

UT Dallas
Compact for FY 09 – FY 10

Mission: The University of Texas at Dallas serves the Metroplex and the State of Texas as a global leader in innovative, high quality science, engineering, and business education and research. The University is committed to producing engaged graduates prepared for life, work, and leadership in a constantly changing world; advancing excellent educational and research programs in the natural and social sciences, engineering and technology, management, and the liberal, creative, and practical arts; and transforming ideas into actions that directly benefit the personal, economic, social, and cultural lives of the citizens of Texas.

Top 5 Priorities for FY 09 – FY 10:

1. Allocate resources to enhance research in line with strategic initiatives.
2. Increase enrollment, while maintaining standards, to achieve a growth of 5,000 FTE over the next 10 years.
3. Allocate resources to enhance academic offerings and teaching in line with strategic objectives.
4. Fulfill commitments of the Engineering and Science Research Enhancement Program.
5. Implement measures to increase persistence and graduation rates.

I. Performance Summary Table and Analysis

Indicator	Past	Current	Goal	Explanation
Persistence Rates – First-year persistence rates for first-time, full-time degree-seeking undergraduates (cohort)	79.4% (2001) 82.5% (2004)	79.9% (2005)	82% (2008)	Raise retention rates as part of graduation initiative utilizing Living Learning Communities and the SACS Quality Enhancement Plan initiative "GEMS" to focus on math and science success in the first year.
4-Year Graduation Rates – undergraduates graduating in four years or less from same institution (cohort)	37.7% (1998) 30.7% (2001)	35.7% (2002)	40% (2008)	Raise 4-year rate to over 40% by 2011. Enhance first year success, expand degree profile to provide more choices. Provost focus on retention with new office.
6-Year Graduation Rates – undergraduates graduating in six years or less from same institution (cohort)	51.8% (1995) 56.6% (1999)	55.3% (2000)	60% (2008)	Raise 6-year rate to 65% by 2013. Enhance first year success, expand degree profile to provide more choices, review curriculum.
Total Research Expenditures	\$27.7M (2002) \$43.1M (2005)	\$46.5M (2007)	\$48.4M (2008)	Annual R&D growth, especially federal R&D, of 4%.
Increase in Enrollment	14,092 (fall 2004)	14,556 fall 2007)	14,992 (fall 2008)	The University aims to increase enrollment growth by 3% per year.
Percentage of SCH generated by Tenure/Tenure-Track Faculty	SCH +7.4% (fall 03-04); SCH -3.8% (fall 04-05)	SCH +1% (fall 06-07)	SCH +3%, increase # sections taught (fall 07-08)	Reverse declines through expansion of T/TT faculty hiring in area of high demand.
Increase in freshmen enrollment while sustaining quality	Fall 2005: 1,203 students; average SAT 1241	Fall 2007: 1,150 students; average SAT 1239	Fall 2008: 1,210 students average SAT 1240	High SAT college prepared students in Texas have plateaued. We have initiated a new focus in recruitment aimed at an annual growth of 5%.

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II. Update Strategic Initiatives from 2007 Compact

a. Completed Initiatives – none for this period

	Impact (Metrics)	Analysis	Goal	Evaluation of initiative success
1. Allocate existing resources to preserve quality in teaching.	Organized class sections alignment to promote efficiency	Course scheduling and curriculum streamlined. Smaller programs re-evaluated.	Streamlined curriculum to reduce overlap	Greater coordination of core curriculum. Ongoing review by Council for Undergraduate Education.
2. Allocate existing resources to preserve quality in research programs. (see ongoing initiatives below)	NSF ranking increase	R&D opportunities exist in strategic areas.	Increase Federal R&D expenditures	Research efforts resulted in jump to plateau. To increase in next phase, additional research faculty required. (see below)

