

AGENDA  
Meeting of the  
BOARD OF GOVERNORS FOR HIGHER EDUCATION  
Department of Higher Education  
Hartford, CT  
September 16, 2009  
1:30 p.m.

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3. Public Participation
4. Report of Board Chairman
5. Report of Commissioner
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- a. Personnel Matters

12. Adjournment



## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Subject: Appointments to the Advisory Committee on Accreditation

### Background

Regulations of the Board of Governors for Higher Education call for the appointment of an Advisory Committee on Accreditation (ACA) to advise the Board and the Commissioner. The subject of advice is the review and approval of programs and institutions of higher education in Connecticut. The Committee is asked, in the case of each application for approval, to make a finding regarding compliance or lack of compliance with the Board's approval standards. The Committee also discusses issues related to the approval standards and provides advice on such matters.

The ACA consists of twelve members and twelve alternates appointed by the Board, with equal representation of public and independent institutions and with two representatives of the public at large. The members of the ACA serve three year staggered terms.

This year, there were six vacancies to be filled:

- \* Two members (and alternates) from public institutions of higher education.
- \* Two members (and alternates) from independent institutions of higher education.
- \* Two members (and alternates) from the public at large.

In order to identify candidates to fill the vacancies, the Commissioner of Higher Education solicited nominations from members of the higher education community, including chief executive officers and presidents of institutions of higher education, the Connecticut Conference of Independent Colleges (CCIC), the Connecticut Business and Industry Association (CBIA), and other interested parties.

The nominees recommended for appointment to a three year term until August 31, 2012 are listed below. A roster of the current (2008-2009) Advisory Committee is also attached for the Board's information.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education appoint to the Advisory Committee on Accreditation the members and alternates identified in the staff report for a three year term until August 31, 2012, and authorize the Commissioner to make interim appointments to fill vacancies that may occur during the coming year.

BOARD OF GOVERNORS FOR HIGHER EDUCATION  
Department of Higher Education

ADVISORY COMMITTEE ON ACCREDITATION

Terms of Appointment: 2009-2010 Academic Year

Chairman: W. Miller Brown, Professor of Philosophy,  
Trinity College

Vice Chairman: Shirley Adams, Provost  
Charter Oak State College

To August 31, 2010

Miller Brown/ Frank Kirkpatrick	Trinity College
David Dauwalder/ Gordon Simerson	University of New Haven
Robert McCarthy/ William Pizzutto	University of Connecticut

To August 31, 2011

Shirley Adams/ Ed Klonoski	Charter Oak State College
John Donahue/ Sean O'Connell	Albertus Magnus College
Abbey Zink/ Richard Bassett	Western Connecticut State University

To August 31, 2012

Ann Clark/ Janet Jefford	Goodwin College
Martha McLeod/ Barbara McCarthy	Asnuntuck Community College
Leon Newman/ David Wetstone	CT Academy Science & Engineering
Joseph Paige/ Braden Hosch	Central Connecticut State University
Judith Resnick	Connecticut Business & Industry Association
Martha Shouldis/ Susan Capasso	St. Vincent's College

BOARD OF GOVERNORS FOR HIGHER EDUCATION  
Department of Higher Education

ADVISORY COMMITTEE ON ACCREDITATION

Terms of Appointment: 2008-2009 Academic Year

Chairman: Marianne Kennedy, Office of Academic Assessment and  
Planning, Southern Connecticut State University

Vice Chairman: W. Miller Brown, Professor of Philosophy,  
Trinity College

To August 31, 2009

Roger Brooks/John Nugent	Connecticut College
Laurence M. Conner/ Hans van der Giessen	University of Bridgeport
Marianne Kennedy/DonnaJean Fredeen	Southern Connecticut State University
Martha McLeod/Barbara McCarthy	Asnuntuck Community College
Judith Resnick/Lauren Kaufman	CBIA
Earl Thompson/Leon Newman	CT Academy of Science & Engineering

To August 31, 2010

Miller Brown/ Frank Kirkpatrick	Trinity College
David Dauwalder/Gordon Simerson	University of New Haven
Robert McCarthy/William Pizzutto	University of Connecticut

To August 31, 2011

Shirley Adams/Ed Klonoski	Charter Oak State College
John Donahue/Sean O'Connell	Albertus Magnus College
Abbey Zink/Richard Bassett	Western Connecticut State University



## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Capital Community College

Item: Modification of a program in Fire Technology and Administration, leading to an Associate of Science degree (A.S.)

### Executive Summary

Capital Community College has applied to the Board of Governors for Higher Education for approval of a modification to its Associate of Science program in Fire Technology and Administration. The proposed changes would update the general education curriculum, add specialized content related to emergency medical services, and change the name of this program to Fire Science and Emergency Medical Services. The College is also requesting changes to the Emergency Management Option to this degree program and to the related Emergency Management Response certification program.

The Advisory Committee on Accreditation, at its meeting on May 14, 2009, reviewed these program modifications found them to be in compliance with Board of Governors approval standards. The motion to recommend approval to the Board of Governors passed unanimously.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve the modifications to the Associate of Science degree (A.S.) program in Fire Technology and Administration, the Emergency Management Response Option, and the Emergency Management Response Certificate, offered by Capital Community College, for a period of time concurrent with institutional accreditation. These modifications include changing the name of the associate degree program to Fire and Emergency Medical Services.

## Description

The current Fire Technology and Administration program was originally developed as a statewide program for the former technical colleges more than a decade ago. The College maintains that the proposed changes bring the program into alignment with the current Federal Emergency Management Administration (FEMA) Fire and Emergency Services higher education curriculum model. FEMA adopted this curriculum in 2002 in response to the events of September 11, 2001. The new curriculum calls for basic emergency medical technician training for fire fighters who are the first responders to 911 calls.

The proposed program matches the existing approved program in requiring 9 general education courses, 10 specialized courses and one open elective.

- There are 5 proposed changes to the general education courses which the College reports reflect changes to its general education core. For example, a fine arts elective has been added as well as a second social science elective in place of a second math course and a computer course.
- There are 2 proposed changes to the specialized courses including the addition of a basic course entitled Emergency Medical Technician.
- All changes reflect courses that are currently offered at the college.

## Purposes and Objectives

The current Fire Technology and Administration Program provides advanced training and education that develops competent technicians who are, or will become, leaders in fire protection, prevention and administration. The program provides training and education for personnel of fire insurance companies and of industries involved in fire prevention and protection practices.

Upon successful completion of all program requirements, graduates are able to:

1. Demonstrate the ability to conduct research on specific topics related to the Fire Service
2. Demonstrate the ability to analyze various theories, techniques, and research related to the Fire Service
3. Demonstrate a working knowledge of the various aspects of the Fire Service
4. Demonstrate the ability to use technology to process information to identify and address problems
5. Demonstrate good oral and written communication skills
6. Demonstrate the ability to address problems while working as part of a team

The emergency management option of the Fire Technology and Administration degree program familiarizes firefighters with the science of planning for, responding to, and recovering from disasters.

## Administration

The Fire Technology and Administration program is housed in the Health Careers Department and is administered by a program chairperson who also teaches in the program.

## Curriculum

The table on the next page compares the existing program (left) to the proposed program (right).

Fire Technology/ Administration			Proposed Fire Science & EMS		
Course Number	Course Title	Credits	Course Number	Course Title	Credits
<b>General Education</b>					
ENG* 101	Composition	3	ENG* 101	Composition	3
COM* 173	Public Speaking	3	COM* 173	Public Speaking	3
ENG* 202	Technical Writing	3	ENG* 102	Comp. and Literature	3
CSA* 105	Intro. to Software Applications	3		Fine Arts Elective	3

	Social Science Elective	3		Social Science Elective	3
CHEM* 111	Concepts of Chemistry	4	CHEM* 111	Concepts of Chemistry	4
MAT* 137	Intermediate Algebra	3	MAT* 137 or higher	Intermediate Algebra or higher	3/4
PHY* 121	General Physics I	4	PHY* 121 or PHY*110	General Physics I or Introductory Physics	4
MAT* 186	Pre-Calculus	4			
Total Credits		30			26/27

<b>Specialized Courses</b>					
FTA* 112	Introduction to Fire Technology	3	FTA* 112	Introduction to Fire Technology	3
FTA* 116	Building Construction	3	FTA* 116	Building Construction	3
FTA* 118	Fire Prevention and Inspection	3	FTA* 118	Fire Prevention and Inspection	3
FTA* 210	Water Supply and Hydraulics	3	FTA* 210	Water Supply and Hydraulics	3
FTA* 213	Codes and Standards	3	FTA* 213	Codes and Standards	3
FTA* 216	Municipal Fire Administration	3	FTA* 216	Municipal Fire Administration	3
FTA* 218 or 230	Sprinklers & Fixed Extinguishing Systems <u>or</u> Strategies & Tactics	3	FTA* 218	Sprinklers & Fixed Extinguishing Systems	3
FTA* 219	Fire Investigation	3	FTA 230	Strategy and Tactics	3
			EMS*100	Emergency Medical Technician - Basic	3
	Technical Elective	3		Technical Elective	3
	Open Elective	3		Open Elective	3
	Technical Elective	3		Social Science Elective	3
<b>Total Credits</b>		<b>63</b>			<b>62/3</b>

Two related changes are delineated below:

#### 1. Emergency Response Option

Capital Community College currently offers a 9 credit Emergency Response Option to the Fire Technology and Administration A.S. degree. The College proposes three new specialized courses in this option which reflect evolving practices in emergency management. This would be an option on the new modified Fire Science and Emergency Medical Services Associate of Science degree. The chart below outlines the current option (left column) and the proposed changes to the option (right column). The name of the option remains the same.

<b>Current Option</b>	<b>Proposed Changes</b>
EMR*101 Principles and Processes of Emergency Management (3 credits)	EMR*XXX Principles of Emergency Management and Homeland Security (3 credits)
EMR*102 Specific Events and Contingency Planning (3 credits)	EMR*XXX Local Integrated Emergency Management and Homeland Security (3 credits)
EMR*103 Living in a Hazardous Environment (3 credits)	EMR*XXX Selected Topics in Emergency (3 credits)

## 2. Emergency Management Response Certificate

Capital Community College currently offers a 9 credit Emergency Management Response Certificate. The College proposes to update the three courses in this option to reflect evolving practices in emergency management. The 3 current courses and 3 new courses are identical to those proposed in the Emergency Management Option above.

### Admissions and Enrollment

The admissions requirements have not changed from the previous program. The College reports the following enrollments in the specialized courses for the past 2 years:  
Specialized course enrollments for the last two years:

#### **Spring, 2007**

Building Construction	18
Codes and Standards	14
<b>Total</b>	<b>32</b>

#### **Fall, 2007**

Introduction to Fire Technology	16
Fire Prevention	15
Water Supply and Hydraulics	11
<b>Total</b>	<b>42</b>

#### **Spring, 2008**

Municipal Fire Administration	15
Fire Investigation	10
Strategy and Tactics	16
<b>Total</b>	<b>41</b>

#### **Fall 2008**

Building Construction	13
<b>Total</b>	<b>13</b>

Total enrollment in specialized courses for the past two years: 128

The College hopes that by strengthening this program and the related option, more students will complete their associates degree in fire science and transfer to the bachelor's program at the University of New Haven, the only baccalaureate fire science program in the state. Charter Oak offers a baccalaureate program for fire safety associate graduates who want to focus on public safety.

Four other Community Colleges (Gateway, Naugatuck Valley, Norwalk and Three Rivers) offer an associate degree program in fire safety and technology.

## Resources

### Faculty

The College reports one full time faculty member in addition to the Department Chair with appropriate degrees and an adjunct professor who is a current Fire Captain who teach in the program. No new faculty members are required as a result of this modification.

### Resource Centers and Libraries

Capitol Community College provided an extensive list of books, journals and databases available in their library related to fire technology and emergency management response. No new library materials are required as a result of this modification.

### Facilities and Equipment

There will be no changes in the need for or use of facilities and equipment in the modified program.

## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Eastern Connecticut State University

Item: Licensure of a program in Labor Relations and Human Resource Management, leading to the Bachelor of Science (B.S.) degree

### Executive Summary

Eastern Connecticut State University has applied to the Board of Governors for Higher Education for licensure of a program in Labor Relations and Human Resource Management, leading to the Bachelor of Science (B.S.) degree. The proposed program is designed to give students an understanding of the economic, legal, historical and institutional context of work. This interdepartmental major provides flexibility to students to shape their program to their area of interest, while guiding them through requirements in Economics, Human Resource Management, and Psychology, as well as the opportunity for internships. Graduates will be prepared for employment and further study in the areas of human resource management, labor studies, personnel, union administration, employee assistance and labor law.

The proposed program was initially reviewed by Dr. Mark Sullivan, Director and Associate Professor from the University of Connecticut's Labor Education Center and Dr. John Walters of the Department of Higher Education. This review resulted in minor modifications to the program, including the addition of two mediation courses and a change in the name of the program. These changes were approved by the institution's senate and are incorporated into this report.

The Advisory Committee on Accreditation, at its meeting on June 11, 2009, reviewed the program and found it to be in compliance with Board of Governors approval standards. The Advisory Committee is recommending to the institution that it review the appropriateness of the program name and courses during the licensure period. The vote to recommend approval to the Board of Governors was all in favor.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education license a program in Labor Relations and Human Resource Management, leading to the Bachelor of Science (B.S.) degree, offered by Eastern Connecticut State University, for a period of three years, until September 30, 2012.

## Description

### Purpose and Objectives

The University states that the program will provide a broad foundation of theoretical and professional knowledge so that students are prepared for careers in labor relations, human resource management, policy analysis and management, and for graduate and professional study. The University notes that, as Connecticut's public liberal arts university, it will seek to ensure that the program will also provide the broad knowledge as well as the communication and analytical skills developed in a traditional liberal arts program.

### Administration

A Labor Relations and Human Resource Management coordinator will manage the program. The coordinator will be a full-time, tenured or tenure-track faculty member with an appropriate terminal degree. The coordinator will facilitate the activities of a Program Advisory Committee. The program will be housed in the department of the program coordinator.

### Curriculum and Instruction

The program requires a student to complete 120 credit hours of work, distributed as follows:

#### I. Pre-requisites for LRHRM courses

- ECO 200 Principles of Macroeconomics
- ECO 201 Principles of Microeconomics
- PSY 100 General Psychology
- ECO 215 Statistics for Economics and Business (or another Statistics course)
- BUS 230 Business and Society

#### II. Courses applied to the *Labor Relations and Human Resource Management* major (45 credits)

LRHRM majors must complete at least 45 credits of coursework from the courses listed below and complete the specified minimum number of credits within each cluster of courses.

##### Economics: 9 credits (3 courses)

- ECO 329 Political Economy of Labor Relations (satisfies the University Writing-Intensive Course requirement)
- ECO 301 Intermediate Microeconomic Analysis
- ECO 330 Labor Economics

##### Business Administration (Human Resource Management): 9 credits (3 courses)

- BUS 234 Supervision and Training
- BUS 310 Contemporary Issues in Employment Law
- BUS 330 Industrial Labor Relations
- BUS 331 Organizational Behavior

BUS 333 Human Resource Management  
 BUS 366 Lean Production Management  
 BUS 433 Methods of Human Resource Management Development  
 Psychology: 9 credits (3 courses) minimum  
 PSY 303 Industrial and Organizational Psychology  
 PSY 304 Job Satisfaction and Motivation  
 PSY 305 Leadership in Organizations  
 PSY 403 Seminar in Diversity at Work  
 PSY 404 Measuring Work Behavior  
 Other disciplines: 9 credits (3 courses) minimum  
 GEO 228 Historical Geography of the U.S.  
 GEO 337 Economic Geography  
 SOC 275 The Sociology of Globalization  
 SOC 358 Sociology of Labor  
 SWK 310 Alternative Dispute Resolution  
 ANT 363 Women and Work  
 HIS 313 The Gilded Age to World War I  
 HIS 317 Women and Family in Western Society  
 Internship:  
 LRHRM 490 Internship in Labor Relations and Human Resource  
 Management (3 – 6 credits)  
 Three credits of LRHRM 490 may be applied to the 45 credits required for  
 the LRHRM major. If the internship is taken for 6 credits, 3 may be applied  
 to the LRHRM major and the remaining 3 will apply to the 120 credits  
 required for graduation.

All existing or proposed courses in this program, except LRHRM 490 (Internship in Labor Relations and Human Resource Management), are part of existing majors in Economics, Psychology, Business, History, Anthropology, and Sociology and would be subject to current articulation agreements that apply to those majors.

### Enrollment

The University states that the program will attract traditional students interested in human resource management careers; students who are interested in a major in the social sciences; and non-traditional students, particularly those who are currently employed in unionized workplaces or in personnel departments and who have an interest in labor relations and studies.

Enrollment projections increase from 9 students in the first year of implementation to 57 full and part – time students by year three.

## Assessment of Need

The University indicates that there are about 70 colleges in the U.S. that offer interdisciplinary bachelor's programs in Labor, Industrial Relations, or Workplace Studies. Additional bachelor's programs affiliated with business departments focus quite narrowly on Human Resource Management or Personnel. The number of either type of program is very limited in New England.

In Connecticut there are few related programs:

- Personnel Management
  - One bachelor's level program at the University of New Haven
- Labor Relations
  - One master's program at University of New Haven
- Human Resource Management:
  - Four certificate programs: University of Bridgeport, Albertus Magnus College, Post University, Post University Online
  - One post-baccalaureate program at the University of New Haven
  - Master of Professional Studies in Human Resource Management at the University of Connecticut
  - Several bachelor's programs in management or business allow for a concentration in Human Resource Management.

The Connecticut Department of Labor includes "Employment, Recruitment, and Placement Specialists" on its list of the "Top Occupations Requiring Postsecondary Education by Growth Rate," with a 20.4% growth rate anticipated by 2014. (Connecticut Department of Labor, Office of Research, *Connecticut Occupational Forecast*, Occupations In Demand, on the Internet at <http://www.ctdol.state.ct.us/lmi/misc/occsindemand.htm> (visited February 24, 2008))

## Resource Support

### Faculty

The University lists 17 full-time faculty members representing various relevant departments who will teach in the program. All hold the Ph.D. degree.

### Resource Centers and Libraries

The University offers adequate and appropriate resources for teaching and research in both the circulating and the reference collections of the J. Eugene Smith Library at Eastern Connecticut State University.

### Facilities and Equipment

The University anticipates no new facilities or equipment for this program.

## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Fairfield University

Item: Modification of a program in Fine Arts with concentrations in Art History; Music; New Media; Studio Art, and Theatre into individual majors, each leading to a Bachelor of Arts (B.A.) degree

### Executive Summary

Fairfield University has applied to the Board of Governors for Higher Education for approval of a modification of its Bachelor of Arts program in Fine Arts with concentrations in Art History; Music; New Media; Studio Art, and Theatre into individual majors. The modification is a result of evolving changes to the concentration areas, which now are regarded majors by the University.

The University reports no new courses or faculty are required for the modification.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve the modification of the accredited program in Fine Arts with concentrations in Art History; Music; New Media; Studio Art, and Theatre into separate majors, each leading to the Bachelor of Arts (B.A.) degree, offered by Fairfield University, for a period of time concurrent with institutional accreditation.

### Description

#### Purpose and Objectives

Fairfield University has offered substantial concentrations in Art History, Music, New Media, Studio Art and Theatre within the Fine Arts major for many years. The program's students have been receiving degrees in Fine Arts, and the University has recognized that students should receive their degrees named in their concentration areas.

#### Administration

The Art History, Music, New Media, Studio Art and Theatre programs are housed in the Visual and Performing Arts Unit in the College of Arts and Sciences at Fairfield University. There is a Department Head designated to each major.

## Curriculum

*Art History:* (30 credits) Art history students develop critical evaluation skills through a cycle of courses that 1) examine the artistic heritage of the ancient, medieval, Renaissance, baroque, modern, and American cultures in the Western experience and the artistic heritage of Asia, Africa, and the Americas, and 2) explore contemporary developments in art within our increasingly global society.

*Music:* (30 Credits) The Department awards a degree for music majors with concentrations in classical, music education, and jazz and popular music.

*New Media:* (33 credits) The New Media Major with concentrations in Film, Television, and Radio offers courses in theory, history, genres, styles, and structures with hands-on production courses. The program curriculum reflects the convergence of traditional media of film, television, and radio into new media of creative possibilities. Students learn the theory and collaborative practice of all aspects of visual storytelling: writing, moving-image design, producing, directing, cinematography, sound design, digital imaging, and editing.

*Studio Art:* (33 credits) The Studio Art program is divided into three developmental areas: foundation studios, advanced studios, and capstone studios.

- The foundation studios develop formal, technical, expressive, and problem-solving skills. They stress knowledge of modern and contemporary art and provide a survey of artistic disciplines.
- The advanced studios build upon the foundation studios and focus on a particular discipline, such as painting, photography, and sculpture. Students develop a formal vocabulary, visual sensitivity, and manual dexterity. Materials and historical concerns are integral parts of directed and individual investigations.
- In the capstone studios, students further develop the diverse experiences and knowledge they have acquired as studio art majors and focus their newly acquired skills on a specific theme or area of artistic research. In addition to creating this visual work, students develop an appreciation for aesthetics and concept exploration. Capstone experiences develop creative autonomy.

*Theatre:* (33 Credits) The Theatre program is balanced between the theoretical and practical aspects of the discipline. Students have the benefit of instruction from theatre professionals in acting, dance, design, directing, playwrighting, production, and stagecraft, and study with professors specializing in history, literature, and criticism of the stage. The Theatre program emphasizes the development of good communication skills. Courses stress the development of written, verbal, and artistic abilities.

## Admissions and Enrollment

The admission and graduation requirements for the program will be consistent with requirements for admission and graduation at the University.

## Resource Support

### Faculty

The University listed 16 full-time faculty members who teach in the Visual and Performing Arts Department. There are two faculty designated Studio Art, four in Art History, three in Music, four in New Media, and three in Theatre. Currently, there are 35 part-time faculty members.

### Resource Centers and Libraries

The DiMenna-Nyselius Library is fully wired and offers state of the art technology. Students will be able to use the resources of the DiMenna Nyselius Library, the University's principal library center, through on-ground and online services.

### Facilities and Equipment

There will be no changes in the need for or use of facilities and equipment in the modified program.

Among the many outstanding resources and programs available to students are specially arranged visits to major museums in New York and Connecticut with behind-the-scenes tours by curators; internships at regional museums and cultural organizations; hands-on apprenticeships at the University's Thomas J. Walsh Art Gallery; ongoing research with the University's Samuel H. Kress Collection of Italian Paintings and the Metropolitan Museum of Art Plaster Cast Collection at Fairfield, and the art collections in the new Bellarmine Museum of Art.



## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Hartford Seminary

Item: Modification of a program in Religious Studies on-line, leading to a Graduate Certificate

### Executive Summary

- Program Modification to offer Graduate Certificate in Religious Studies on-line.
- Program was originally accredited by the State of Connecticut in 1999.
- The Advisory Committee on Accreditation, met on June 11, 2009 and found the program to be in compliance with Board of Governors approval standards.
- The vote to recommend approval to the Board of Governors for Higher Education was all in favor.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve a modification of the accredited certificate in Religious Studies on-line, leading to a graduate certificate, offered by Hartford Seminary, for a period of time concurrent with institutional accreditation.

## Description

### Purpose and Objectives

- Offering the graduate certificate on-line provides more students with the opportunity to take advantage of course offerings.
- Since 2002, Hartford Seminary has been offering courses on-line.
- It is also intended for students who desire the greatest flexibility for purposes of meeting particular educational objectives.

### Administration

- The program is administered by the Academic Dean and Director of Distance Learning.

### Curriculum

- The total number of credits for the graduate certificate remains at 18.
- No curriculum changes, as all courses are currently offered.

## Educational Planning Context

- The program allows students to expand their knowledge in specialized, focused fields, ranging from biblical studies to spirituality to Islamic studies.
- Students who complete the graduate certificate will have a coherent set of courses to meet their educational objectives in collaboration with their faculty advisor.
- The program requirements remain the same.

