

-
-
-

• **June 17, 2003**

- **Dr. Philip Austin**
President
University of Connecticut
President's Office
Gulley Hall #2048
Storrs, CT 06269-0001

Dear President Austin:

The Pappas Consulting Group Inc. is pleased to present its report on opportunities for synergy and administrative restructuring.

The focus of this analysis was to determine how to best structure UConn's administrative organization to support the University's goal of becoming a top 25 public research university. In our view, this aggressive goal can be attained if a number of strategic and operational steps are taken to deliver several core administrative functions in ways that ensure superior service and support for the University's teaching, research, outreach, student service and clinical priorities.

THE CURRENT OPERATING CONTEXT

In recent years, the University has made significant progress to:

- enhance facilities and infrastructure;
- improve the quality of students at both the undergraduate and graduate levels;
- grow sponsored research;
- improve fund raising;
- develop and implement a strategic plan at the Health Center that exploits academic, clinical, and research efforts in areas of strength;
- craft an evolving academic plan at Storrs and the regional campuses to develop an array of nationally recognized programs; and
- develop an athletics program that is recognized as one of the best in the country.

- **Dr. Philip Austin**
President
Page 2

Within the current operating context of the comprehensive scope of the University of Connecticut, there are three salient points for your consideration:

1. Progress toward the goal of becoming a top 25 public research university will require the investment of human and capital resources.

- 21st Century UConn will continue facilities enhancement at Storrs and the Regional campuses, provide much needed upgrades to the Health Center, and as well will provide investments in technology;
- State support for current and future operating budgets will likely be static and perhaps decline. It is clear that over time in Connecticut, as it is on the national scene, the state's share of operating funds will likely continue to decline as a percentage of University total revenues; and
- Tuition revenue and other sources of funding (principally private fund raising) are unlikely to be sufficient to fully cover the costs of necessary investments.

2. The various administrative units/functions of the University are not organized in a manner that fosters collaboration. This has resulted in:

- multiple units within the University seeking to solve the same problems or capture the same opportunities, but separately (e.g., systems implementation, e-learning, compliance infrastructure);
- the implementation of "best practices" in some functions, yet process improvements are not necessarily shared with similar units across the entire University (e.g., value engineering in the purchasing process at UCHC);
- the inefficient use of human and capital resources; and
- missed opportunities for collaborative research submissions.

3. A number of the major administrative functions of the University are not fully meeting the needs of the University's constituents or "customers." Among the functions are:

- information technology;
- information management;
- human resources (including payroll);
- institutional research and planning;

- facilities operations and management; and
- business operations.

• **Dr. Philip Austin**

President

Page 3

UNIVERSITY-WIDE RECOMMENDATIONS

There are four major recommendations for restructuring core administrative functions that will enable the University to attain its goal of being among the top twenty-five public research universities in the country.

1. Implement a “shared administrative services model.” This model has evolved over the last several decades and has become a preferred model for a number of large, complex and comprehensive universities that have multiple sites and medical centers. In a shared services model, a University Vice President/Chief Operating Officer (COO) and a University Vice President/Chief Financial Officer (CFO) would work closely with the senior leadership team, users as well as the providers of services to set University-wide goals and objectives for a particular functional area (e.g., information technology) and establish University-wide policies. The day-to-day operations of the particular function at the campus level (e.g., UCHC, Storrs, regional campuses) would be designed in the same management team environment and address the specific and unique needs of the local entity. The degree to which the services would be provided onsite by properly trained professional and support staff would be determined in such management team working sessions. The goal is to minimize duplicative and/or fragmented administrative and financial support systems, processes and organizations that are ineffective and costly to maintain.

The shared services model focuses on developing best practices that support the operating priorities of the institution. It is driven by the University’s vision and values and is customer oriented and service driven. In such a management approach, intentional decisions are made about what services and functions should be performed at the University-wide level and which should be housed at the most direct-level of service delivery. Our report and its accompanying proposed table of organization speaks to this concept in detail.

2. Institute University-wide strategic planning towards which each unit contributes to the mission as a whole. Concomitant with this major recommendation is the necessity to create a cogent, University-wide institutional research capability to support planning and performance measurement efforts. Such an integrated, University-wide planning and institutional research effort will provide senior leadership with consistent and timely information. It will provide a forum for joint planning and resource allocation in such critical areas as University-wide technology development and implementation, joint programming, sponsored research, etc.

- **Dr. Philip Austin**

President

Page 4

- Develop targets and reward systems to promote collaboration and institutional excellence. Develop and promote strategic themes that will unite the University. These can include academic excellence, discovering new knowledge, service to the community and superior clinical care.
- 4. Create an institutional performance measurement system to track progress toward the goals enumerated in the strategic plan. A dozen or so key indicators or performance measures should be established in partnership with the Board of Trustees to hold accountable the President and his senior leadership, including the Deans. The attached report contains some preliminary measures for consideration by the Board.

UNIVERSITY-WIDE BENEFITS

Our many years of hands-on experience as managers of and consultants to public research universities tells us that a number of benefits shall accrue to the University as a result of implementing the recommendations enumerated above as well as the more detailed ones enumerated in the attached report. Among the benefits we foresee are:

- Clear focus on teaching, research and clinical priorities and strategies.
- Attainment of degrees of institutional excellence heretofore not possible, accomplished by a restructured leadership team that focuses on the welfare of the entire University in addition to the success of its individual parts.
- An optimization of the use of resources (human, technical and physical) through efficiencies of operations, thereby enabling greater investment and reallocation of institutional resources to support teaching, research, outreach and clinical priorities.
- A sharper focus on the primary mission of the University and its constituent entities by the senior leadership team.
- Improved constituent/“customer” service and implementation of “best practices” in administrative areas as well as avoidance of duplication of highly specialized services (e.g., construction contract management across the University).
- Increased competitiveness for sponsored research dollars among other public and private research universities.

- **Dr. Philip Austin**

President

Page 5

- Augmented breadth of academic programs and services through collaborative programming.
- Enhanced career opportunities for professional staff for career training, development and advancement.
- Consistent, timely and meaningful information for decision-making throughout the institution and reporting to such key constituencies as the State, the Federal Government and its many agencies, the Board, alumni, faculty, students, and staff.

CHALLENGES FACING THE UNIVERSITY DURING THE TRANSITION

Generically speaking, the management of change is always a challenge. It is particularly the case in higher education and most especially the case in a multi-campus, public research university with ambitious goals.

The recommendations contained in our report are substantial and will fundamentally transform the current territorial nature of administrative units within the University. It should create an integrated or seamless operation no matter where the campus or entity is located. As a result, change will require a detailed planning effort and monitoring as well as institution-wide feedback relating to the aggregate impact of changes and rewards for contributions to shared strategic objectives. The kind of change we are describing will take time and patience.

Further, the integration of organizational units across the University will be met with the fear that the lowest common denominator will prevail and that the needs of the individual units will not be met. In our view, the culture of the change must be such that bureaucracy is minimized and service is enhanced to University constituents, no matter where the function is headquartered or located.

- **Dr. Philip Austin**

President

Page 6

IMPLEMENTATION: RECOMMENDED NEXT STEPS

-
- A first priority is for the University to hire a University Vice President/Chief Operating Officer. The position description, scope of responsibilities and charge of this position should be shared with the community at large.
- The President should work closely with members of his senior leadership team, the Deans, and members and leaders of the various collective bargaining units to describe the outcomes of this Synergy Study and to begin to put into place a communications plan regarding the decision to restructure the University.
- The evolving role of the Executive Vice President of UCHC/Dean of the School of Medicine, and the Provost/Executive Vice President for Academic Affairs at Storrs, should be clearly articulated to the community, emphasizing their responsibility for the implementation and evaluation of academic and academic support priorities.
- The further evolving role of the newly re-titled University Vice President/Chief Financial Officer will need to be made clear, specifically as it relates to the financial management and reporting functions currently being executed at the Storrs campus.
- The COO and the CFO will need to work together to determine how new financial management reporting responsibilities will be integrated with those functions already reporting to the University Vice President/CFO. This will require working with the Vice Chancellor of Business and Administration to develop a workplan for how to best reallocate those financial and reporting functions impacted by this restructuring.
- Two functional areas across the University will require the immediate attention and demand the preponderance of the Vice President/COO's initial efforts: Information Technology support services and Human Resources Management (i.e., an integrated, University-wide Human Resources and Payroll operation). The Vice President/COO will need to identify ways in which to fundamentally redesign human resources administrative processes across the University through outreach to users as well as the providers of services.
- Efforts currently underway within undergraduate admissions to reengineer fundamental administrative processes affecting student recruitment and retention should be deemed a University priority and given on-going support from the University's senior leadership.