b. Ongoing Initiatives

	Impact (Metrics)	Analysis	Goal	Next Steps
1. Sustain progress over last decade in becoming a "first tier" institution in terms of students and academic program quality.	National rankings	Student quality has increased (higher entering SATs and high school GPAs). Programs have been expanded.	Long-term goal is top 100 status	Add more degree programs (Mechanical Engineering), enhance undergraduate graduation efforts through GEMS and other initiatives.
2. Enhance research, graduate education, and technology-driven economic development.	131 PhD's awarded 06-07; new graduate degrees	PhD enrollment has increased but intermediate pipeline has constriction. Forecast 100 PhDs in FY08	Sustain number of PhD's awarded; increase # of research faculty	Continue to hire more tenured/tenure-track faculty in STEM, biomedical fields. Enhance graduate recruitment.
3. Fulfill commitments to the Engineering and Science Research Enhancement Initiative.	Raise Federal R&D by 4% per year; national ranking	Additional facilities (ENSERL) to accommodate initiative are complete.	Increase endowed chairs, grad fellowships	Complete the engineering enhancement initiative campaign.
4. Protect enrollment gains, access, and student quality achieved over last decade.	Enrollment, student diversity, graduation rates	New sources of funding were applied to scholarship and outreach programs.	Increase enrollment and graduation rates	Freshmen enrollment, diversity stabilized while student quality (GPA, SAT) improved. Graduation rates must be improved. VP for Diversity in place and focused on diversity initiatives.
5. Allocate resources to enhance research programs and research faculty.	Raise NSF ranking (171 in FY06)	Need for targeted research opportunities in areas of strength (e.g., materials sciences).	R&D expenditures of \$60M by 2012	Add more degree programs and hire research-oriented faculty in all fields.

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III. New Strategic Initiatives

Initiative, Rationale, & Strategy	Expected Impact (Metrics)	Goal	Specific Steps in 08-09, 09-10
6. Increase number of tenured/on-track faculty and researchers. Rationale: Additional faculty and researchers will generate needed research dollars and head new programs. Strategy: targeted hiring.	Federal research expenditures and degrees offered/awarded (especially PHD's) will be metrics.	60% T/TT faculty with extramural R&D funding, 25 research scientists	Within budgetary constraints, hire as many T/TT faculty as possible, primarily in sciences and engineering who will engage in external research. Hire up to 10 research staff.
7. Increase number of buildings and improve infrastructure. Rationale: to accommodate planned program, personnel and enrollment expansion. Strategy: tap PUF, service fees, private funding sources.	Will accommodate additional research and faculty; improve student service/educational experience.	Add 855,000 gross square feet research/faculty space	Add 180,000 gross square feet (3 new buildings), renovate 160,000 gross square feet (Founders).
8. Increase UT Dallas's endowment. Rationale: key to financing long-range expansion goals. Strategy: complete engineering enhancement project and initiate new 10-year, campus-wide capital campaign.	Increased private/alumni giving rates; more endowed chairs; increase graduate fellowships from 5 to 7%.	Substantially increase UTD's endowment	First stage of campaign will focus on private funding for endowed chairs, fellowships, scholarships, special research programs.

IV. UT System Strategic Plan Initiatives

a. Enrollment Management Plan Development and Targets

The University currently enrolls 14,556 total students and 10,885 full-time-equivalent (FTE) students. Nearly 36% of the students are graduate students, a proportion that is not expected to change significantly. The University will add 5,000 new FTE students via two mechanisms: 1) growth of existing programs at an average rate of 3% per year, which will increase enrollment by 3,400 students, and 2) creation of new programs, specifically in emerging technologies and biomedical/biotechnological fields, which will add at least 1,600 students within 10 years. UTD will maintain current admissions standards and expand recruitment efforts into local community colleges and untapped Texas markets (e.g., Houston). Privately-funded landscaping initiative, expanded student services, and additional scholarship monies will serve as recruitment tools.