## Resource Support

### Faculty

- Since Hartford Seminary faculty and adjunct faculty are already teaching two (2) on-line courses per year, no new faculty are required.

### Resource Centers and Libraries

- Since the certificate is already in existence, the current library holdings will be sufficient, so no new library materials are required.

### Facilities and Equipment

- Hartford Seminary is a member in the Connecticut Distance Learning Consortium and uses Blackboard software, so students will have a host of resources with no changes in the need for or use of facilities and equipment.

## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Hartford Seminary  
Item: Reaccreditation of the Seminary

Hartford Seminary has requested reaccreditation by the Board of Governors for Higher Education on the basis of the continuation of its regional accreditation by the New England Association of Schools and Colleges (NEASC). The Seminary was accredited last by the Board of Governors in October 2004 for a period of five years.

Hartford Seminary was founded in 1833 as the Pastoral Union of Connecticut for the purpose of training ministerial leadership for the churches. Over the years, as the result of the expansion of its mission, consolidations with other theological institutions, and in response to the changing needs of theological education, the Seminary restructured its programs and expanded its commitments as it sought to fulfill its commitment to preparing its graduates for a diversity of vocations. The institution's name was changed to Hartford Seminary in 1981. It is a nondenominational theological institution that focuses on four interrelated and integrated areas of teaching and research: developing leaders for communities of faith and ministry in daily life; working with religious institutions of all faiths to strengthen the well-being of their communities; supporting the lived faith of Muslims and Christians through interfaith engagement; and reflecting on the literature, theology, ethics, worship, and traditions of Judaism, Christianity, and Islam as they enrich faithful living in contemporary life.

The Commission on Institutions of Higher Education of the New England Association of Schools and Colleges, at its meeting on September 18, 2008, continued the Seminary's accreditation based on the fifth-year interim report. The Commission scheduled the next comprehensive evaluation of the Seminary for Fall 2013. In addition to the information required in a self-study evaluation report, the Commission requested evidence of the institution's continued success in addressing matters identified for emphasis in the 2008 report. The Commission commended the Hartford Seminary for significant progress in development of a strategic plan, a system of program reviews, an increase in library resources, reduced dependence on its endowment and the initiation of a process for the assessment of student learning with articulation of learning goals for each program and course.

Connecticut Regulations 10a-34-6c states that "the Board of Governors for Higher Education shall accept regional or, where appropriate, national accreditation, in satisfaction of the requirements of this subsection unless the Board finds cause not to rely upon such accreditation." The letter of notification from the New England Association of Schools and Colleges, dated November 17, 2008, gives no indication of serious problems at the institution, and the Board of Governors has no other information that could be interpreted as "cause." There being no cause, it is recommended that the Board of Governors accept the NEASC assessment and grant accreditation to Hartford Seminary for a period of five years, until October 31, 2014.



## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Middlesex Community College

Item: Modification of a program in Communication, leading to an Associate of Arts (A.A.) degree

### Executive Summary

Middlesex Community College has applied to the Board of Governors for Higher Education for approval of a modification of its Associate of Arts program in Communication Arts. The modification includes a name change removing "Arts" to simply Communication, and changes in the curriculum. The requested change is the product of comparison of program requirements at the four-year institutions where students typically transfer. The goal is to better facilitate transfer for students by aligning curricula. The College seeks to update and revitalize the Communications program as a result of an internal evaluation. All of the courses in the revised curriculum are currently offered by the College and a sufficient number of faculty members are in place.

The Advisory Committee on Accreditation, at its meeting on June 11, 2009, reviewed the program and found it to be in compliance with Board of Governors approval standards. The vote to recommend approval to the Board of Governors was all in favor.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve the modification of the accredited program in Communication, leading to the Associate of Arts (A.A.) degree, offered by Middlesex Community College, for a period of time concurrent with institutional accreditation.

## Description

### Purpose and Objectives

According to Middlesex Community College, this program provides a foundation of skills and knowledge in communication and media as well as a solid core of liberal arts courses. The program is primarily designed for students intending to transfer to a bachelor degree program in communication or media, or a related field such as writing, public relations, journalism, advertising, organizational or corporate communications. It can also prepare students for employment in fields where communication skills and knowledge are valuable.

### Administration

The Program coordinator from the Humanities and Arts Department oversees this program.

### Curriculum

The following is a list of changes proposed by Middlesex Community College.

- A. Change title of program from *Communication Arts* to *Communication*.
- B. Eliminate COM 177 (Broadcast Performance) as an option to the Public Speaking requirement (formerly called Oral Communication Requirement).
- C. Add four additional courses as options to the Adv. Writing and Scriptwriting course requirements under the new “Communication Skills Requirements” category.
- D. Combine and restructure the Media Aesthetics and Film, Art, or Music History requirements, including eliminating the ART 121 (2-D Design) and Art or Music History requirements within the Media Communications section. (a FINE ARTS requirement will be added in the General Education category instead – see below).
- E. Eliminate the separate “Art Elective” requirement within the Media Communications category. Add a “Fine Arts Elective” requirement in the General Education category.
- F. Add a new requirement which includes ART 141 (Photography) or COM 142 (TV Production) or DGA 101 (Intro to Digital Arts) or DGA 110 (Computer Graphics).
- G. Substitute “Digital Arts” for “Business” within the requirement currently labeled “Communication or Business Elective.”

Changes to General Education Requirements:

- H. Replace “Psychology or Political Science or Anthropology Elective” with “Social Science Elective.”
- I. Eliminate the six credits of “Foreign Language or Information Systems Electives” requirements; substitute a “Philosophy Elective” and “Open Elective” instead.
- J. Add 6 credits of Open Electives, for a total of 12, taken from changes listed in D and I above.



## Resource Support

### Faculty

The College reports two full-time faculty members who are the primary instructors for this program. The change in the program will not require additional faculty.

### Resource Centers and Libraries

The Jean Burr Smith Library is an automated learning resource center that provides a full range of services to students, staff, and faculty. They are a member of LIBRIS, which is an online catalog providing access to the library collection as well as the holdings at the other Connecticut Community Colleges and other public and academic libraries. Interlibrary loan service is available. The College also participates in iCONN.

### Facilities and Equipment

There will be no changes in the need for or use of facilities and equipment in the modified program.

## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Northwestern Connecticut Community College

Item: Modification of a program in Therapeutic Recreation, leading to an Associate of Science (A.S.) degree, to be offered online and on campus

### Executive Summary

Northwestern Connecticut Community College has applied to the Board of Governors for Higher Education for approval of a modification of its Associate of Science program in Recreation Leadership with Options in Park Management and Therapeutic Recreation. The proposal will modify the parent degree program (Recreation Therapy) by consolidating it with its options (Park Management and Therapeutic Recreation) under the new name Therapeutic Recreation.

Four year enrollment data and employment forecasts support this change. A modified program emphasizing Therapeutic Recreation will offer a seamless pathway for those students who enroll in the existing Therapeutic Recreation Certificate, who may wish to seek an Associates Degree. The current Therapeutic Recreation Certificate is not being modified. The American Therapeutic Recreation Association website indicates, "most recreational therapists are employed by health care agencies and work in traditional inpatient hospitals or health facilities. An increasing number are being hired in residential facilities, community mental health centers, adult day care programs, substance abuse centers, hospice care, community centers and school systems." Therefore a modified degree program in Therapeutic Recreation will augment the existing healthcare career programs at the college.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve the modification of the accredited program in Therapeutic Recreation, leading to the Associate of Science (A.S.) degree, offered online and on campus by Northwestern Connecticut Community College, for a period of time concurrent with institutional accreditation.

## Description

### Purpose and Objectives

The primary objective of the proposal is to consolidate three (3) academic programs (one “parent” degree and two (2) options) within a single modified degree program focusing on the field of study with the strongest enrollment.

Low enrollment and graduation rates over the past five years support this modification. The title change and emphasized focus in Therapeutic Recreation is based on increasing enrollment in the Therapeutic Recreation certificate, degree option and courses together with the potential employment outlook for graduates. Connecticut Department of Labor forecasts (from 2006 to 2016) show continued employment growth in healthcare practitioner and support positions, including Therapeutic Recreation specialists.

The modified degree program will serve as the parent to the existing Certificate in Therapeutic Recreation, which is not being modified. The certificate is recognized by the State of Connecticut as a credential indicating that students have fulfilled Connecticut Public Health Code requirements to work as a Therapeutic Recreation Director in a Connecticut nursing home.

### Administration

The Therapeutic Recreation program is housed in the Business, Science, Health and Technology Division and is administered by the Acting Academic Division Director who also serves as the program facilitator.

### Curriculum

The proposed modification to the existing Board approved Recreation Leadership degree program will change the program title and 17 credits in course requirements. Two courses (6 credits) will change from open electives to two specific Therapeutic Recreation courses. Three courses (8 credits) will change from general education electives to electives in specific subject areas. One course (3 credits) will change from a required physical education course (Social and Folk Dance) to a choice between the courses Medical Ethics or Ethical Issues in Human Services

The total number of credits remains is changed from 62 credits to 60 credits. The table compares the existing program (left) to the proposed program (right).

Appendix A  
**Therapeutic Recreation Degree (Program Modification)**  
 Name changed from Recreation Leadership Degree Program  
**TOTAL CHANGES: 17 CREDITS**

EXISTING PROGRAM				PROPOSED MODIFICATIONS		
<b>General Education Requirements</b>						
ENG* 101	Composition	3	<b>No change</b>	ENG* 101	Composition	3
Literature or Comm.	ENG* 102 Literature & Composition	3	<b>No change</b>	Literature or Comm.	ENG* 102 Literature & Composition	3
Beh. Sci.	PSY* 111 General Psych I	3	<b>No change</b>	Beh. Sci.	PSY* 111 General Psych I	3
	Humanities/Arts Elective	3	<b>Specify:</b>		Directed Elective in Fine Arts	3
	Math Elective	3	<b>No change</b>		Math Elective	3
Natural/Physical Science	Lab Science Elective (BIO* 115 recommended)	4	<b>Specify:</b>	BIO* 110 with 110L BIO* 115	Principles of Human Body with Lab OR Human Biology	4
	Social Science Elective	3	<b>No change</b>		Social Science Elective	3
Liberal Arts Elect.	COM* 173 Public Speaking	3	<b>No change</b>	Liberal Arts Elect.	COM* 173 Public Speaking	3
<b>Program Requirements</b>						
RLS* 101	Intro to Recreation & Leisure Services	3	<b>No change</b>	RLS* 101	Intro to Recreation & Leisure Services	3
RLS* 201	First Aid & Emergency Care	3	<b>No change</b>	RLS* 201	First Aid & Emergency Care	3
RLS* 215	Recreation Leadership & Supervision	3	<b>No change</b>	RLS* 215	Recreation Leadership & Supervision	3
RLS* 219	Field Work in Recreation Leadership	3	<b>No change</b>	RLS* 219	Field Work in Recreation Leadership	3
SOC* 101	Principles of Sociology	3	<b>No change</b>	SOC* 101	Principles of Sociology	3
HPE*	Physical Activities Elective	1	<b>No change</b>	HPE*	Physical Activities Elective	1
HPE*	Physical Activities Elective	1	<b>Change</b>	HPE* or HPW*	Physical Activities OR Health & Wellness Elective	1
<b>Specialized Program Requirements</b>						
RLS* 102	Social Recreation	3	<b>No change</b>	RLS* 102	Social Recreation	3
RLS* 103	Social & Folk Dance (also listed as HPE* 272)	2	<b>Change:</b>	PHL* 112 HSE* 235	Medical Ethics OR Ethical Issues in Human Services	3
RLS* 121	Intro to Therapeutic Recreation Services	3	<b>No change</b>	RLS* 121	Intro to Therapeutic Recreation Services	3
RLS* 145	Park Management	3	<b>Delete</b>			
	Computer Science Elective	3	<b>No change</b>		Computer Science Elective	3
	Program Elective	3	<b>Specify:</b>	RLS* 221	Therapeutic Recreation Programming	3
	Elective	3	<b>Specify:</b>	RLS* 122	Process & Technique in Therapeutic Recreation	3
<b>TOTAL: 62</b>				<b>TOTAL: 60</b>		

### Admissions and Enrollment

During the 2008-2009 academic year, faculty began to adapt the Therapeutic Recreation courses to online distance format. This decision was made to offer the courses, certificate and degree to a wider potential student population in the western part of Connecticut. Offering courses online makes it possible for students to complete most of their specialized program requirements in an online format

In addition to the program at Northwestern Connecticut Community College, Gateway Community College and Middlesex Community College offer certificates in Therapeutic Recreation. Manchester Community College offers a certificate and Associates Degree in Therapeutic Recreation.

### Resource Support

#### Faculty

The College reports one (1) full time program facilitator to coordinate and teach and three (3) part-time faculty members to teach, in the program, all with appropriate degrees.

#### Resource Centers and Libraries

Northwestern Connecticut Community College library has several videos, journal subscriptions and books dedicated to Therapeutic Recreation, as well as numerous database resources.

#### Facilities and Equipment

There will be no changes in the need for or use of facilities and equipment in the modified program.

## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Tunxis Community College

Item: Modification of a program in Human Services, leading to an Associate of Science (A.S.) degree, a Family Violence Intervention Option, a Human Services Certificate, and a Family Violence Intervention Certificate

### Executive Summary

- Tunxis Community College is proposing modifications to the Human Services associate's degree program that will allow students to transfer more easily to bachelor's degree programs in social work.
- These modifications also impact the Family Violence option for this program, and the related Human Services and Family Violence certificate programs.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve the modification of the accredited program in Human Services, leading to an Associate of Science (A.S.) degree, a Family Violence Intervention Option, a Human Services Certificate, and a Family Violence Intervention Certificate, offered at Tunxis Community College, for a period of time concurrent with institutional accreditation.

## Description

### Rationale for modifications

- The proposed changes will facilitate transfer to baccalaureate social work degree programs
  - The new program will replace psychology courses which can not currently be used by Tunxis students who transfer to the Connecticut State University bachelors of social work programs with sociology and economics courses which can be used in these baccalaureate programs.

### Summary of modifications

- Modifications for the Human Services Associate's Degree
  - The human services specialization courses reflect more course work in sociology and economics and less in psychology.
    - Both Social Problems and Sociology of the Family are required in the proposed program.
    - A macroeconomics course is also required.
  - Several changes are proposed to the English, math, and history courses.
    - A second composition course is required to enhance proficiency in writing; this course transfers to the CSU institutions.
    - A math course option has been added for students who are not intending to transfer to a four-year college.
    - Students will have a choice of US History or American Government because some baccalaureate programs require one and some require the other.
- Modifications to the Human Services Associate's Degree with a Family Violence Intervention Option
  - Same as above
- Modifications to the Human Services Certificate
  - Psychology courses replaced by sociology (Social Problems) and economics courses (Macroeconomics).
- Modifications to the Family Violence Intervention Certificate
  - Counseling courses are replaced by a sociology course (Social Problems) and a human services elective.

### Impact of Proposed Modification on the Board of Governor's Approval Standards

- The rationale for these changes is entirely consistent with the purpose and objective of the institution and the effected programs.
- All new courses in the proposed curriculum are currently existing courses at Tunxis Community College.
- There are no changes in administration of the programs.
- There are no resource implications of these changes.

## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Western Connecticut State University

Item: Reaccreditation of the University

Western Connecticut State University has requested reaccreditation by the Board of Governors for Higher Education on the basis of the continuation of its regional accreditation by the New England Association of Schools and Colleges (NEASC). The University was accredited last by the Board of Governors in September 2004.

Western Connecticut State University originated as the Danbury State Normal School founded in 1903. In 1983 WCSU transitioned to University status. The university offers thirty-seven undergraduate majors, fifty-nine minors, and seventeen graduate programs, including the Ed.D. in Instructional Leadership accredited by the Board of Governors in March 2008. The fifth-year interim report submitted to the Commission highlights the university's recent achievements such as the establishment of the School of Visual and Performing Arts and licensure of the MFA in Professional Writing, as well as identifying the challenges that lie ahead.

The Commission on Institutions of Higher Education of the New England Association of Schools and Colleges, at its meeting on November 20, 2008, continued the University's accreditation based on the fifth-year interim report. The Commission scheduled the next comprehensive evaluation of the University for Fall 2013. In addition to what is normally required in a self-study evaluation report, the Commission has requested evidence of the institution's continued success in addressing the matters identified for emphasis in the 2008 report as well as the institution's progress with its goals for the six-year graduation rate. The Commission commended WCSU for progress in regard to an assessment plan across academic units and an evaluation process established for the Doctoral Program in Instructional Leadership. Additionally, the Commission commented positively about WCSU's inclusive strategic planning process and support provided to part-time faculty.

Connecticut Regulations 10a-34-6c states that "the Board of Governors for Higher Education shall accept regional or, where appropriate, national accreditation, in satisfaction of the requirements of this subsection unless the Board finds cause not to rely upon such accreditation." The letter of notification from the New England Association of Schools and Colleges, dated December 22, 2008, gives no indication of serious problems at the institution, and the Board of Governors has no other information that could be interpreted as "cause." There being no cause, it is recommended that the Board of Governors accept the NEASC assessment and grant accreditation to Western Connecticut State University for a period of five years, until September 30, 2014.



## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Institution: Western Connecticut State University

Item: Extension of Licensure for a Master of Arts in Teaching (MAT) program, leading to Certification in Secondary Education (6-12), with options in Mathematics, Spanish, and Biology

Western Connecticut State University has requested an extension of licensure for the Master of Arts in Teaching (MAT) program, leading to Certification in Secondary Education (6-12) with options in Mathematics, Spanish, and Biology. The program was licensed by the Board of Governors on June 18, 2008 for a period of one year, until September 30, 2009. The College is requesting a one month extension, until October 31, 2009.

The College is requesting this extension because of the program is scheduled for recommendation to the Connecticut State Board of Education on September 2, 2009 for accreditation for a period of time concurrent with the NCATE and State review cycle. The program will be reviewed by the Advisory Committee on Accreditation at its September 2009 meeting, and will thus be ready for the Board of Governors' review at the October meeting.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education extend the licensure of a Master of Arts in Teaching (MAT) program, leading to Certification in Secondary Education (6-12), with options in Mathematics, Spanish, and Biology by Western Connecticut State University, for a period of one month, until October 31, 2009.



## STAFF REPORT: ACADEMIC AFFAIRS AND PLANNING

Institution: Gibbs College

Item: Extension of Accreditation of the College until June 2010 and Quarterly Progress Report

### Executive Summary

Gibbs College has submitted its most recent quarterly progress report describing the current status of the College. Gibbs College is requesting an extension of accreditation based on the Career Education Corporation's recent decision to continue operations and enroll new students at the Farmington campus starting in October 2009, and designating this location as the main campus. The Norwalk campus will continue its closure procedures and will close on December 31, 2009.

The extension of accreditation will allow the College to hire and support faculty and staff, enroll new students in three existing programs, and to complete a thorough self evaluation of its mission, goals, and strategic plan.

Gibbs College was last reaccredited by the Board of Governors for Higher Education at the March 2009 meeting until December 31, 2009. The reaccreditation was approved with the stipulation that the College would continue to provide the Department of Higher Education with progress reports to include the following information: student enrollments and progress toward degree, by program; faculty and administrative employment, by program; and general administrative employment; financial aid disbursements; transfer arrangements and student transfers, by institution; and program "phase outs" as students complete their studies.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education extend the accreditation of Gibbs College, Farmington for a period of six months from December 31, 2009 until June 30, 2010. This extension is made with the understanding that Gibbs College will begin enrollments in the Business Office Administration, Fashion Design and Merchandising, and Medical Assisting programs, each leading to the Associate of Applied Science (A.A.S.) degree, and will report on the progress of each program in a full self-study as required by the Commissioner of Higher Education. It is also recommended that the Board of Governors recognize Farmington as the main campus location due to the continued teach-out at the Norwalk campus through December 31, 2009.

## Background

The Department of Higher Education was informed by representatives of Career Education Corporation (CEC) on February 15, 2008, that Gibbs College would be closing its locations in Norwalk and in Farmington effective December 31, 2009. That closure was part of the decision reached by Career Education Corporation in Illinois, the owner of Gibbs College, to close ten of the eighty-five colleges it owns throughout the United States and in other countries.

Gibbs College and the Career Education Corporation informed the Connecticut Board of Governors at the June 17, 2009 meeting of their intention to remain open and enroll new students at the Farmington location, and continuing the closure of the Norwalk campus scheduled for December 31, 2009. This change includes a change in the main campus designation and consideration of programs to be offered at the Farmington campus. Staff from the Department of Higher Education met with the administration of Gibbs College during the summer of 2009 to discuss new enrollment plans, strategic and business planning, and commitment from the CEC in the form of resources for this change in direction. Gibbs has provided financial audit statements, a letter of financial support from CEC, and a three year financial business plan forecast for the Farmington campus.

Gibbs College is requesting reactivation of the following A.A.S. programs from either phase-out or termination status: Business Office Administration, Fashion Design and Merchandising, and Medical Assisting. Progress Reports were submitted to the Department of Higher Education for each of these programs, as well as supporting material requested by the Department. The length of each term is changing from 11-week to 10-week terms and thus the total length of each program will change as well. The College has made minor adjustments to the General Education requirements. The Medical Assisting program had been licensed by the Board of Governors until 10/31/2010, and subsequently terminated due to the status of the institution. This program was originally licensed for the Norwalk campus, and will now be initiated at the Farmington campus upon the hiring of an appropriate Program Coordinator.

Gibbs College is accredited by the State of Connecticut through the Board of Governors for Higher Education. The College is requesting an extension of its accreditation until June 30, 2010 in order to better prepare a self-study that reflects new enrollments and direction. It is also accredited by a national accrediting body called the Accrediting Council for Independent Colleges and Schools (ACICS) through 2011. The ACICS accredits private postsecondary institutions offering certificates or diplomas, and postsecondary institutions offering associate, bachelor's, or master's degrees in programs designed to educate students for professional, technical, or occupational careers, including those that offer those programs via distance education.

## Updated Quarterly Report

### *Statement of Institutional Closure*

Gibbs College and Career Education Corporation, the parent company of the College, continue to plan to close the campus in Norwalk effective December 31, 2009. Gibbs College, with the financial and administrative support of Career Education Corporation (CEC), intends to fulfill the institution's obligations to currently enrolled students at the campuses and to adhere to the policies of its accrediting and licensing bodies.

### *Regulatory Compliance*

Gibbs College and Career Education Corporation have stated that they will maintain regulatory compliance regarding all governmental and accrediting laws, rules, and regulations throughout the teach out and closure process.

### *Mission and Academic Integrity*

Career Education Corporation has created a special organizational unit to assist Gibbs College with the teach-out and closure process. This Transitional School Division is assisting the College with the fulfillment of its mission and is helping to ensure an efficient transition to school closure. In all instances, the College states, this process will be carried out with the highest standards of academic integrity.

### *Student Completion Support*

The College has audited the progress to date of all students to determine the course of study needed for completion and their subsequent projected graduation date. The College continues to work with enrolled students to develop and implement an education plan course schedule or completion timeline of the courses needed per term.

### *Student Enrollments*

Currently, 160 students are enrolled at both campuses. The College has provided a breakdown of the last two graduation date projections for the teach-out period; 9/19/09 and 12/19/09. Student support services have remained at both campuses.

### *Student Transfer to Other Colleges and Universities*

Gibbs College has established formal transfer agreements with the following Connecticut colleges and universities: University of Bridgeport, Charter Oak State College, Post University, and St. Joseph College. Other institutions are accepting Gibbs College students and graduates after individual review of student transcripts. They include both in-state and out-of-state institutions: American Intercontinental University, Berkeley College, Briarwood College (CT), Goodwin College (CT), Mercy College, University of New Haven (CT), Paier College of Art (CT), and University of Phoenix.

### *Financial Aid and Loan Counseling Support*

The College states that it continues to provide financial aid and loan counseling support. The College is continuing to disburse Title IV funds to eligible students through the last day of their respective classes. The College also states that when all such disbursements

have been completed, it will submit notice to the US Department of Education that the Norwalk campus has closed.