- **Dr. Philip Austin**

President

Page 7

It needs to be well understood by all concerned that these initial implementation steps will likely require 12-18 months of elapsed time in order to be accomplished, thereby creating the foundation to begin the implementation of additional Synergy recommendations.

CONCLUSION

The attached report and its various appendices describe in more detail the administrative reorganization we are proposing for your consideration and timely implementation.

Given the complexity of this University—a public, multi-campus research university with an academic health center who together have an aggressive yet realistic expectation to become a top twenty-five research university—we would ordinarily be cautious about the far-reaching recommendations in this report.

However, the University of Connecticut, unlike many of its counterparts in higher education, has an extraordinary window of opportunity that it must seize now. The vision of the state Legislature and the current support of the citizens of the state are unparalleled. We are certain that with strong leadership from the Board, the President, the senior leadership team, the Deans and the collective bargaining units of the University, the University will realize its goal of being a more service-oriented, quality public research university.

We look forward to answering any questions you might have concerning this report and stand ready to assist with transition and/or implementation efforts as you may deem appropriate.

Many thanks to all of those who were honest in their assessment of the University and its future.

Sincerely yours,

OutTime™ and a
PDF document
are needed to see this picture.

Alceste T. Pappas, PhD.
President and CEO
Pappas Consulting Group Inc.

**UNIVERSITY OF CONNECTICUT
SYNERGY PROJECT**

**REPORT ON OPPORTUNITIES FOR SYNERGY
AND ADMINISTRATIVE RESTRUCTURING**

June 2003

**UNIVERSITY OF CONNECTICUT
SYNERGY PROJECT**

**REPORT ON OPPORTUNITIES FOR SYNERGY
AND ADMINISTRATIVE RESTRUCTURING**

TABLE OF CONTENTS

	Page
1. Project Charge	1
2. Context for Change	1
3. Overall Findings	2
4. Strategy	4
5. Recommendations	5
6. Conclusions	9

APPENDICES

**UNIVERSITY OF CONNECTICUT
SYNERGY PROJECT:**

**REPORT ON OPPORTUNITIES FOR SYNERGY
AND ADMINISTRATIVE RESTRUCTURING**

• Project Charge

In the spring of 2002 at the request of the President and with support and endorsement from the Board of Trustees, the Pappas Consulting Group Inc. (PCG) commenced an organizational study of the University of Connecticut. The scope of this engagement included the main teaching campus at Storrs, the University of Connecticut Health Center in Farmington (UCHC), and the various regional campuses and schools distributed across the state. The goals of this study included:

- Identifying possible actions to integrate more intentionally the various UConn entities to create an overall institution stronger than its individual parts;
- Identifying benchmarks and actions that UConn can utilize to move towards becoming a “Top 25 Public Research University”; and
- Identifying potential synergies and improving the quality of administrative support services across the various UConn entities and fully exploiting their potential benefits to advance the University’s core missions.

• Context for Change

The University of Connecticut has accomplished much in the last five years or so. Both the quantity and quality of students choosing UConn has increased as measured by SAT scores, diversity, class rank, and “first choice” applications. University research awards are at an all-time high, reflecting the newer research facilities coming on-line, the recognized efforts of the faculty and government advocates, and UConn’s growing reputation for excellence in research.

The excellence of the professional schools and academic programs continues to be acknowledged nationally. The accomplishments of UConn student athletes are demonstrated in the competitive arena and recognized across the country. The physical transformation of the campuses continues, with the UCONN 2000 program winding down while simultaneously leading to an upcoming decade of investment in the facilities and infrastructure supported by 21st Century UConn. Fundraising and annual giving results reflect heretofore unequalled pride and support in the University by its alumni, friends and benefactors.

Against this backdrop of significant programmatic accomplishment and long-term investment is a troubling downward trend in the percentage of state support for the operating budgets that works against the University's significant efforts to build further upon this record of achievement. For example, the programs and facilities newly installed require concomitant levels of ongoing support and commitment in order to maintain the quality that has been achieved. The University needs to be able to respond to the higher expectations that have been raised within the University community, with students and their parents, and among the citizens of Connecticut and their elected representatives. Continuation of this momentum of growth and excellence will require continued financial support and allocation of resources to areas of strategic focus.

While a variety of steps are being taken within the University to respond to these budgetary challenges, resolving the "continued growth/constrained resources" dilemma will require multiple action steps from many University constituents. The challenge to the President and the Board is how to respond to current and future *budgetary constraints* while continuing a path of *increased excellence* and *enhanced services*.

• **Overall Findings**

In our review of the various administrative and financial functions provided by the University, a number of overall findings emerged.

Finding 1: Currently, there are few "University-wide" positions or joint academic appointments. The language, symbols, and actions taken rarely demonstrate widespread awareness by most personnel that UConn is a single comprehensive university. For example, there is no strategic plan that covers the entire University nor is there an integrated enrollment plan. However, there is increased dialogue, expanded mutual trust, and an expressed willingness at senior levels to extend the level of collaboration in the planning and operation of the University.

Finding 2: The goal of being a "Top 25 Public Research University" is believable (given UConn's recent successes including increased research grants) but not achievable without a major expansion of collaborative research between key areas at UCHC and Storrs, an increase in targeted faculty hires and endowed chairs, a major restructuring of University support structures, and serious attention to such administrative functions as information technology and human resources.

Finding 3: UConn has experienced a highly productive period of change. The Storrs campus has undergone a remarkable physical transformation. The UCONN 2000 program was well-conceived, well-planned, and well-implemented. New campus locations have been implemented at Waterbury and Stamford. Major improvements have been made at UCHC, the Law School, Avery Point, and at Torrington. More such changes are on the way as a result of 21st Century UConn. Storrs' improving reputation and its successful athletic program have also contributed to it increasingly becoming a school of choice for students, faculty and researchers. UCHC and some regional campuses have not experienced the same degree of physical transformation, although UCHC has, largely out of necessity, transformed its financial structure.

Finding 4: UCHC, through its identification of "signature programs," and to a lesser extent the regional campuses with their individual role and scope missions, have established priorities and future areas of focus. Storrs is in the process of crafting an academic plan that will identify academic priorities for the campus on a preliminary basis.

Finding 5: The administrative structure at UConn is unusual in higher education and has evolved as a result of attempting to deal with personnel rather than optimizing the organizational structure for the University. There is an extensive array of titles (including many multi-function roles) that often contribute to confusion and ambiguity about roles and responsibilities for faculty, staff, and students.

Finding 6: Many of the successes of UConn have been "in spite of" not "because of" a well-functioning structure and universally well-functioning administrative units. Some unusually talented individuals in key positions and a plethora of "shadow" systems (and people) have, to date, largely masked inherent flaws.

Finding 7: UConn needs to significantly increase and diversify its overall resource base. Presently, UConn benefits from having separate state budgets for Storrs and UCHC. However, this separateness often interferes with the pursuit of synergistic activities, shared services, and University-wide planning, policy development, and operational leadership.

Finding 8: Information Technology, with few exceptions, is not adequately meeting user needs, does not have strategic direction (even though strategic plans exist in theory), and lacks most of the fundamentals of a successful IT operation in higher education. This is cause for major anxiety at the senior administrative level throughout the University.

Finding 9: Information Technology, Financial Management, Planning, Institutional Research, Financial Services, Human Resources, Facilities Management as well as Construction Management and Business Services have the greatest potential to benefit from a University-wide approach. On the academic side, strategic direction and policy development (e.g., grants and contracts) would most benefit from either a University-wide approach or an aggressive collaborative approach.

Finding 10: If UConn does not pause and address basic structures, leadership issues, and certain dysfunctional operational areas....

If UConn does not significantly increase and diversify its resource base...

If UConn does not have a clearly-defined, measurable, and articulated strategic plan that sets the basic course while remaining flexible enough to take advantage of opportunities that arise ...

If UConn does not improve significantly its efficiencies and effectiveness...

... it will neither have the resources nor the focused energies to continue its momentum, to maximize the benefits of “One-University,” and to increase significantly its reputation as a dynamic, focused research university that optimally serves its students, state, and society.

In light of these several findings, UConn needs to address these important structural, management and core administrative issues to ensure that resources are devoted to the instructional, research and service mission of the University to the maximum extent possible.