b. Financial Management Plan

Estimated annual operating cost to increase faculty/research staff is \$70 million. Sources of funding: \$55 million per year from additional 5,000 FTE students; \$10 million annually from increased state appropriations and/or tuition; \$5 million from expanded executive education, tuition reimbursement from research contracts, and other means; and \$17 million annually from new indirect cost recovery funds generated by increased research productivity. Estimated total start-up cost for 300 research faculty is \$105 million over 10 years. Sources of funding: \$20 million from existing state initiatives, \$1.5 million annually from UT System STARS, \$2 million annually from indirect cost recovery, \$500,000 annually from private monies. Estimated cost for new buildings, infrastructure enhancements, and renovations is \$809 million over 10 years. Sources of funding: \$513 million from state/PUF; \$193 million service income; \$68 million UTD budget; \$35 million private gifts.

c. Information Security Plan

The UTD Information Security Office (ISO) provides proactive security analysis, develops a robust security architecture, and ingrains security awareness into the university's environment. ISO works in partnership with the various Information Resources departments, Internal Audit, Compliance, and Information Technology representatives from each school to support the university's mission and goals. This department is responsible for a wide variety of issues, including development, maintenance and review of policies and procedures; disaster recovery planning; campus security strategies including edge and internal security; malicious code detection and prevention; break-in investigations (including forensics); and public security awareness programs. This department works to ensure awareness and compliance with local, state, and federal laws.

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V. System Contributions and Investments

a. Summary of investments:

	FY 05 and FY 06 cumulative awards	Impact (FY 05 and FY 06 cumulative)	FY 07 awards
Noncompetitive STARS Awards:	\$429,000	Noncompetitive awards recruit junior faculty. The outcomes measures for these investments will take some time to develop.	\$1,311,360
Institutional Match:	--		\$1,475,000
Competitive STARS Awards:	\$500,000	Sponsored external funding:..... \$320,000 Net return on investment: (\$680,000) Patents issued: 0 Patents pending: 0 Scientific publications:..... 12 National awards:..... 0 Collaborations: 4 Sponsored graduate students:..... 1 Sponsored post-docs:..... 2	\$3,000,000
Institutional Match:	\$500,000		--

b. Other System contributions: UTD has received \$3.5m in STARS competitive funds that have allowed UTD to attract top research talent in STEM and Medical/Health disciplines including a Nobel Laureate

VI. New Faculty Positions Projected to 2011

Field	FY 06	FY 07	FY 08	FY 09	FY 10	FY 11	Total FY 06 – FY 11
STEM	9	4	9	6	15	20	63
Medical/Health	4	4	2	0	3	5	18
Liberal/Fine Arts	1	1	9	5	2	3	21
Business	11	7	4	4	5	5	36
Social Sciences	7	7	7	2	1	2	26
Total	32	23	31	17	26	35	164

Comments: Most faculty growth will occur in the STEM majors with special emphasis on engineering in fulfillment of mandates established in the Engineering Enhancement Project.

VII. Status of Campus Strategic/Long-Range Plan: After a lengthy development process and alignment with UT System's strategic plan, the campus master plan was finalized and sent to UT System for review.
<http://www.utdallas.edu/president/strategicplan.html>

VIII. Campus Consultation to Develop Compact: Efforts were made to ensure that the Compact was in alignment with the President's strategic plan which had been developed with input from the Provost, the Deans and the President's Cabinet. Compact goals have been communicated and discussed with all Deans and Directors and with Faculty leadership.