*Disposition of Records and Transcripts*

The College has prepared academic records, financial aid information, and other records for permanent archiving. Those records are stored in compliance with the applicable record retention requirements specified by Title IV regulations. The College states that permanent records and imaged academic records are housed and maintained electronically on a central server by Gibbs College parent company, Career Education Corporation, located at 2895 Greenspoint Parkway, Suite 600, Hoffman Estates, IL 60195.

The College has retrieved all historical documentation from its offsite storage facility and has begun the process of reviewing documentation.

Student transcript requests and enrollment verification will be satisfied by CEC via a new full-time position created to process transcript requests for all closed campuses. The Gibbs website will include links and a toll-free number for students to submit transcript requests.

*Provisions for Faculty and Staff*

The College has communicated to faculty and staff the decision to discontinue the teach-out at the Farmington campus. Employees have been surveyed to solicit potential interest in positions at the Farmington campus.

Faculty and Staff by Functional Area

Quarter	Program/Functional Area	Number of Employees
July 2008	Business Office Administration Program Faculty	25
	Criminal Justice Program Faculty	3
	Computer Networking Operations Program Faculty	5
	Digital Video & Multimedia Program Faculty	2
	Fashion Design & Merchandising Program Faculty	15
	Interior Decoration Program Faculty	1
	Visual Communications Program Faculty	17
	Staff	20
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October 2008	Business Office Administration Program Faculty	22
	Criminal Justice Program Faculty	3
	Computer Networking Operations Program Faculty	1
	Digital Video & Multimedia Program Faculty	1
	Fashion Design & Merchandising Program Faculty	14
	Interior Decoration Program Faculty	1
	Visual Communications Program Faculty	17
	Staff	16

January 2009	Business Office Administration Program Faculty	19
	Criminal Justice Program Faculty	3
	Computer Networking Operations Program Faculty	1
	Digital Video & Multimedia Program Faculty	1
	Fashion Design & Merchandising Program Faculty	11
	Interior Decoration Program Faculty	1
	Visual Communications Program Faculty	13
	Staff	16
April 2009	Business Office Administration Program Faculty	16
	Criminal Justice Program Faculty	3
	Computer Networking Operations Program Faculty	1
	Digital Video & Multimedia Program Faculty	1
	Fashion Design & Merchandising Program Faculty	9
	Interior Decoration Program Faculty	1
	Visual Communications Program Faculty	7
	Staff	14
July 2009	Business Office Administration Program Faculty	7
	Criminal Justice Program Faculty	2
	Computer Networking Operations Program Faculty	1
	Digital Video & Multimedia Program Faculty	1
	Fashion Design & Merchandising Program Faculty	4
	Interior Decoration Program Faculty	1
	Visual Communications Program Faculty	4
	Staff	11
October 2009	Business Office Administration Program Faculty	6
	Criminal Justice Program Faculty	2
	Computer Networking Operations Program Faculty	1
	Digital Video & Multimedia Program Faculty	1
	Fashion Design & Merchandising Program Faculty	2
	Interior Decoration Program Faculty	1
	Visual Communications Program Faculty	3
	Staff	10

*Disposition of Assets and Facilities*

Gibbs College is a wholly owned subsidiary of Career Education Corporation. As such, all assets remaining after the closure of the campus are the property of the parent corporation. Asset inventories are in progress on both campuses. Plans for disposition of the assets are being developed in coordination with corporate personnel based upon the estimated asset release dates determined by the college relative to the furniture, fixtures, and equipment

(FF&E) needed for student completion and closure support. Before the College closes, FF&E released by the College will be sold to other CEC schools based on the calculated value of their present depreciation by the controller of the College and otherwise disposed as per CEC guidelines.

The College affirms that resources which were donated to the College will be assessed for disposition in a manner consistent with the intent of the donors.

The College is identifying assets to be used at the Farmington campus following the closure of the Norwalk campus.

#### *Obligations to Creditors*

Gibbs College is a wholly owned subsidiary of Career Education Corporation. Long term obligations, such as property leases, are negotiated and signed by the corporate offices of CEC. Any financial obligations remaining after the closure of the college will remain the responsibility of the parent corporation.

Payments due to vendors have been centralized since 2004 and are made directly through the CEC corporate offices. Refunds related to financial aid programs have been centralized since 2005 and are made directly from the Centralized Processing Center at the CEC corporate office. The College states that these centralized processes will enable a seamless fulfillment of outstanding obligations and the maintenance of services in the final terms of the college. Arrangements are ongoing at both campuses for the return of all leased equipment and the conclusion of agreements as justified by projected college needs. Employees have been informed of their projected end dates and their justifications. Payroll processes are centralized via PeopleSoft and CEC has developed incentives (stay bonuses and severance pay) to encourage the retention of personnel until their projected end dates.

#### *Governing Board Obligations*

The College's Board of Trustees remains composed of the same members that were involved at the time of the teach-out. The Chair of the Board of Trustees has been notified of CEC's intent to continue operations at the Farmington campus and the remaining members have received an email.

#### *Public Disclosure*

The College issued a press release announcing the intent to continue operations at the Farmington campus. In addition, letters were sent to current and former students informing them of the decision.

## STAFF REPORT: ACADEMIC AFFAIRS AND PLANNING

Institution: Post University

Item: Licensure of a Master in Education (M.Ed.) program with concentrations in Teaching & Learning and Instructional Design

### Executive Summary

Post University has applied to the Board of Governors for Higher Education for licensure of a Master in Education (M.Ed.) program with concentrations in Teaching & Learning and Instructional Design. This program will not lead to teacher certification. The program will be offered in eight week modules online, on campus, and at the University's regional sites.

The University states that the M.Ed. program is designed to meet the educational needs of individuals who are currently employed in the fields of education and training and seek advancement or for those seeking to enter these sectors. The program will enable prospective students to acquire the theoretical and practical knowledge to assume new or advanced positions in a variety of education settings and who will be innovative and creative educators who can transform the education enterprise to respond to the challenges of a changing world.

Following a review of the application and other pertinent information provided by Post University, an evaluation team from the Department of Higher Education visited the campus on May 28, 2009. The team was comprised of: Dr. Sarah Carroll, Associate Professor of Education and Human Services and Director of the Education Studies Programs at Suffolk University, Dr. Shirley Adams, Provost at Charter Oak State College and ACA member, Dr. Carlota Schechter, DHE and Dr. Christine Thatcher, DHE. The team focused its evaluation on the following key areas: purposes and objectives, administration, adequacy of resources, faculty, curriculum and instruction, library and learning resources, and facilities and equipment. The findings of the evaluation team on the University's meeting the Board's standards are summarized within the report below.

The Advisory Committee on Accreditation, at its meeting on June 11, 2009, reviewed the program and found it to be in compliance with Board of Governors approval standards. The Committee voted to recommend approval to the Board of Governors with one opposed.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education license a Master in Education (M.Ed.) program with concentrations in Teaching & Learning and Instructional Design, to be offered both on campus and online by Post University, for a period of three years, until September 30, 2012.

## Description

### Purpose and Objectives

The University has identified the following objectives for the M.Ed. Core Program:

- Students will develop a vision for the future of education, a personal critical and creative perspective on issues and changes in education, and strategies for adapting to future realities.
- Students will be able to identify, analyze, evaluate and implement research-based education practices matched to an area of concentration (teaching & learning, or instructional design & technology).
- Students will develop expertise in designing and delivering instruction to support the achievement of a diverse population of learners of all ages in a variety of settings (e.g., public education, private education, charter schools, corporations, eLearning, *et al.*).
- Students will be able to apply the principles of cognitive science to teaching & learning to positively affect learning and improve the practice of teaching.
- Students will be able to define, analyze, understand, and use metrics to measure student, programmatic, and institutional achievement.
- Students will be able to identify and use current relevant technology in the service of better learning.
- Students will demonstrate an understanding of creativity and innovation as applied to education.
- Students will develop and demonstrate leadership thinking in critical areas of interest within their field.

The program will include two areas of concentration: (1) Teaching & Learning and, (2) Instructional Design & Technology. The University has provided the following objectives for the two concentrations:

#### Teaching & Learning Concentration:

- Students will be able to design and develop curriculum using models of curriculum design such as *Understanding by Design*.
- Students will be able to use selected advanced instructional strategies appropriate for specific learning outcomes.
- Students will be able to apply a variety of formative and summative assessment strategies to evaluate and improve teaching and learning.

#### Instructional Design & Technology Concentration:

- Students will be able to design and develop learning environments using models of instructional design, such as the ADDIE model.

- Students will understand and be able to apply theories of design and instruction to the development, design, and implementation of educational experiences and events.
- Students will be able to integrate appropriate technology in a diversity of educational settings, including schools, universities, corporations, non-profits and government agencies.
- Students will be able to identify, budget for, and evaluate educational technology.

### Target Clientele

The M.Ed. program is designed for adult students who have completed a baccalaureate degree program and have established work experience in the education sector. They may be licensed teachers, independent or charter school teachers, school administrators, online educators, corporate trainers, education entrepreneurs, or other degreed adults practicing in a variety of education settings. They may also be degreed adults with relevant work experience leading to a new career within an education organization. For example, a technology assistant within a corporation may wish to become an instructional designer for a corporate training program. Thus, while the targeted clientele has general education experience, they may also be migrating into an education field. The program is not designed for initial teacher licensure; however, students may use relevant courses either towards licensure or endorsement per individual state requirements.

Graduates of the program will be prepared to:

- Assume faculty or staff development leadership positions
- Develop curriculum for an education organization
- Promote innovation and change in education organizations
- Improve teaching and learning in their own professional setting
- Use and foster digitally-mediated teaching and learning environments
- Design, facilitate, and evaluate learning environments for a diverse population of learners

Evaluation Team Findings: After a review of materials provided by the institution and conversations with faculty and administration, the evaluation team found Section 10a-34-10, Purposes and Objectives, to be met. The team specifically commented that the goals and purposes of the proposed program are clear and in alignment with the mission of the institution. The team suggested the following to the institution:

- A review of the Core Values of the institution to distinguish between undergraduate and graduate values;
- Clarification of target clientele in relation to the admission policies for the M. Ed. program. The current admission policy includes the statement “At least three years of progressive work experience”, and the team would like clarification in this statement regarding experience in an education setting. The Admissions standard is described below.

## Admissions and Enrollment

Post University will accept applications from students with a broad range of abilities, interests, and backgrounds who are interested in pursuing advanced graduate study in the field of education. The program is designed primarily for working professionals and the following standards must be satisfied to be considered for admission for graduate study:

- A baccalaureate degree from a regionally accredited or nationally recognized institution of higher education.
- An overall grade point average of 3.0 on a 4.0 point scale in undergraduate studies.
- At least three years of demonstrated progressive work experience.
- Demonstrated potential for advanced graduate study.
- At least two letters of reference demonstrating potential to perform advanced graduate study.

Meeting the minimum admission standards, however, will not guarantee admission. All admission decisions will be made by the Graduate Studies Committee. Students who do not meet all the admissions requirements may be granted conditional admission on a case-by-case basis and students may be required to produce supplementary documentation such as standardized test scores.

Students accepted into the M.Ed. program must maintain at least an overall cumulative grade point average of 3.0 on a 4.0 point scale. Students whose cumulative average falls below the University standard will be subject to dismissal from the University.

Post University anticipates 35 new students upon implementation of the program and expects enrollment to reach 120 part-time students by year three.

## Administration

The program will be housed in the University's School of Arts and Sciences under the direction of an Academic Program Manager. The Program Manager, in conjunction with the Graduate Studies Committee, will be responsible for the overall academic integrity of the program and for managing the day-to-day operations of the M.Ed. program.

Academic Program Managers at Post University have the same teaching responsibility as full-time faculty members and are also responsible for designing curriculum materials and supervising/mentoring 10-12 adjunct instructors.

The University is currently searching for a Graduate Programs Dean. The University intends to have an interim Graduate Dean in place this summer. The University also plans to develop a graduate school and expects it to be functioning as a unit by the fall of 2009.

Academic advising: Upon admission to the M.Ed. program, each student is assigned an academic advisor who will assist the student in developing a planned program of study and with academic and professional career coaching. The academic advisor will provide

advice about program requirements, course selection and sequence, and graduation requirements. The University’s Academic Advising Office provides administrative and registration support.

Evaluation Team Findings: In regard to Section 10a-34-11, Administration, the visiting team found that the Board of Governors’ Approval Standard has been met. The team was pleased to learn of Post’s hire of a new Academic Vice President, and their intention to hire both an undergraduate and graduate Dean. The team believes this additional administrative support will be crucial to program success. The team had concerns regarding the responsibilities required of the role of Academic Program Manager, and encouraged Post University to monitor this work load in light of increasing responsibilities related to capstone project review and graduate level expectations for research. The team met with academic support personnel who provide academic advising and financial/ tuition planning. The team made the following recommendations to the institution:

- Academic Advisors should have a background in education or a related field.
- The institution should have a process in place to find appropriate field sites for the capstone experience should the student not be employed at a suitable education setting. In addition, the University should consider the development of an Institutional Review Board for consideration of Human Subjects in graduate level research.

### Curriculum

The M.Ed. degree is a 33-credit hour program consisting of six core courses (18 credit hours), two concentrations with three courses in each track (9 credit hours for each concentration), and two capstone courses (6 credit hours). Since the program will rely heavily on digitally-mediated technology as a fundamental teaching and learning tool, innovative technology will be integrated throughout the curriculum. The program will be offered as a part-time program and initially delivered online. Students will typically take one course per 8 week module, but may take two courses. Students would be required to receive special permission for a third course within a module.

<b>M.Ed. Core Courses</b>	<b>18 credits</b>
EDU5XX Future of Education	3 credits
EDU5XX Diversity and Achievement	3 credits
EDU5XX The Cognitive Science of Teaching & Learning	3 credits
EDU5XX Measurement and Metrics	3 credits
EDU5XX Digitally-Mediated Teaching & Learning	3 credits
EDU5XX Education Research: Evaluating and Using	3 credits
<b>M.Ed. Concentrations</b>	<b>9 credits</b>
<b><i>Teaching &amp; Learning</i></b>	
EDU6XX Curriculum 2.0	3 credits
EDU6XX Differentiated Instruction	3 credits
EDU6XX Assessing and Managing Learning	3 credits

***Instructional Design & Technology***

EDU6XX Designing Learning Environments	3 credits
EDU6XX Integrating Learning and Technology	3 credits
EDU6XX Assessing, Budgeting, and Evaluating Technology	3 credits

**M. Ed. Capstone**

**6 credits**

EDU698 Readings, Research & Planning for Capstone Project	3 credits
EDU699 Capstone Project	3 credits

**Total Credits**

**33 Credits**

The program culminates with two capstone courses: one requiring students to review a body of research to synthesize a project that will demonstrate having met all M.Ed. outcomes, and the second being a project designed and implemented by the student to apply the knowledge and skills acquired during the program and make a contribution to education matched to both program goals and individual professional goals.

Evaluation Team Findings: The evaluation team met with the Academic Program Manager to review Section 10a-34-15, Curriculum and Instruction. Five course syllabi and an example of a student assignment were examined by the team. The program has clearly defined outcomes aligned to course offerings and assessment. The team engaged in conversation regarding the diverse population of students who may be attracted to this program and were pleased to hear the plans for differentiated learning. In fact, differentiated instruction is part of the Teaching and Learning concentration, and thus will be modeled for students during their program. The team has provided the following recommendations to the institution:

- Field work and capstone projects should be supervised by faculty fully engaged in the delivery of these experiences and qualified in an appropriate field to assure ample student consideration. The team recommends either a full-time faculty member from the Education Department, or a part-time faculty member with appropriate credentials who has this supervision as their primary assignment.
- As stated previously, provisions must be made for field sites for student conducted research.

Comments from Other Institutions in Connecticut

There have been no comments or questions about the program from other institutions of higher education in Connecticut.

Assessment of Need

Employment opportunities for graduates of education programs remain strong both regionally and nationally, even during these difficult economic times. According to the U.S. Department of Labor Occupational Outlook Handbook (2008-09 Edition), professionals involved in education, training, and development will experience a “much faster-than-average job growth” with employment projections increasing by 22% during

2006-2016 (p. 266). What is significant to note, particularly in Connecticut, is economic growth in the direction of a “knowledge economy” and the growing number of occupations requiring significantly higher levels of postsecondary education. According to the State Department of Labor, in 2002 jobs requiring a college education or more represented about “one third of Connecticut’s workforce, but they will provide more than half the net change in new jobs (growth) between 2002 and 2012.”

## Resource Support

Evaluation Team Finding: The team reviewed Section 10a-34-12, Adequacy of Resources and found this Board of Governors’ Approval Standard met. The institution has created metrics to determine faculty and resource needs as related to student enrollment in the program. A discussion of faculty, library, and media related resources is found below.

### Faculty

The University reports one full-time faculty with the appropriate terminal degree and expertise in Curriculum and Instruction in place. Upon Board approval, the University intends to hire a second faculty member who has expertise in and holds a terminal degree in Instructional Design and Technology, and this person will be responsible for the corresponding concentration and shared responsibility for the core. Further, the institution expects to hire an additional full-time faculty member by Spring 2010 with expertise in Measurement and Assessment. Additional faculty are drawn from expertise within the institution and through adjunct and part-time instructors.

Evaluation Team Finding: The evaluation team considered the Board of Governors’ Standard Section 10a-34-13, Faculty. The team was satisfied with the University’s commitment to hiring additional qualified faculty members and with the metric as described to the team regarding future hiring of full-time faculty members. The team found two classifications of faculty at Post University; non-unionized Academic Program Managers and unionized full-time faculty without management functions by contract. This dichotomy of faculty seems well understood at the institutional level and does not appear to cause tension. However, the team would like the administration to consider time required for graduate faculty research as mentioned in an earlier standard, and that this be considered for both types of faculty.

The team suggested the following recommendations with regard to Faculty:

- The first faculty hire should have a terminal degree in Instructional Design.
- A Re-evaluation of the Academic Program Manager load and responsibilities.
- Increasing the number of full-time faculty leading to an improvement of full-time to part-time faculty ratios.

### Library and Learning Resources

Post University's Traurig Library contains 1,320 education books, 32 education journals, and 48 education videos/dvds. There are also 400 curriculum support materials for education. This in-house collection has been significantly upgraded with the new online trial subscription to Education Research Complete, providing access to comprehensive education resources in each of the proposed program areas. Additionally, \$6,000 per year for the first three years of the M.Ed. program will build library resources to match the program curriculum.

Evaluation Team Finding: The team discussed Section 10a-34-18, Library and Learning Resources with the administration of the institution and found the Board of Governors' Approval Standard met. The team especially noted the dedication of funding to the yearly increase of resources and the addition of a premier version of EBSCOhost providing full-text journal resource availability.

### Facilities and Equipment

Post University licenses from Blackboard, Inc. its learning management system for the delivery of online educational experiences as well as capabilities to enable an interactive online learning environment. Post uses the Blackboard technical infrastructure, support, and software to deliver all of its online degree and certificate programs.

Post University provides 24/7/365 help desk technical support through Presidium Learning, Inc. to complement Blackboard and to provide technical assistance to students enrolled in online courses. Presidium Learning supports academic technology and learning-based enterprises by providing industry leading processes, technology, and human resource expertise through a fully managed, multi-channel contact center environment for instructional and technical support.

Evaluation Team Finding: The team met with the institution regarding Section 10a-34-19, Facilities and Equipment, and found this Board of Governors' Approval Standard met. The institution assured the team that anything available to students in an on-ground environment is also available to online students. Post is using the Next Generation for Blackboard, and thus appears to remain state-of-the-art. The team has recommended the following:

- Communication must be clear to students regarding system requirements for online learning;
- Documents distributed to students must be clear regarding the time commitment required for the online program;
- Upon expansion to satellite campuses, the institution must make sure that the facilities have adequate media and equipment for program implementation in order to maintain the same standards of instruction.

## STAFF REPORT: ACADEMIC AFFAIRS AND PLANNING

Institution: Southern Connecticut State University

Item: Licensure and Accreditation of a program in Educational Coach, leading to a Sixth Year Certificate (SYC)

### Executive Summary

The proposed SYC is an interdisciplinary and collaborative program combining the expertise and efforts of the Special Education and Elementary Education Departments at Southern Connecticut State University. Students will be proficient in collaboration and coaching, diversification of instruction, demonstrating understanding of school law and classroom management. These individuals will serve as instructional coaches in areas such as reading, math and writing. The program is ideal for a regular education teacher, special education teacher, counselor, school psychologist or administrator. This program does not grant a specific certification but is an advanced diploma program.

The courses for this proposed program are existing courses and faculty members are in place. All resources are within the current budgets of the collaborating departments. The University is therefore requesting simultaneous licensure and accreditation.

The Advisory Committee on Accreditation, at its meeting on June 11, 2009, reviewed the program and found it to be in compliance with Board of Governors approval standards. The vote to recommend approval to the Board of Governors was all in favor.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education license and accredit a program in Educational Coach, leading to a Sixth Year Certificate (SYC), offered by Southern Connecticut State University, for a period of time concurrent with institutional accreditation.

## Description

### Purposes and Objectives

The proposed program will have a strong focus on the educational process of instruction and assessment. The program incorporates a holistic approach to education requiring educators to see the whole of education as it relates to the individual components of the educational system.

There is currently a requirement that the needs of special education children are met to the greatest degree possible in the general education classroom. The accountability standards for the education of these children are assessed in the same manner as those of the general education students requiring that all students be assessed on the Connecticut State Curricular Frameworks. A sixth year diploma, as an Educational Coach, would be designed to meet these requirements by combining the necessary skills of both general education and special education.

### Administration

The program will be co-administered and advised by Coordinators from the Special Education Department and the Elementary Education Departments at Southern Connecticut State University.

### Admissions/Enrollment

The University projects 25 students moving through this program each year. The program is designed to be completed in 18 months. The program will have open enrollment.

There will be four transition points in the program, or gates, as per NCATE requirements. These transition points are assessed using the five components of the School of Education's conceptual framework; SAILS (Scholarship, Attitudes, Integrity, Leadership and Service).

Gate 1: Acceptance into the program with the following indicators:

- Master's degree in education or related field, 3.0 GPA, two letters of recommendation, interview with advisor.
- Students will be asked to show evidence of instruction or professional development in working with culturally diverse students.
- Students will be asked to demonstrate service.

Gate 2: Completion of first 12 credits with the following indicators:

- Maintain a 3.0 GPA
- Evidence of appropriate dispositions in field-based or application project
- Document from an organization demonstrating leadership and service involvement.

Gate 3: Completion of 24 credits with the following indicators:

- Similar to above, but in addition the student must have documentation of membership in a professional organization

Gate 4: Completion of program and culminating presentation – similar requirements as above including 3.0 GPA and evidence of dispositions and leadership and service documentation, and the culminating presentation described below in curriculum.

### Curriculum

Upon completion of the 6<sup>th</sup> year program, graduates will meet the following competencies:

1. Collaboration and Coaching: demonstrate skills in collaboration and consultation with teachers, administrators, and related services providers to children with special needs and the regular education child. Also, demonstrate the skills and abilities to provide in-service training, workshops, and modeling related to children with special needs, diversification of instruction and collaboration.
  - SED 621- Interpersonal and Collaborative Skills in Education
  - SED 622- Consultation and Support Skills for the Educator
  - SED 623- Advanced Consultation and Collaborative Program Development in Education
  - SED 624- In-service Training and Workshops in Education
2. Diversification of Instruction: demonstrate skills for assessing students' needs and diversifying instruction in the general curriculum to meet the needs in inclusive settings. This competency includes developing the skills for data-driven decision making, instructional coaching, and techniques to enhance student engagement, teaching and learning in the classroom and creating learning communities.
  - EDU 611- Curriculum Theories: Development and Implementation in the Classroom
  - EDU 612- The Teaching-Learning Process: A Teacher's Perspective
  - IDS 506- Techniques in Special and Regular Education
3. Law: Demonstrate an understanding of the legal rights and responsibilities of teachers, students and parents.
  - EDU 524- Law for the Classroom Teacher (also covers Special Education Law)
4. Classroom Management: demonstrate the appropriate skills for classroom management for both group and individual situations
  - SED 527- Classroom Group Process
  - SED 610- Applied Behavioral Analysis in Educational Settings

Field Experience: Field experience, through observations and instruction are incorporated into each of the courses. In addition, observations and reflections on the local political issues and educational customs and procedures will be required. The type of experience will be dependent on the course.

