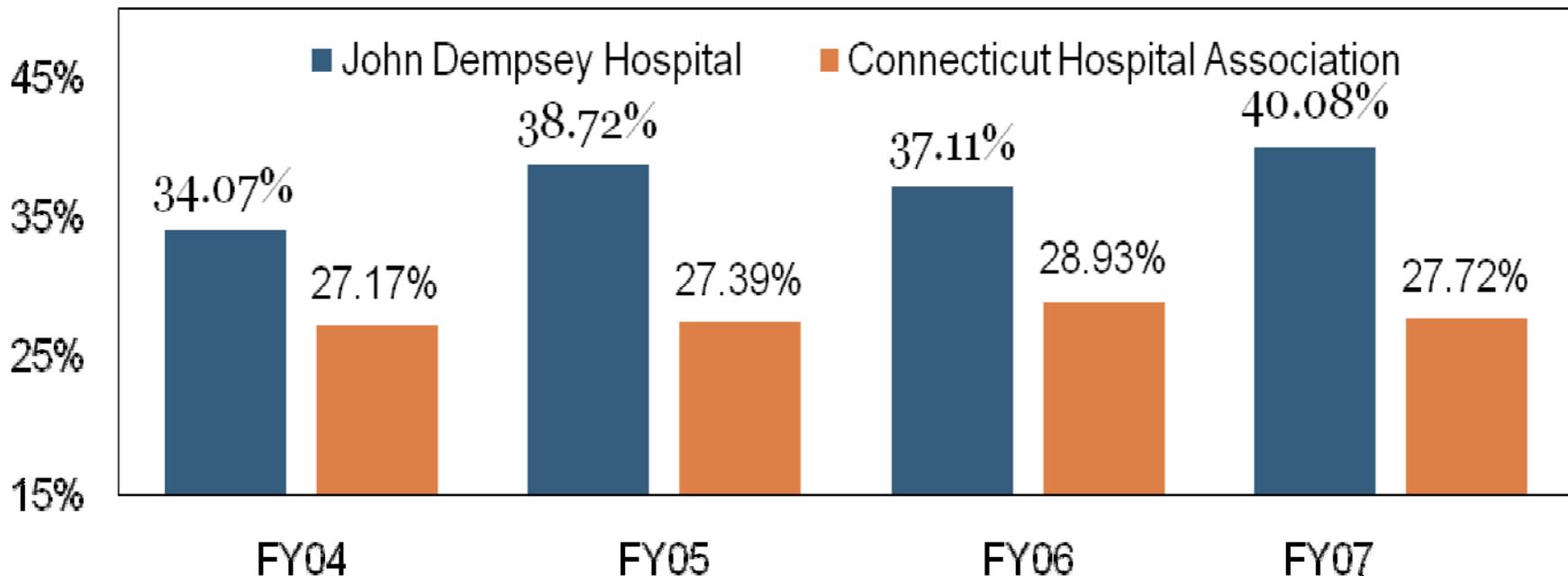
About John Dempsey Hospital (JDH)

- **Opened in 1975, JDH is the only public university acute care hospital in Connecticut and the 2nd smallest academic health center hospital in the United States**
- **Originally planned at 400 beds, the first phase of JDH was built at 200 beds. The second tower was never built**
- **Has 224 fully staffed and licensed beds, of which 116 are very specialized (Neonatal, Prison, Psychiatry, Maternity), leaving only 108 medical/surgical (flexible) beds**
- **Traditionally received no state general fund support for operations or capital program**
- **Faces the same set of challenges as the state's other 29 acute care hospitals: Medicaid/Medicare cutbacks, uncompensated care, low reimbursement rates, nursing and other health care profession shortages and the realities of an intensely competitive marketplace**
- **16.6% of JDH inpatient cases are Medicaid recipients. JDH is in the top five hospitals in Connecticut for Medicaid inpatient days as a percentage of total inpatient days. JDH is a disproportionate share hospital for Medicaid and Medicare**