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IX. Budget

The University of Texas at Dallas
Operating Budget, Fiscal Year Ending August 31, 2008

	FY 2006 Actual	FY 2007 Adjusted Budget	FY 2008 Operating Budget	Budget	
				Increases (Decreases) From 2007 to 2008	
				Amount	Percent
Operating Revenues:					
Tuition and Fees	\$ 79,426,557	95,583,589	102,032,243	6,448,654	6.7%
Federal Sponsored Programs	26,701,162	27,771,599	25,683,738	(2,087,861)	-7.5%
State Sponsored Programs	16,107,941	15,486,659	2,859,568	(12,627,091)	-81.5%
Local and Private Sponsored Programs	4,943,456	5,227,033	5,387,351	160,318	3.1%
Net Sales and Services of Educational Activities	5,936,142	7,040,978	7,399,776	358,798	5.1%
Net Sales and Services of Hospital and Clinics	-	-	-	-	-
Net Professional Fees	-	-	-	-	-
Net Auxiliary Enterprises	5,351,565	4,634,702	5,558,649	923,947	19.9%
Other Operating Revenues	4,097,786	1,902,969	2,300,305	397,336	20.9%
Total Operating Revenues	142,564,609	157,647,529	151,221,630	(6,425,899)	-4.1%
Operating Expenses:					
Instruction	85,763,870	88,825,323	90,763,808	1,938,485	2.2%
Academic Support	17,876,640	19,938,473	23,659,114	3,720,641	18.7%
Research	36,013,378	39,953,125	46,727,434	6,774,309	17.0%
Public Service	6,964,437	6,495,438	6,857,021	361,583	5.6%
Hospitals and Clinics	-	-	-	-	-
Institutional Support	21,171,474	24,703,943	25,158,576	454,633	1.8%
Student Services	8,705,110	9,017,367	10,136,220	1,118,853	12.4%
Operations and Maintenance of Plant	13,991,759	17,937,620	20,184,654	2,247,034	12.5%
Scholarships and Fellowships	11,335,773	11,537,949	9,219,996	(2,317,953)	-20.1%
Auxiliary Enterprises	12,642,912	14,029,474	14,777,789	748,315	5.3%
Depreciation and Amortization	14,509,134	20,000,000	21,333,840	1,333,840	6.7%
Total Operating Expenses	228,974,487	252,438,712	268,818,452	16,379,740	6.5%
Operating Surplus/Deficit	(86,409,878)	(94,791,183)	(117,596,822)	(22,805,639)	24.1%
Budgeted Nonoperating Revenues (Expenses):					
State Appropriations & HEAF	72,371,748	75,494,531	89,143,170	13,648,639	18.1%
Gifts in Support of Operations	6,264,864	5,819,670	3,128,006	(2,691,664)	-46.3%
Net Investment Income	11,228,906	10,101,649	12,338,726	2,237,077	22.1%
Other Non-Operating Revenue	-	-	-	-	-
Other Non-Operating (Expenses)	-	-	-	-	-
Net Non-Operating Revenue/(Expenses)	89,865,518	91,415,850	104,609,902	13,194,052	14.4%
Transfers and Other:					
AUF Transfers Received	-	-	-	-	-
AUF Transfers (Made)	-	-	-	-	-
Transfers for Debt Service - Interest	(5,357,369)	(8,337,656)	(7,437,529)	900,127	-10.8%
Total Transfers and Other	(5,357,369)	(8,337,656)	(7,437,529)	900,127	-10.8%
Budget Margin	(1,901,729)	(11,712,989)	(20,424,449)	(8,711,460)	74.4%
Reconciliation to Change in Net Asset:					
Net Non-Profit Health Corp Activity	-	-	-	-	-
Net Inc./Dec. in Fair Value of Investments	12,040,417	-	-	-	-
Interest Expense on Capital Asset Financings	-	-	-	-	-
Capital Approp., Gifts and Sponsored Programs	9,159,847	2,000,000	2,000,000	-	0.0%
Additions to Permanent Endowments	2,399,542	1,200,000	3,600,000	2,400,000	200.0%
Transfers for Debt Service - Principal	(1,978,090)	(3,372,000)	(8,567,361)	(5,195,361)	154.1%
Reverse Transfers for Debt Service (System Only)	-	-	-	-	-
Transfers and Other	57,845,214	26,440,500	23,139,000	(3,301,500)	-12.5%
SRECNA Change in Net Assets	\$ 77,565,201	14,555,511	(252,810)	(14,808,321)	-101.7%
Total Revenues and AUF Transfers	\$ 232,430,127	249,063,379	255,831,532	6,768,153	2.7%
Total Expenses (Including Transfers for Interest)	(234,331,856)	(260,776,368)	(276,255,981)	(15,479,613)	5.9%
Budget Margin	\$ (1,901,729)	(11,712,989)	(20,424,449)	(8,711,460)	
Reconciliation to Use of Prior Year Balances					
Depreciation		20,000,000	21,333,840		
Capital Outlay		(13,415,000)	(7,953,351)		
Transfers for Debt Service - Principal		(3,372,000)	(8,567,361)		
Budgeted Transfers		(240,000)	(231,000)		
Use of Prior Year Balances		(8,739,989)	(15,842,321)		