Culminating Presentation: The culminating presentation requires each student to present a portfolio to a faculty panel consisting of a member of each department. The portfolio will demonstrate evidence that the student has met each of the competencies. Each student will present an oral presentation before a board of faculty members giving and demonstrating examples of work under each of the competencies.

### Assessment of Need

Complex federal and state mandates, and the recent implementation of the reauthorized Individuals with Disabilities Education Improvement Act 2004 (IDEA 2004) No Child Left Behind Act and the P.J. Et Al V State of Connecticut Settlement (May 22, 2002), require that teachers are trained to work collaboratively to meet the needs of a diverse student population in general education classrooms. The decision of the PJ settlement class action suit in Connecticut requires an increase in the number of special education children, especially those with mental retardation and intellectual disabilities, who are placed in regular education classrooms as measured by the federal definition of 79% of the school day. All types of students, including those with special needs and English Language Learners, need to have more access to the general education curriculum. To achieve this goal, all administrators, teachers and service providers will need to develop a unique set of skills including skills for teaching and understanding the various needs of learners as well as the social and cultural needs of students within the classroom. School districts are hiring individuals to serve as instructional coaches and thus individuals need the training to be effective in this area.

The need for this program has been cited in an article published in the Stamford Advocate in 2006, whereby the School Superintendent Dr. Joshua Starr stated the need for a teaching “coach” whose training would be a merger of general education and special education. This Superintendent stated the need to begin a training program in Stamford because no other program existed in the State. Since that time, other Superintendents have expressed a need in their districts as well.

### Comments From Other Institutions

No comments or questions about the program were received from other institutions.

### Similar Programs in Connecticut

The Educational Coach program would be the first in Connecticut.

## Resource Support

### Faculty

The University lists seven full-time faculty with appropriate credentials who will teach in this program.

### Library and Learning Resources

Students will use the resources of the Southern Connecticut State University library, and the library resources of the CSU system and of iCONN, the Connecticut Digital Library, through internet and web connections. There are 1,089 special education books and 883 elementary education books in Buley Library. In addition, there are 48 periodical titles in special education and 3 periodical titles in elementary education.

### Facilities

The proposed program will use existing facilities.



## INFORMATION ITEM: ACADEMIC AFFAIRS AND PLANNING

Institution: Mitchell College

Item: Progress Report for a program in Global Studies, leading to the Bachelor of Arts (B.A.) degree

The Board of Governors for Higher Education licensed a program in Global Studies leading to the Bachelor of Arts (B.A.) degree, offered by Mitchell College, in September 2008 for a period of three years. The program was licensed with the stipulation that the College will submit a progress report by June 1, 2009 addressing issues raised during licensure review. The stipulation requested an update on program development, especially in the area of foreign language offerings and study abroad opportunities, and the relationship of those opportunities to the languages offered at the College.

At the time of licensure, the College stated that it would provide the opportunity for every student to engage in an international experience. Students would be encouraged to pursue an international experience according to the student's career goals in a country that uses a language of the student's choice. At licensure, the College was in the process of creating study-abroad agreements with Chulalongkorn University, Bangkok, Thailand; Chiang Mai University, Chiang Mai, Thailand; Griffith College Dublin, Dublin, Ireland; and the University of Verona, and stated that they would develop others based on student interest and faculty expertise.

The College reports expansion of its Study Abroad Program. In addition to those locations listed above, four universities in Israel have been added as options for students. The additional locations include Ben-Gurion University of the Negev, Tel Aviv University of Haifa, the Hebrew University of Jerusalem, the University of Tel Aviv, and the University of Haifa in the north. This exchange program will commence in 2010. Progress has been made in developing internship agreements with Griffith College in Dublin projected to commence in 2011. Discussions with Griffith College are leading to graduate opportunities for Global Studies and Business students in Dublin, Paris and Berlin. Additionally, Mitchell has been working on securing agreements with the University of Hartford and Salve Regina University in Newport, RI for study abroad opportunities.

The Advisory Committee on Accreditation, at its meeting on June 11, 2009, reviewed the progress report and encouraged the institution to continue with the development of the program. The ACA noted the progress of the institution by offering a variety of world languages and study abroad opportunities.

### Foreign Language

Mitchell College reports the following student enrollments in foreign language study:

Italian: 7 students

Spanish: 10 students

Arabic: 20 students

The College plans to offer courses in Arabic, Chinese, and Spanish in the fall.

### Administration

The Acting Chair of this program is also the Director of Study Abroad for Mitchell. The College has planned for a full-time hire who will become the Program Director and teach upper-level courses.

### Admissions and Enrollment

The Global Studies Program at Mitchell College was initiated on January 22, 2009. The College projected 12 full-time and part-time students in the first year, and an increase to 28 full- and part-time students by year three.

There are currently three full-time students matriculated in the program. Seven students had been accepted for the fall 2009 enrollment. Current fall enrollment is 10 students.

## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Constituent Units: University of Connecticut  
University of Connecticut Health Center  
Connecticut State University  
Community-Technical Colleges  
Board for State Academic Awards

Item: Constituent Unit Operating Fund Reports for the Twelve-Month  
Period Ending June 30, 2009

### Executive Summary

Public Act 91-256 requires the constituent units of higher education to submit quarterly reports on operating fund expenditures. The Board is to complete its quarterly review and report its findings to the Office of Policy and Management and the Higher Education and Appropriations Committees of the General Assembly within 60 days of the close of each quarter.

The University of Connecticut recorded 101.5 percent of budgeted revenue through the fourth quarter of the fiscal year and expended 101.4 percent of budgeted expenditures. The University reported a larger gain than anticipate due to unplanned higher enrollment and the attendant increase in tuition and auxiliary revenues. The University reported an operating fund balance of \$60.7 million and a research fund balance of \$18.6 million as of June 30, 2008, not including accrued compensated absences totaling \$25.0 million. As of June 30, 2009, an unaudited operating fund balance of \$63.2 million was reported along with a research fund balance of \$20.9 million and uncompensated absences of \$26.2 million. (See Attachments A1 through A3.)

The University of Connecticut Health Center recorded 101.9 percent of budgeted revenue through the fourth quarter and expended 100.4 percent of budgeted expenditures. Through twelve months, the deficit is \$765,602 and attributable to a deficiency appropriation of \$22.2 million in June. The loss was a result of a number of complex factors detailed in the attached report. As of June 30, 2008, the Health Center reported an operating fund balance of \$34.3 million, not including the accrued compensated absences total of \$19.6 million and projected an unaudited loss of \$21.0 million for a fund balance of 12.1 million and compensated absences of \$20.8 million. (See Attachments B1 through B3.)

The Connecticut State University System recorded 100.3 percent of budgeted revenue in the fourth quarter of the fiscal year and expended 100.7 percent of budgeted expenditures. The State University reports an operating fund balance of \$36.2 million as of June 30, 2008, not including the accrued compensated absences total of \$33.3 million, and a projected the fund balance for 2009 of \$35.7 million as of June 30. (See Attachments C1 through C3.)

The Community-Technical College System recorded 103.9 percent of budgeted revenue in the fourth quarter of the fiscal year and expended 82.2 percent of budgeted expenditures. The community colleges report a preliminary audited operating fund balance of \$37.6 million as of June 30, 2008, not including the accrued compensated absences total of \$37.9 million, and project the fund balance will decrease by \$8.3 million to \$28.9 million as of June 30, 2009. (See Attachments D1 through D3.)

Charter Oak State College and the Connecticut Distance Learning Consortium are the two entities that make up the Board for State Academic Awards (BSAA). The BSAA recorded 101.3 percent of budgeted revenue in the fourth quarter of the fiscal year and expended 93.5 percent of budgeted expenditures. The BSAA anticipates ending the fiscal year with a consolidated fund balance of \$3.1 million, an increase of just under \$305,000 from the June 30, 2008 fund balance. (See Attachments E1 through E3.)

#### Commissioner's Recommendation

It is recommended that the Board of Governors approve the operating fund quarterly reports for the twelve-month period ending June 30, 2009, as reported by the University of Connecticut, University of Connecticut Health Center, Connecticut State University, Community-Technical College System and Board for State Academic Awards for submission to the Office of Policy and Management and the Appropriations and Education Committees.

9/16/09

## Background

Public Act 91-256 requires the constituent units of higher education to submit quarterly reports on operating fund expenditures. These reports must be submitted to the Office of Policy and Management and the Appropriations Committee through the Board of Governors in a format determined by the Board.

Please note that the financial information contained in the comparisons of budgeted versus actual revenues and expenditures is reported on a cash basis unless otherwise noted (all receipts and disbursements in the current year regardless of which fiscal year earned or obligated). Included on these statements is a beginning and ending cash balance (cash on hand at a point-in-time, not to be confused with fund balance). The cash basis was adopted because it could be readily provided by all units, and it would allow the Office of Policy and Management to reconcile with records maintained by the State Comptroller. A separate statement on operating fund balances (the excess of assets over liabilities, or equity) is provided by the units, when available.

### University of Connecticut

#### **Operating Budget -- (Attachment A1)**

The University of Connecticut's budget for FY 2009 included \$939.4 million in revenues and \$938.3 million in expenditures and transfers for a projected gain of \$1.0 million. This net gain represented the \$1.0 million to repay the reserve for the November 2001 drawdown of \$11.5 million for the Towers Dining Center and Student Union. The operating budget was comprised of \$239.2 million in state appropriations, \$700.2 million in other operating revenues, of which approximately \$89.7 million was budgeted as the University's allotment of fringe benefit expenditures for employees funded by the general fund, and \$73.7 million of research fund revenues. The budget reflected the Governor's rescission of \$6.7 million in state support, the associated \$2.7 million reduction in state supported fringe benefits and an additional \$2.7 million reduction in collective bargaining support from the State's Reserve for Salary Adjustment account.

Budgeted operating fund expenditures and transfers totaled \$864.7 million and research expenditures totaled \$73.7 million. The budget included mandatory transfers of \$24.2 million for debt service and non-mandatory transfers of \$18.6 million from auxiliary enterprises to the University's plant fund to support various capital improvement programs.

Through the fourth quarter, the University recorded \$879.1 million or 101.5 percent of budgeted operating revenue. The appropriation accounted for 99.7 percent of the budgeted State funding, and other operating fund revenue represented 102.7 percent of the remaining revenue. Tuition revenue collections, at 103.0 percent of budget, were higher than in recent years and reflected a 5.6 percent rate increase coupled with a 2.7

percent increase in undergraduate degree-seeking students. Tuition revenue was greater than budgeted due to higher than expected enrollment. Research revenue of \$80.6 million represented 109.3 percent of budget.

Operating fund expenditures and transfers of \$876.6 million represented 101.4 percent of the total budgeted expenditures of \$864.7 million, and research expenditures of \$78.2 million represented 106.1 percent of budget. At the end of the quarter, the percentage of the budget expended by major area was as follows:

Personal Services	99.9%
Fringe Benefits	97.5%
Other Expenses	103.9%
Equipment	123.5%
Student Aid	99.9%

Energy expenses, included in other expenses, ended the year above budget due to higher than expected non-cogeneration gas consumption. Other expenses in total also were over budget due to prepaid library acquisitions and the cost of creating additional living space to accommodate higher than planned enrollment. Equipment was over budget due to information technology upgrades that were previously funded by UConn 2000.

Collective bargaining settlements were reflected in budgeted and actual revenues and expenditures.

Overall, there was a net increase to the operating cash balance of \$5.0 million, for an estimated total cash balance of \$118.1 million at the end of the fourth quarter.

### **Projected Fund Balance – (Attachment A2)**

The University reported an unaudited operating fund balance of \$60.7 million as of June 30, 2008. In FY 2009, the unaudited operating fund balance is reported to increase by \$2.5 million to \$63.2 million.

### **Unit Comments – (Attachment A3)**

As part of the expanded quarterly report process, each unit agreed to include a brief narrative that highlights major programmatic and financial issues. This can be found on attachment A3.

University of Connecticut Health Center

**Operating Budget -- (Attachment B1)**

The University of Connecticut Health Center's operating budget for FY 2009 included \$742.3 million in revenue and \$753.8 million in expenditures for a loss of \$11.5 million. The budget included a \$105.0 million general fund appropriation, \$315.3 million in net patient care, \$89.2 million in research, \$42.0 million in income from interns and residents and \$104.2 million for the Correctional Managed Health Care Program.

Budgeted expenditures were comprised of \$130.8 million in academic expenditures, \$104.0 million in research expenditures, \$443.4 million in clinical expenditures and \$69.7 million in operating support. Academic expenditures included the medical and dental schools. Clinical expenditures included the John Dempsey Hospital, the UConn Medical Group and the Correctional Managed Care Health Program.

At the end of the fourth quarter, the Health Center recorded \$756.1 million, or 101.9 percent of budgeted revenue. General fund revenue, including the fringe benefit allotment and deficiency appropriation of \$22.2 million, accounted for \$173.1 million or 118.6 percent of total budgeted general fund revenue and other revenue was \$583.0 million or 97.7 percent of the total budgeted. The hospital recorded lower volumes compared to the previous year, there were lower than planned revenues for interns and residents and fewer UConn Medical Group visits. In addition, malpractice costs were higher than planned.

Operating expenditures of \$756.8 million represented 100.4 percent of the total budgeted. Through the fourth quarter, the percentage of the budget expended by major expenditure area was as follows:

Personal Services	97.6%
Fringe Benefits	101.6%
Other Expenses	106.9%
Medical/Dental House Staff	98.8%

All categories were generally in line with historical spending patterns. Expenses were on budgeted plan, but the lower expenses cannot cover the revenue loss.

Overall, there was a net increase to the operating cash balance of \$3.6 million, for an estimated total cash balance of \$37.2 million at of the end of the fourth quarter.

**Projected Fund Balances – (Attachment B2)**

As of the June 30, 2008 there was an unaudited operating fund balance of \$34.3 million, an all funds balance of \$69.5 million, not including the accrued compensated absences

total of \$35.9 million, and investments in plant of \$197.7 million. The Health Center has projected a FY 2009 operating fund balance of \$12.0 million, an all funds balance of \$98.3 million, excluding the accrued compensated absences total of \$37.8 million, and investments in plant of \$212.2 million.

**Unit Comments -- (Attachment B3)**

As part of the expanded quarterly report process, each unit agreed to include a brief narrative that highlights major programmatic and financial issues. This can be found with attachment B3.

Connecticut State University

**Operating Budget -- (Attachment C1)**

The Connecticut State University's operating budget for FY 2009 included \$600.6 million in revenues and \$601.1 million in expenditures generating an expected loss of \$430,967. The operating budget was comprised of \$242.2 million in state appropriations, including the fringe benefit allotment of \$78.3 million for employees paid by the general fund and \$358.4 million in operating revenues.

At the close of the fourth quarter, Connecticut State University recorded \$602.3 million, or 100.3 percent of budgeted revenue. The state appropriation, including fringe benefits, accounted for 98.3 percent of budget. Other operating revenue represented 101.6 percent of the total budgeted. Tuition and fee revenue was 95.0 percent of budget and auxiliary revenue collections were 106.3 percent of budget. Revenue collections were higher than plan, as well as last year, and reflect a full-time enrollment increase slightly offset by a decrease in part-time enrollment.

Operating expenditures at the end of the quarter were \$605.0 million or 100.7 percent of the total budgeted expenditures of \$601.1 million. The percentage of the budgeted amount expended by major category was as follows:

Personal Services	99.4%
Fringe Benefits	94.6%
Other Expenses	96.3%
Equipment	108.1%
Student Aid	125.3%

Equipment is slightly higher than last year due to large purchases of library materials at the two largest campuses. Student aid is was higher than planned due to the receipt of more Pell revenue and higher enrollment than planned. All other spending is generally in line with past year levels.

The operating fund cash balance as of June 30, 2008 was \$124.0 million. Through the end of the fourth quarter, there was a net decrease to the cash balance of \$2.1 million bringing the total to \$121.9 million.

### **Projected Fund Balance -- (Attachment C2)**

The State University recorded an operating fund balance of \$36.2 million as of June 30, 2008. For FY 2009, the operating fund balance was projected to decrease to \$35.7 million, not including accrued compensated absences totaling \$35.0 million or specially designated funds.

### **Unit Comments -- (Attachment C3)**

As part of the expanded quarterly report process, each unit agreed to include a brief narrative which highlights major programmatic and financial issues. This can be found on Attachment C3.

## Community-Technical College System

### **Operating Budget -- (Attachment D1)**

The Community-Technical College System's operating budget for FY 2009 included \$433.5 million in revenues and \$438.3 million in expenditures for a planned loss of \$4.8 million. The planned loss represented a drawdown of reserves for energy costs, as well as an operating fund drawdown to offset the first and fourth quarter 2009 budget rescissions. The revenue budget was comprised of \$167.7 million in estimated state appropriations, a fringe benefit allotment of \$75.9 million for employees paid by the general fund and \$189.9 million in operating revenues.

At the close of the year, the system recorded \$450.6 million in operating budget revenue, or 103.9 percent of total budgeted revenue. The state appropriation accounted for \$158.7 million or 94.7 percent of the budgeted state appropriation. Other operating revenue was \$291.8 million or 109.8 percent of the total budget. Tuition and fee revenue collections represented 104.4 percent of budget and reflected a fall FTE enrollment increase of 6.5 percent over fall 2007 and a spring FTE enrollment increase of 8.7 percent over spring 2008. Private gifts and grants of \$4.6 million were well above the original budget as a result of gifts provided for various academic initiatives. Government grants and contracts were up 22.1 percent over budget reflecting federal and state revenues for student financial aid as well as other non-financial aid grant revenue earned.

Operating expenditures at the end of the quarter were \$456.2 million or 104.1 percent of the total budgeted expenditures of \$438.3 million. The percentage of the budgeted amount expended by major category was as follows:

Personal Services	99.9%
Fringe Benefits	103.0%
Other Expenses	105.1%
Equipment	118.6%
Student Aid	120.9%

Most expenditure categories were generally in line with historical spending patterns except student aid which reflected increases in the Federal Pell program as a result of increased enrollment of eligible students, as well as in the CAPCS funding provided by the State. In addition, capital outlay for equipment was up significantly due to various grant related activities.

The operating fund cash balance as of June 30, 2008 was \$90.9 million. Through the end of the fourth quarter, there was a net decrease to the cash balance of \$5.8 million bringing the total to \$85.1 million.

**Projected Fund Balance -- (Attachment D2)**

The Community-Technical College System’s audited fund balance for FY 2008 was \$37.6 million, excluding accrued compensated absences of \$37.9 million. For FY 2009, the unaudited operating fund loss (including 2009 rescissions) of \$8.4 million lowered the fund balance to \$28.9 million excluding the accrued compensated absence liability of \$37.9 million.

**Unit Comments -- (Attachment D3)**

As part of the expanded quarterly report process, each unit agreed to include a brief narrative which highlights major programmatic and financial issues. This can be found on Attachment D3.

Board for State Academic Awards

**Operating Budget -- (Attachment E1)**

General fund appropriations, as well as operating fund resources, are included within BSAA’s operating fund. The operating budget for FY 2009 included \$11.6 million in revenues and \$12.3 million in expenditures, indicating a planned deficit of just under \$642,000. The planned loss represented a drawdown of reserves to fund renovations, furnishings and other facility improvements. The revenue budget was comprised of \$3.7 million in general fund appropriations; \$2.8 million for Charter Oak State College and \$931,968 for the Connecticut Distance Learning Consortium, including the fringe benefit

allotment of \$963,884 for employees paid by the general fund. Other operating revenues were budgeted at \$7.9 million.

At the close of the year, the BSAA recorded \$11.8 million in operating budget revenue, or 101.3 percent of total budgeted revenue. General fund revenue through the end of the fourth quarter was \$3.7 million or 98.2 percent of the total budget. Other fourth quarter operating revenue totaled \$8.1 million or 102.7 percent of total budget led by fee revenue collections at 103.3 percent of budget. This was consistent with enrollment increases for degree candidates and distance learning courses, leading to an unexpected growth in revenue.

Operating expenditures at the end of the quarter were \$11.5 million or 93.5 percent of total budgeted expenditures of \$12.3 million. The percentage of the budgeted amount expended by major category was as follows:

Personal Services	95.5%
Fringe Benefits	98.2%
Other Expenses	87.5%
Equipment	N/A
Student Aid	97.2%

Expenditures were in line with historical spending. CTDLC experienced the loss of a major client and the absence of state funding for the Virtual High School. However, the overall loss of revenue was muted due to the creation of new sources of revenue as well as aggressive expenditure controls.

Both COSC and CTDLC utilized reserves to support furnishings and equipment for additional rental space in Newington to ease overcrowding in New Britain, as well as renovations to leased space at Alumni Road. Both represent one-time expenses requiring the use of reserves.

Overall, the net increase to the operating cash balance for the fourth quarter was \$305,602, bringing the cash balance to \$3.1 million.

### **Projected Fund Balance -- (Attachment E2)**

Charter Oak and CTDLC reported an audited fund balance of \$2.8 million as of June 30, 2008, excluding accrued compensated absences of \$1.66 million. At the close of FY09 they reported an unaudited operating fund increase of \$305,602 to \$3.1 million, excluding the compensated absence liability of \$1.66 million.

### **Unit Comments -- (Attachment E3)**

As part of the expanded quarterly report process, each unit agreed to include a brief narrative which highlights major programmatic and financial issues. This can be found on Attachment E3.

### Commissioner's Recommendation

It is recommended that the Board of Governors approve the operating fund quarterly reports for the twelve-month period ending June 30, 2009, as reported by the University of Connecticut, University of Connecticut Health Center, Connecticut State University, Community-Technical College System and Board for State Academic Awards for submission to the Office of Policy and Management and the Appropriations and Education Committees.