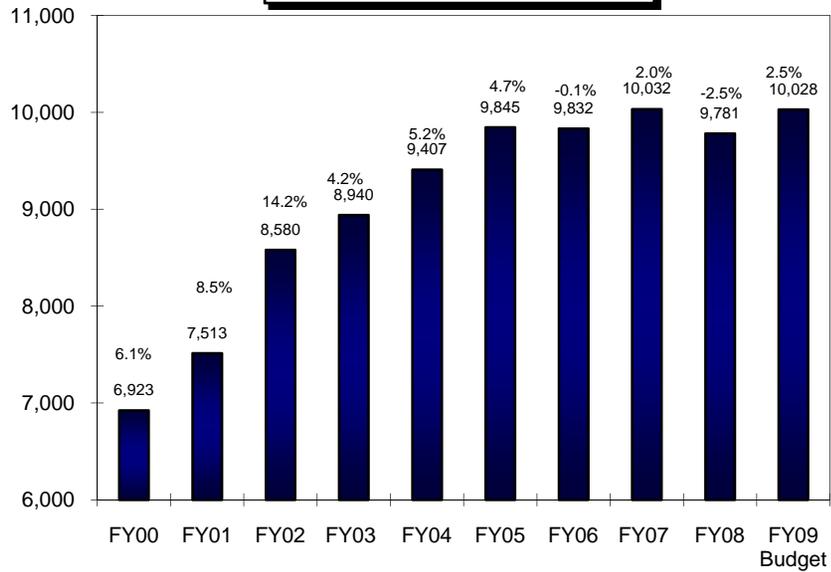


Fringe Benefit Cost JDH v. CHA Member Hospital Average

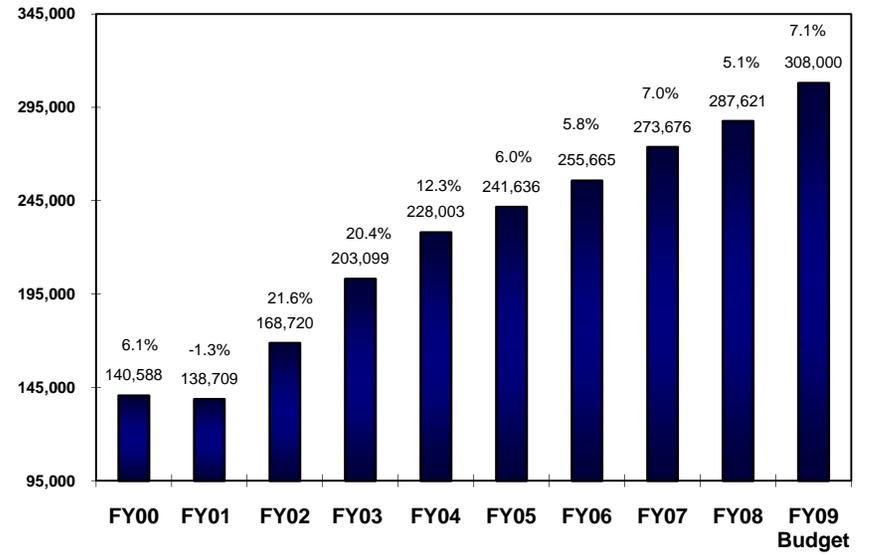
- As a state entity, JDH has fringe rates significantly higher than other hospitals.
- JDH has absorbed the cost of fringe benefits for its employees. For the first time in FY09, \$3.6M in the state comptroller's fringe account will help to offset some of that cost.
- The dollar value of that differential was \$8.4M in FY 05, \$6.7M in FY 06, 10.7M in FY 07, and is estimated at \$12.5M in FY 08, \$13M in FY 09, \$13M in FY 10 and \$14M in FY11.