• Strategy

In order to respond to these issues, we recommend that the University undertake the following actions:

1. Redefine the portfolios of the senior academic officers at Storrs and UCHC to focus on the academic mission of each entity;
2. Redesign several core administrative and primary services that support the academic mission to be delivered on an “University-wide” basis rather than autonomously at Storrs and at UCHC;
3. Realign administrative services to ensure that the academic plans of Storrs, the regional campuses and UCHC are appropriately supported;

4. Install a new senior administrative leader (i.e. a Chief Operating Officer) to work in partnership with the President, his senior administrative and academic leadership (including the Deans), and with the University community to review and more thoroughly identify greater efficiencies and methods to improve service levels across the University; and
5. Utilize a university-wide shared services model to deliver administrative services. In a shared services model, a University Vice President/COO would work closely with the senior leadership team, users as well as the providers of services to set University-wide goals and objectives for a particular functional area (e.g. information technology) and establish University-wide policies. The day-to-day operations of the particular function at the campus level (UCHC, Storrs, regional campuses) would be designed in a management team environment and address the specific and unique needs of the local entity. The degree to which the services would be provided onsite by properly trained professional and support staff would be determined in such management team working sessions.

The benefits to be achieved through these strategic steps are to create a more unified University with a more effective organizational structure, improve quality and service, avoid duplication of costs, and measure performance in a disciplined manner.

• Recommendations

As a result of its review, the Pappas Consulting Group (PCG) makes the following recommendations for changes within the University of Connecticut. These recommendations, and their primary benefits and impact to the University, are grouped around particular areas of focus. While there are a variety of recommendations for change that the University could consider, the recommendations selected and presented here are those that PCG believes will make the most significant contribution to the University's three principal goals for this study. We have also evaluated these recommendations against those notable characteristics of administrative environments to be found in top recognized research universities, such as: a strong university-wide cohesion, efficient and effective service delivery, cost-efficient operations, competitive in the marketplace, fully compliant with external regulations and mandates, clear tables of organization and delegation of responsibilities, and strong data-driven planning mechanisms.

We believe the following significant benefits will accrue to the University by implementing these recommendations for change.

- Clear focus on teaching, research and clinical priorities and strategy.
- Attainment of degrees of institutional excellence heretofore not possible, accomplished by a restructured leadership team that focuses on the welfare of the entire University in addition to the success of its individual parts.

- An optimization of the use of resources (human, technical and physical) through efficiencies of operations, thereby enabling greater investment and reallocation of institutional resources to support teaching, research, outreach and clinical priorities.
- A sharper focus on the primary mission of the University and its constituent entities by the senior leadership team.
- Improved constituent/customer service and implementation of “best practices” in administrative areas as well as avoidance of duplication of highly specialized services (i.e., construction contract management across the University).
- Increased competitiveness for sponsored research dollars among other public and private research universities.
- Augmented breadth of academic programs and services through collaborative programming.
- Enhanced career opportunities for professional staff for career training, development and advancement.
- Consistent, timely and meaningful information for decision-making throughout the institution and reporting to such key constituencies as the State, the Federal Government and its many agencies, the Board, alumni, faculty, students, and staff.

Topical Area	Recommendation
<i>I. Overall Organization:</i>	
SEE APPENDIX A	1. Establish a “University Vice President & Chief Operating Officer” (COO) position for managing University-wide administrative services
	2. Move selected administrative activities to the new COO as “University-wide” services for planning, policy and oversight, with operations conducted at each site in a manner most appropriate to the function: <ul style="list-style-type: none"> • Information Technology • Human Resources • Facilities Management & Operations • Construction & Business Services
	3. Develop an integrated University strategic plan, including the mission and role of the regional campuses as well as the clinical operations of UCHC
	4. Restructure the management support office of the Provost & Executive Vice President for Academic Affairs

Topical Area	Recommendation
II. Financial Services:	
SEE APPENDIX B	1. Organize purchasing and accounts payable to operate as a University-wide Business Services function within Construction and Business Services under the COO; organize services around “departments served” to improve customer service
	2. Use expertise gained in accounting for new construction at Storrs to account for new UCHC construction projects
	3. Structure travel services into one office/one system
	4. Create a common Chart of Accounts for UCHC and Storrs; share one database and software system with separate subsets for each major operational unit. Respect the on-going need for stand-alone clinical operations technology and reporting within UCHC.
	5. Move the financial management/controller activities for Storrs under the newly titled University Vice President & Chief Financial Officer, similar to the current reporting for UCHC financial management
III. University-wide Strategic Planning and Institutional Research:	
SEE APPENDIX C	1. Move institutional research and policy analysis to a University-wide function directed by the President based upon strategic requirements; affiliate with constituent reporting, budgeting and strategic planning activities
	2. Tie financial planning to University-wide strategic planning. Utilize the strategic plan to guide intentional resource allocation decisions.
IV. Facilities Management:	
SEE APPENDIX D	1. Move facilities management support to a University-wide function under the COO; consolidate Facilities Management leadership to respond to the University’s evolving strategic plan and capital plan
	2. Develop a Strategic Asset Plan for all UConn facilities
	3. Tie space planning to academic (instruction and research) strategies
	4. Recognize the full life cycle cost of owning and operating a facility over its lifetime
	5. Create a Facilities Services Mission and Vision that is driven by and supports the academic, research, and clinical programs
	6. Consolidate Facilities construction activities for UCHC and Storrs to operate as a University-wide function under the COO

Topical Area	Recommendation
V. Human Resources/Payroll:	
SEE APPENDIX E	1. Realign Human Resources (HR) and Payroll (PR) into a University-wide function under the COO; synchronize policies and procedures as appropriate between Storrs/UCHC
	2. Structure Storrs HR and Payroll within the same organization; reengineer business processes to maximize cooperation and efficiencies
	3. Increase HR staff expertise at Storrs in management, labor relations, and training support functions
	4. Automate the Time and Attendance reporting function, using a common University-wide system
	5. Promote collaboration between UCHC and Storrs on technology selections, purchases, and implementation particularly with the new replacement HR system
VI. Information Technology:	
SEE APPENDIX F	1. Create Information Technology as a University-wide function with a single CIO under the COO
	2. Create a University Technology Plan, in support of the University strategic business plan recommended above
	3. Establish new technology governance structures as required
	4. Create a 5-year funding model and commitments for IT
	5. Create a University technical support service model
	6. Improve the internal operation and resolve existing service issues affecting the delivery of technology to the campuses and their users
	7. Consolidate hardware support and related functions along with IT administration in one location, with local service reps for selected functions
	8. Assign IT staff to projects across campuses as an “University technology resource” in order to best match skills with institutional priorities; provide “local specialization” support at Storrs and/or UCHC (i.e., clinical operations) where appropriate
	9. Identify multiple “technology sharing” strategies: <ul style="list-style-type: none"> • Share same services/products • Use same products separately at UCHC/Storrs • Allow “local choice” for sharing technologies • Allow “local choice” for specialized technology needs (i.e., clinical operations)
• Institutional Performance Measurement:	
SEE APPENDIX G	1. Establish data collection and reporting capabilities for measuring institutional performance towards the “Top 25” Strategic Goal

Topical Area	Recommendation
<i>VIII. Enrollment Management:</i>	
SEE APPENDIX H	1. Develop a comprehensive formal enrollment plan that includes the undergraduate/graduate mix, in-state/out-of-state mix, and the regional campuses
	2. Incorporate Business Process Redesign expectations into the current PeopleSoft student administrative systems implementation
	3. Establish a fully integrated “One-Stop” student service function for Storrs’ undergraduates
	4. Review the operations, processes and staffing of the Graduate Admissions and the Graduate Records offices

• **Conclusions**

It is very clear that UConn has accomplished many significant and critical achievements over the past five years or so in defining itself as an institution “on the move.” This is certainly visible through physical plant enhancements; growing enrollments; enhanced private fundraising; the underlying endorsement and support the University enjoys with the state legislature and executive officers; growth in educational quality and research; and an improved environment of fiscal responsibility and accountability. It is also very clear that UConn has been presented with an extraordinary “window of opportunity” in which to make some strategic and operational enhancements for the next decade, and there is a need to seize that opportunity with urgency before the window closes.

There is no doubt that the comprehensive changes described in this report will require significant time, effort, and perseverance. The former “state agency” status of UConn has provided a legacy of naiveté and resistance to change among some members of the UConn community. Some senior staff and up-and-coming change leaders exhibit frustration with the University’s delay in effecting needed change. However, the University is blessed with a strong core of commitment to the University’s well-being by many staff and academic personnel, and that presents an opportunity for substantive benefit from the significant reserve of creativity and energy that exists among the University’s change leaders.