9/16/09

**University of Connecticut**  
**Statement of Operating Budget Revenues and Expenses**  
**for the Twelve Months Ending June 30, 2009**

	<b>Operating Budget</b>					<b>Actual</b>				
	Total	Research	Operating Fund			Total	Research	Operating Fund		
			Subtotal	E&G	Auxiliary Enterprise			Subtotal	E&G	Auxiliary Enterprise
<b>Revenues</b>										
State Appropriations (1)	\$ 239,155,605	\$ -	\$ 239,155,605	\$ 239,155,605	\$ -	\$ 238,813,090	\$ -	\$ 238,813,090	\$ 238,813,090	\$ -
Fringe Benefit Allotment	89,742,687	-	89,742,687	89,742,687	-	88,938,332	-	88,938,332	88,938,332	-
Tuition	204,168,077	-	204,168,077	197,990,494	6,177,583	210,275,059	-	210,275,059	204,205,071	6,069,988
Fees	82,601,020	-	82,601,020	57,121,016	25,480,004	82,868,208	-	82,868,208	57,388,204	25,480,004
Grants & Contracts	127,012,703	73,484,347	53,528,356	52,968,477	559,879	135,842,204	80,345,525	55,496,679	54,799,802	696,877
Endowment/Foundation	22,614,800	50,000	22,564,800	10,350,800	12,214,000	18,536,915	18,357	18,518,558	8,845,156	9,673,402
Investment Income	5,382,645	-	5,382,645	5,382,645	-	4,128,329	-	4,128,329	4,040,113	88,216
Sales & Services of Educ.	16,933,666	50,000	16,883,666	16,883,666	-	17,216,403	87,950	17,128,453	17,128,453	-
Auxiliary Enterprises	140,391,547	-	140,391,547	-	140,391,547	152,448,716	-	152,448,716	-	152,448,716
All Other Revenues	11,348,345	102,250	11,246,095	11,246,095	-	10,581,688	115,557	10,466,131	10,384,784	81,347
<b>Total Revenue</b>	<b>\$ 939,351,095</b>	<b>\$ 73,686,597</b>	<b>\$ 865,664,498</b>	<b>\$ 680,841,485</b>	<b>\$ 184,823,013</b>	<b>\$ 959,648,944</b>	<b>\$ 80,567,389</b>	<b>\$ 879,081,555</b>	<b>\$ 684,543,005</b>	<b>\$ 194,538,550</b>
<b>Expenses</b>										
Personal Services	\$ 440,255,361	\$ 36,736,235	\$ 403,519,126	\$ 351,657,934	\$ 51,861,192	\$ 441,965,597	\$ 38,721,390	\$ 403,244,207	\$ 351,938,218	\$ 51,305,989
Fringe Benefits	149,090,416	8,816,696	140,273,719	120,368,362	19,905,357	145,640,701	8,902,630	136,738,071	118,417,338	18,320,733
Other Expenses	198,962,721	20,856,900	178,105,821	103,765,356	74,340,465	208,458,953	23,370,359	185,088,594	106,603,979	78,484,615
Equipment	15,626,765	3,626,765	12,000,000	9,955,235	2,044,765	19,687,524	4,867,610	14,819,914	12,878,965	1,940,949
Student Aid (2)	91,632,796	1,150,000	90,482,796	80,872,417	9,610,379	91,237,078	821,668	90,415,410	80,316,351	10,099,059
Debt Service	24,182,054	-	24,182,054	11,212,181	12,969,873	20,744,615	-	20,744,615	7,940,247	12,804,368
Non-Mandatory Transfers	18,590,982	2,500,000	16,090,982	2,000,000	14,090,982	27,088,787	1,514,153	25,574,634	6,163,366	19,411,268
<b>Total Expenses/Transfers</b>	<b>\$ 938,341,095</b>	<b>\$ 73,686,597</b>	<b>\$ 864,654,498</b>	<b>\$ 679,831,485</b>	<b>\$ 184,823,013</b>	<b>\$ 954,823,255</b>	<b>\$ 78,197,810</b>	<b>\$ 876,625,445</b>	<b>\$ 684,258,464</b>	<b>\$ 192,366,981</b>
<b>Adjustments</b>	-	-	-	-	-	-	-	-	-	-
<b>Net Gain(Loss)</b>	<b>\$ 1,010,000</b>	<b>\$ -</b>	<b>\$ 1,010,000</b>	<b>\$ 1,010,000</b>	<b>\$ -</b>	<b>\$ 4,825,689</b>	<b>\$ 2,369,579</b>	<b>\$ 2,456,109</b>	<b>\$ 284,541</b>	<b>\$ 2,171,569</b>
<b>Net Inc (Dec) to Cash</b>										5,010,929
<b>Cash Balance 6/30/08</b>										113,058,991
<b>Balance 6/30/09</b>										118,069,920

(1) State Appropriation	229,416,160
Collective bargaining	16,476,674
Rescission	(11,228,713)
<b>Total Support</b>	<b>234,664,121</b>

**UNIVERSITY OF CONNECTICUT**  
**Statement of Changes in Fund Balance**  
**FY 2009**  
**Unaudited**

	<u>Operating</u>	<u>Research</u>	<u>Other</u>	<u>Total</u>
<b><u>Revenues and Expenditures</u></b>				
Revenues	\$ 879,081,555	\$ 80,567,389	\$ 247,601,876	\$ 1,207,250,820
Expenditures and Transfers	<u>876,625,445</u>	<u>78,197,810</u>	<u>198,457,235</u>	<u>1,153,280,490</u>
Net Increase (Decrease)	\$ 2,456,110	\$ 2,369,579	\$ 49,144,641	\$ 53,970,331
<b><u>Fund Balance and Reserves</u></b>				
Fund Balance, 6/30/08 (unaudited)				
Restricted/Capital Assets	\$ 14,249,046	\$ 380,028	\$ 1,227,683,533	\$ 1,242,312,608
Unrestricted	<u>46,466,166</u>	<u>18,196,251</u>	<u>71,121,811</u>	<u>135,784,228</u>
Total	\$ 60,715,212	\$ 18,576,279	\$ 1,298,805,344	\$ 1,378,096,836
Compensated Absences	\$ 25,018,064			
Operating Change Restricted	\$ 159,136	\$ 358,376	\$ 42,088,433	\$ 42,605,945
Unrestricted	<u>2,296,974</u>	<u>2,011,203</u>	<u>7,056,208</u>	<u>11,364,385</u>
Net Increase (Decrease)	\$ 2,456,110	\$ 2,369,579	\$ 49,144,641	\$ 53,970,331
Fund Balance, 6/30/09				
Restricted/Capital Assets	\$ 14,408,182	\$ 738,404	\$ 1,269,771,966	\$ 1,284,918,553
Unrestricted	<u>48,763,140</u>	<u>20,207,454</u>	<u>78,178,019</u>	<u>147,148,613</u>
Total	\$ 63,171,322	\$ 20,945,858	\$ 1,347,949,986	\$ 1,432,067,167
Compensated Absences	\$ 26,166,072			

# University of Connecticut (Storrs & Regional Campuses)

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## Quarterly Overview of the Operating and Research Funds For the Twelve Months Ended June 30, 2009

### Results of Annual Operations

The enclosed report comparing the Operating and Research Funds actual results to budget for the twelve month period ended June 30, 2009 reflects unaudited figures and is subject to additional year-end accounting and audit adjustments.

On September 23, 2008, the Board of Trustees approved a Revised Spending Plan for Fiscal Year 2009 of \$938.3 million. This budget included \$939.3 million of revenue to cover \$938.3 million in expenses, yielding a \$1.0 million net gain. The net gain is the \$1.0 million reserve repayment for the November 2001 drawdown of \$11.5 million for the Towers Dining Center and Student Union.

The University ended the year with an unrestricted Operating Budget gain of \$4.3 million (Operating Fund \$2.3 million and Research Fund \$2.0 million) and a restricted gain of \$0.5 million (Operating Fund \$0.2 million and Research Fund \$0.3 million). The Operating Fund unrestricted net gain of \$2.3 million was slightly more than anticipated primarily due to additional tuition and fee revenue as a result of higher enrollment than budgeted. There were more auxiliary revenues than budgeted because the higher enrollment resulted in greater housing occupancy and meal plan consumption. An analysis of the results of operations for various categories of accounts is presented below.

	<u>Operating Fund</u>	<u>Research Fund</u>	<u>Total</u>
Unrestricted	\$2.3	\$2.0	\$4.3
Restricted	<u>0.2</u>	<u>0.3</u>	<u>0.5</u>
Total	\$2.5	\$2.3	\$4.8

### Revenues - Operating Fund

Total **Operating Fund** revenue collections for Fiscal Year 2009 were \$879.1 million which represented 101.5% of the annual budget. Last fiscal year, Operating Fund revenue collections represented 101.3% of the annual budget. A major source of revenue, **State Support**, consisted of a \$238.8 million appropriation and a fringe benefit allotment of \$88.9 million. State Support represented 37.3% of total Operating Fund receipts for the year. On June 24, 2008, the Governor issued a directive which reduced the Fiscal Year 2009 State appropriation allotment by \$6.7 million or 3%; associated fringe benefit support was also reduced by \$2.7 million for a total of \$9.4 million. This rescission and the anticipated reduction in collective bargaining support from the State's Reserve for Salary Adjustment account of approximately \$2.7 million (includes estimated fringe benefits) were reflected in the Revised Spending Plan for Fiscal Year 2009. Since the spending plan was revised in September, the Governor reduced the allotment by \$0.2 million (including fringe benefits) on December 17, 2009 and reduced the allotment by \$6.1 million (including fringe benefits) on March 30, 2009. Other adjustments to the allotment included \$0.2 million of additional funds as a result of a settled maintainers contract and \$0.8 million less due to a state mandated furlough day. The State Support amount also includes the year-end payroll accrual.

## University of Connecticut (Storrs & Regional Campuses)

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**Tuition** collections were the second largest source of revenue, totaling \$210.3 million, which represented 23.9% of total Operating Fund receipts. Tuition receipts were 103% of the annual amount budgeted (\$204.2 million). Tuition revenue collections reflect a 5.6% rate increase coupled with a 2.7% increase in the number of undergraduate degree-seeking students who account for approximately 86.6% of budgeted tuition revenues. The revised Board of Trustee budget was only based on a 1.6% increase in undergraduate degree-seeking students. Therefore, tuition revenue was greater than budgeted due to higher enrollment than expected.

**Fee** revenue is comprised of course fees from summer school, part-time, and non-degree students as well as self-supporting programs (off campus MBA, EMBA, etc.). Also included in this category is the General University Fee, which primarily supports four Auxiliary Enterprise programs and various other fees such as the Infrastructure Maintenance Fee, Application Fees and Late Payment Fees. The Fee collections were \$82.9 million or 100.3% of the amount budgeted. This category was more than budgeted primarily due to the higher enrollment mentioned above, but was offset by fewer than projected students in fee based self-supporting academic programs.

**Auxiliary Enterprise Revenue** for Fiscal Year 2009 was \$152.4 million which represented 108.6% of the annual budgeted amount and was ahead of budget due to a greater amount of students housed and more meal plans than anticipated. Auxiliary revenue consisted primarily of Room and Board Fees which reflect rate increases of 8.3% and 6.3% respectively (\$113.8 million) and Athletic Department receipts (\$34.8 million).

**Gifts, Grants and Contracts** revenue consists of restricted revenues from a granting agency or private donor and gifts transferred from the UConn Foundation. For Fiscal Year 2009, Gifts, Grants and Contracts revenue of \$74.0 million, which included \$18.5 million from the UConn Foundation, was 97.3% of the annual budget. The University has received additional federal financial aid, but this category is less than the budget due to slower implementation of the federally funded Teach Grant and less funds transferred from the Foundation for Athletics than expected.

**Investment Income** was \$1.3 million less than the budget for the year with revenues of \$4.1 million. Interest rates in the State Treasurer's STIF dropped to 0.54% by the end of the fiscal year. The average interest rate for Fiscal Year 2009 was 1.47% compared to 4.0% for Fiscal Year 2008.

**Sales and Services of Educational Activities and Other Sources** (primarily parking, transit fee, and rental income) revenue totaled \$27.6 million and were close to budget for the year.

### **Revenues - Research Fund**

With respect to the **Research Fund**, the granting agency or donor restricts most of the revenues. Fiscal Year 2009 Research Fund revenues were \$80.6 million and represented 109.3% of the amount budgeted as compared to \$72.9 million and 105.2% of the amount budgeted in Fiscal Year 2008. This category was ahead of budget due to an additional \$2 million from the Federal American Recovery and Reinvestment Act and a higher utilization of NIH and NSF grants. These increased revenues have supported research in the Institute of

## University of Connecticut (Storrs & Regional Campuses)

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Materials Science, the Center for Health, Intervention and Prevention, Psychology, and selected areas of science in the College of Liberal Arts and Sciences and the School of Engineering. The unrestricted fund balances of the aforementioned departments have also seen an increase as a result of increased recovery of facilities and administrative costs.

### Expenditures - Operating Fund

**Total Operating Fund** expenditures (excluding transfers) for Fiscal Year 2009 were \$830.3 million or 100.7% of the annual budgeted amount. Individual categories of expenditures as a percentage of the annual budget were as follows:

Personal Services	99.9%
Fringe Benefits	97.5%
Other Expenses	103.9%
Equipment	123.5%
Student Aid	99.9%

**Personal Services/Fringe Benefits** represented 99.3% of the annual budgeted amount of \$543.8 million and was close to budget. The University was able to identify resources to fund a net increase of 30 full-time faculty defined by the IPEDS federal reporting standard. The hiring of the additional full-time faculty is part of the on-going effort to meet the course coverage demands of increased undergraduate enrollment. This category was on target because the University experienced a slower attrition rate than expected and hiring was limited to only essential positions due to the reductions in State Support.

**Other Expenses** (including energy costs) were \$185.1 million and represented 103.9% of the amount budgeted. Energy expenditures were slightly over budget partially due to increased non-cogeneration gas consumption. Other Expenses (excluding energy costs) were ahead of budget due to two contributing factors. Library acquisitions which were classified as prepaids at June 30, 2008 are now included in actual expenditures. Also, there were additional academic and auxiliary enterprise expenses due to the higher enrollment.

**Equipment** expenditures of \$14.8 million were 123.5% of the amount budgeted and were ahead of budget for the year due to an upgrade to the Student Administration System and continued implementation of the Human Capital Management System. In prior years, UCONN 2000 was the primary fund source for information technology equipment purchases.

**Student Aid** was \$90.4 million and represented 99.9% of the amount budgeted. This category was close to budget for the year. While the University received additional federal aid for Pell Grants, there was a slower implementation of the federally funded Teach Grant than expected.

### Expenditures - Operating Fund Transfers

The **Transfers** line reflects transfers to Plant Funds for various building improvements, code related corrective action and bond and installment loan payments as well as payments for the capital lease for the cogeneration plant. Transfers were over budget by \$6.1 million due to anticipated property acquisitions.

# University of Connecticut (Storrs & Regional Campuses)

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## Expenditures - Research Fund

Finally, **Research Fund** expenditures and transfers totaled \$78.2 million and represented 106.1% of the budgeted amount which tracks with the additional revenue noted above. Research Fund transfers included funds for faculty start-up equipment. In Fiscal Year 2008, Research Fund expenditures and transfers reported totaled \$74.5 million and represented 107.5% of the budgeted amount.

## Enrollment

Total University enrollment for fall 2008 (excluding the Health Center) was up 2.4% from fall 2007. First semester freshmen enrollment was up 12.3% from fall 2007 and total undergraduate enrollment (degree and non-degree) was up 2.5%. The current year budget was based on a projected 1.2% increase in total University enrollment and a projected 1.6% increase in undergraduate enrollment.

## Cash Balance

The June 30, 2009 current funds cash balance was \$118.1 million, \$5 million more than June 2008 which was \$113.1 million. The current funds cash balance reflected the collection of 102.2% of budgeted revenue while total expenditures and transfers were 101.8% of budget. Also, the June 30, 2009 cash balance represented 12.4% of the annual expenditures and transfers as compared to 12.5% one-year ago.

## Fund Balance

The University has a combined net gain of \$4.8 million for the fiscal year ended June 30, 2009, which is comprised of a \$4.3 million unrestricted net gain and a \$0.5 million restricted net gain. This results in a Current Funds Unrestricted Fund Balance of \$69.0 million (Operating Fund-\$48.8 million; Research Fund-\$20.2 million). The unrestricted fund balance represented 8.4% of the Fiscal Year 2009 unrestricted expenditure budget (\$823.7 million) or, alternatively stated, 30.6 days' worth of operations.

In accordance with standard University procedures, centrally funded unrestricted fund balances are carried forward in departmental accounts and are available for expenditure in the current and future fiscal years. The Fiscal Year 2009 revised budget assumed a consistent level of departmental fund balances at June 30, 2009. However, in anticipation of additional statewide budget reductions and the Governor's directives, departmental fund balances were greater than Fiscal Year 2008. The \$69 million fund balance represents the funds and inventory remaining in these accounts: the Research Fund (designated for research); the Auxiliary Operations (residential, dining, health, student activities and recreational services); and Departmental accounts (self-supporting fee-based instructional programs such as Continuing Studies and MBA).

The fund balances, while not all technically encumbered, are committed in a more generic sense. First of all, funds may be held in a departmental account in anticipation of expenditure such as start-up costs for a new researcher. Second, under the provisions of UCONN 2000, the University is required to maintain a Renewal and Replacement Fund to keep projects in

## University of Connecticut (Storrs & Regional Campuses)

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sound operating condition; the fund balance serves this purpose under the Master Indenture. Third, these amounts include inventory.

The fund balance is our operating capital and reserve for programs and activities that generate revenue and are not supported by state appropriation or tuition funds. We borrow from the fund balance to pay our bills when necessary. For example, in Fiscal Year 2004, the University did not receive \$13.4 million in state fringe benefit support until June—the very end of the fiscal year. In Fiscal Year 2005, the first quarter allotment of our entire appropriation did not arrive until September 28th—two days before the close of the fiscal quarter. Another example: the state generally informs us of changes in fringe benefit rates after the fiscal year has started, and frequently the increases have a significant fiscal impact. The fund balance allows us to manage these dislocations without disrupting the University's operations.

The total unrestricted net assets of \$147.2 million are made up of the \$69 million current funds balance, \$42.0 million in unexpended Plant Funds, and \$36.2 million in funds that are Internally Restricted for the Retirement of Indebtedness. The University has traditionally been very conservative with regard to savings for debt obligations, maintaining funds at a level of approximately 1.75 times our annual debt payments. We believe that this policy has served us well as the University's bond rating has remained consistently strong.

The Plant Funds balance of \$42 million includes cash resources for projects for Auxiliary Enterprise operations such as Residential Life, Dining Services, Student Health Services, Student Union and Athletics. The University has a policy that a departmentally funded construction project does not begin unless the funding has been identified and transferred to Plant Funds. For Residential Life, the window of opportunity to actually complete many repairs and renovations is limited as some projects cannot be done while students are occupying the buildings, so the actual spending of the cash is a timing issue.

In addition to on-going Residential Life projects, the Plant Funds balance includes funds for projects such as dormitory window replacements and sprinkler installations. \$11.7 million in projects were approved by the Board of Trustees on June 23, 2009.

Also, the Plant Funds balance includes funds set-aside for on-going code related corrective action such as the Office of the State Fire Marshal Legacy Code Remediation project, which will correct discrepancies in 56 buildings, and various fire alarm audibility upgrade projects. The additional funding for these projects totals \$14.6 million and was approved by the Board of Trustees on June 23, 2009. These projects are moving forward expeditiously with completion anticipated near the end of the next fiscal year.

**University of Connecticut Health Center**  
**Statement of Operating Budget Revenues and Expenses**  
**for the Twelve Months Ending June 30, 2009**

	Operating Budget						Actual					
	Total	Academic	Research	Clinical	Hospital	Operating Support	Total	Academic	Research	Clinical	Hospital	Operating Support
<b>Revenues</b>												
State Appropriations (1)	\$ 104,963,000	\$ 41,207,664	\$ 3,183,772	\$ 20,917,920	\$ -	\$ 39,653,644	\$ 128,212,210	\$ 46,239,446	\$ 5,927,878	\$ 25,132,155	\$ -	\$ 50,912,731
Fringe Benefit Allotment	40,937,871	14,658,560	1,132,545	7,441,009	3,600,000	14,105,758	44,884,663	14,889,221	1,908,792	8,092,619	3,600,000	16,394,031
Tuition	10,229,501	10,229,501	-	-	-	-	10,106,324	10,106,324	-	-	-	-
Fees	5,560,560	5,477,910	180	-	22,630	59,840	5,619,976	5,541,001	-	-	18,675	60,300
Grants and Contracts	89,156,047	-	89,156,047	-	-	-	87,451,867	29,458	87,422,409	-	-	-
Auxiliary Enterprises	13,417,229	8,132,952	1,701,418	479,981	371,245	2,731,633	13,177,619	7,955,750	2,000,375	670,512	927,110	1,623,872
Interns and Residents	41,994,983	41,994,863	-	-	-	120	35,121,457	35,121,457	-	-	-	-
Net Patient Care	315,268,544	4,932,190	-	83,293,557	226,193,103	849,694	322,246,144	2,986,176	-	84,538,928	234,014,691	706,349
Correctional Managed Care	104,194,273	-	-	104,194,273	-	-	99,384,828	-	-	99,384,828	-	-
Endowment/Foundation	4,655,911	1,853,015	2,077,896	-	725,000	-	4,077,862	2,005,928	2,071,934	-	-	-
All Other Revenues	11,936,712	878,892	1,761,017	6,073,724	2,647,667	575,412	5,799,206	437,301	1,986,060	-	2,945,844	430,001
<b>Total Revenue</b>	<b>742,314,632</b>	<b>129,365,547</b>	<b>99,012,875</b>	<b>222,400,464</b>	<b>233,559,645</b>	<b>57,976,101</b>	<b>756,082,155</b>	<b>125,312,062</b>	<b>101,317,448</b>	<b>217,819,041</b>	<b>241,506,320</b>	<b>70,127,284</b>
<b>Expenses</b>												
Personal Services	\$ 379,430,081	\$ 66,052,524	\$ 48,306,043	\$ 128,450,185	\$ 99,931,822	\$ 36,689,507	\$ 370,165,413	\$ 65,254,432	\$ 48,454,409	\$ 125,713,988	\$ 93,580,336	\$ 37,162,248
Fringe Benefits	105,409,822	18,529,256	13,793,376	17,385,339	40,259,465	15,442,386	107,139,996	18,721,237	14,983,272	18,089,337	38,552,482	16,793,668
Other Expenses	186,225,450	9,618,624	34,551,316	42,447,158	89,260,819	10,347,533	197,130,223	7,361,087	33,158,608	47,991,160	104,325,177	4,294,191
Medical Contract Support	15,585,085	2,989,588	209,422	7,837,056	4,549,019	-	15,630,879	2,754,249	19,351	8,003,941	4,850,014	3,324
Medical/Dental House Staff	36,983,086	36,973,086	10,000	-	-	-	36,537,864	36,223,678	237,252	-	76,934	-
Outside Agency Per Diems	1,686,229	140,550	171,711	457,088	916,880	-	1,561,388	47,176	9,528	359,381	1,145,303	-
Depreciation	28,458,189	1,708,336	6,948,000	1,010,000	11,577,000	7,214,853	28,681,994	1,319,652	6,948,000	948,946	10,833,660	8,631,736
Non-Mandatory Transfers	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Expenses/Transfers</b>	<b>\$ 753,777,942</b>	<b>\$ 136,011,964</b>	<b>\$ 103,989,868</b>	<b>\$ 197,586,826</b>	<b>\$ 246,495,005</b>	<b>\$ 69,694,279</b>	<b>\$ 756,847,757</b>	<b>\$ 131,681,511</b>	<b>\$ 103,810,420</b>	<b>\$ 201,106,753</b>	<b>\$ 253,363,906</b>	<b>\$ 66,885,167</b>
<b>Adjustments</b>												
<b>Net Gain(Loss)</b>	<b>\$ (11,463,310)</b>	<b>\$ (6,646,417)</b>	<b>\$ (4,976,993)</b>	<b>\$ 24,813,638</b>	<b>\$ (12,935,360)</b>	<b>\$ (11,718,178)</b>	<b>\$ (765,602)</b>	<b>\$ (6,369,449)</b>	<b>\$ (2,492,972)</b>	<b>\$ 16,712,288</b>	<b>\$ (11,857,586)</b>	<b>\$ 3,242,117</b>
<b>Net Inc (Dec) to Cash</b>												3,594,489
<b>Cash Balance 6/30/08</b>												44,971,191
<b>Balance 6/30/09</b>												48,565,680

(1) State Appropriation	101,963,598
CT Health Info Network	500,000
Collective bargaining	4,173,080
<b>Total Support</b>	<b>106,636,678</b>

## UNIVERSITY OF CONNECTICUT HEALTH CENTER

### Statement of Changes in Fund Balance

#### All Funds

	<u>Operating</u>	<u>UConn Medical Group</u>	<u>JDH</u>	<u>Plant</u>	<u>Total</u>
<b><u>Revenues and Expenditures</u></b>					
Revenues	\$ 756,082,155			\$ 40,275,800	\$ 796,357,955
Expenditures and Transfers	<u>756,847,757</u>				<u>756,847,757</u>
Net Increase (Decrease)	\$ (765,602)			\$ 40,275,800	\$ 39,510,198
<b><u>Fund Balance and Reserves</u></b>					
Fund Balance, 6/30/08					
Restricted	\$ 6,458,466	\$ -	\$ 146,345	\$ 14,361,529	\$ 20,966,340
Unrestricted	<u>27,812,351</u>	<u>18,871,078</u>	<u>1,808,030</u>	<u>-</u>	<u>48,491,459</u>
Total	\$ 34,270,817	\$ 18,871,078	\$ 1,954,375	\$ 14,361,529	\$ 69,457,799
Compensated Absences	\$ 19,625,265	\$ 3,879,293	\$ 12,394,185	\$ -	\$ 35,898,743
Investment in Plant	\$ -	\$ 7,897,781	\$ 50,734,982	\$ 139,061,581	\$ 197,694,344
Change Restricted	\$ (1,671,342)	\$ -	\$ (2,165)	\$ 39,739,890	\$ 38,066,383
Change Unrestricted	<u>(19,352,379)</u>	<u>6,987,222</u>	<u>1,133,596</u>	<u>-</u>	<u>(11,231,561)</u>
Net Increase (Decrease)	\$ (21,023,721)	\$ 6,987,222	\$ 1,131,431	\$ 39,739,890	\$ 26,834,822
Fund Balance, 6/30/09					
Restricted	\$ 4,787,124	\$ -	\$ 144,180	\$ 54,101,419	\$ 59,032,723
Unrestricted	<u>7,262,417</u>	<u>28,429,772</u>	<u>3,592,872</u>	<u>-</u>	<u>39,285,061</u>
Total	\$ 12,049,541	\$ 28,429,772	\$ 3,737,052	\$ 54,101,419	\$ 98,317,784
Compensated Absences	\$ 20,822,820	\$ 5,187,114	\$ 11,742,939	\$ -	\$ 37,752,873
Investment in Plant	\$ -	\$ 9,492,619	\$ 52,365,929	\$ 150,365,302	\$ 212,223,850

**Fiscal Year 2009  
Results of Operations  
As of June 30, 2009**

## Consolidated Financial Reports Financial Update & Highlights

**TO:** Members, Finance Subcommittee  
**FROM:** John M. Biancamano, Chief Financial Officer  
**DATE:** August 24, 2009  
**SUBJECT:** Unaudited FY 2009 Financial Results for the 12 month period ending June 30, 2009.