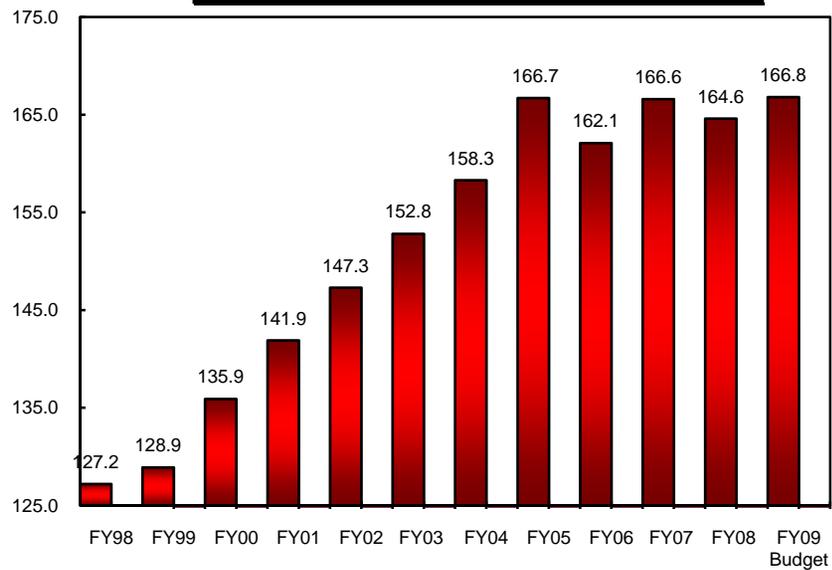
**JOHN DEMPSEY HOSPITAL
ADMISSIONS BY FISCAL YEAR**



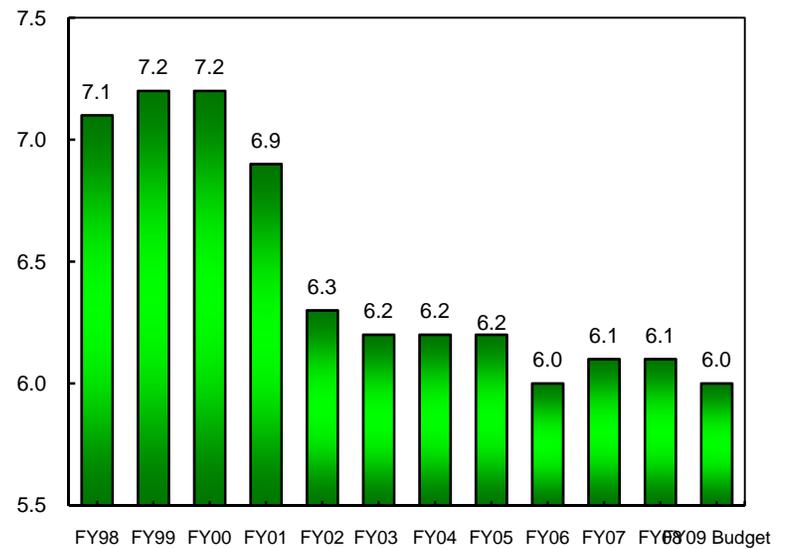