In moving forward with this change agenda, the University should be guided by a set of comprehensive operating principles and a vision towards which all individual efforts can be collectively directed. Among others, these targets should reflect the following considerations:

- Changes, and their benefits, need to be viewed from a University-wide level. At the unit level, the changed environment may in fact be temporary and more costly or time-consuming, thus contributing to resistance in embracing change. University leaders need to continually assist the community in understanding the *aggregate impact* of the changes, and how each individual and/or office contributes its part to that greater whole.

- In order to realize the full potential of efficiencies and improve the quality of service delivery, it is important to set design targets such that the *full extent of change* is implemented. If, for example, the University adopts only partial change or utilizes certain portions of new technology features, it is unlikely that optimal benefits will ultimately result. Rather, old policies, processes and local databases will reside permanently side-by-side within the new environment, with returns on investments significantly minimized.
- In designing change, University leaders will need to promote a continual emphasis on “institutional unity” through the integration of strategic themes, programmatic goals, organizational design, process design, technology systems development, and budget/funding. Currently each of these functions is happening separately, providing confusing messages to the University community and underutilizing the synergy to be obtained from such integration.
- It will be important to keep in mind that major elements of the University do not have a recent history of longer-term planning nor of implementing internal operational change guided by that planning. University leaders will need to take various steps to support properly the change efforts while recognizing the level of effort required to achieve these objectives.

Critical to the future success of these fundamental operating changes will be the steady commitment of University leaders necessary to guide and sustain these efforts. Such a commitment has been very much in evidence during this review and planning project. In moving this process forward to the various implementation phases, such committed leadership will continue to be needed on issues of policy, project staffing, future operational staffing, allocation of resources, and defining strategic objectives. Most importantly, these changes will require a new spirit of working together (versus in individual organizational “silos”) and long-term planning to move to a **Top 25 public research University** that enthusiastically embraces a “*service-oriented*” commitment in the delivery of administrative and financial services.

**UNIVERSITY OF CONNECTICUT
SYNERGY PROJECT**

**REPORT ON OPPORTUNITIES FOR SYNERGY
AND ADMINISTRATIVE RESTRUCTURING:**

APPENDICES

June 2003

**UNIVERSITY OF CONNECTICUT
SYNERGY PROJECT**

**REPORT ON OPPORTUNITIES FOR SYNERGY
AND ADMINISTRATIVE RESTRUCTURING:
APPENDICES**

TABLE OF CONTENTS

	PAGE
APPENDIX A: Recommendations - Overall Organization	1
APPENDIX B: Recommendations - Financial Services	8
APPENDIX C: Recommendations – University-wide Strategic Planning & Institutional Research	11
APPENDIX D: Recommendations - Facilities Management	13
APPENDIX E: Recommendations - Human Resources/Payroll	15
APPENDIX F: Recommendations - Information Technology	17
APPENDIX G: Recommendations - Institutional Performance Measurement	19
APPENDIX H: Recommendations - Enrollment Management	24

APPENDIX A:

RECOMMENDATIONS - OVERALL ORGANIZATION

Recommendation 1 Establish a “University Vice President/Chief Operating Officer” (COO) position charged to manage University-wide administrative services;

... AND ...

Recommendation 2 Move selected administrative activities to the new COO as “University-wide” services for planning, policy and oversight, with operations conducted at each site in a manner most appropriate to the function:

Several of the key findings of the Pappas Consulting Group Inc. center around the organizational structure. A number of the elements of the current organizational structure and job titling have developed over time, often due to historical circumstances and personnel considerations. The result is a structure that does not conform to the norms in higher education and that leads to considerable confusion and ambiguity about roles and responsibilities among internal and external University constituents.

In our view, the current structure is an impediment to accomplishing efficiencies and increasing service levels because it does not encourage the potential synergies across key administrative functions. The current structure also places unrealistic expectations on certain positions and has other positions performing roles not described appropriately by title.

A number of challenges exist if the structure is to be corrected:

- Attitudes about a University-wide approach will have to change.
- Fears will have to be overcome. The most natural fear is that bringing two operations together (one at Storrs, and one at the Health Center) will inevitably result in the lowest common denominator effect (i.e., a decline in service at the more effective of the two). Therefore, effectively managing transition issues will be critical.
- Turf will need to be surrendered. Even where an operation may be “broken” at each location the tendency is to think about “fixing” it individually rather than collectively or in an integrated manner.
- The bureaucracy must be streamlined, especially given the current budget climate.

UConn has an extraordinary window of opportunity to restructure. UCONN 2000 and 21st Century UConn have generated a great momentum for change at the University. Concurrently, the new fiscal/budget planning climate within the state requires, and provides the opportunity for, innovative thinking in administrative design and synergies. The pressing need to respond to the impact of the state's Early Retirement Initiative Program (ERIP) further calls for optimizing the efficiencies by which UConn will manage its operation.

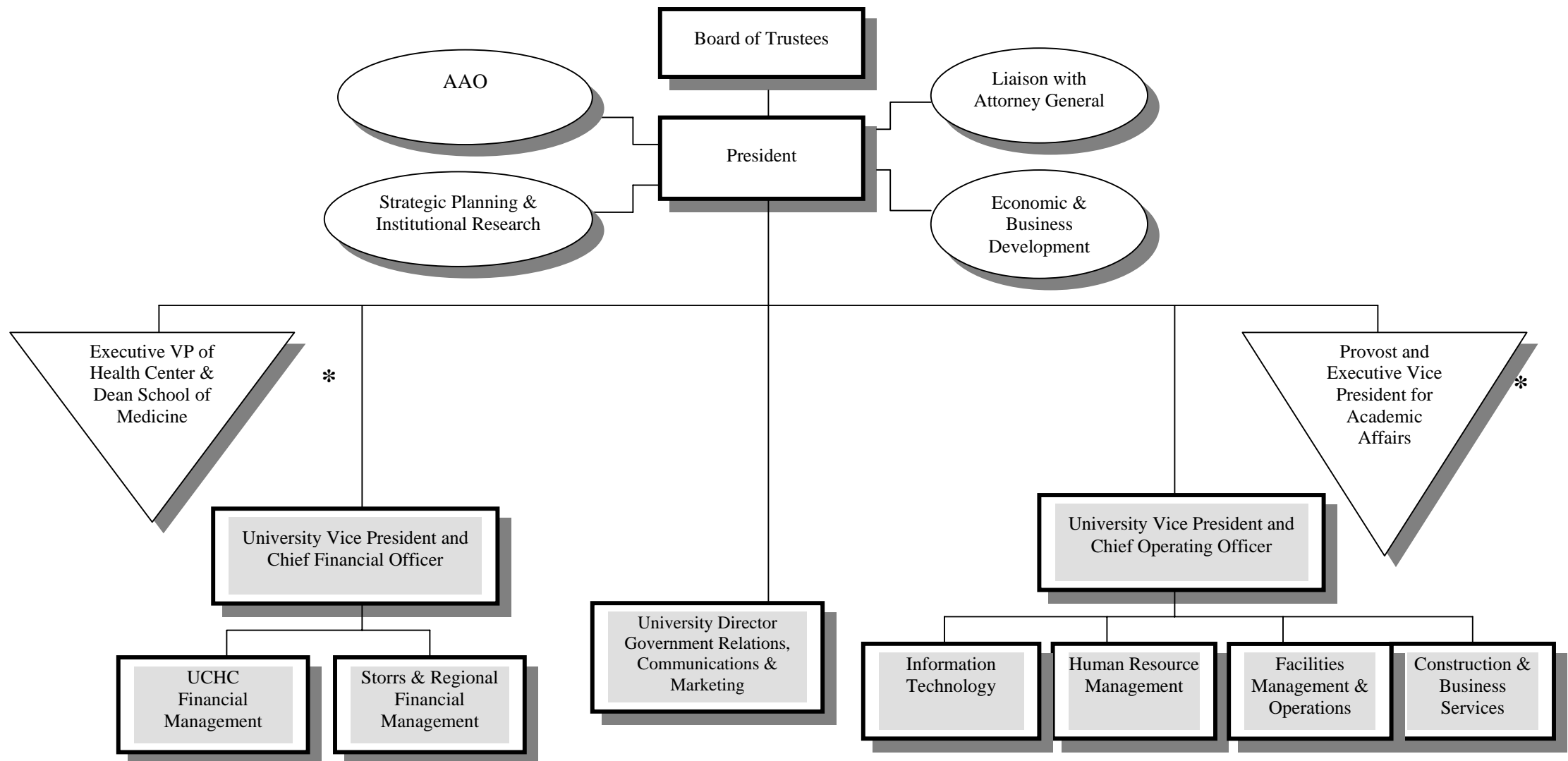
A table of organization reflects both logic and pragmatism. It also must remain flexible and is dependent on the good will of individuals to make it succeed. Before enumerating the proposed restructuring in table form, we want to reiterate the following:

- The primary role of the President remains to provide overall leadership and direction to UConn.
- The President provides the ceremonial functions on behalf of the entire University, delegating such participation to his two chief academic officers as appropriate.
- There is no recommended change in title for the Executive Vice President and Dean of Medicine at UCHC. This is a title widely used in academic health centers. While this position will continue to have a broad portfolio, some of the administrative load will be reduced by the new position, Vice President and Chief Operating Officer, allowing even more time for academic, research and clinical leadership by the Executive Vice President and Dean.
- We recommend the title Provost & Executive Vice President for Academic Affairs for leadership of the Storrs and the Regional campuses and the School of Law. This is closer to the norm in higher education and more realistically reflects expectations for this position. At this point in its history, the Storrs-based programs need strong academic leadership to establish and implement strategic academic priorities. This is particularly important given UConn's research ambitions as well as the academic needs of the regional campuses. Once again, the administrative load of the Provost & Executive Vice President for Academic Affairs would be lessened by the transfer of duties to the University Vice President and Chief Operating Officer and the University Vice President and Chief Financial Officer.
- The President shall assume direct line responsibility for University-wide administrative functions executed at the macro-level (i.e., policy, strategic direction, and oversight). The day-to-day operations shall report to the President through a newly established position, the University Vice President/Chief Operating Officer, or through a newly re-titled position of University Vice President & Chief Financial Officer. The new Chief Operating Officer role would be made available by reconfiguring an existing vacant position reporting to the President.





- The current function of Vice President for Financial Planning and Management shall be re-titled, University Vice President & Chief Financial Officer. The incumbent would assume greater oversight responsibility for fiscal operations at the Storrs campus similar to the oversight role currently being performed at UCHC.
- Examples of those administrative and financial functions that are seen as critical to supporting the teaching, research, outreach and clinical priorities to achieving Top 25 status and would be transferred to University-wide level include:
 - Human Resources
 - Information Technology
 - Facilities Management and Operations
 - Financial Services
 - Business Services
 - Construction
 - Institutional Research and Policy Analysis
 - Strategic Planning
- Each of the University-wide functions would report directly to either of the University Vice Presidents as depicted on the table of organization found after this page but would have day-to-day, dotted-line relationships with the UCHC Executive Vice President or the Storrs/Regional Campuses Provost & Executive Vice President for Academic Affairs. This structure is similar to the current structure and reporting relationships with the existing position, Vice President for Financial Planning and Management.
- Government Relations would continue to be University-wide and report to the President, while supporting the needs of the two Executive Vice Presidents. In this recommendation, communications and marketing also becomes a University-wide function. Particular sensitivity to the special marketing needs of John Dempsey Hospital will have to be respected.
- Business and Economic Development continues to be a University-wide function reporting to the President.
- New attention would be given to strategic planning, institutional research, external reporting, and policy analysis at the University-wide level. This is especially important as UConn refines, analyzes, and strategizes what it will take to reach its aspirational goals.
- No additional layer of administration is introduced nor are any additional senior positions added. The functions that report to the Vice President/COO and to the Vice President/CFO shall be configured as University-wide service centers with the primary objective of improving the quality of local service delivery to the University's multiple constituencies.
- If properly and promptly implemented this structure should maximize the synergies possible from a multi-campus system, while remaining flexible and sensitive to unique circumstances and needs at the various locations.

**UNIVERSITY OF CONNECTICUT
PROPOSED TABLE OF ORGANIZATION
(SENIOR LINE AND STAFF OFFICERS)**

EXHIBIT A



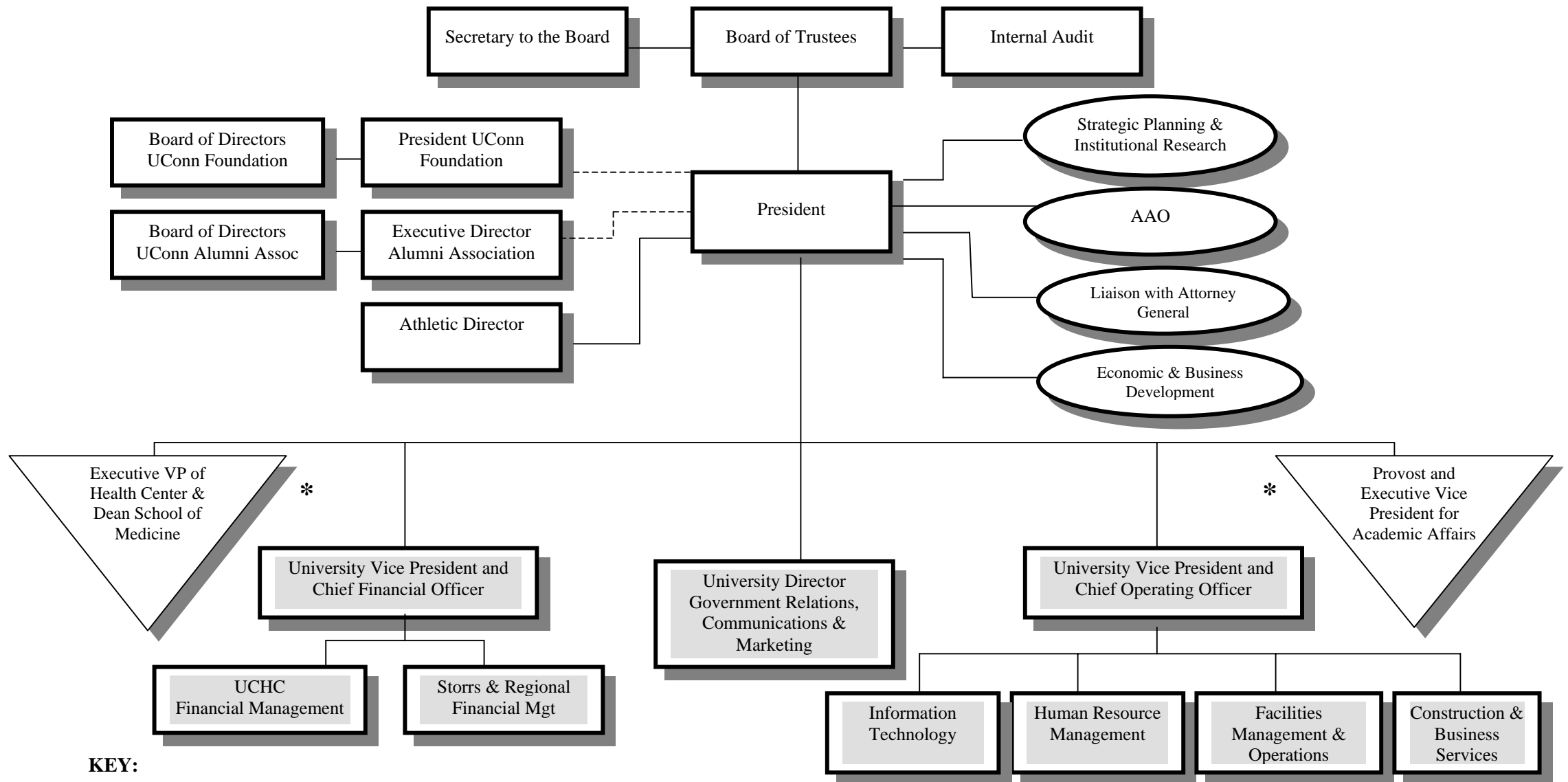
KEY:

-  Senior Staff Position
-  Senior Line Position
-  Promulgators/Keepers of the Academic Mission
-  Shared Services Providers who Support the Efforts of the Executive Vice President and the Academic Core





* Denotes Primacy of Academic Mission of the University and Supportive Role of Administrative/Financial Functions

EXHIBIT B

**UNIVERSITY OF CONNECTICUT
PROPOSED TABLE OF ORGANIZATION
(INCLUDING ALL DIRECT AND INDIRECT REPORTS TO THE BOARD AND PRESIDENT)**



KEY:

-  Senior Staff Position
-  Senior Line Position
-  Promulgators/Keepers of the Academic Mission
-  Shared Services Providers who Support the Efforts of the Executive Vice President and the Academic Core

* Denotes Primacy of Academic Mission of the University and Supportive Role of Administrative/Financial Functions

Recommendation 3 Develop a University-wide strategic plan, including the mission and role of the regional campuses and the clinical operations of UCHC:

At the present time, those University strategic plans that have been developed have been completed without the benefit of a set of guiding *comprehensive* and *integrated* objectives designed to achieve “Top 25” status or to drive the plans of the various UConn entities and operating departments. At present there is no mandate for strategic planning activities across the University. UConn suffers from not having its diverse change efforts coalesced around a common set of strategic objectives and shared priorities.