### Introduction:

The following provides highlights for the results of operations for the twelve month period ending June 30, 2009: The actual deficiency for the Fiscal Year to Date is \$766,000 as compared to a budgeted deficiency of \$11.5 million, for a favorable variance of \$10.7 million. The favorable variance is the result of the \$22.2 million deficiency appropriation received in June. Results excluding the deficiency appropriation show a year to date deficit of \$22.9 million and the month of June with a deficiency of \$639,000 as compared to a budgeted deficiency of \$139,000, for an unfavorable variance of \$500,000. Among the drivers for the loss in the current year are:

- **Shortfalls in Interns and Residents Revenues:** Administrative overhead costs, budgeted at 15% for the year, were not billable in full and the School of Medicine only began billing 7.5% in April of the current year. This led to a \$4.6 million unfavorable budget variance.
- **Dental Implant Center:** Volume at this entity did not build as projected. As such, the Implant Center finished \$466,000 below forecasted results
- **Affiliation Related Consulting Costs:** Unbudgeted affiliation related costs totaled \$1.9 million during FY09
- **Other Consulting Costs:** Other unbudgeted consulting costs for institutional improvement and regulatory matters totaled \$2.7 million.
- **JDH Medicare Wage Index Changes:** JDH chose to change its classification to rural status from 508 status for the Medicare Wage Index in an attempt to increase the Wage Index of other Connecticut hospitals thereby generating \$40 million in additional revenues for other Connecticut hospitals. This election resulted in a Wage Index related reimbursement decrease of \$2.8 million for the year which had been included in the FY09 budget. However, the interpretation by the government excluded JDH and denied Connecticut Hospitals this \$40 million, \$2.0 million of which was applicable to JDH.
- **Malpractice Expenses:** Expenses, which are the result of both activity and an annual actuarial estimate of liability exposure, were unfavorable to budget \$5 million. These charges are included in the JDH results.
- **Unrealized UMG Growth Targets:** Projected revenue growth from volume increases did not fully materialize. UMG realized a 3% growth in volume in the current year but did not meet the 5% growth forecast in the budget. The volume related shortfall was \$1.7 million.
- **Investment Income:** A weak investment market led to a \$900,000 shortfall in investment revenues. Actual investment income was \$1.1 million compared to a budget of \$2.0 million.

The effects of the items above were partially offset by favorable variances associated with the following:

- **Institutional Support savings:** realized through personnel savings, savings on IT maintenance contracts, and savings on new utilities contracts. These savings total about \$4 million.
- **Revenue Cycle improvements:** yielded \$12 million, which was \$4 million above the original budgeted amount. The consulting fees for this engagement had an approximate 2 to 1 return ratio.

## **FY 2010 Outlook:**

As we look forward to 2010, the Health Center's main concern is volume. The activity at JDH has been below budget for May, June, and July by about 6-8%. Management is currently analyzing the areas where shortfalls are most acute and what actions can be undertaken to reverse this trend. Management also believes that a contributing factor to volume decreases is the publicity associated with the affiliation talks, and more specifically publicity related to substandard facilities at JDH and an uncertain financial outlook.

Our clinical operations continue to suffer from strategic disadvantages such as structural challenges, higher than market fringe benefit rates, lack of Medical-Surgical Beds, and disproportionately large Medicaid percentages in our patient mix. To meet these and other challenges, we have formed a Dean's Task Force to look at structure, revenue enhancement opportunities, cost reduction opportunities and governance. We expect final recommendations from the Task Force to be available by the end of the calendar year. Management will continue to improve on and maintain the revenue enhancement initiatives started in FY 2009.

## **Review of Financial Results:**

### **Education, Research & Institutional Support**

The result of operations before State Appropriations is unfavorable to the budget by \$3.1 million year to date and unfavorable by \$489,000 for the month of June. The primary reason for the unfavorable budget variance year to date is that the School of Medicine revenue from billings to participating hospitals for providing residents and interns are below budget. The original indirect cost rate included in the budget for this program was 15%. The Health Center began billing 7.5% as the indirect cost in April. The impact to the results of operations from decreased interns and residents is a net decrease in revenue of \$4.6 million year to date.

Year to date significant highlights include:

- The School of Medicine total expenses were favorable to budget by \$3.6 million (2.9%)
- The School of Dental Medicine total expenses were favorable to budget by \$1.7 million (6.6%) but total revenue was \$2.0 million (16.3%) below budget. This reflects lower than anticipated Dental Implant revenue and expense.
- Research results of operations are unfavorable to budget by \$1.4 million or (15.7%) due to lower than budgeted capital expenditures and increased personnel costs associated with reallocations of salaries under the CREATE program.
- Institutional support results of operations were favorable to budget by \$3.6 million or (5.3%), primarily due to Personal Services, Outside and Other Purchased Services, and Utilities being below budget.

### **Clinical**

The clinical operations (JDH and UMG) had a loss for the month of \$1.8 million compared to a budgeted loss of \$399,000, an unfavorable variance of \$1.4 million. For the year, the combined loss was \$28.1 million compared to a budget loss of \$14.7 million, unfavorable by \$13.4 million. Detail analysis of revenues and expenses are in the following pages.

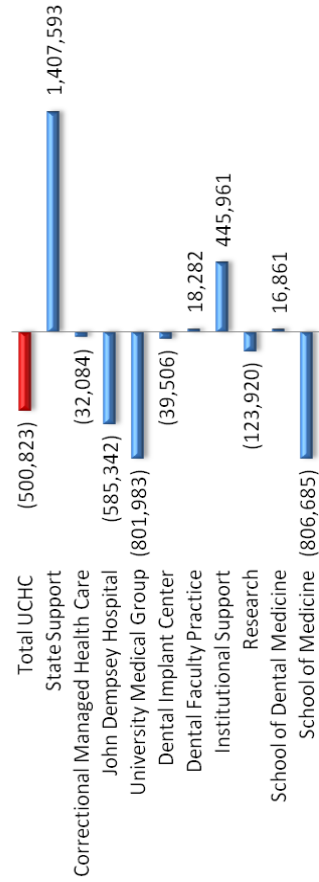
## Key Financial Results

For the period ending June 30, 2009 (in thousands)

Line #	Category	Current Month			Year-to-Date					
		Actual	Budget	Variance	Percent	Variance	Percent			
1	Total UCHC Excess/Deficiency	\$21,561	(\$423)	\$21,984	5197.2%	\$10,745	93.3%	(\$1,483)	\$717	48.3%
2	Education, Research & Institutional Support-Excess/(Deficiency)	(\$12,046)	(\$11,557)	(\$489)	-4.2%	(\$3,133)	-2.3%	(\$129,355)	(\$12,909)	-10.0%
3	John Dempsey Hospital - Excess/(Deficiency)	(\$544)	\$41	(\$585)	-1426.8%	(\$5,763)	-100.7%	(\$18,853)	\$7,367	39.1%
4	UMG - Excess/(Deficiency)	(\$1,242)	(\$440)	(\$802)	-182.3%	(\$7,610)	-85.0%	(\$10,773)	(\$5,795)	-53.8%
5	CMHC - Excess/(Deficiency)	(\$31)	\$1	(\$32)	-3200.0%	\$56		(\$440)	\$496	112.7%
6	State Appropriation-Block Grant	\$8,734	\$8,747	(\$13)	-0.1%	\$1,049	1.0%	\$96,797	\$9,215	9.5%
6A	Deficiency Appropriation	\$22,200	\$0	\$22,200		\$22,200		\$21,900	\$300	1.4%
7	Fringe Benefits & Other Adjustments	\$4,489	\$3,069	\$1,420	46.3%	\$3,947	10.6%	\$39,242	\$2,043	5.2%
8	Total State Support	\$35,423	\$11,816	\$23,607	199.8%	\$27,196	19.1%	\$157,939	\$11,568	7.3%
9	Total Revenues (000's)	\$50,011	\$49,750	\$261	0.5%	(\$22,556)	-3.7%	\$560,474	\$22,511	4.0%
10	Total Expenses (000's)	\$63,874	\$61,988	\$1,885	3.0%	(\$6,105)	-0.8%	\$719,896	\$33,351	4.6%
11	Research Awards	\$10,236	\$6,632	\$3,604	54.3%	(\$4,318)	-4.6%	\$92,569	(\$2,137)	-2.3%
12	Research Revenue Recognition in Financial Statements	\$7,800	\$7,411	\$389	5.2%	(\$1,361)	-1.5%	\$86,807	\$615	0.7%

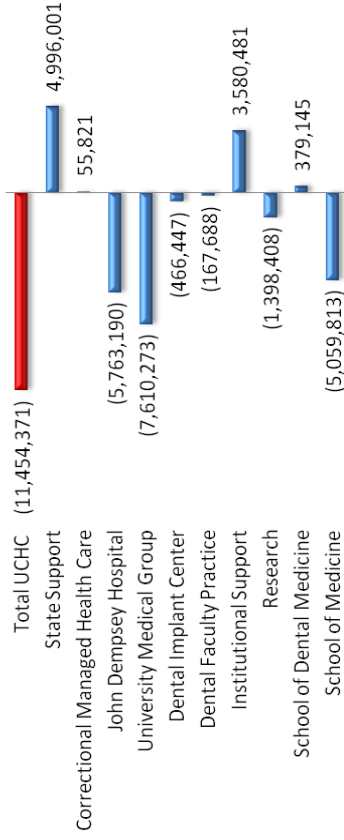
## Budget Variance by Program - June

(Excluding Deficiency Appropriation of \$22.2 million)



## Budget Variance by Program - Year To Date

(Excluding Deficiency Appropriation of \$22.2 million)



## Consolidated Statement of Revenues and Expenses (with Eliminations)

	Consolidated UConn Health Center YTD June 2009			Consolidated UConn Health Center YTD June 2008			
	Actual	Budget	Variance	Percent Variance	Actual	Variance	Percent Variance
<b>Revenues:</b>							
Tuition	\$ 10,106,324	\$ 10,229,501	\$ (123,177)	-1.2%	\$ 9,481,830	\$ 624,494	6.6%
Fees	5,619,976	5,552,664	67,312	1.2%	5,176,432	443,544	8.6%
Federal Research Grants and Contracts	67,601,956	71,410,874	(3,808,918)	-5.3%	70,393,772	(2,791,816)	-4.0%
Non-Federal Research Grants and Contracts	19,849,911	17,371,690	2,478,221	14.3%	15,971,708	3,878,203	24.3%
Auxiliary Enterprises	13,177,619	13,489,918	(312,299)	-2.3%	12,011,149	1,166,470	9.7%
Interns and Residents	35,121,457	41,978,821	(6,857,364)	-16.3%	34,326,355	795,102	2.3%
Net Patient Care	322,246,144	322,279,662	(33,518)	0.0%	298,844,027	23,402,117	7.8%
Correctional Managed Health Care	99,384,828	104,194,273	(4,809,445)	-4.6%	102,239,195	(2,854,367)	-2.8%
Endowment/Foundation Income	4,077,862	3,949,518	128,344	3.2%	3,801,386	276,476	7.3%
Investment Income	1,134,323	2,044,841	(910,518)	-44.5%	2,879,773	(1,745,450)	-60.6%
Other Income	4,664,883	4,959,407	(294,524)	-5.9%	5,348,593	(683,710)	-12.8%
<b>Total Revenues</b>	<b>\$ 582,985,283</b>	<b>\$ 597,461,169</b>	<b>\$ (14,475,886)</b>	<b>-2.4%</b>	<b>\$ 560,474,220</b>	<b>\$ 22,511,063</b>	<b>4.0%</b>
<b>Expenses:</b>							
Personal Services	\$ 370,165,413	\$ 374,360,440	\$ (4,195,027)	-1.1%	\$ 355,399,473	\$ 14,765,940	4.2%
State Supported Fringe Benefits	40,447,372	39,718,666	728,706	1.8%	37,499,540	2,947,832	7.9%
Fringe Benefits	66,692,624	65,628,817	1,063,807	1.6%	64,778,948	1,913,676	3.0%
JDH Fringe Benefit Allotment	(3,600,000)	(3,600,000)	-	0.0%	-	(3,600,000)	-100.0%
Medical Contractual Support	15,630,879	15,385,664	245,215	1.6%	15,684,320	(53,441)	-0.3%
Medical/Dental House Staff	36,537,864	37,182,957	(645,093)	-1.7%	34,312,211	2,225,653	6.5%
Outside Agency Per Diems	1,561,388	1,865,824	(304,436)	-16.3%	1,880,604	(319,216)	-17.0%
Drugs	34,913,644	33,778,553	1,135,091	3.4%	35,559,457	(645,813)	-1.8%
Medical Supplies	46,492,684	45,325,321	1,167,363	2.6%	41,002,216	5,490,468	13.4%
Utilities	15,864,728	17,258,835	(1,394,107)	-8.1%	16,315,062	(450,334)	-2.8%
Outside & Other Purchased Services	55,765,119	55,016,090	749,029	1.4%	53,607,458	2,157,661	4.0%
Insurance	11,399,161	6,002,825	5,396,336	89.9%	5,517,158	5,882,003	106.6%
Repairs & Maintenance	10,765,145	10,765,068	(77)	-0.3%	9,185,593	1,550,552	16.9%
Other Expenses	21,958,742	22,234,875	(276,133)	-1.2%	21,458,126	500,616	2.3%
Depreciation	28,681,994	30,349,336	(1,667,342)	-5.5%	27,696,133	985,861	3.6%
<b>Total Expenses</b>	<b>\$ 753,247,757</b>	<b>\$ 751,273,271</b>	<b>\$ 1,974,486</b>	<b>0.3%</b>	<b>\$ 719,896,299</b>	<b>\$ 33,351,458</b>	<b>4.6%</b>
<b>Excess/(Deficiency) of Revenues over Expenses Prior to State Appropriations</b>	<b>\$ (170,262,474)</b>	<b>\$ (153,812,102)</b>	<b>\$ (16,450,372)</b>	<b>-10.7%</b>	<b>\$ (159,422,079)</b>	<b>\$ (10,840,395)</b>	<b>-6.8%</b>
State Appropriation-Block Grant	\$ 106,012,210	\$ 104,962,999	\$ 1,049,211	1.0%	\$ 96,797,174	\$ 9,215,036	9.5%
Deficiency Appropriation	22,200,000	-	0		21,900,000	300,000	1.4%
State Supported Fringe Benefits and Other Adjustments	41,284,662	37,337,872	3,946,790	10.6%	39,241,988	2,042,674	5.2%
<b>Excess/(Deficiency)</b>	<b>\$ (765,602)</b>	<b>\$ (11,511,231)</b>	<b>\$ 10,745,629</b>	<b>93.3%</b>	<b>\$ (1,482,917)</b>	<b>\$ 717,315</b>	<b>48.4%</b>
Total State Support	169,496,872	142,300,871	27,196,001	19.1%	157,939,162	11,557,710	7.3%
Percent of Total Revenues	22.53%	19.03%	0.03	18.4%	21.98%	0	2.5%
Total State Support without Fringe Benefits	106,012,210	104,962,999	1,049,211	1.0%	96,797,174	9,215,036	9.5%

JOHN DEMPSEY HOSPITAL  
OPERATING STATEMENT  
JUNE 2009

	Current Month			%	Year to Date (7/1/08 - 06/30/2009)			YTD % Change	YTD Actual '08
	Actual '09	Budget '09	Variance		Change	Actual '08	Budget '09		
Gross Inpatient Revenue	\$ 20,516,501	\$ 16,911,929	\$ 3,604,572	21.3%	\$ 18,416,092	\$ 20,610,500	\$ 24,070,149	11.8%	\$ 199,477,788
Gross Outpatient Revenue	20,514,609	18,011,031	2,503,578	13.9%	18,293,946	217,003,840	23,962,951	11.0%	207,285,528
Total Gross Patient Revenue	41,031,110	34,922,960	6,108,150	17.5%	36,710,038	421,614,340	48,033,100	11.4%	406,763,316
Less: Contractual Allowances	19,087,765	14,482,350	4,605,415	31.8%	16,084,036	176,991,914	47,760,619	27.0%	174,678,351
Less: Bad Debt Expense	(478,215)	456,626	(934,841)	-204.7%	1,100,393	5,568,800	(7,554,876)	-135.7%	5,570,353
Net Patient Revenue	22,421,560	19,983,984	2,437,576	12.2%	19,525,609	239,053,626	7,827,357	3.3%	226,514,612
Investment Income	15,050	46,392	(31,342)	-67.6%	41,442	556,706	(296,804)	-53.3%	1,057,468
Other Operating Revenue	302,045	297,109	4,936	1.7%	694,181	3,565,344	362,714	10.2%	3,037,854
Total Other Operating Income	317,095	343,501	(26,406)	-7.7%	735,623	4,122,050	65,910	1.6%	4,095,322
Total Revenue	22,738,655	20,327,485	2,411,170	11.9%	20,261,232	243,175,676	7,893,267	3.2%	230,609,934
Expenses:									
Salaries and Wages	6,930,445	7,666,242	(735,797)	-9.6%	8,035,380	93,631,767	(51,431)	-0.1%	96,465,516
Fringe Benefits	3,094,346	2,984,047	110,299	3.7%	3,327,209	37,744,269	808,213	2.1%	39,605,637
Fringe Benefit Allotment	(360,310)	(287,000)	(73,310)	25.5%	-	(3,600,000)	-	0.0%	-
Medical Contractual Support	417,584	379,085	38,499	10.2%	382,069	4,850,019	4,549,019	6.6%	4,732,817
Medical/Dental House Staff	971,348	1,087,708	(116,360)	-10.7%	1,042,000	13,052,500	(1,085,825)	-8.3%	10,714,163
Outside Agency Per Diems	254,102	80,554	173,548	215.4%	95,966	1,091,004	54,299	5.0%	963,225
Drugs	912,969	1,284,733	(371,764)	-28.9%	1,494,578	15,433,148	2,586,308	16.8%	15,781,989
Medical Supplies	3,384,464	2,607,767	776,697	29.8%	2,337,019	30,677,558	3,950,448	12.9%	28,927,691
Utilities	191,339	172,563	18,776	10.9%	259,215	3,568,658	(405,779)	-11.4%	3,409,953
Outside & Other Purchased Services	3,182,943	2,239,684	943,259	42.1%	2,085,133	29,600,136	3,362,370	11.4%	27,109,140
Insurance	2,549,120	243,005	2,306,115	949.0%	(48,022)	8,257,896	5,341,838	183.2%	2,630,538
Repairs & Maintenance	417,084	443,392	(26,308)	-5.9%	422,048	5,321,463	(427,415)	-8.0%	4,367,241
Other Expenses	260,562	287,753	(27,191)	-9.4%	533,837	3,302,054	(34,229)	-1.0%	3,573,137
Depreciation Expense	1,076,737	1,096,688	(19,951)	-1.8%	1,009,209	11,577,000	(743,340)	-6.4%	11,192,211
Total Operating Expenses	23,282,733	20,286,221	2,996,512	14.8%	20,975,641	248,898,863	13,656,457	5.5%	249,463,258
Net Operating Gain (Loss)	\$ (544,078)	\$ 4,1264	\$ (585,342)	-1418.5%	\$ (714,409)	\$ (5,723,187)	\$ (5,763,190)	100.7%	\$ (18,853,324)



**Volume: Month**

June inpatient discharges were unfavorable to the budget plan by 63 cases (7.2%) but above last June by 25 cases (3.2%). However, for the current month, OR cases were favorable to budget by 28 cases or 12%.  
 June outpatient visits were unfavorable to the budget plan by 359 visits (1.1%) but above last June by 1,352 visits (4.3%).

**Net Revenue: Year to Date**

Year-to-date, total net patient revenue is favorable to the budget plan by \$7.8 million (3.3%) and is above last year by \$20.3 million (9.0%).

The key drivers for net revenue are:

- Compared to Budget
  - Volume variance on revenues was unfavorable to budget by approximately \$7.1 million.
  - Inpatient 262 discharges (\$3.0)
  - Outpatient 16,713 visits (5.0) (\$8.0)
  - Net Revenue per adjusted discharge is above the budgeted plan by \$740 (6.4%) despite adjusted discharges being below budget by 607 discharges (2.9%).
  - Case mix index is 1.5010 compared to a budget of 1.4421 and a prior year actual of 1.4420.
  - Net Revenue per adjusted discharge is above last year by \$945 (8.3%).
  - Medicaid, which represents our lowest payor compared to cost, was the only payor with discharges above plan.

Significant variances for inpatient payer mix:

- | <u>Above Plan</u>   | <u>Below Plan</u>   |
|---|---|
| <ul style="list-style-type: none"> <li>• Medicaid discharges 94 cases (6.7%)</li> </ul> | <ul style="list-style-type: none"> <li>• Medicare discharges 17 cases (.4%)</li> <li>• Managed Care discharges 326 cases (9.9%)</li> <li>• Correctional Managed Health Care discharges 30 cases (8.0%)</li> </ul> |

## **Net Revenue: Month**

June's net revenue is favorable to the budget plan by \$2.4 million (12.2%) and is above last year by \$2.9 million (14.8%).

The key drivers for net revenue are:

- Compared to Budget
  - Adjusted discharges were below budget by 183 cases (10.1%) but above prior year by 71 cases (4.6%)
  - Net Revenue per adjusted discharge is above the budgeted plan by \$2,725 (24.8%)
  - Net Revenue per adjusted discharge is above last year by \$1,229 (9.8%).