**JOHN DEMPSEY HOSPITAL
OUTPATIENT VISITS BY FISCAL YEAR**

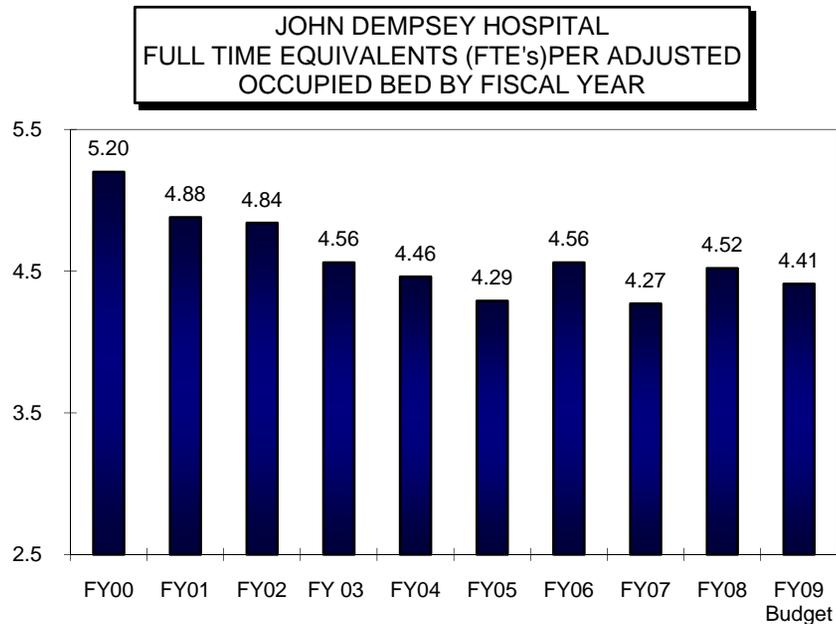
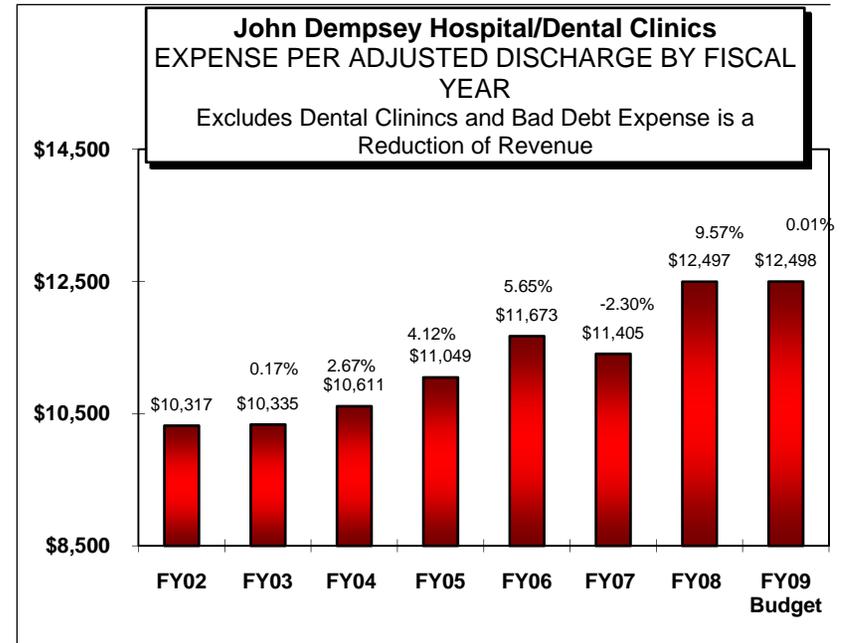
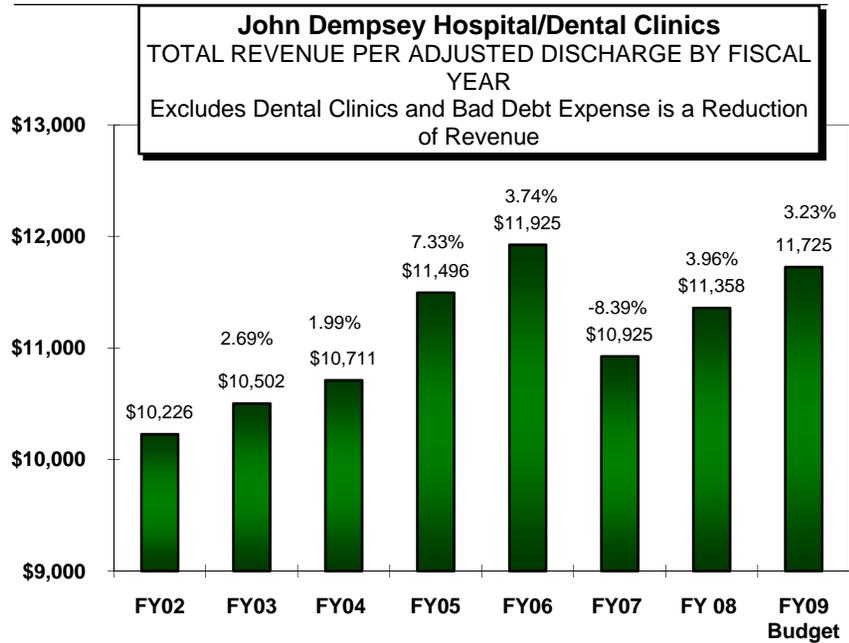