The University needs to initiate a University-wide high-level strategic planning activity that will properly identify the missions, strengths, opportunities, directions and outcomes of the various campuses and principal entities within the University. Such a plan should provide university leaders with an integrated framework within which these campuses and entities can develop over the next 10 years, and do so in a synergistic and interdependent manner.

It is fortunate that a strategic plan has been developed at the Health Center. An academic plan for Storrs and the regional campuses is underway. The University-wide planning activity should therefore commence with a recognition of this work that has been done within the last three years, and review those outcomes as a point of departure for developing the University-wide perspective.

Once the University-wide goals and framework have been clarified and established, principal administrative, academic and research units should develop their individual plans accordingly. These unit plans should emphasize those areas in which the unit can contribute to the overall objectives that have been defined for the University, the entrepreneurial activities that can be developed consistent with those goals, the operational efficiencies that could be achieved in support of those goals, and the opportunities for cooperation and coordination among units that could improve the university’s capabilities to accomplish its objectives.

Recommendation 4 Restructure the overall academic affairs management organization at the Storrs campus:

It is always a challenge for universities to balance the continuing demand for new and desirable services for students/faculty/researchers and the creative entrepreneurial efforts of their faculty and administrators with the need to operate efficiently within resource limitations and within some common institution-wide objectives. At the Storrs campus, the organizational structure that is in place at this time reflects an evolving response to various needs and conditions that presented themselves over the last several decades. While it was not PCG's specified charge to look at current structures internally within the Storrs, Regional and UHC campuses (versus identifying potential synergies across these campuses), there is a pressing need and significant opportunity to review the distribution of responsibilities, areas of overlap or duplication, management requirements, and table of organization currently in place at the Storrs campus (and to a lesser extent, the relationships between Storrs and the Regional campuses). The outcome of such a review is likely to result in improved service levels and decision-making capability while reallocating critical resources.

APPENDIX B:

RECOMMENDATIONS - FINANCIAL SERVICES

Recommendation 1 Organize purchasing and accounts payable to operate as a University-wide function within Construction and Business Services under the COO; organize services around “departments served” to improve customer service:

The purchasing department at Storrs receives requests from departments and from the regional locations and ensures goods and services are ordered in a timely fashion. The purchasing department at UCHC handles identical duties for the departments located at that location. Each of the two departments has similar responsibilities and duties, and uses the same basic software to do its work. Each department director also oversees other related operations such as warehousing, procurement cards, central stores, mail, and printing services.

While the desired outcome of the services of both departments is the same, the procedures used to achieve that outcome differ significantly. While it is true that many of the types of purchases made are different in some significant ways (UCHC has a greater share of research and clinical purchases), the policies and procedures used (and systems) should not be significantly different. In fact, as research activity increases, and the attendant visibility of UConn in the eyes of grant and contracting agencies increases, it will be even more important that purchasing policies and procedures be nearly identical.

A key to the future success of the purchasing departments at both locations is to increase the use of technology to improve service. In particular, automating the delivery of purchase orders to vendors and the use of procurement cards and web-enabled ordering by user departments will have significant favorable impacts on operations, even as purchasing activity increases in the research area. At the present time the two departments are pursuing these improvements separately and are not using their combined talents and knowledge to develop the optimal solution.

While we understand that improvements in actually paying invoices have been made at the UCHC and Storrs campuses, we recorded significant dissatisfaction with the speed of this process from users. We also noted significant differences in policies followed by accounts payable staff at Storrs and UCHC.

We recommend that consideration be given to combining the purchasing and accounts payable staff at Storrs and UCHC into one overall organization. By organizing to serve customers (as opposed to buying commodities), and working as a team to order, receive, and process payments, the cycle of purchasing should flow more smoothly resulting in improved service. Further, maintaining one system and its related policies and procedures will be cost efficient and facilitate cross training.

Recommendation 2 Use expertise gained in accounting for new construction at Storrs to account for new UCHC construction projects:

The fixed asset accounting group at the Storrs campus has grown in FTE and experience to account properly for the many construction and renovation projects associated with UCONN 2000. This experience has resulted in familiarity with both accounting issues and issues related to compliance with state requirements. Significant new construction is expected to take place at UCHC in the near future as well. Rather than ramp up the UCHC staff to meet the increased accounting workload, we recommend that the fixed asset accounting staff at Storrs assume responsibility for accounting for new construction at UCHC.

Recommendation 3 Structure travel services into one office/one system:

A travel department is maintained at both the UCHC campus and the Storrs campus. The Storrs campus group also handles travel arrangements for the regional campuses. Combining the two travel groups should enhance contract negotiation and spread costs, such as travel software, over a larger base. For instance, a new travel software package may cost \$80,000 to \$90,000. Buying one system instead of two would cut the overall cost to UConn by half.

Recommendation 4 Create a common Chart of Accounts for UCHC and Storrs; share one database and software system with separate subsets for each major operational unit:

At the present time, the financial records of Storrs and UCHC are maintained within separate databases on separate computer systems located at each campus. Each campus uses a separately contracted version of the SCT Financial Record System (FRS) software. Over time, each campus has separately developed its own Chart of Accounts structure to meet its evolving needs.

PCG recommends that the Chart of Accounts on each campus be realigned to share a common structure, with provision for those specialized accounts as needed to reflect unique operational and/or reporting requirements appropriate to each campus. Such a shared structure will better facilitate the expected increase in University-wide financial reporting, as well as the processing procedures and nomenclature resulting from the expansion of shared business services across UCHC and Storrs.

With a shared Chart of Accounts structure, this will also allow for using *one* version of the FRS software and database to support the general ledger and related activities of each campus. Within the database and FRS software, provision can readily be made for defining separate ledgers for each campus and its sub-units, consistent with business needs and appropriate access security. This unification can generate savings in vendor licenses fees for both the FRS product and other associated reporting/processing software tools utilized by UConn business personnel. This can also reduce the number of IT technical staff (and their training costs) required to support these duplicate financial systems, consistent with other PCG recommendations expressed in the IT section of this report.

Recommendation 5 Move a number of the Financial Management/Controller activities for Storrs under the University Vice President & Chief Financial Officer.

Following the precedence now in place for UCHC, transfer certain of the Financial Management/Controller functions at Storrs to report to the UVP & Chief Financial Officer. This will allow for greater synergy and coordination in the management and reporting of financial condition of the University at both the Storrs / UCHC levels as well as from the University-wide perspective.

APPENDIX C:

RECOMMENDATIONS – UNIVERSITY-WIDE STRATEGIC PLANNING AND INSTITUTIONAL RESEARCH

Changes in the policy and planning functions should provide a more responsive and robust planning function for the University. This, in turn, will enable a more focused and effective use of University funding and resources. In our view, this is critical to the University: success in properly managing its significant influx of capital funds; constrained State support for the operating budget; aspiration to be a Top 25 Public Research University; and need to manage within a more strategic and data-driven planning methodology.

Recommendation 1 Move strategic planning, institutional research and policy analysis to a University-wide function, guided by the President; ensure coordination with constituent reporting and budgeting activities:

UConn needs to have a proactive institutional research group that creates useful management information and statistics and reports useful to the University community as a whole. At present, there is an Institutional Research unit at the Storrs campus, but information is more difficult to obtain at UCHC when institutional reporting is required. By moving institutional research and reporting to the University-wide level, information will be gathered in a more strategic, systematic and logical manner.

The Institutional Research office at Storrs should be expanded and realigned to serve a University analysis and reporting role, and should be part of a University-wide strategic policy and planning function reporting to the President. The institutional research function should support data research and analysis needs as warranted for the President's Office and various administrators and departments within each campus as appropriate. Further, the Storrs office should be relieved of those operational and non-research services that it currently provides to campus departments, thereby allowing it to remain focused on its primary mission of data research, policy analysis and planning. Responsibility for data accuracy, and the production of ad hoc rosters and labels for various campus departments, should be properly assigned to the appropriate operational department for servicing campus needs (e.g., University Registrar for student data; Human Resources Department for employee data). Implementation of this recommendation will provide the basis for more focused, strategic, and integrated planning and reporting for the University as a whole.

Recommendation 2 Tie financial planning to University strategic planning:

Organizations often create strategic plans but fail to make the necessary connection with their operating budget. Strategic planning and financial planning need to be an intentional, integrated process.

UConn's financial planning should be aligned closely with formal strategic planning activities across the University. The absence of adequate long-term strategic plans has resulted in reactive and short-term allocation decisions. Processes for strategic, financial, facilities, and human resource planning need to be strengthened. This need is a special priority in light of the further infusion of capital funds that will be invested at UConn, while the operating budget is concurrently being constrained.