Significant monthly variances for inpatient payer mix:

### Above Plan

- Medicaid discharges 3 cases (2.6%)

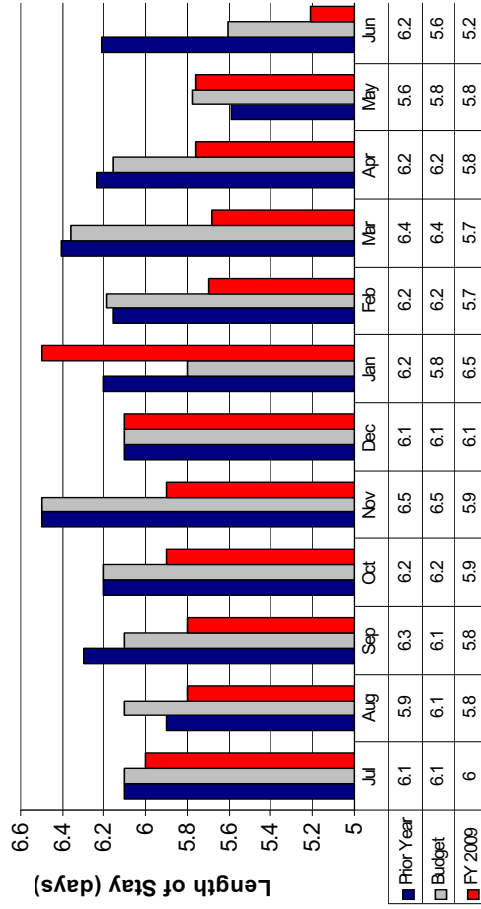
### Below Plan

- Medicare discharges 54 cases (14.9%)
- Managed Care discharges 8 cases (2.7%)
- Correctional Managed Health Care 10 cases (27.3%)

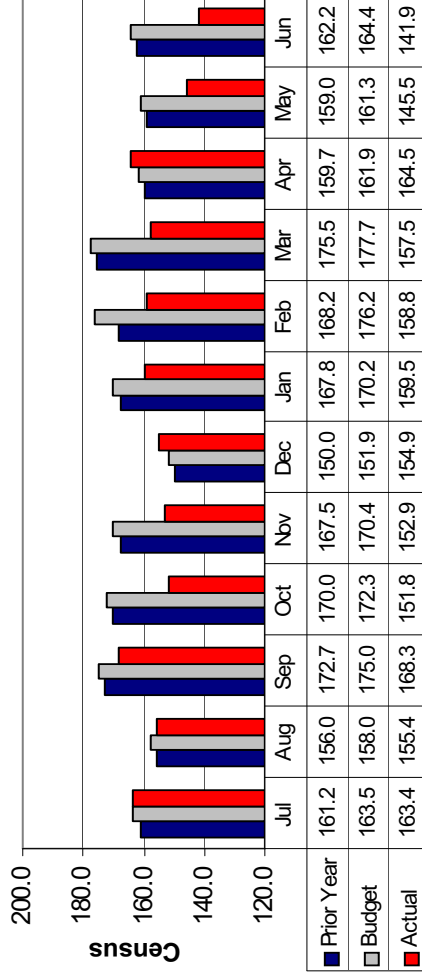
## **Expenses**

- Expenses are unfavorable to the budget by \$13.7 million (5.5%) on a year to date basis and \$13.1 million (or 5.5%) unfavorable to prior year.
- Drugs are over budget year to date \$2.6 million of which \$1.1 million relates to a single patient using special anticoagulant medication.
- Insurance expenses are unfavorable to budget by \$5.3 million. Insurance expenses are driven by malpractice claims and actuarial estimations of future liability.
- Consulting expenses related to operational consultation, affiliation consultations, and other are over budget by \$3.8 million year-to-date and \$758,000 for the month.
- Medical supplies are over budget due to the shift to more surgical cases than medical patients. As noted earlier, year to date discharges and outpatient visits are under budget but inpatient surgical cases, which average greater medical supply expense per case, are over budget by 127 cases or 4.5%. This increase in volume and expense is offset by the increase in net patient revenue also noted above.

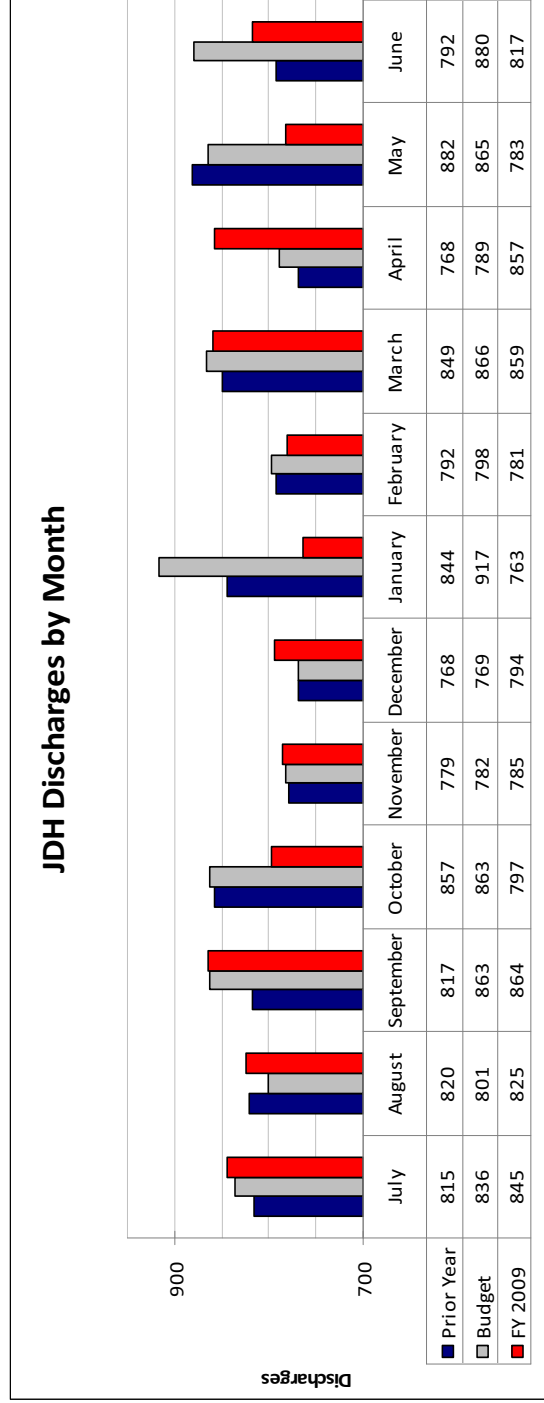
**JDH Average Length of Stay by Month**



**JDH Average Daily Census FY 09 By Month**



**JDH Discharges by Month**



UCONN MEDICAL GROUP  
OPERATING STATEMENT  
JUNE 2009

	JUNE ACTUAL	JUNE BUDGET	VARIANCE	JUNE PERCENT	JUNE PERCENT	JUNE 2008	JUNEYTD ACTUAL	JUNEYTD BUDGET	VARIANCE	YTD PERCENT	JUNEYTD FY 2008
<b>REVENUES:</b>											
Gross Charges-Direct Patient Care	\$ 17,897,707	\$ 15,490,364	\$ 2,407,343	15.54%	15.54%	\$ 15,612,004	\$ 194,182,880	\$ 186,458,541	\$ 7,724,339	4.14%	\$ 176,581,738
Gross Charges-Contract Patient Care	461,771	493,069	(31,298)	-6.35%	-6.35%	422,412	5,543,886	5,849,593	(305,707)	-5.23%	5,815,334
Total Patient Care	18,359,478	15,983,433	2,376,045	14.87%	14.87%	16,034,416	199,726,766	192,308,134	7,418,632	3.86%	182,397,072
Less: Contractual Allowances	11,290,041	8,285,325	3,004,716	36.27%	36.27%	12,303,475	113,826,312	101,263,821	12,562,491	12.41%	102,216,703
Provision for Bad Debts	68,705	108,073	(39,368)	-36.43%	-36.43%	33,946	995,044	1,301,163	(306,119)	-23.53%	557,702
Total Allowances & Bad Debts	11,358,746	8,393,398	2,965,348	35.33%	35.33%	12,337,421	114,821,356	102,564,984	12,256,372	11.95%	102,774,405
Net Patient Revenue	7,000,732	7,590,035	(589,303)	-7.76%	-7.76%	3,696,995	84,905,410	89,743,150	(4,837,740)	-5.39%	79,622,667
Other Revenues	(111,785)	98,641	(210,426)	-213.33%	-213.33%	68,057	233,518	1,167,294	(933,776)	-79.99%	1,042,156
Total Revenue	6,888,947	7,688,676	(799,729)	-10.40%	-10.40%	3,765,052	85,138,928	90,910,444	(5,771,516)	-6.35%	80,664,823
<b>EXPENSES:</b>											
Personal Services	4,999,404	4,656,355	343,049	7.37%	7.37%	4,016,265	59,827,606	58,682,674	1,144,932	1.95%	51,060,569
State Supported Fringe Benefits	719,485	612,321	107,164	17.50%	17.50%	965,157	7,928,493	7,441,749	486,744	6.54%	8,531,002
Fringe Benefits	554,386	789,435	(235,049)	-29.77%	-29.77%	546,751	10,047,793	9,967,620	80,173	0.80%	7,549,664
Medical Contractual Support	410,288	601,065	(190,777)	-31.74%	-31.74%	602,384	7,403,941	7,237,056	166,885	2.31%	7,481,883
Outside Agency Per Diems	0	4,741	(4,741)	-100.00%	-100.00%	2,496	79,545	57,088	22,457	39.34%	46,467
Drugs	335,415	162,574	172,841	106.32%	106.32%	51,942	2,045,890	1,957,433	88,457	4.52%	2,099,808
Medical Supplies	124,003	125,593	(1,590)	-1.27%	-1.27%	52,015	1,533,597	1,512,747	20,850	1.38%	1,263,835
Utilities	35,346	20,062	15,284	76.18%	76.18%	28,727	241,940	233,163	8,777	3.76%	184,848
Outside & Other Purchased Services	757,284	910,845	(153,561)	-16.86%	-16.86%	756,566	9,601,403	9,628,855	(27,452)	-0.29%	9,946,075
Insurance	49,007	57,846	(8,839)	-15.28%	-15.28%	63,806	580,344	686,270	(105,926)	-15.44%	719,946
Repairs & Maintenance	57,228	26,208	31,020	118.36%	118.36%	26,186	641,060	527,000	114,060	21.64%	549,244
Other Expenses	(49,392)	65,315	(114,707)	-175.62%	-175.62%	53,817	826,676	926,822	(100,146)	-10.81%	968,605
Depreciation	138,077	95,917	42,160	43.95%	43.95%	150,085	948,946	1,010,000	(61,054)	-6.04%	1,035,852
Total Expenses	8,130,531	8,128,277	2,254	0.03%	0.03%	7,316,197	101,707,234	99,868,477	1,838,757	1.84%	91,437,798
Excess/Deficiency of Revenues over Expenses	\$ (1,241,584)	\$ (439,601)	\$ (801,983)	182.43%	182.43%	(3,551,145)	\$ (16,566,306)	\$ (8,958,033)	\$ (7,610,273)	84.95%	\$ (10,772,975)



**Net Revenue: Month**

The Month of June shows net patient revenue unfavorable to the budget plan by \$589,000 but \$3.3 million above the same month in the prior year.

The key drivers for net revenue are:

- Changes made to the AR reserve methodology changed the reserve allocations and resulted in the recognition of additional contractual allowance expenses and decreased net patient revenue.
- Visits being favorable to the budget by 424 visits (.9%) – Valued at \$68,000.
- Compared to Budget – Price Variance is unfavorable to the budget by \$868,000. The net revenue per unit was \$18.04 lower than what was budgeted.

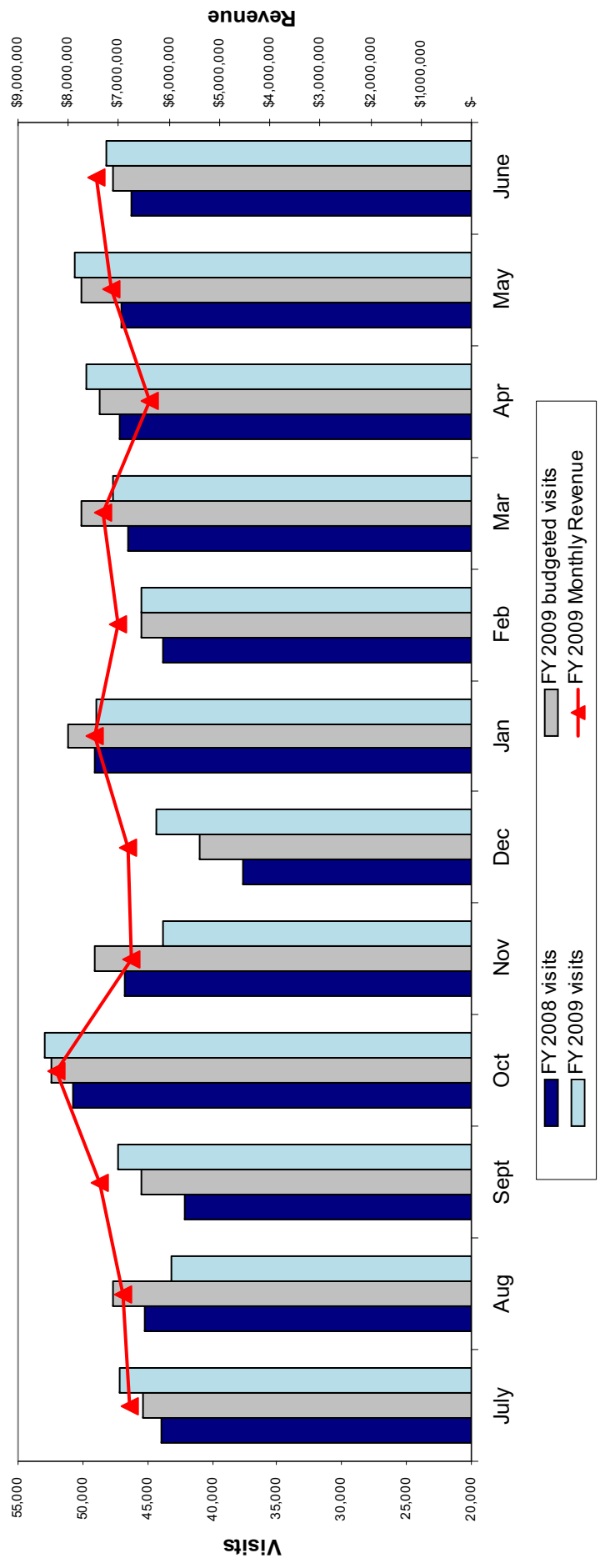
**Other Revenues:**

- Other revenue – Other revenues are negative for the month and unfavorable \$934,000 for the year due to corrections to the Colon Cancer account related to allocations of revenues and expenses between UMG and the School of Medicine.

**Expenses – Year to Date and for the Month of June**

- Personal services, fringes, and medical contractual support are unfavorable to budget by \$1.9 million for the year and \$24,000 for the month.
- Expenses exclusive of those noted above were favorable to budget \$40,000 for the year and \$22,000 for the month.

University Medical Group  
Comparison of Actual, Budgeted, and Prior Year Unique Visits Against Monthly Total Revenues



**Connecticut State University**  
**Statement of Operating Budget Revenues and Expenses**  
**for the Twelve Months Ending June 30, 2009**

	<b>Operating Budget</b>			<b>Actual</b>		
	Total	E&G	Auxiliary Enterprise	Total	E&G	Auxiliary Enterprise
<b>Revenues</b>						
State Appropriations (1)	\$ 163,913,753	\$ 163,913,753	\$ -	\$ 162,935,234	\$ 162,935,234	\$ -
Fringe Benefit Allotment	78,266,579	78,266,579	-	75,191,488	75,191,488	-
Tuition	95,444,282	95,444,282	-	96,515,625	96,515,625	-
Extension Fees (PT)	62,363,442	62,363,442	-	54,784,266	54,784,266	-
Fees	66,606,706	66,606,706	-	61,871,136	61,871,136	-
Grants and Contracts	36,615,212	36,615,212	-	47,297,849	47,297,849	-
Auxiliary Enterprises	77,452,992	-	77,452,992	82,365,394	-	82,365,394
Endowment/Foundation	-	-	-	-	-	-
All Other Revenues	19,976,135	19,976,135	-	21,295,183	21,295,183	-
<b>Total Revenue</b>	<b>600,639,101</b>	<b>523,186,109</b>	<b>77,452,992</b>	<b>602,256,175</b>	<b>519,890,781</b>	<b>82,365,394</b>
<b>Expenses</b>						
Personal Services	\$ 291,633,857	\$ 283,605,702	\$ 8,028,155	\$ 289,883,703	\$ 281,665,024	\$ 8,218,679
Fringe Benefits	112,844,808	109,459,041	3,385,767	106,760,969	103,374,052	3,386,917
Other Expenses	120,342,171	88,790,085	31,552,086	115,853,750	76,248,024	39,605,726
Equipment	10,096,630	9,691,630	405,000	10,909,516	10,559,820	349,696
Student Aid	50,602,352	50,602,352	-	63,419,812	63,413,258	6,554
Debt Service	13,844,095	5,762,632	8,081,463	10,213,132	7,084,314	3,128,818
Non-Mandatory Transfers	1,706,155	469,697	1,236,458	7,946,416	13,669,844	(5,723,428)
<b>Total Expenses/Transfers</b>	<b>\$ 601,070,068</b>	<b>\$ 548,381,139</b>	<b>\$ 52,688,929</b>	<b>\$ 604,987,298</b>	<b>\$ 556,014,336</b>	<b>\$ 48,972,962</b>
<b>Adjustments</b>						
<b>Net Gain(Loss)</b>	<b>\$ (430,967)</b>	<b>\$ (25,195,030)</b>	<b>\$ 24,764,063</b>	<b>\$ (2,731,123)</b>	<b>\$ (36,123,555)</b>	<b>\$ 33,392,432</b>
<b>Net Inc (Dec) to Cash</b>				(2,064,917)		
<b>Cash Balance 6/30/08</b>				<u>123,993,159</u>		
<b>Balance 6/30/09</b>				121,928,242		

CSU Budget

(1) State Appropriation	160,444,294
Rescission	(7,694,116)
Collective Bargaining Settlements	10,389,475
Total Support	<u>163,139,653</u>

**CONNECTICUT STATE UNIVERSITY**  
**Statement of Changes in Fund Balance**  
**FY 2009**

	<u>Operating</u>	<u>Plant</u>	<u>Total</u>
<b><u>Revenues and Expenditures</u></b>			
Revenues	\$ 600,639,101	\$ 55,000,000	\$ 655,639,101
Expenditures and Transfers	<u>601,070,068</u>	<u>52,000,000</u>	<u>653,070,068</u>
Net Increase (Decrease)	\$ (430,967)	\$ 3,000,000	\$ 2,569,033
<b><u>Fund Balance and Reserves</u></b>			
Fund Balance, 6/30/08			
Restricted	\$ 4,271,358	\$ 670,206,906	\$ 674,478,264
Unrestricted	<u>31,904,128</u>	<u>44,639,397</u>	<u>76,543,525</u>
Total	\$ 36,175,486	\$ 714,846,303	\$ 751,021,789
Compensated Absences	\$ 33,306,264	\$ -	\$ 33,306,264
Operating Change	\$ (430,967)	\$ -	\$ (430,967)
Other Change	<u>-</u>	<u>3,000,000</u>	<u>3,000,000</u>
Net Increase (Decrease)	\$ (430,967)	\$ 3,000,000	\$ 2,569,033
Fund Balance, 6/30/09			
Restricted	\$ 4,271,358	\$ 673,206,906	\$ 677,478,264
Unrestricted	<u>31,473,161</u>	<u>-</u>	<u>31,473,161</u>
Total	\$ 35,744,519	\$ 673,206,906	\$ 708,951,425
Compensated Absences	\$ 35,000,000		\$35,000,000

**CONNECTICUT STATE UNIVERSITY SYSTEM**  
**General and Operating Fund Quarterly Report**  
**As of June 30, 2009**

**Overview Narrative**

Comments relating to the fiscal year ended June 30, 2009, for the Connecticut State University System (CSUS) are presented below.

**I. General Statement**

CSUS has engaged PricewaterhouseCoopers to perform an audit of FY2009, with completed financial statements expected by late December 2009. Since FY2009 financial statements are not yet finalized, the attached fund balance report represents estimated and budgeted amounts and the Operating Fund Report represents the amounts available as of mid August. There may still be some additional adjustments and/or reclassifications made as the audit progresses.

**II. Enrollment**

Overall, the average annualized full time headcount enrollment of 24,583 increased by 3.1% or 735 students as compared to last year's level of 23,848. This increase represents a gain in both undergraduate full time enrollment and graduate full time enrollment. Undergraduate full time enrollment of 22,961 increased by 647 students or 2.9%, while graduate full time enrollment of 1,622 increased by 77 students or 5.0%. This is the twelfth consecutive year that CSUS has achieved an overall increase in full time enrollment.

The annualized full time equivalent (FTE) enrollment of 27,641 for all universities represents an increase of 719 students or 2.7% over the previous year's level of 26,922. Average FTE enrollment has continued to increase over the past thirteen years, from 21,219 in FY 1996 to 27,641 in FY 2009.

**III. Revenues and Expenditures**

At June 30, 2009, total revenues for the year were \$602.3 million versus a budget of \$600.6 million. Total expenditures for the same period, before transfers of \$18.2 million, were \$586.8 million versus a budget of \$585.5 million, an increase of \$1.3 million or 0.2%. Total expenditures including transfers were \$605.0 million, an increase of \$3.9 million or 0.6% compared to the budget of \$601.1 million. Much of this increase is due to an increase in Student Aid of \$12.8 and Transfers of \$2.6, offset by reductions in Personal Services, Fringe Benefits and Other Expenses of \$12.3 million.

State Appropriations and Fringe Benefits of \$238.1 million were \$4.1 million below budget due to lower state appropriations and related fringe benefits resulting from the 4<sup>th</sup> quarter General Fund rescission and the required furlough day.

Actual tuition revenues for FY09 were \$96.5 million or 1.1% above budget, due to increases over budget in both full time headcount and FTE of 0.2%. Extension fees of \$54.8 million were 12.2% below budget of \$62.4 million. This is a similar trend to the past two years. Fees of \$61.9 million were 7.1% below the budget of \$66.6 million. This trend is attributed to a decline in part-time enrollment. In comparison to FY 08, fees are up \$5.6 million, due mainly to the overall increase in full time enrollment. Actual grant revenues of \$47.3 million were 29.2% above budget of \$36.6 million, which is also reflected in the higher-than-budgeted Student Aid expenditures. Auxiliary enterprise revenues of \$82.4 million were 6.3% above budget of \$77.5 million. This was due primarily to higher student accident insurance receipts. All Other Revenues of \$21.3 million were \$1.3 million over budget, but lower than the \$25.0 million recorded last year, due mainly to lower interest income, rentals, athletic revenue, ticket sales, program income and bookstore income.

Personal services expenditures of \$289.9 million were 0.6 % below the budget of \$291.6 million, while fringe benefits of \$106.8 million were 5.4% below budget of \$112.8 million. Fringe benefits as a percentage of personal services are almost the same as last year (36.9% for FY09 versus 37.2% for FY08); however, they are slightly lower than the budgeted portion of 38.7%. The Personal Services expenditures were generally lower for FY 09 mainly due to the headcount freeze enacted by CSUS in May 2008. Other Expenses of \$115.9 million were 3.7 % below the budget of \$120.3 million. This is a result of expenditure reduction efforts across the system in response to the current fiscal crisis. Library and Other Equipment expenditures of \$10.9 million were \$0.8 million or 8.1% above the budget of \$10.1 million. There was a decrease in Library Equipment of \$0.9 million, offset by an increase in expenditures of \$1.7 million for All Other Equipment. This was very similar to last year. Student Aid of \$63.4 million was \$12.8 million or 25.3% over budget of \$50.6 million, as more Student Aid was extended this year than originally planned, due to the receipt of more grant revenue than expected (mainly Pell Grants), plus the increased enrollment. This is the same trend as seen in prior years.

Overall, after transfers on a preliminary basis, a negative bottom line of \$2.7 million is indicated versus a budgeted net loss of \$0.4 million. Debt Service Transfers of \$10.2 million represent planned transfers by the universities to fund parking garages and residence halls. Please note that there are still possible adjustments, reclassifications and transfers to be recorded at some of the universities as a result of the audit which could affect the final results.

The decrease in cash (2.1%) reflects the effect of timing of expenditure payments at the end of the year.

#### **IV. Statement of Changes in Fund Balance**

The Statement of Changes in Fund Balance Exhibit depicts budgeted amounts for FY09. This statement will be updated to actual upon completion of the FY09 financial statement independent audit.

