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## Standard Three: Organization and Governance

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## Standard Three

### Organization and Governance

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

#### Board of Trustees

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

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

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

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

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

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

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

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

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

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

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

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

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

The University is working to build on this foundation to further improve communication. The Vice President and Chief Operating Officer has instituted multiple task forces that bring people from various units together to work on issues of general concern. (See Description of BEST Program in Chapter 2.) Key University officials regularly participate in

student and faculty fora on all campuses. The President communicates regularly through meetings with student, faculty and staff groups, and invites e-mail communications to which he responds. Each semester, the President sends out an extensive Letter to the Community on topics of interest. The *UConn Advance*, a newspaper published weekly during the academic year, and *UConn Traditions*, a quarterly publication aimed at alumni, also facilitate information sharing and communication. Every college and school, and many departments and university units, also regularly publish newsletters or annual reports. The University continues to explore ways of better facilitating communication among a 30,000-person community that operates in various locations throughout the State. (3.12)

### *Appraisal*

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

### *Projection*

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

### **Chief Executive Officer and Administration**

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

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

The Connecticut Office of the Attorney General has a satellite location in Storrs. The Assistant Attorney General provides legal counsel to the University and the Office's staff is placed administratively within the President's Office.

Additionally the President has a Special Assistant and an Executive Assistant for issues relating directly to the Office of the President. (3.7)

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

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

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

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

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

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

their particular areas of expertise. New academic degree programs must also be approved by the Connecticut Department of Higher Education.

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

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

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

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

### *Appraisal*

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

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

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

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

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

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

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

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

#### *Projection*

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### *Appraisal*

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

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

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

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

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

### *Projection*

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

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

## **INSTITUTIONAL EFFECTIVENESS**

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