Recommendation 3 Promote a more integrated University through more consolidated University reporting:

UConn should take efforts, where appropriate, to report more enrollment, financial and other data reflecting a University-wide view of activities. While there is a need to separate out such data for a variety of internal planning, management and reporting functions (especially at the clinical operations level), as well as some selected external reporting purposes, the University will benefit from demonstrating its *aggregate* performance in certain instances or with certain audiences. Examples include total research activity (especially as joint research activities increase), summary net financial results (especially as more inter-campus synergies are effected, selected services are shared, and the President's Office provides more University-wide services), life-long education enrollments, "economic impact" statements, and so forth.

APPENDIX D:

RECOMMENDATIONS - FACILITIES MANAGEMENT

Recommendation 1 Move facilities management support to a University-wide function under the COO; consolidate facilities management leadership to respond to the University's strategic goals:

This is an organizational change to ensure a University-wide view of facilities planning, management and operational efficiencies. The COO would be responsible for providing overall leadership and direction on facilities-related issues (see Comments below). Facilities Management units at Storrs and UCHC would exist at each site, but these redefined functions of these campus-based leaders would report to a University-wide Facilities Management and operations director who in turn reported to the VP and COO.

Recommendation 2 Develop a Strategic Asset Plan for all UConn facilities:

This Strategic Asset Plan would reflect: how well each facility is currently being used; the value of attempting to use the facility more effectively; space use standards and targets; renovation cost plans; renovation or replacement strategies, recommended energy strategies, etc. This Strategic Asset Plan would become an essential element of more formalized planning for space utilization and future capital investment.

Recommendation 3 Tie space planning to academic (instruction and research) strategies:

Capital construction, maintenance and usage planning for facilities should be directly tied to the institution's strategies for teaching, research, and the delivery of health services to ensure that the right facilities are being built at the right time in the right place to enable long-term and effective use of space and resources. Such tighter integration of academic and space planning needs would be part of a greater emphasis by UConn on formalized planning for space utilization and future capital investments.

Recommendation 4 Recognize the full life cycle costs of owning and operating a facility over its lifetime:

The full University needs to plan for the lifetime cost of owning and operating new and existing facilities. Costs need to be budgeted for over the life of the facility to avoid future "deferred maintenance deficits."

Recommendation 5 Create a Facilities Services Mission and Vision that is driven by and supports the academic and research programs:

The benefits from this recommendation include the enhanced support of academic instruction, research, and clinical services. It further provides a focus on prioritized work targeted to support key institutional objectives, as well as the ability to spend maintenance and operating funds on items most important to the support of research, instruction and the provision of clinical services.

Recommendation 6 Consolidate Facilities construction activities for UCHC and Storrs to operate as a University-wide Business Services function under the COO:

Building upon the lessons learned and the experienced developed from the UCONN 2000 project, facilities construction activities for both UCHC as well as the Storrs/regional campuses should be consolidated and managed within one office. This will allow for reinvesting the expertise gained, and the systems and controls already developed, into managing future growth across the system. This consolidation will further minimize any duplicate startup efforts as 21st Century UConn begins to unfold.

APPENDIX E:

RECOMMENDATIONS - HUMAN RESOURCES/PAYROLL

Recommendation 1 Realign Human Resources and Payroll into a University-wide function under the COO; synchronize policies as appropriate between Storrs/UCHC

As the academic and clinical environments at Storrs and UCHC have unique and varied HR requirements, a clear understanding of the ramifications of integrating the HR/Payroll functions University-wide must be had. Indeed, it may be appropriate to have an integrated Human Resources and Payroll unit that focuses solely on the academic mission(s) of the University while excluding the clinical operations. However, we still believe that efficiencies for all non-clinical University staff and faculty could be gained by:

- Sharing investments in technology and related costs (as described below)
- Leveraging expertise
- Consolidating certain business processes

Moreover, the realignment of reporting relationships would enable UConn leadership to provide executive oversight, formulate high level policies, and address overarching issues on an informed and consistent basis.

Recommendation 2 Consolidate Storrs HR and Payroll within the same organization; reengineer business processes to maximize cooperation and efficiencies

Consolidating the HR and Payroll Offices at Storrs into a single organization will improve administrative oversight, strengthen communication and coordination, and reduce duplication of effort. The new organization will provide an environment where staff can collaborate more effectively in solving problems and improving business processes. Relocating the offices to a single work site also will help accomplish these objectives.

Recommendation 3 Increase HR staff expertise at Storrs in management, labor relations, and training support functions

Proficient labor relations and employee training and development are functions that are critical to maintaining effective working relationships and managing risk at UConn. The absence of expertise in these important areas can expose the University to serious personnel issues that could result in costly litigation and settlements.

Recommendation 4 Automate the Time and Attendance reporting function, using a common University-wide system

The time and attendance process is very laborious, requiring significant effort by Storrs and UCHC Payroll staff, as well as a substantial investment of effort from support personnel in all UConn departments. Recently UCHC selected the KRONOS Time and Attendance system, which is expected to meet the complex needs of the clinical environment, while significantly reducing processing requirements. We recommend that Storrs negotiate sharing the system.

Recommendation 5 Ensure collaboration between UCHC and Storrs on technology selections and purchases, particularly with the new replacement HR system

There currently are multiple opportunities to improve efficiency through increased use of technology in HR and Payroll at both Storrs and UCHC. It is clear that UConn would benefit from a more collaborative approach to selecting and purchasing technology. Economies of scale and other efficiencies could be gained by sharing University-wide the purchase of products and services, licenses, training and support. We strongly recommend that these departments coordinate efforts to identify and implement the new technology.

APPENDIX F:

RECOMMENDATIONS - INFORMATION TECHNOLOGY

Recommendation 1 Create a University-wide Information Technology function with a single CIO under the COO:

This is an organizational change to ensure planning and operational efficiencies, and a University-wide strategic view of technology utilization, by cross-sharing Storrs and UCHC technology efforts. Minimal investment is required to effect this change, and savings will result from a reduction/reallocation of duplicate executive/management roles.

Recommendations 2-5 Develop long-term planning and service models:

These several recommendations share an emphasis on the need for broad long-term planning to guide, integrate and focus future IT decision-making. The benefits will be in the improved alignment of IT outcomes in support of institutional priorities, and greater effectiveness and leverage from subsequent technology investments. This planning centers around:

- Creating an University Technology Plan
- Establishing new governance structures as required
- Creating a 5-year funding model and commitment for IT
- Creating a University technical support model

Recommendation 6 Improve the internal operation and resolve existing service issues affecting the delivery of technology to the campuses:

This recommendation focuses on the need to improve the internal operational environment of the current IT units as a preliminary and/or concurrent step towards adopting a more integrated University-wide IT service environment. The benefits will be reflected in increased productivity from IT staff, better customer service to the University community, and potentially lower personnel turnover costs.

Recommendation 7 Consolidate hardware support and related functions, along with IT administration, in one location, with local service representatives for selected functions:

... AND ...

Recommendation 8 Assign IT staff to projects across campuses as an “University resource” in order to best match skills with institutional priorities; provide local specialization support at Storrs and/or UCHC where appropriate:

Directly related to recommendation 1, Recommendations 7 & 8 are organizational and operational changes that directly impact staffing levels and reporting lines. There are potential personnel savings/reallocations/reinvestments from such changes by providing the University greater flexibility to pool and deploy technical resources to meet UConn priorities.

Recommendation 9 Implement multiple sharing strategies:

This recommendation focuses on the need to look for technology products and solutions from a broader perspective than the campus or the department. The benefit will be in a reduction of costs for new technology products and services through reducing the variety of products installed, less buying of multiple licenses for common products, separate installation and operational costs eliminated by purchasing more common products, reduced training and other support costs from a reduction in unique products, and some greater volume discounting for common products. Sharing decisions can be drawn from several different strategies depending on local business requirements and support needs, including:

- Sharing the same service or product
- Using the same product separately at UCHC and at Storrs
- Allowing for a “local choice” option as to whether to share a product or service in a particular circumstance
- Allowing for a “local choice” to meet a unique technology need

APPENDIX G:

**RECOMMENDATIONS – INSTITUTIONAL PERFORMANCE
MEASUREMENT**

Recommendation 1 Establish data collection and performance reporting capabilities for measuring institutional progress towards the “Top 25” Strategic Goal:

UConn does not experience excessive State-imposed mandatory accountability measures. In many states, accountability systems have become burdensome and often of questionable value. It would be of value to UConn, however, to establish its own system of benchmarking progress against a set of recognized performance indicators.