**Community-Technical College System**  
**Statement of Operating Budget Revenues and Expenses**  
**for the Twelve Months Ending June 30, 2009**

	<b>Operating Budget</b>		<b>Actual</b>	
	<b>Total</b>		<b>Total</b>	
<b>Revenues</b>				
State Appropriations (1)	\$	167,677,025	\$	158,737,424
Fringe Benefit Allotment		75,862,369		75,905,458
Tuition		89,427,179		93,633,690
Fees		36,114,446		37,485,725
Grants and Contracts		50,426,028		66,846,082
Private Grants		293,583		4,608,457
Sales of Educational Activities		391,152		477,071
Endowment/Foundation		-		-
All Other Revenues		13,264,264		12,863,436
<b>Total Revenue</b>		<b>433,456,046</b>		<b>450,557,343</b>
<b>Expenses</b>				
Personal Services*	\$	228,353,899	\$	228,071,466
Fringe Benefits*		88,128,065		90,767,705
Other Expenses		62,178,807		65,324,215
Equipment		2,679,795		3,178,763
Student Aid		56,924,669		68,840,964
Buildings/Improvements		-		-
Transfers		-		(500)
<b>Total Expenses/Transfers</b>	\$	<b>438,265,235</b>	\$	<b>456,182,613</b>
<b>Adjustments</b>				
<b>Net Gain(Loss)</b>	\$	<b>(4,809,189)</b>	\$	<b>(5,625,270)</b>
<i>Accrual Adj.</i>				(174,730)
<b>Net Inc (Dec) to Cash</b>				(5,753,573)
<b>Cash Balance 6/30/08</b>				90,852,447
<b>Balance 6/30/09</b>				85,098,874
		<u>General Fund EOY Appropriation</u>		<u>General Fund YTD</u>
(1) State Appropriation		149,815,671		141,933,916
Manufacturing Tech SID's		545,000		517,750
Tuition Freeze		2,160,925		2,160,925
<b>Original Appropriation</b>		<b>152,521,596</b>		<b>144,612,591</b>
Due from OPM Wage Settlements		15,155,429		14,124,833
<b>Total Support - Original Budget</b>		<b>167,677,025</b>		<b>158,737,424</b>
OPM adjustment, pending wage settlement		(1,030,596)		-
<b>Revised Base Appropriation</b>		<b>166,646,429</b>		<b>158,737,424</b>
First Quarter FY09 rescission, block grant		(4,494,470)		-
First Quarter FY09 rescission, Mfg Tech SID's		(27,250)		-

## COMMUNITY-TECHNICAL COLLEGE SYSTEM

### Statement of Changes in Fund Balance

**FY 2009**

<u>Revenues and Expenditures</u>	<u>Operating</u>
Revenues	\$ 450,557,343
Expenditures and Transfers	456,182,613
Fund (Additions)/Deductions	<u>2,728,476</u>
Net Increase (Decrease)	\$ (8,353,746)
 <b><u>Fund Balance and Reserves</u></b>	
Fund Balance, 6/30/08, preliminary unaudited	
Restricted	\$ 4,754,088
Unrestricted	<u>32,833,145</u>
Total	\$ 37,587,233
Compensated Absences (Est.)	\$ 37,923,904
 Operating Change	 \$ (8,353,746)
Other Change	<u>-</u>
Net Increase (Decrease)	\$ (8,353,746)
 Fund Balance, 6/30/09 Estimated	
Restricted	\$ 4,500,000
Unrestricted	<u>24,479,399</u>
Total	\$ 28,979,399
Compensated Absences (Est.)	\$ 37,923,904



Connecticut  
Community  
Colleges

*Education That Works For a Lifetime*

# FOURTH QUARTER FY2009 REPORT

Period ending June 30, 2009

September 4, 2009

Connecticut  
Community  
Colleges



Education That Works For a Lifetime

To: Nancy Brady, Department of Higher Education

From: Vicky Greene, Chief Financial and Administrative Officer

Re: Fourth Quarter FY2009 Report

This report for the year ending June 30, 2009 is forwarded to your attention on behalf of the Board of Trustees for Community Technical Colleges, for submission to the Joint Standing Committee on Appropriations of the General Assembly and the Office of Policy and Management through the Board of Governors in accordance with C.G.S. Section 10a-77c as amended. This report reflects all current funds revenues and expenditures on a budgetary basis.

The community colleges began the 2009 fiscal year to a mix of both good and bad news. Enrollment continued to set new records, with Fall 2008 FTE enrollment up by 6.5% over Fall 2007, and student headcount enrollment up by 5.5% over the previous fall, reaching a total of 51,105 students taking credit courses. Full time student enrollment continued to climb, reaching 19,694 students, or 38.5% of all community college students. These trends continued in the spring 2009 semester, with FTE enrollment up 8.7% over the previous spring. Enrollment in fiscal year 2010 continues strong, with preliminary enrollment figures for the 2009 fall semester reflecting FTE increases of more than 10% as of today. At the same time, we began the 2009 fiscal year with a 3% \$4.5 million General Fund budget reduction, and news of a swiftly declining economic outlook for the State. An additional 2% \$3 million reduction occurred in the fourth quarter, along with a reduction for voluntary and mandatory furlough day savings of \$521 thousand.

For the fourth quarter of fiscal year 2009, total operating budget revenues of \$450.6 million were 4% above the original annual revenue budget, and total expenditures of \$456.2 million were also 4% above of the original expenditure budget for the year.

#### Revenues and Expenditures

Tuition revenues for the year were \$93.6 million, about 5% above the original budget, reflecting the strong enrollment growth and revenues earned for the Fall and Spring semesters. Fee revenues of \$37.5 million were 4% above budget. Extension fees totaling \$19.4 million were about 1.5% above budget, reflecting the summer 2008 semester and other revenues earned through the year. Credit extension programs were about 8.6% above budget, while non-credit programs were about 3.5% below budget, with the economic downturn impacting both workforce development and personal development revenues compared with original expectations. Government grants of \$66.8 million were at 33% above budget, reflecting federal and state grant revenues for student financial aid, as well as other non-financial aid grants revenue earned. Private gifts and grants of \$4.6 million were considerably above the original annual budget approved by the Board, reflecting the expenditure of gift funding for student scholarship aid and prior year gifts, as well as foundation and other support for various academic programs and initiatives. In addition, private grant funding for various workforce and student success initiatives including Achieving the Dream, nursing program support, and other programs, reflects the recording of grant revenues earned as current and prior year grants received are actually expended for programmatic purposes. Other revenues of \$13.3 million, including bookstore revenues, as well as daycare, commission, interest income and other miscellaneous revenues were at 97.7% of budget overall for the year, primarily due to declining interest income which was substantially below budget.

Salary and fringe benefit expenditures for the year were 100% and 103% of budget, respectively, reflecting substantial cost reductions despite above-goal enrollment growth. Other non-payroll expenditures were 5% above budget for the year, reflecting obligations that carried forward from the previous year, as well as increased activity to support growing enrollment, offset by continuing cost reduction efforts implemented where possible to conserve resources in light of the State's worsening budget climate. Non-payroll costs also included utility expenditures of about \$11.7 million for the year, compared with \$9.1 million of available funding supported by student tuition and fees and state funding for newly expanded facilities.

Approximately \$3 million of reserves were originally programmed in FY2009 to offset the current year structural energy budget shortfall, however declining energy costs, combined with ongoing conservation measures, has lessened the shortfall and resulting impact on reserves to about \$2.6 million. Because state funding has not been provided to offset the increase in energy

costs in recent years, slightly higher tuition increases were approved by the Board for FY2010 and FY2011 in order to phase out the continuing structural energy budget deficit over the upcoming two-year biennium.

Capital outlay expenditures of \$3.2 million are 19% above budget primarily due to grant-related activities. Financial aid grants, waivers and student work study employment totaled \$71.1 million, about 18% above the original annual budget, reflecting Fall and Spring awards, and continued increases in the federal Pell program as a result of increased enrollment of eligible students, as well as in CAPCS funding provided by the State.

#### Net Asset Projection

Unrestricted net assets were \$32.8 million at June 30, 2008, based on final audit figures. CCC Board of Trustees policy provides that unrestricted net assets should be maintained at a level that covers all carry-forward obligations, and allows for a system contingency reserve of 1.2% of total operating expense, college contingency reserves of 2-3%, plus optional reserves for specific college or system needs including new facility transition expenses, new academic program startup initiatives, technology and telecommunications upgrades, and other projects that may require more funds than would be available in a single year's budget. Based on this policy, the System and colleges had about \$6.4 million reserved at year end for carry-forward obligations (existing contracts and purchase orders), approximately \$11.5 million in contingency reserves representing about 2.8% of total operating expense, and a net \$14.9 million in other designated reserves, most of which were held at colleges for one-time transitional new facility costs.

Under the Board's originally approved operating budget for FY2009, unrestricted net assets were originally programmed to decline by approximately \$4.8 million, reflecting the use of \$3.0 million reserves for energy costs and \$1.8 million for various new facility transition costs and other one-time projects and current year initiatives. A General Fund budget reduction of \$4.5 million implemented just as the year began, resulted in a modification of the original plan. Under the Board's revised plan, the cost of these obligations, along with associated fringe benefits, was to be absorbed in the Operating Fund in order to maintain critical instructional and support services to support the System's enormous enrollment growth. Offsetting savings of at least \$1.75 million were required in order to mitigate the additional cost, resulting in a new programmed reduction of just under \$9 million during FY2009.

In response to growing state-wide budget concerns, during the year the System implemented a modified hiring and travel freeze and directed that all spending be carefully limited to that which is essential to the continuation of instruction, academic programming or community service; to provide academic or student support services integral to student success; or to the safe and effective operation of college facilities. Nevertheless, with the additional \$3.5 million in General Fund reductions implemented during the fourth quarter, preliminary (unaudited) results suggest that Unrestricted Net Assets declined by approximately \$8.4 million during the year, to about \$24.4 million at June 30, 2009. Of that total, about \$6.1 million represents carry-forward obligations. In addition, Board policy calls for up to \$18.7 million (4.2%) in contingency reserves, however actual contingency reserves are likely to be less than 2.5%, with the balance reflecting other designated projects and activities. Under the pending FY10-FY11 biennial budget as enacted by the Legislature, it is also anticipated that \$1 million in reserves will be required to be transferred to the State in each year of the biennium. Final results will not be available until the conclusion of the financial statement audit sometime in the late fall or early winter 2009.

#### Cash

At the beginning of FY2009, total cash (including the system check-writing account and excluding cash equivalents) was \$90.9 million. Cash receipts of \$183.4 million and disbursements of \$189.2 million resulted in a cash balance of \$85.1 million at June 30, 2009. Much of that cash is restricted in accordance with grants, gifts and collective bargaining agreements, student loans, student activity accounts, or is held against accounts payable, the cost of summer and fall semester programs and other liabilities due during the upcoming year.

w:\FY09\DHE\Fourth Quarter  
cc Marc S. Herzog, Chancellor  
Deans of Administration  
Elizabeth Squillace, Director of Accounting and Finance  
Beverly Lambert, Director of Budget and Finance

**Charter Oak State College**  
**Statement of Operating Budget Revenues and Expenses**  
**for the Twelve Months Ending June 30, 2009**

	<b>Operating Budget</b>			<b>Actual</b>		
	Total	COSC	CTDLC	Total	COSC	CTDLC
<b>Revenues</b>						
State Appropriations (1)	\$ 2,773,626	\$ 2,110,658	\$ 662,968	\$ 2,705,412	\$ 2,059,915	\$ 645,497
Fringe Benefit Allotment	963,884	695,762	268,122	963,884	695,762	268,122
Partnerships	-	-	-	-	-	-
Fees	5,209,354	5,209,354	-	5,381,079	5,381,079	-
Grants and Contracts	1,087,685	762,685	325,000	1,328,065	928,065	400,000
Endowment/Foundation	-	-	-	-	-	-
All Other Revenues	1,607,119	297,364	1,309,755	1,411,701	382,475	1,029,226
<b>Total Revenue</b>	<b>11,641,668</b>	<b>9,075,823</b>	<b>2,565,845</b>	<b>11,790,141</b>	<b>9,447,296</b>	<b>2,342,845</b>
<b>Expenses</b>						
Personal Services	\$ 5,494,663	\$ 4,195,077	\$ 1,299,586	\$ 5,245,186	\$ 4,014,752	\$ 1,230,434
Fringe Benefits	1,955,158	1,459,727	495,431	1,920,503	1,463,982	456,521
Other Expenses	3,746,145	3,086,248	659,897	3,278,117	2,711,723	566,394
Equipment	-	-	-	92,551	92,551	-
Student Aid	92,393	92,393	-	89,793	89,793	-
Grants & Partnerships	995,292	670,292	325,000	858,389	533,389	325,000
Transfers	-	-	-	-	-	-
<b>Total Expenses/Transfers</b>	<b>\$ 12,283,651</b>	<b>\$ 9,503,737</b>	<b>\$ 2,779,914</b>	<b>\$ 11,484,539</b>	<b>\$ 8,906,190</b>	<b>\$ 2,578,349</b>
<b>Adjustments</b>						
<b>Net Gain(Loss)</b>	<b>\$ (641,983)</b>	<b>\$ (427,914)</b>	<b>\$ (214,069)</b>	<b>\$ 305,602</b>	<b>\$ 541,106</b>	<b>\$ (235,504)</b>
<b>Net Inc (Dec) to Cash</b>					541,106	(235,504)
<b>Cash Balance 6/30/08</b>					1,707,039	1,093,922
<b>Balance 6/30/09</b>					2,248,145	858,418

**CHARTER OAK STATE COLLEGE**  
**Statement of Changes in Cash Balance**  
**All Funds - Including CTDLC**

<u>Revenues and Expenditures</u>	<u>Operating</u>
Revenues	\$ 11,790,141
Expenditures and Transfers	<u>11,484,539</u>
Net Increase (Decrease)	\$ 305,602
 <u>Cash Balance and Reserves</u>	
Cash Balance, 6/30/08	
Restricted	\$ -
Unrestricted	<u>2,800,961</u>
Total	\$ 2,800,961
Compensated Absences	\$ 1,656,768
Operating Change	\$ 305,602
Other Change	
Net Increase (Decrease)	\$ 305,602
Cash Balance, 6/30/09	
Restricted	\$ -
Unrestricted	<u>3,106,563</u>
Total	\$ 3,106,563
Compensated Absences	\$ 1,656,768

**BOARD FOR STATE ACADEMIC AWARDS**  
**Charter Oak State College**  
**Connecticut Distance Learning Consortium**

*Comparison of General and Operating Fund Budget to Actual*  
**For the Twelve-Month Period Ending June 30, 2009**

**OVERVIEW NARRATIVE**

**Charter Oak State College**

Charter Oak's FY 2009 operating budget, excluding carry-forward funds, reflected \$9.07 million in revenues and \$9.50 million in expenses. The major components of the revenue included \$2.1 million in state appropriation, \$695,762 for the value of fringe benefit costs for general fund employees, and \$5.2 million in fees. The major expenditures in the \$9.50 million included personal services and fringe benefits of \$5.65 million and \$3.0 million in other institutional expenses. The budget projected a use of \$427,914 in reserves and a fund balance of \$1,707,039 as of June 30, 2008. The major uses of the reserves will support the renovation of additional rental space in Newington to ease overcrowding at the New Britain site. Furnishings for this new space, the FY09 general fund reduction, facility improvements, and other one-time expenses represented the major use of the reserves.

Due to the implementation of a new ERP, the college revenues were reported on an accrual bases as opposed to cash in previous years.

At the close of the fourth quarter, combined Operating Fund receipts totaled \$9.4 million and combined expenditures total \$8.9 million. Year-to-date receipts equal 104 percent of the planned operating revenue budget and 94 percent of the planned expenditure budget.

Revenue in excess of FY 09 projections was achieved by the growth of degree students and distance learning course registrations beyond the annual projections. Enrollment growth in degree students and distance learning course registrations were the major drivers of the unexpected revenue total. The number of new degree students was 5% above the projected increase of 10% and the distance learning course registrations were 4% over the projected growth rate of 14%.

Expenditures were less than projected for FY 09. The major reasons that affected this estimate were the less than expected total renovation costs for the Alumni Rd. expansion space in Newington. Further, the delay in the occupancy of the building also generated savings in rent, utilities, and building support services. In addition, the state financial situation generated additional scrutiny regarding expenditures.

(2)

The percentage of the budgeted amount expended by major expenditure area is as follows:

Personal Services	96%
Fringe Benefits	100%
Other Expenses	88%
Student Aid	97%

The net increase to the Charter Oak Operating Fund cash balance at the close of the fourth quarter was \$541,106 for a cash balance of \$2,248,145 on June 30, 2009.

### **Connecticut Distance Learning Consortium (CTDLC)**

The CTDLC FY 2009 operating budget, excluding carry forward funds, reflected \$2.56 million in revenues and \$2.77 million in expenses. The major components of revenue were: \$662,968 in state appropriation, \$325,000 in grants, and \$1.3 million in fees received for services. The expenditure budget consisted of \$1.79 million in personal services and benefits, \$659,897 for institutional expenses, and \$325,000 in grant expenditures. The ESA budget projected a net loss of \$214,069 and a fund balance of \$1,093,922 as of June 30, 2008. The use of reserves funded the FY09 general fund reduction, renovations to the Alumni Rd. leased space, and to support other one-time expenses.

At the close of the fourth quarter, the operating fund receipts total \$2.34 million and combined expenditures total \$2.57 million. Year-to-date receipts equaled 91.3 percent of the budgeted receipts and the expenditures equaled 92.7 percent of the amount budgeted.

The percentage of the budgeted amount expended by major expenditure area is as follows:

Personal Services	95%
Fringe Benefits	92%
Other Expenses	86%

The revenue target for FY 09 was impacted by the loss of a major learning management service client and the absence of state funding to support the second year of the Virtual High School Program. The latter funding loss affected the participation of planned high school partners in the program and impacted expected revenue from course registrations. To compensate for the forecasted decrease in revenue, planned expenditures in ESA were reduced to the total of 86% of the planned amount. Based on revenue from new sources and aggressive expenditure control, the use of planned reserves for the year was only 10% more than the projected \$214,069. The use of reserves was further affected by the

(3)

lack of CEPF funding. Equipment replacement that is critical to provide uninterrupted service to the high schools, adult diploma programs, and higher education had to be acquired with operating funds. The lack of CEPF funding will continue to be a major challenge in FY 2010.

The net increase to the CTDLC Operating Fund cash balance at the close of the third quarter is (\$235,504) for a cash balance of \$858,418 on June 30, 2009.



## STAFF REPORT: COMMISSIONER'S CONSENT CALENDAR

Item: Department of Higher Education 2009 Affirmative Action Plan

### Background

The Department of Higher Education's 2009 Affirmative Action Plan has been prepared to comply with the Connecticut General Statutes (C.G.S.), Section 46a-68. This statute requires each state agency, board, department and commission to submit annually to the Connecticut Commission on Human Rights and Opportunities (CHRO) an "affirmative action plan for equal employment opportunity in all aspects of personnel administration."

Additionally, each state entity is required to submit within its affirmative action plan a report on its contract compliance/set-aside program for small contractors and minority business enterprises. This additional reporting requirement is intended for state entities to demonstrate compliance with C.G.S. Section 32-9e(n).

The Department's 2008 plan, submitted to CHRO in October, 2008 was approved and the Department remains on an annual filing status.

The dual purpose of the 2009 plan is to:

1. report on the Department's affirmative action activities undertaken for the period July 1, 2008 through June 30, 2009.
2. present the Department's affirmative action plan for the period of July 1, 2009 through June 30, 2010.

The draft of the 2009-2010 plan has been prepared in accordance with CHRO regulations:

- It contains all the elements mandated by C.G.S. Sections 46a-68-33 through 46a-68-50.
- It reports on the agency workforce as a whole and by occupational category and the degree of parity within the relevant labor market area.
- It reports on the degree of success in accomplishing hiring, promotion and program goals established in the previous plan.

Analysis

**Workforce Utilization**

The Department is organized into three (3) occupational categories with the following distribution of its permanent full-time employees as of June 30, 2009:

Officials & Administrators	2
Professionals	31
Office & Clerical	6
<b>Total Full-Time Staff:</b>	<b>39</b>

The following depicts the Department’s part-time employees as of June 30, 2009:

Officials & Administrators	0
Professionals	3
Office & Clerical	0
<b>Total Part-Time Staff:</b>	<b>3</b>

**Hires: 2008-2009**

There was no hiring activity during this period due to the statewide hiring freeze. The achievement rate in every category was 0.0% for both short-term and long-term hiring goals due to this lack of hiring.

**Workforce Parity**

State regulations require the establishment of minority representation in the available workforce. Comparisons of this information with recent reporting periods in the three (3) occupational categories are presented below:

	2009	2008	2007	2006	2005	2004	2003	2002	2001	2000	1999
Officials & Administrators	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Professionals	39%	37.0%	34.4%	34.3%	30.3%	30.3%	33.3%	32.2%	22.9%	16.7%	17.2%
Office & Clerical	17%	17.0%	20.0%	28.6%	16.7%	28.6%	28.6%	22.2%	25.0%	28.6%	28.6%
<b>Total</b>	<b>33.4%</b>	<b>31.0%</b>	<b>28.0%</b>	<b>30.4%</b>	<b>25.6%</b>	<b>27.3%</b>	<b>29.3%</b>	<b>27.7%</b>	<b>22.7%</b>	<b>18.4%</b>	<b>18.9%</b>

**Hiring and Promotion Goals: 2009-2010**

It is anticipated that the following hiring goals will be set for July 1, 2009 to June 30, 2010 to address the underutilizations at the Department (pending CHRO approval).

Officials & Administrators

Short -Term – one (1) white male

Long-Term – one (1) black male

Professionals

Short-Term –seven (7) white males, one (1) white female & one (1) other male  
Long-Term – none

Office & Clerical

Short-Term – one (1) black female  
Long-Term – none

**Upward Mobility**

The Department established no separate promotional goals for the July 1, 2009 – June 30, 2010 reporting period.

**Contract Compliance**

For the 2008-2009 fiscal year, the Department was instructed to freeze purchases by the Governor half-way through the year. This resulted in a reduction in the amount of money that could be spent, and a reduction in our goal achievement for this fiscal year. The Department achieved 42.37% of its small business (set-aside) purchasing/contracting goals and 59.04% of its minority business (set-aside).

Contract compliance goal achievement is summarized below:

Small Business Purchasing/Contracting Goals	\$287,252.5
Actual Small Business Purchasing/Contracting	\$121,696.3
Achievement Rate	42.37%
Minority Business Purchasing/Contracting Goals	\$71,813.13
Actual Minority Business Purchasing/Contracting Goals	\$42,400.87
Achievement Rate	59.04%

Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve the draft of the 2009 Affirmative Action Plan, and authorize the Commissioner to approve the final draft of the 2009 report for submission to the Connecticut Commission on Human Rights and Opportunities on or before October 15, 2009.



## STAFF REPORT: FINANCE AND ADMINISTRATION

Institution: Alternate Route to Certification

Item: Program Tuition

### Background Information

The Alternate Route to Certification (ARC) is requesting a six percent increase in the tuition rate charged to students, effective with the Alternate Route to Certification ARC I – 2010 Summer Program. This increase would establish the program's tuition at \$3,975.

This six percent tuition increase is needed to cover the rising costs of running the ARC program (e.g., equipment upgrades, fringe benefits, mileage reimbursement for coaches and student teaching supervisors, and technology use fees). ARC also is in process of modifying and updating program curriculum to align with current state initiatives and changing regulations, including the need to conduct background checks for candidates before they start student teaching effective July 1, 2009. While students will be responsible for fingerprinting fees, ARC will have to absorb the cost of the background checks.

ARC has not requested a tuition increase in two years, and even with a six percent increase, is able to offer an affordable rate under \$4,000 in return for high-quality and state-of-the-art teacher preparation.

### Commissioner's Recommendation

It is recommended that the Board of Governors for Higher Education approve a six percent tuition increase for the Alternate Route to Certification program to \$3,975 effective with the ARC I – 2010 Summer Program.