**JOHN DEMPSEY HOSPITAL
AVERAGE DAILY CENSUS BY FISCAL YEAR**



**JOHN DEMPSEY HOSPITAL
LENGTH OF STAY BY FISCAL YEAR**







JDH Physical Plant Status

- **30-year-old facility with no major upgrades since it opened**
- **Undersized and becoming increasingly outdated**
 - **Inadequate to accommodate today's evolving standards of care and technologies, privacy concerns, and patient/ provider expectations, including operating rooms, inpatient rooms, neonatal intensive care unit, outpatient diagnostic and treatment areas and support spaces**
 - **Present design precludes efficient staffing ratios (32-bed units) or cost-effective renovation**
 - **Almost no remaining capacity to accommodate steady increase in admissions, patient days, occupancy rates, as well as emergency room visits, radiology and rehab visits**
 - **Demand for service will outstrip capacity by 2010**



Securing the Future of UCHC and Transforming Health Education, Research and Clinical Care in the Greater Hartford Region

DATE	ACTION
February 2007	UCHC proposes a new hospital
June 2007	General Assembly requires a needs-based analysis of the plan; retains the Connecticut Academy of Science & Engineering (CASE)
March 2008	CASE issues its report to the General Assembly
May 2008	General Assembly requires that UCHC implement CASE plan
June 2008	UCHC issues Solicitation of Interest (SOI)
August 2008	UCHC receives Expressions of Interest (EOI)/affiliation proposals
November 2008	UCHC announces a principal partnership with Hartford Hospital and creation of the Connecticut Health Collaborative
December 2008	UCHC announces plans for a new hospital
January 2009	CASE issues its report to the General Assembly



UCONN fact sheet 2009

Campus Information

Founded 1881

Main Campus: Storrs

5 Regional Campuses:

Avery Point, Greater Hartford, Stamford, Torrington, Waterbury

School of Law and Graduate Business Learning Center: Hartford

School of Social Work: Greater Hartford Campus

Health Center: Farmington

(Schools of Medicine & Dental Medicine, graduate programs, medical & dental clinics & John Dempsey Hospital)

Land Grant & Sea Grant College, & Space Grant consortium institution

Storrs & Regionals = 4,108 acres; Health Center = 205 acres

UCONN 2000

As of October 2008:

- 99 major projects completed
- \$1.328 billion in construction-related contracts issued
 - 89% of funds to Connecticut contractors
 - 24% of funds to set-aside contractors
- Approximately 9.7 million square feet of new and renovated space completed
- Bond Credit Ratings by Fitch, Moody's and Standard & Poor's remain consistently strong

Academic Programs & Degrees

14 Schools & Colleges

Agriculture & Natural Resources, Business, Dental Medicine, Neag Education, Engineering, Fine Arts, Graduate, Law, Liberal Arts & Sciences, Medicine, Nursing, Pharmacy, Ratcliffe Hicks, Social Work

7 undergraduate degrees: 100 majors

17 graduate degrees: 91 research and professional practice fields of study

5 professional degree programs (J.D., LL.M., M.D., D.M.D., Pharm.D.)