Given its aspirations to be a Top 25 Public Research University, the University could reasonably establish that aspiration as the core of its benchmarking activity. For credibility purposes and for cost-efficiency, UConn would be well-advised to measure its progress against some generally accepted national measures. While national rankings are controversial, they at least provide a good starting point. We believe the most suitable, although not without its own limitations, would be the Lombardi Program on Measuring University Performance produced by The Center at the University of Florida.

This study looks at both public and private research universities, although it reports them separately and in clusters rather than in actual rank order. It utilizes nine different measures:

- Total research expenditures
- Federal research expenditures
- Endowment assets
- Annual giving
- Faculty members in the National Academies
- Faculty awards
- Doctoral degrees
- Postdoctoral appointees
- Entering freshmen SAT scores

When examining UConn's position in the Lombardi report, one can observe the following:

- UCHC and Storrs are reported separately and not as one institution. This needs to be remedied since it results in significant understatement of UConn's rankings. (Lombardi discusses such situations on page 7 of its report.)
- Taking the data from the Lombardi report, it is possible to combine UCHC and Storrs, except in the cases (shown below) where one or both did not make the top 200 institutions. It is also possible to identify the floor for the top 25 public universities in each of the nine categories (and top 50 rankings).

The Top 200 American Research Universities
 The Lombardi Program on Measuring University Performance
 TheCenter
 2001 Report

University of Connecticut Performance Values
 Compared to Top 200 Research Universities

Performance Measures	Storrs	Rank (public)	Medical Center	Rank (public)	Combined Total	Rank when combined (public)	Top 25 Floor (public)	Top 50 Floor (public)
Total Research 1999 (000)	\$75,592	78	\$59,394	88	\$134,986	48	\$207,912	\$126,277
Federal Research 1999 (000)	\$23,863	98	\$31,633	78	\$55,496	86	\$108,499	\$67,610
Endowment Assets 2000	Note 1	n/a	Note 1	n/a	n/a	n/a	\$454,521	\$293,390
Annual Giving 2000 (000)	\$31,755	73	Note 2	n/a	n/a	n/a	\$92,378	\$48,584
National Academy Members 2000	1	132	3	61	4	58	17	5
Faculty Awards 2000	8	52	3	104	11	36	15	9
Doctorates Granted 2000	275	33	Note 3	n/a	n/a	n/a	316	204
Post Docs 1999	59	85	139	54	198	41	263	151
Median SAT Fall 1999	Note 4	n/a	Note 4	n/a	n/a	n/a	1200	Note 5

Note 1: Neither Storrs nor UCHC are listed in the top 200 institutions for Endowment Assets.

University of Akron- Akron is the lowest listed public at number 73 with endowment of \$198,498,000.

Note 2: UCHC is not listed in the top 200 institutions for Annual Giving.

University of New York Stony Brook is listed as the lowest public at number 103 with Annual Giving of \$20,080,000.

Note 3: UCHC was not listed in top 200 institutions for doctoral degrees awarded.
UMass-Lowell is listed as the lowest public at number 121 with 52 doctoral degrees awarded.

Note 4: Neither Storrs nor UCHC is in the top 200 institutions for Median SAT scores.
This performance measure is dominated by private institutions. Of the top 200, 158 are private and 42 are public.

Note 5: North Carolina State University is the lowest listed public institution at number 42 with a median SAT score of 1175.

Note 6: In adopting these measures for UConn to monitor future progress towards its Top 25 goal, mechanisms should be put in place to internally capture the data noted above that is not currently available.

As UConn develops an enhanced institutional research capacity, we recommend it work within the Lombardi framework. Indeed, the report encourages this: "...The Center's website provides all the data so others can construct and analyze the information for their own purposes" (p.19). The nine measures certainly have rationality and a reasonable degree of acceptability behind them. A promising approach, again not without its own limitations, would be to control the Lombardi data based upon institutional size. The Lombardi approach benefits large institutions, although few would argue that those identified are not widely regarded as the top research institutions. However, it would be possible to examine some measures on, for example, a per faculty (e.g., research dollar per FTE faculty) or a per student (e.g., endowment monies per FTE student) basis. It would also be possible to identify some institutions ranking higher than UConn yet of similar size to compare performance. Or one could identify institutions that seem to cluster around 25 on a number of measures (e.g., University of Iowa and University of Utah).

The picture painted by the last Lombardi report does confirm much of what is already evident and yet also highlights some opportunities for the University. In the former category, UConn is not unlike most public institutions in the northeast when it comes to annual giving and endowment. In the latter category, the report spotlights the opportunity for a greater focus on federal research dollars (especially NIH) and for attracting more faculty either with National Academy status or the potential for it.

One final note of caution. There are many complexities to this benchmarking approach that do not lend themselves to short and simple public explanation. This is especially the case since the Lombardi report cautions that "Research universities live in a highly competitive marketplace, and none of those in the top categories is likely to cease improving. This means that to get relatively better, a university must ***match and then exceed*** [emphasis added by PCG] this growth of its competitors. This is a major challenge and the indicators.....provide explicit reference points to measure this kind of success" (p.16).

At the very least, these nine measures (and perhaps some selected additions, such as capital expenditures per student over a certain period of time) will allow UConn to measure its progress against the best in the nation.

APPENDIX H:

RECOMMENDATIONS - ENROLLMENT MANAGEMENT

PCG does not envision significant synergy-based benefits to UConn from enhanced collaboration between Storrs and UCHC regarding Enrollment Management. There are, however, a number of Storrs-specific opportunities for change we wanted to cite. These are detailed below.

Recommendation 1 Develop a formal enrollment plan that includes the undergraduate/graduate or professional school mix, instate/out-of-state mix, and the regional campuses:

This recommendation focuses on the need to plan proactively for future enrollment growths and distribution. Undergraduate enrollment has had such a plan for the last several years, and it has been very effective in guiding enrollment and marketing planning. A more comprehensive plan is needed that will reflect graduate enrollment targets and allocations among priority programs, and for the regional campuses to reflect a more focused educational mission and geographic outreach goals for each campus. The benefit would be both in increasing total enrollments for the University as well as placing those enrollments in more strategically and economically-targeted areas.

Recommendation 2 Incorporate Business Process Redesign (BPR) into the current PeopleSoft student administration systems project:

The University has committed to a significant systems project to install a new integrated PeopleSoft student system. However, the current systems design strategy does not reflect a correspondingly significant effort to fundamentally redesign and integrate business operations across the several units "... except for those changes needed to be compatible with the software design..." This current implementation strategy will reduce the level of effort and timeframe required for completing the software installation. However, it will also minimize the return on investment from the utilization of the PeopleSoft product, both in terms of realizing potential processing/staffing efficiencies as well as enhancing service delivery to the student population. It is only by fully exploiting and committing to the design and benefits of the software package that UConn's investment will be realized; otherwise the University will limit itself to bringing significant automation to a fundamentally unchanged mode of operation.

Recommendation 3 Establish a “fully integrated 1-Stop” student service function for Storrs undergraduates:

This past year, the University established a physical central campus location for providing administrative services to students. The building design and distribution of individual offices is a very positive step forward and an architectural model for other institutions to emulate. However, each office is essentially still operating in a standalone mode for its individual services, albeit in a more cooperative and collaborative environment for dealing with student problems that cross office boundaries. As more “basic services” for students continue to be appropriately moved to technology-based self-delivery, the percentage of in-person problems brought to the facility by students will increasingly be these cross-departmental issues requiring broader problem-solving skills and access to data from across offices. An integrated 1-Stop operation will produce some cost reductions and reallocation of staff roles, but its principal benefit will be reflected in enhanced services to students and quicker “time to resolution” for resolving student problems. This recommendation is also tied directly to Recommendation 2 above regarding significantly redesigning processes.

Recommendation 4 Review the operations, processes and staffing of the Graduate Admissions and the Graduate Records offices:

The Pappas Consulting Group recommends that a more in-depth review of the operations, processes, and staffing levels of these two offices be done in the near future. There appear to be a number of similar/duplicate functions being performed in the Graduate Records office that, with the aid of new technologies being installed or potentially available to the University and/or the redesign of policies and processes, could be transferred to the University Registrar’s office. Similarly, the processes of the Graduate Admissions office could be enhanced with better technology implementations, along with a review of processes and work distributions. More cooperative marketing activities should also be investigated with Undergraduate Admissions, the Graduate School and the College of Continuing Study. A number of potential efficiencies were identified in the PricewaterhouseCooper’s study of 1999, and an initiative should be made to move forward with various of those recommendations.