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X. Data Summary

<i>fall</i>	2000	2001	2002	2003	2004	2005	2006	2007
Undergraduate	7,807	9,009	9,482	9,523	9,782	10,074	10,086	9,793
Graduate/professional	3,138	3,446	3,747	4,195	4,310	4,325	4,437	4,763
Total enrollment	10,945	12,455	13,229	13,718	14,092	14,399	14,523	14,556
<i>yr of matriculation</i>		1999	2000	2001	2002	2003	2004	2005
1st year persistence		77.7%	78.0%	79.4%	83.8%	80.2%	82.5%	79.9%
<i>yr of matriculation</i>	1995	1996	1997	1998	1999	2000	2001	2002
4-year graduation rate	32.0%	30.3%	31.7%	37.7%	29.6%	30.6%	30.7%	35.7%
5-year graduation rate	48.3%	46.0%	51.5%	50.9%	50.9%	49.8%	48.4%	
6-year graduation rate	55.2%	51.8%	56.2%	56.4%	56.6%	55.3%		
<i>academic year</i>	99-00	00-01	01-02	02-03	03-04	04-05	05-06	06-07
Baccalaureate degrees	1,303	1,386	1,537	1,605	1,823	2,020	2,158	2,355
Master's degrees	1,077	1,129	1,172	1,299	1,363	1,352	1,369	1,294
Doctorate degrees	64	69	58	70	50	117	116	131
Professional degrees	--	--	--	--	4	9	8	8
<i>academic year</i>	2000	2001	2002	2003	2004	2005	2006	2007
Faculty	548	604	652	679	697	763	770	767
Administrative		111	123	101	103	110	122	132
Other, Non-Faculty		1,179	1,281	1,341	1,384	1,530	1,624	1,679
Student employees		456	919	1,005	1,070	1,136	1,210	1,366
<i>fall</i>	2000	2001	2002	2003	2004	2005	2006	2007
FTE student / FTE faculty	20 to 1	22 to 1	22 to 1	21 to 1	21 to 1	21 to 1	20 to 1	21 to 1
<i>fiscal year</i>	2000	2001	2002	2003	2004	2005	2006	2007
Federal research exp	\$7,049,617	\$8,781,295	\$11,815,490	\$14,432,841	\$15,733,571	\$19,933,291	\$19,953,502	\$17,782,702
<i>fiscal year</i>	2000	2001	2002	2003	2004	2005	2006	2007
Revenue / FTE student	\$14,000	\$15,000	\$13,000	\$13,000	\$13,000	\$13,000	\$14,000	\$13,000
(nearest thousand)								
<i>as of</i>	8/31/2000	8/31/2001	8/31/2002	8/31/2003	8/31/2004	8/31/2005	8/31/2006	8/31/2007
Endowment total value	\$187,273,000	\$190,257,000	\$171,653,000	\$181,753,000	\$195,714,000	\$222,424,000	\$236,111,000	\$263,975,000