Degrees 2007-08 6,875

Bachelor's	4,591
Master's	1,409
Doctorates	285
Law (J.D., LL.M.)	216
Pharm.D.	103
Medicine	79
Dental Medicine	40
Graduate/Professional Certificates	44
6 Yr. Education	73
2 Yr. Agriculture	35

Degrees by: Female 55% Minority 16%

Total Fall 2008 Student Enrollment: 29,383

16,765 Undergraduate at Main Campus

4,607 Undergraduate at Regional Campuses

21,372 Subtotal Undergraduate

6,583 Graduate (M.A./Ph.D., incl. 355 at Health Center)

726 Law

199 Pharm.D.

331 Medicine

172 Dental Medicine

8,011 Subtotal Graduate/Professional

Fall 2008 Entering Freshmen at Main Campus: 3,604

39% were in top 10% of High School Class

78% were in top 25% of High School Class

55 valedictorians and 76 salutatorians

78% more freshmen than in Fall 95

130% more minority freshmen than in Fall 95

Since 1995: 1,074 valedictorians and salutatorians enrolled at all campuses

Student Characteristics

Characteristics Fall 2008	Undergraduate 21,372	Grad/Professional 8,011
Female	51%	52%
Minority	20%	15%
International¹	1%	16%
Connecticut Residents²	80%	71%
Full-time Degree	90%	60%
Part-time Degree	7%	31%
Non-Degree (FT & PT)	3%	9%

¹ 106 countries were represented in the international student population.

² 76% of undergraduates on Main Campus are Connecticut residents.

All 169 Connecticut towns and 47 of 50 states are represented in total undergraduate student body.

SAT Scores and Retention & Graduation Rates

2008 SAT Scores	National High School	Connecticut High School	Storrs Entering Freshmen
Average SAT Total	1017	1022	1200
Main Campus:		All	Minority
Freshmen Retention: 1-Year Rate		93%	92%
Graduation: 4-Year Rate		66%	54%
6-Year Rate		76%	70%

UConn (Main Campus) ranks 20 out of 58 public research universities

in graduation rate for all freshmen and 22 out of 58 public research universities for minority freshmen. (Sources: *U.S. News 2009 America's Best Colleges & 2007 IPEDS Graduation Rate Survey*)

UConn (Main Campus) average time to graduate is 4.3 years among those who graduate within 6 years, and ranks 8 out of 58 public research universities.

Total Undergraduate Student Cost 2008-09

	In-State	Out-of-State
Tuition, Fees, Room¹ & Board²	\$18,638	\$33,350
Tuition & Mandatory Fees	9,338	24,050
Tuition Only	7,200	21,912

¹ 71% of Main Campus undergraduates live in campus housing (114 residential facilities).

² Board rate shown reflects most popular plan available.

Student Financial Aid 2007-08

Financial Aid Support: \$289.7 million

	Main Campus/ Regional ¹	Health Center
Total Scholarships & Grants	\$84.7 million	\$4.1 million
Total Loans	128.4 million	15.2 million
Total Student Employment	15.4 million	
Total Tuition Waivers	41.9 million	

¹ 37.8% of all tuition dollars are dedicated to financial aid. 77% of students receive aid.

Total Current Funds Budget FY 2009: \$1.7 billion

MAIN CAMPUS & REGIONAL CAMPUSES

Revenue	In Millions
State Appropriation	\$239.2
State Fringe Benefits	89.7
Student Tuition & Fees	408.7
Gifts, Grants & Contracts	149.8
Sales/Services - Auxiliary Enterprises	29.6
Sales/Services - Educational	16.9
Investment Income	5.4
<i>Total</i>	<i>\$939.3</i>

Expenditures

Academic Services	\$417.9
Research Services	64.1
Student Services	305.4
Operating, Support & Physical Plant Services	150.9
<i>Total¹</i>	<i>\$938.3</i>

¹The \$1.0 million difference is the repayment to reserves.

HEALTH CENTER

Revenue	In Millions
State Appropriation	\$105.0
State Fringe Benefits	40.9
Tuition & Fees	15.8
Gifts, Grants & Contracts	88.8
Auxiliary Enterprises	13.0
Interns & Residents	42.0
Net Patient Care	326.6
Correctional Managed Care	104.2
All other revenues	11.2
<i>Total</i>	<i>\$747.5</i>

Expenditures

Hospital & Health Services	\$422.7
Academic Services	143.2
Research Services	98.8
Student Services	4.1
Operating, Support & Physical Plant Services	90.2
<i>Total²</i>	<i>\$759.0</i>

²Revenue enhancements and expenditure reductions are planned.

Private Giving

- In FY 08, private fundraising receipts totaled \$56.6 million: \$15.2 million for the Health Center, \$18.7 million for Athletics, and \$22.7 million for Storrs and the regional campuses.
- The Annual Fund raised a record \$5.8 million in FY 08 from 29,006 donors. This amount represents a 21 percent increase over FY 07.
- Alumni contributed \$18.3 million last year. Additional commitments included \$10.7 million from parents and other individuals, \$14.2 million from corporations and \$13.4 million from private foundations.
- At the close of FY 08, the University's endowment, which stood at \$42 million at the start of 1995, was valued at approximately \$317 million; over the past 5 years, the endowment has grown \$108 million, or nearly 52 percent.
- The UConn Foundation established 45 new endowment funds in the past year for students, faculty and program support; the total number of endowments now stands at 1,182.
- The University received \$31.4 million in disbursements from the UConn Foundation in FY 08. Included in this total were \$11.5 million for scholarships, \$9.4 million for faculty support and \$6.1 million for programs and facilities.
- Currently, there are 79 faculty chairs and professorships at the University funded through private endowments.

UConn Alumni

- Approximately 190,000 total Alumni
- Over 109,500 Alumni live in Connecticut
- Among recent bachelor's degree graduates:
 - 97% would recommend UConn to others
 - 94% are either employed or are in graduate/professional school
 - 68% of those working full-time are doing so in Connecticut

Staff Characteristics (Fall 2008)

Number of Full-time & Part-time Faculty & Staff: 9,633

	Main Campus/Regional	Health Center
	4,631	5,002
Faculty:		
Female	37%	36%
Minority	19%	23%
Other Staff:		
Female	58%	76%
Minority	15%	22%
Full-Time:	94%	77%

	Main Campus/Regional	Health Center
Full-time Faculty	1,324	493
Tenured	61%	34%
Percent of full-time faculty with Ph.D. or terminal degree:¹		
Main Campus & Regional Campuses	92%	
Health Center		94%

¹Percent of faculty with highest degree in field.

	Main Campus/Regional	Health Center
Type of Full-time Employee	4,373	3,837
Faculty ²	30.3%	12.9%
Administrators	2.4%	5.1%
Professional Support	44.6%	44.3%
Secretarial/Clerical	6.9%	15.5%
Para-Professional/Trades	3.6%	17.3%
Service/Maintenance	12.2%	4.9%

²At Main Campus, includes 19 faculty members serving as assistant or associate deans.

	Main Campus/Regional	Health Center
Number of Part-time Faculty and Staff³	258	1,165

³An additional 669 adjunct lecturers teach one or more courses at Storrs and Regional Campuses.

Staff Covered by Collective Bargaining Agreements:

Main & Regional Campuses	91%
Health Center	79%

Research, Training & Public Service

Nationally ranked 77/662 among all institutions and 53/388 among public institutions by the National Science Foundation in research and development spending for FY 07 (latest report).

FY 08 external funding, sponsored activities: \$194.5 million (excluding financial aid):

Main & Regional Campuses:	\$101.9 million (52.4%)
Health Center:	\$92.6 million (47.6%)

Total by Funding Source

Federal: 71% State: 12% Private/Other: 17%

Sponsored Activities at Main & Regional Campuses

Research	81.2%
Education and Training Programs	3.2%
Public Service	15.6%

Sponsored Activities at the Health Center

Research	85.0%
Industry Support	4.8%
Education and Training Programs	9.5%
Other	0.7%

University of Connecticut Web Sites

Main & Regional Campuses - <http://www.uconn.edu>
Health Center - <http://www.uchc.edu>